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Proposed Timetable
The Oklahoma Department of Commerce will make available to Units of General Local Government and Non-Profit organizations all Emergency Solutions Grant Program funds within 60 days of the date the State receives its grant award notice from the U.S. Department of Housing and Urban Development (HUD).

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
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<tbody>
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<td>March 30, 2017</td>
<td>Mandatory Application Workshop</td>
</tr>
<tr>
<td>March 31 – May 31, 2017</td>
<td>Applications entered into OK Grants</td>
</tr>
<tr>
<td>5:00 pm May 31, 2017</td>
<td>Application must be submitted into OK Grants</td>
</tr>
<tr>
<td>June – July, 2017</td>
<td>Continua score, rank and recommend</td>
</tr>
<tr>
<td>August 1 – 31, 2017</td>
<td>ODOC verifies eligibility of potential subrecipients</td>
</tr>
<tr>
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</tr>
<tr>
<td>October 1, 2017</td>
<td>ESG 2017 Contract Start Date</td>
</tr>
<tr>
<td>September 30, 2018</td>
<td>ESG 2017 contract end date. All funds must be expended by this date.</td>
</tr>
<tr>
<td>November 30, 2018</td>
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</tr>
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FY 2017 Emergency Solutions Grant
Request for Application

Background
The original Homeless Assistance Grants were originally established by the Homeless Housing Act of 1986, in response to the growing issue of homelessness among men, women, and children in the United States. In 1987, the Emergency Shelter Grant Program was incorporated into subtitle B of title IV of the Stewart B. McKinney-Vento Homeless Assistance Act (42 U.S.C. 11371-11378). In May 2009 the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act was signed; establishing the newly reauthorized and updated Emergency Solutions Grant Program. This program is still the first step in a continuum of homeless assistance operated by HUD. Since its inception and incorporation into the McKinney-Vento Act, the ESG Program has helped States and localities provide facilities and services to meet the needs of homeless people.

Purpose
Strategies outlined by the Governor’s Interagency Council on Homelessness (GICH) 10-year Plan adopted by the Oklahoma Department of Commerce/ Community Development (ODOC/CD) continue to advance and energize the state’s efforts to identify and combat the issues that result in homelessness. To that end ODOC/CD continues to lead the efforts for the preparation of the Consolidated Plan, devoted to the organization of federal resources to identify, strategize and implement effective ways to relieve the burden of low-income and in many cases homeless individuals and families. The Emergency Solutions Grant (ESG) Program is a component of the state’s efforts to alleviate homelessness in Oklahoma. When used in conjunction with other local resources the ESG program provides the foundation for homeless people moving toward and maintaining independence.

Eligible Applicants
Shelter operators interested in making application, must meet one of three options:

1. Private Nonprofits who have a yearly independent audit and have received ESG funds in previous years may directly apply for an ESG grant without sponsorship.
2. Or, Shelters may seek sponsorship from either a unit of general local government or, Community Action Agency (CAA) operating in that jurisdiction, or a private nonprofit that has previous
experience with following federal regulations and being an umbrella organization. For example, a local United Way or the Nonprofit arm of a Housing Authority.

a. Emergency Shelters that are owned and/or operated by a unit of general local government or a CAA must submit their request for funding through their owner.

3. Private Nonprofits seeking ESG funding for the first time must have a Sponsor. After the first funded program year, the private nonprofit has received an audit with no major findings and a monitoring report with no major findings, the private nonprofit can request permission from ODOC to apply for ESG funding independently with no sponsor.

**Sponsorship Responsibilities**

The Sponsor, unit of local government or local Community Action Agency, will be the signatory on the contract and the direct recipient of the ESG funds. In turn, there will be a process in which the Sponsor receives documentation, such as invoices, to reimburse the non-profit for the services provided as approved in the written application.

The Sponsor is responsible for the oversight of the financial reporting, Proof of Match and Federal Requirements of the sponsored non-profit.

A unit of general local government or CAA may retain prevention or administrative funds to carry out certain activities. Not all funds used by the unit of general local government or CAA for prevention or administrative activities must be used by the shelter.

A Sponsor/Shelter Agreement must be signed and submitted to ODOC before funds can be released.

ODOC/CD funds only those ESG applicants located in and serving non-formula areas. Potential applicants with a shelter located in the jurisdictions of the City of Tulsa or the City of Oklahoma City must apply through their prospective entitlement communities.

**Local Government Project Approval**

Distribution of funding to CAA/Nonprofit is permitted only when the unit of general local government, in which the assisted project is to be located, certifies that it approves the proposed project. This certification must be submitted to ODOC with the application. If the CAA/Nonprofit intends to provide homeless assistance in a number of jurisdictions, a certification of approval must be submitted by each of the units of general local government in which the project(s) are to be located.

**General Program Requirement Overview**

1. These competitive program funds are to be used to provide services to clients who meet the HUD definition of homelessness, including the new expansion of the definitions at risk of homelessness and other federal regulation definitions of homelessness.
2. Grant recipients must be an active participant in their local Continuum of Care
3. Grant recipients must use their local Continuum of Care HMIS database. The only exception is for Domestic Violence Shelters who must have a comparable client tracking database approved by ODOC.
4. Grant recipients must participate in the Continuum of Care Point in Time Count Survey.
5. Grant recipients must provide 100% match of grant funds to be used for services under the ESG program.
6. Grant recipients must be signed up for the federal System for Award Management (SAM) system. The website is www.sam.gov.

**Threshold Requirements for the Emergency Solutions Grant:**

All Emergency Solutions Applicants must meet the following threshold criteria:

- Sponsor / Shelter must have an emergency shelter component or partnership to provide emergency shelter services.
• Access to the Shelter or access to beds must be available 24/7
• Sponsor / Shelter must provide evidence of active involvement in Continuum of Care planning and coordination of service efforts.
• Sponsor / Shelter must provide evidence they are collecting service data through their Continuum of Care HMIS database.
• All outstanding monitoring findings, audits or unresolved financial/program issues from previously awarded grants must be resolved.
• All required certifications must be received and signed by the appropriate signatory.
• 100% of funds including match must have been expended on current or past ESG contracts.
• Must have Termination of Participation and Grievance Procedures
• Must have a process for participation of Homeless Persons in Policy-Making and Operations
• Must have a Confidentiality Policy
• Must follow all General Record Keeping Requirements; both for financial and client files.
• Must be activated in the System for Award Management (SAM). Applicant must be clear of any findings and show as eligible for federal contracts and assistance awards.

Continuum of Care
The Continuum of Care model is based on the understanding that homelessness is not caused by simply a lack of shelter, but involves a variety of underlying needs. ODOC believes that the best approach for alleviating homelessness is through a community-based process that provides a comprehensive response to the diverse needs of homeless persons. Sponsor / Shelter must obtain verification from their Continuum of Care that they are involved in the CoC organization and service delivery process as well as participate in the HMIS data collecting and Point-In-Time Count Survey. The fundamental components of a Continuum of Care system are:

• Outreach and assessment to identify a homeless person’s needs.
• Immediate (emergency) shelter as a safe, decent alternative to the streets.
• Transitional housing with appropriate supportive services to help people reach independent living.
• Permanent housing or permanent supportive housing for the disabled homeless.

Continuum of Care Criteria
Each of the seven (7) State Program eligible Continuum of Care organizations will be allocated a portion of the State program funds. In order for a Continuum of Care to be allocated funds, the Continuum must comply with the HUD Continuum rule definitions, regulations and timeline pertaining to Continuum structure and planning process.

An eligible Continuum of Care must manage the three primary responsibilities under the CoC Program regulations.

Operate the CoC:
• Establish a Board to act on behalf of the Continuum of Care
• Conduct semi-annual meetings of the full membership
• Issue a public invitation for new members, at least annually
• Adopt and follow a written process to select a board
• Appoint additional committees, subcommittees, or work groups
• Develop and follow a governance charter detailing the responsibilities of all parties
• Consult with recipients and subrecipients to establish performance targets appropriate for population and program type, monitor the performance of recipients and subrecipients, evaluate outcomes, and take action against poor performers
• Evaluate and report to HUD and ODOC outcomes of ESG and CoC projects as instructed.
• Establish and operate a centralized or coordinated assessment system
• Establish and follow written standards for providing CoC assistance
Designate and Operate a Homeless Management Information System:
- Designate a single HMIS
- Select an eligible applicant to manage the CoC’s HMIS
- Monitor recipient and subrecipient participation in the HMIS
- Review and approve privacy, security, and data quality plans

Coordinate CoC Planning:
- Coordinate the implementation of a housing and service system within its geographic area
- Conduct a Point-in-Time count of homeless persons, at least biennially
- Conduct an annual gaps analysis
- Provide information required to complete the Consolidated Plan(s)
- Consult with ESG recipients regarding the allocation of ESG funds and the evaluation of the performance of ESG recipients and subrecipients

Any Continuum of Care entity that does not comply with the responsibilities above will not receive the allocated funds for their region. These funds will be re-distributed to other eligible Continuum of Care organizations through procedure set by ODOC/CD later in this application.

Continuum Care Authority of the ESG Program:
- The CoC Governing Board must establish policies/procedures to decide the dollar amount of grants awarded in their CoC region. The overall total amounts awarded must meet at minimum the 60(Shelter)/40(Housing)% spending regulations of the ESG Program.
- The CoC Governing Board must establish policies/procedures to add restrictions/requirements to the scoring process for awarding ESG funds. Any restrictions/requirements added to the scoring process must be in line with making improvements to better adhere to the CoC’s Action Plan and/or Performance Measures.
- The CoC Governing Board must establish an Appeal Process for a case in which an Emergency Solutions Grant Program applicant has its application rejected. The Process must include the following:
  - Number of days in which the applicant has to appeal in writing;
  - How the Board shall meet to hear the appeal;
  - After local appeal procedures are exhausted; the applicant may appeal the CoC’s decision to ODOC.
- The CoC Governing Board must establish policies/procedures regarding how to redistribute funds that are returned to the CoC if funds are made available after initial awards are granted.
- The CoC Governing Board creates policies/procedures regarding how funds will be awarded/distributed throughout each Continua service area to best answer the Federal/State’s overall “No Wrong Door” goals.

Distribution of Non-allocated or Dollars not awarded:
In any case where funds are not allocated due to there being no eligible CoC in a region or if dollars are returned due to lack of eligible applicants in a CoC region, the funds will be redistributed to the remaining CoC’s for award distribution. Any funds not awarded through a first round allocation will be entered into the ODOC/CD ESG distribution formula and redistributed to the remaining CoC’s to award to their eligible applicants until all funds have been awarded.

Continuum of Care Eligibility Documentation:
1. Each CoC Lead Agency must submit the following to ODOC/CD:
   a. Names of members who will be scoring the applications
   b. If applicable, agreement with another lead CoC agency to score each other’s CoC applications
c. The following data to show proof of Lead CoC Eligibility:
   i. Copy of most updated CoC Governance Charter
   ii. Copy of most current Point-in-Time Survey data showing who submitted the response into the HDX (Only if this has not already been submitted).
   iii. Copy of most current Continuum of Care Grant application (Exhibit 1) showing the name of the lead agency or member agency who submitted the application (Only if this has not already been submitted)
   iv. Documentation of any changes that have been made regarding the grant amounts awarded and proof that membership was made aware and agreed to approved changes:
      1. Copy of Agenda and Minutes of meeting where changes were discussed and/or approved.
      2. Copy of policies/procedures created as a result of above discussion and approval.

FY 2017 Program Design
The 2017 ESG Program is designed to address the following priority areas:

- Identification/prioritization of community needs and assessments.
- Clients’ successful movement towards self-sufficiency.
- Development of Continuum of Care Participation.
- Performance Measure Results and Reporting.

Emergency Solutions subrecipients are required to track a minimum of three (3) out of five (5) of the State Performance measures based on their local Continuum and agency goals. The Statewide Performance Measures to be tracked for the purpose of this program are:

1. Number of individuals and families accessing homeless assistance services that enter permanent housing.
2. Number of households accessing homeless assistance program services increase or maintain their income upon exit.
3. Number of households accessing prevention services maintained their permanent housing.
4. Number of households accessing housing services enter permanent housing.
5. Number of unaccompanied youth access homeless assistance services return/enter permanent housing.

Definitions related to the Performance Measures:

Individuals – Persons not accompanied by children or adult partner. Individuals can also mean the number of family members in a household
Households – a single individual or group of persons who either currently live together in one dwelling unit or would live together in one dwelling unit were they able to maintain suitable housing accommodations.
Homeless Assistance Services – Any agency service providing assistance with ESG funds
“Increase or Maintain” – as relates to income, where assistance from the agency allows the client to keep their job during their housing crisis or assistance from the agency helps the client to receive a job or receive income benefits from mainstream services and/or local services.
Maintain – as it relates to Prevention, services provided that allows the client households to stay in their housing for at least 90 days if such follow up is possible.
Housing Services – As it relates to Rapid Re-Housing, services provided through Rapid ReHousing services that assist households who are literally homeless.
Unaccompanied Youth – Youth for the purposes of this program under the age of 25 years of age to qualify under the category for unaccompanied youth defined as homeless under other federal statutes.
Youth who are in the official custody of the State, as a ward of the State, do not qualify for Emergency Solutions Grant assistance.

**Funds will be distributed to each Rural Continuum of Care.**
The State recognizes that use of the established Continuum of Care structure is the best method for determining appropriate entities for the distribution of the New ESG funds. Starting with a base of $140,000, the formula described below will be used to distribute the remainder of the funds, each eligible Continuum will be provided a target allocation of funds for distribution within its service area. Tulsa CoC will receive a base allocation of $60,000 to be awarded to service providers outside of the City of Tulsa entitlement area. Based on the 2016 HUD allocation of $1,522,558.00 (minus the ODOC admin of $57,096.00) the 2016 Continuum of Care allocations will be as follows:

<table>
<thead>
<tr>
<th>CoC</th>
<th>Allocation with Base of $140,000</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Tulsa with Base of $60,000</td>
</tr>
<tr>
<td>CLEVELAND</td>
<td>$163,269</td>
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<tr>
<td>North Central</td>
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<tr>
<td>Northeast</td>
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<tr>
<td>Southeast</td>
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<tr>
<td>Southwest</td>
<td>$243,789</td>
</tr>
<tr>
<td>Tulsa (minus City of Tulsa)</td>
<td>$78,067</td>
</tr>
</tbody>
</table>

The formula used for ESG project funding:

-  a. 10% - 2014 Estimated Total Population
-  b. 30% - Weighted Median Income Measure
-  c. 30% - September 2014 Quintile Tiering Based on Unemployment Rate
-  d. 30% - 2010 - 2014 Housing units experience severe overcrowding (1.5 occupants per room)

According to the set Timetable (page 2), Each Continuum will collect, score and rank submitted applications according to the ODOC provided rating system and return the scores and ranking to ODOC. The recommendations for funding will be assessed for compliance with all ESG and CoC threshold criteria. Applications meeting the threshold criteria will be verified and awards determined.

ODOC will follow a State version of the Continuum of Care grant process. Lead agencies must submit certain basic demographic and capacity data for their Continuum of Care service area.

Documentation will be required to show proof of capacity and prior success in managing of programs that match the eligible activities of ESG.

After ODOC has received the recommendations from each Continuum of Care, ODOC will enter into contractual agreements directly with the approved subrecipient to carry out the financial and programmatic requirements according to law. The contracts will outline the funding source, funding year, amount of funding, terms and conditions.

Each CoC has the authority and responsibility to create their own policies and procedures pertaining to funding amounts and division of funding eligible activities.
**Eligible Program Participants**

In order to receive financial assistance or services funded by ESG, individuals and families—whether homeless or housed—must at least meet the following minimum criteria:

1) The household must be at or below 30 percent of Area Median Income (AMI). Income limits are available on HUD’s web site.
2) The household must be either homeless or at risk of losing its housing and meet both of the following circumstances:
   a. no appropriate subsequent housing options have been identified; AND
   b. the household lacks the financial resources and support networks needed to obtain immediate housing or remain in its existing housing.

**Eligible Program Activities**

While flexible in terms of the wide range of servings available to homeless sub-populations and preventing persons from becoming homeless, the ESG Program legislation and implementing regulations do limit the types of activities and amounts of funds that can be spent on different activities. Details regarding eligible activities are listed below. Unlike the previous program guidelines, if the activity/service is not listed, then that activity/service cannot be funded through this program.

1.0 **Street Outreach Component.**

1.1 Eligible costs. Subject to the expenditure limits, ESG funds may be used for costs of providing essential services necessary to reach out to unsheltered homeless people; connect them with emergency shelter, housing, or critical services; and provide urgent, non-facility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing, or an appropriate health facility. For the purposes of this grant, the term “unsheltered homeless people” means individuals and families who qualify as homeless under paragraph (1)(i) of the “homeless” definition under § 576.2. The eligible costs and requirements for essential services consist of:

1.2 Engagement. The costs of activities to locate, identify, and build relationships with unsheltered homeless people and engage them for the purpose of providing immediate support, intervention, and connections with homeless assistance programs and/or mainstream social services and housing programs. These activities consist of making an initial assessment of needs and eligibility; providing crisis counseling; addressing urgent physical needs, such as providing meals, blankets, clothes, or toiletries; and actively connecting and providing information and referrals to programs targeted to homeless people and mainstream social services and housing programs, including emergency shelter, transitional housing, community-based services, permanent supportive housing, and rapid re-housing programs. Eligible costs include the cell phone costs of outreach workers during the performance of these activities.

1.3 Case management. The cost of assessing housing and service needs, arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant. Eligible services and activities are as follows: using the centralized or coordinated assessment system as required under § 576.400(d); conducting the initial evaluation required under § 576.401(a), including verifying and documenting eligibility; counseling; developing, securing and coordinating services; obtaining Federal, State, and local benefits; monitoring and evaluating program participant progress; providing information and referrals to other providers; and developing an individualized housing and service plan, including planning a path to permanent housing stability.

1.4 Emergency health services.

(A) Eligible costs are for the direct outpatient treatment of medical conditions and are provided by licensed medical professionals operating in community-based settings, including streets, parks, and other places where unsheltered homeless people are living.
(B) ESG funds may be used only for these services to the extent that other appropriate health services are inaccessible or unavailable within the area.
(C) Eligible treatment consists of assessing a program participant’s health problems and developing a treatment plan; assisting program participants to understand their health needs;
providing directly or assisting program participants to obtain appropriate emergency medical treatment; and providing medication and follow-up services.

1.5 Emergency mental health services.

(A) Eligible costs are the direct outpatient treatment by licensed professionals of mental health conditions operating in community-based settings, including streets, parks, and other places where unsheltered people are living.

(B) ESG funds may be used only for these services to the extent that other appropriate mental health services are inaccessible or unavailable within the community.

(C) Mental health services are the application of therapeutic processes to personal, family, situational, or occupational problems in order to bring about positive resolution of the problem or improved individual or family functioning or circumstances.

(D) Eligible treatment consists of crisis interventions, the prescription of psychotropic medications, explanation about the use and management of medications, and combinations of therapeutic approaches to address multiple problems.

1.6 Transportation. The transportation costs of travel by outreach workers, social workers, medical professionals, or other service providers are eligible, provided that this travel takes place during the provision of services eligible under this section. The costs of transporting unsheltered people to emergency shelters or other service facilities are also eligible. These costs include the following:

(A) The cost of a program participant’s travel on public transportation;

(B) If service workers use their own vehicles, mileage allowance for service workers to visit program participants;

(C) The cost of purchasing or leasing a vehicle for the subrecipient in which staff transports program participants and/or staff serving program participants, and the cost of gas, insurance, taxes and maintenance for the vehicle; and

(D) The travel costs of subrecipient staff to accompany or assist program participants to use public transportation.

1.7 Services for special populations. ESG funds may be used to provide services for homeless youth, victim services, and services for people living with HIV/AIDS, so long as the costs of providing these services are eligible under paragraphs (a)(1) through (a)(5) of this section. The term victim services means services that assist program participants who are victims of domestic violence, dating violence, sexual assault, or stalking, including services offered by rape crisis centers and domestic violence shelters, and other organizations with a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

Minimum period of use. The subrecipient must provide services to homeless individuals and families for at least the period during which ESG funds are provided.

Maintenance of effort.

(1) If the subrecipient is a unit of general purpose local government, its ESG funds cannot be used to replace funds the local government provided for street outreach and emergency shelter services during the immediately preceding 12-month period, unless HUD determines that the unit of general purpose local government is in a severe financial deficit.

2.0 Emergency Shelter Component.

2.1 General. Subject to the expenditure limit in § 576.100(b), ESG funds may be used for costs of providing essential services to homeless families and individuals in emergency shelters, renovating buildings to be used as emergency shelter for homeless families and individuals, and operating emergency shelters.

(A) Essential services. ESG funds may be used to provide essential services to individuals and families who are in an emergency shelter, as follows:

(B) Case management. The cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant is eligible. Component services and activities consist of:
1. Using the centralized or coordinated assessment system as required under § 576.400 (d);
2. Conducting the initial evaluation required under § 576.401(a), including verifying and documenting eligibility;
3. Counseling;
4. Developing, securing, and coordinating services and obtaining Federal, State, and local benefits;
5. Monitoring and evaluating program participant progress;
6. Providing information and referrals to other providers;
7. Providing ongoing risk assessment and safety planning with victims of domestic violence, dating violence, sexual assault, and stalking; and
8. Developing an individualized housing and service plan, including planning a path to permanent housing stability.

(C) Child care. The costs of child care for program participants, including providing meals and snacks, and comprehensive and coordinated sets of appropriate developmental activities, are eligible. The children must be under the age of 13, unless they are disabled. Disabled children must be under the age of 18. The child-care center must be licensed by the jurisdiction in which it operates in order for its costs to be eligible.

(D) Education services. When necessary for the program participant to obtain and maintain housing, the costs of improving knowledge and basic educational skills are eligible. Services include instruction or training in consumer education, health education, substance abuse prevention, literacy, English as a Second Language, and General Educational Development (GED). Component services or activities are screening, assessment and testing; individual or group instruction; tutoring; provision of books, supplies and instructional material; counseling; and referral to community resources.

(E) Employment assistance and job training. The costs of employment assistance and job training programs are eligible, including classroom, online, and/or computer instruction; on-the-job instruction; and services that assist individuals in securing employment, acquiring learning skills, and/or increasing earning potential. The cost of providing reasonable stipends to program participants in employment assistance and job training programs is an eligible cost. Learning skills include those skills that can be used to secure and retain a job, including the acquisition of vocational licenses and/or certificates. Services that assist individuals in securing employment consist of employment screening, assessment, or testing; structured job skills and job-seeking skills; special training and tutoring, including literacy training and prevocational training; books and instructional material; counseling or job coaching; and referral to community resources.

(F) Outpatient health services. Eligible costs are for the direct outpatient treatment of medical conditions and are provided by licensed medical professionals. Emergency Solutions Grant (ESG) funds may be used only for these services to the extent that other appropriate health services are unavailable within the community. Eligible treatment consists of assessing a program participant’s health problems and developing a treatment plan; assisting program participants to understand their health needs; providing directly or assisting program participants to obtain appropriate medical treatment, preventive medical care, and health maintenance services, including emergency medical services; providing medication and follow-up services; and providing preventive and non-cosmetic dental care.

(G) Legal services.
(1) Eligible costs are the hourly fees for legal advice and representation by attorneys licensed and in good standing with the bar association of the State in which the services are provided, and by person(s) under the supervision of the licensed attorney, regarding matters that interfere with the program participant’s ability to obtain and retain housing.
(2) Emergency Solutions Grant (ESG) funds may be used only for these services to the extent that other appropriate legal services are unavailable or inaccessible within the community.
(3) Eligible subject matters are child support, guardianship, paternity, emancipation, and legal separation, orders of protection and other civil remedies for victims of domestic violence,
dating violence, sexual assault, and stalking, appeal of veterans and public benefit claim denials, and the resolution of outstanding criminal warrants.

(4) Component services or activities may include client intake, preparation of cases for trial, provision of legal advice, representation at hearings, and counseling.

(5) Fees based on the actual service performed (i.e., fee for service) are also eligible, but only if the cost would be less than the cost of hourly fees. Filing fees and other necessary court costs are also eligible. If the subrecipient is a legal services provider and performs the services itself, the eligible costs are the subrecipient’s employees’ salaries and other costs necessary to perform the services.

(6) Legal services for immigration and citizenship matters and issues relating to mortgages are ineligible costs. Retainer fee arrangements and contingency fee arrangements are ineligible costs.

(H) Life skills training. The costs of teaching critical life management skills that may never have been learned or have been lost during the course of physical or mental illness, domestic violence, substance use, and homelessness are eligible costs. These services must be necessary to assist the program participant to function independently in the community. Component life skills training are budgeting resources, managing money, managing a household, resolving conflict, shopping for food and needed items, improving nutrition, using public transportation, and parenting.

(I) Mental health services.

(1) Eligible costs are the direct outpatient treatment by licensed professionals of mental health conditions.

(2) ESG funds may only be used for these services to the extent that other appropriate mental health services are unavailable or inaccessible within the community.

(3) Mental health services are the application of therapeutic processes to personal, family, situational, or occupational problems in order to bring about positive resolution of the problem or improved individual or family functioning or circumstances. Problem areas may include family and marital relationships, parent-child problems, or symptom management.

(4) Eligible treatment consists of crisis interventions; individual, family, or group therapy sessions; the prescription of psychotropic medications or explanations about the use and management of medications; and combinations of therapeutic approaches to address multiple problems.

(J) Substance abuse treatment services.

(1) Eligible substance abuse treatment services are designed to prevent, reduce, eliminate, or deter relapse of substance abuse or addictive behaviors and are provided by licensed or certified professionals.

(2) ESG funds may only be used for these services to the extent that other appropriate substance abuse treatment services are unavailable or inaccessible within the community.

(3) Eligible treatment consists of client intake and assessment, and outpatient treatment for up to 30 days. Group and individual counseling and drug testing are eligible costs. Inpatient detoxification and other inpatient drug or alcohol treatment are not eligible costs.

(K) Transportation. Eligible costs consist of the transportation costs of a program participant’s travel to and from medical care, employment, child care, or other eligible essential services facilities. These costs include the following:

(1) The cost of a program participant’s travel on public transportation;

(2) If service workers use their own vehicles, mileage allowance for service workers to visit program participants;

(3) The cost of purchasing or leasing a vehicle for the subrecipient in which staff transports program participants and/or staff serving program participants, and the cost of gas, insurance, taxes, and maintenance for the vehicle; and (D) The travel costs of subrecipient staff to accompany or assist program participants to use public transportation.

(L) Services for special populations. ESG funds may be used to provide services for homeless youth, victim services, and services for people living with HIV/AIDS, so long as the costs of
providing these services are eligible under paragraphs (a)(1)(i) through (a)(1)(x) of this section. The term victim services means services that assist program participants who are victims of domestic violence, dating violence, sexual assault, or stalking, including services offered by rape crisis centers and domestic violence shelters, and other organizations with a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

(M) Renovation. Eligible costs include labor, materials, tools, and other costs for renovation (including major rehabilitation of an emergency shelter or conversion of a building into an emergency shelter). The emergency shelter must be owned by a government entity or private nonprofit organization.

(P) Shelter operations. Eligible costs are the costs of maintenance (including minor or routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, and supplies necessary for the operation of the emergency shelter. Where no appropriate emergency shelter is available for a homeless family or individual, eligible costs may also include a hotel or motel voucher for that family or individual.

(Q) Assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA). Eligible costs are the costs of providing URA assistance under § 576.408, including relocation payments and other assistance to persons displaced by a project assisted with ESG funds. Persons that receive URA assistance are not considered “program participants” for the purposes of this part, and relocation payments and other URA assistance are not considered “rental assistance” or “housing relocation and stabilization services” for the purposes of this part.

(1) Prohibition against involuntary family separation. The age of a child under age 18 must not be used as a basis for denying any family’s admission to an emergency shelter that uses Emergency Solutions Grant (ESG) funding or services and provides shelter to families with children under age 18.

(R) Minimum period of use.

(1) Renovated buildings. Each building renovated with ESG funds must be maintained as a shelter for homeless individuals and families for not less than a period of 3 or 10 years, depending on the type of renovation and the value of the building. The “value of the building” is the reasonable monetary value assigned to the building, such as the value assigned by an independent real estate appraiser. The minimum use period must begin on the date the building is first occupied by a homeless individual or family after the completed renovation. A minimum period of use of 10 years, required for major rehabilitation and conversion, must be enforced by a recorded deed or use restriction.

(i) Major rehabilitation. If the rehabilitation cost of an emergency shelter exceeds 75 percent of the value of the building before rehabilitation, the minimum period of use is 10 years.

(ii) Conversion. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the minimum period of use is 10 years.

(iii) Renovation other than major rehabilitation or conversion. In all other cases where ESG funds are used for renovation, the minimum period of use is 3 years.

(2) Essential services and shelter operations. Where the subrecipient uses ESG funds solely for essential services or shelter operations, the subrecipient must provide services or shelter to homeless individuals and families at least for the period during which the ESG funds are provided. The subrecipient does not need to limit these services or shelter to a particular site or structure, so long as the site or structure serves the same type of persons originally served with the assistance (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or serves homeless persons in the same area where the subrecipient originally provided the services or shelter.

Maintenance of effort. The maintenance of effort requirements under § 576.101(c), which apply to the use of ESG funds for essential services related to street outreach, also apply for the use of such funds for essential services related to emergency shelter.
3.0 Homelessness Prevention. ESG funds may be used to provide housing relocation and stabilization services and short- and/or medium-term rental assistance necessary to prevent an individual or family from moving into an emergency shelter or another place described in paragraph (1) of the “homeless” definition in § 576.2. This assistance, referred to as homelessness prevention, may be provided to individuals and families who meet the criteria under the “at risk of homelessness” definition, or who meet the criteria in paragraph (2), (3), or (4) of the “homeless” definition in § 576.2 and have an annual income below 30 percent of median family income for the area, as determined by HUD. The costs of homelessness prevention are only eligible to the extent that the assistance is necessary to help the program participant regain stability in the program participant’s current permanent housing or move into other permanent housing and achieve stability in that housing. Homelessness prevention must be provided in accordance with the housing relocation and stabilization services requirements in § 576.105, the short-term and medium-term rental assistance requirements in § 576.106, and the written standards and procedures established under § 576.400.

4.0 Rapid re-housing assistance component. ESG funds may be used to provide housing relocation and stabilization services and short- and/or medium-term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing. This assistance, referred to as rapid re-housing assistance, may be provided to program participants who meet the criteria under paragraph (1) of the “homeless” definition in § 576.2 or who meet the criteria under paragraph (4) of the “homeless” definition and live in an emergency shelter or other place described in paragraph (1) of the “homeless” definition. The rapid re-housing assistance must be provided in accordance with the housing relocation and stabilization services requirements in § 576.105, the short- and medium-term rental assistance requirements in § 576.106, and the written standards and procedures established under § 576.400.

5.0 Housing relocation and stabilization services. 5.1 Financial assistance costs. Subject to the general conditions under § 576.103 and § 576.104, ESG funds may be used to pay housing owners, utility companies, and other third parties for the following costs:
   (A) Rental application fees. ESG funds may pay for the rental housing application fee that is charged by the owner to all applicants.
   (B) Security deposits. ESG funds may pay for a security deposit that is equal to no more than 2 months’ rent.
   (C) Last month’s rent. If necessary to obtain housing for a program participant, the last month’s rent may be paid from ESG funds to the owner of that housing at the time the owner is paid the security deposit and the first month’s rent. This assistance must not exceed one month’s rent and must be included in calculating the program participant’s total rental assistance, which cannot exceed 24 months during any 3-year period.
   (D) Utility deposits. ESG funds may pay for a standard utility deposit required by the utility company for all customers for the utilities listed in paragraph (5) of this section.
   (E) Utility payments. ESG funds may pay for up to 24 months of utility payments per program participant, per service, including up to 6 months of utility payments in arrears, per service. A partial payment of a utility bill counts as one month. This assistance may only be provided if the program participant or a member of the same household has an account in his or her name with a utility company or proof of responsibility to make utility payments. Eligible utility services are gas, electric, water, and sewage. No program participant shall receive more than 24 months of utility assistance within any 3-year period.
   (F) Moving costs. ESG funds may pay for moving costs, such as truck rental or hiring a moving company. This assistance may include payment of temporary storage fees for up to 3 months, provided that the fees are accrued after the date the program participant begins receiving
5.2 **Services costs.** Subject to the general restrictions under § 576.103 and § 576.104, ESG funds may be used to pay the costs of providing the following services:

(A) Housing search and placement. Services or activities necessary to assist program participants in locating, obtaining, and retaining suitable permanent housing, include the following:

(i) Assessment of housing barriers, needs, and preferences;
(ii) Development of an action plan for locating housing;
(iii) Housing search;
(iv) Outreach to and negotiation with owners;
(v) Assistance with submitting rental applications and understanding leases;
(vi) Assessment of housing for compliance with Emergency Solutions Grant (ESG) requirements for habitability, lead-based paint, and rent reasonableness;
(vii) Assistance with obtaining utilities and making moving arrangements; and
(viii) Tenant counseling.

(B) Housing stability case management. ESG funds may be used to pay cost of assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for a program participant who resides in permanent housing or to assist a program participant in overcoming immediate barriers to obtaining housing. This assistance cannot exceed 30 days during the period the program participant is seeking permanent housing and cannot exceed 24 months during the period the program participant is living in permanent housing. Component services and activities consist of:

(i) Using the centralized or coordinated assessment system as required under § 576.400(d), to evaluate individuals and families applying for or receiving homelessness prevention or rapid re-housing assistance;

(C) Conducting the initial evaluation required under § 576.401(a), including verifying and documenting eligibility, for individuals and families applying for homelessness prevention or rapid re-housing assistance;

(D) Counseling;

(E) Developing, securing, and coordinating services and obtaining Federal, State, and local benefits;

(F) Providing information and referrals to other providers;

(G) Developing an individualized housing and service plan, including planning a path to permanent housing stability; and

(H) Conducting re-evaluations required under § 576.401(b).

(3) Mediation. ESG funds may pay for mediation between the program participant and the owner or person(s) with whom the program participant is living, provided that the mediation is necessary to prevent the program participant from losing permanent housing in which the program participant currently resides.

(4) Legal services. ESG funds may pay for legal services, as set forth in § 576.102(a)(1)(vi), except that the eligible subject matters also include landlord/tenant matters, and the services must be necessary to resolve a legal problem that prohibits the program participant from obtaining permanent housing or will likely result in the program participant losing the permanent housing in which the program participant currently resides.

(5) Credit repair. ESG funds may pay for credit counseling and other services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems. This assistance does not include the payment or modification of a debt.

5.3 **Maximum amounts and periods of assistance.** The recipient may set a maximum dollar amount that a program participant may receive for each type of financial assistance under paragraph (a) of this section. The recipient may also set a maximum period for which a program participant may receive any of the types of assistance or services under this section. However, except for housing stability case assistance under paragraph (b) of this section and before the program participant moves into permanent housing. Payment of temporary storage fees in arrears is not eligible.
management, the total period for which any program participant may receive the services under paragraph (b) of this section must not exceed 24 months during any 3-year period. The limits on the assistance under this section apply to the total assistance an individual receives, either as an individual or as part of a family.

5.4 **Use with other subsidies.** Financial assistance under paragraph (a) of this section cannot be provided to a program participant who is receiving the same type of assistance through other public sources or to a program participant who has been provided with replacement housing payments under the URA, during the period of time covered by the URA payments.

5.5 **Short-term and medium-term rental assistance.**

(A) **General provisions.** Subject to the general conditions under § 576.103 and § 576.104, the subrecipient may provide a program participant with up to 24 months of rental assistance during any 3-year period. This assistance may be short-term rental assistance, medium-term rental assistance, payment of rental arrears, or any combination of this assistance.

   (1) Short-term rental assistance is assistance for up to 3 months of rent.

   (2) Medium-term rental assistance is assistance for more than 3 months but not more than 24 months of rent.

   (3) Payment of rental arrears consists of a one-time payment for up to 6 months of rent in arrears, including any late fees on those arrears.

   (4) Rental assistance may be tenant-based or project-based, as set forth in paragraphs (h) and (i) of this section.

   (5) Discretion to set caps and conditions. Subject to the requirements of this section, the recipient may set a maximum amount or percentage of rental assistance that a program participant may receive, a maximum number of months that a program participant may receive rental assistance, or a maximum number of times that a program participant may receive rental assistance. The recipient may also require program participants to share in the costs of rent.

   (6) Use with other subsidies. Except for a one-time payment of rental arrears on the tenant’s portion of the rental payment, rental assistance cannot be provided to a program participant who is receiving tenant-based rental assistance, or living in a housing unit receiving project-based rental assistance or operating assistance, through other public sources. Rental assistance may not be provided to a program participant who has been provided with replacement housing payments under the URA during the period of time covered by the URA payments.

   (7) Rent restrictions. (1) Rental assistance cannot be provided unless the rent does not exceed the Fair Market Rent established by HUD, as provided under 24 CFR part 888, and complies with HUD’s standard of rent reasonableness, as established under 24 CFR 982.507.

(B) For purposes of calculating rent under this section, the rent shall equal the sum of the total monthly rent for the unit, any fees required for occupancy under the lease (other than late fees and pet fees) and, if the tenant pays separately for utilities, the monthly allowance for utilities (excluding telephone) established by the public housing authority for the area in which the housing is located.

   (1) Rental assistance agreement. The subrecipient may make rental assistance payments only to an owner with whom the subrecipient has entered into a rental assistance agreement. The rental assistance agreement must set forth the terms under which rental assistance will be provided, including the requirements that apply under this section. The rental assistance agreement must provide that, during the term of the agreement, the owner must give the subrecipient a copy of any notice to the program participant to vacate the housing unit, or any complaint used under state or local law to commence an eviction action against the program participant.

   (2) Late payments. The subrecipient must make timely payments to each owner in accordance with the rental assistance agreement. The rental assistance agreement must contain the same payment due date, grace period, and late payment penalty requirements as the program participant’s lease. The subrecipient is solely responsible for paying late payment penalties that it incurs with non-ESG funds.
(3) Lease. Each program participant receiving rental assistance must have a legally binding, written lease for the rental unit, unless the assistance is solely for rental arrears. The lease must be between the owner and the program participant. Where the assistance is solely for rental arrears, an oral agreement may be accepted in place of a written lease, if the agreement gives the program participant an enforceable leasehold interest under state law and the agreement and rent owed are sufficiently documented by the owner’s financial records, rent ledgers, or canceled checks. For program participants living in housing with project-based rental assistance under paragraph (i) of this section, the lease must have an initial term of one year.

(4) Tenant-based rental assistance.
   (i) A program participant who receives tenant-based rental assistance may select a housing unit in which to live and may move to another unit or building and continue to receive rental assistance, as long as the program participant continues to meet the program requirements.
   (ii) The recipient may require that all program participants live within a particular area for the period in which the rental assistance is provided.
   (iii) The rental assistance agreement with the owner must terminate and no further rental assistance payments under that agreement may be made if:
       (a) The program participant moves out of the housing unit for which the program participant has a lease;
       (b) The lease terminates and is not renewed; or
       (c) The program participant becomes ineligible to receive ESG rental assistance.
   (d) Project-based rental assistance. If the subrecipient identifies a permanent housing unit that meets ESG requirements and becomes available before a program participant is identified to lease the unit, the subrecipient may enter into a rental assistance agreement with the owner to reserve the unit and subsidize its rent in accordance with the following requirements:

(5) The rental assistance agreement may cover one or more permanent housing units in the same building. Each unit covered by the rental assistance agreement (“assisted unit”) may only be occupied by program participants, except as provided under paragraph (i)(4) of this section.

(6) The subrecipient may pay up to 100 percent of the first month’s rent, provided that a program participant signs a lease and moves into the unit before the end of the month for which the first month’s rent is paid. The rent paid before a program participant moves into the unit must not exceed the rent to be charged under the program participant’s lease and must be included when determining that program participant’s total rental assistance.

(7) The subrecipient may make monthly rental assistance payments only for each whole or partial month an assisted unit is leased to a program participant. When a program participant moves out of an assisted unit, the subrecipient may pay the next month’s rent, i.e., the first month’s rent for a new program participant, as provided in paragraph (i)(2) of this section.

(8) The program participant’s lease must not condition the term of occupancy to the provision of rental assistance payments. If the program participant is determined ineligible or reaches the maximum number of months over which rental assistance can be provided, the subrecipient must suspend or terminate the rental assistance payments for the unit. If the payments are suspended, the individual or family may remain in the assisted unit as permitted under the lease, and the subrecipient may resume payments if the individual or family again becomes eligible and needs further rental assistance. If the payments are terminated, the rental assistance may be transferred to another available unit in the same building, provided that the other unit meets all ESG requirements.

(9) The rental assistance agreement must have an initial term of one year. When a new program participant moves into an assisted unit, the term of the rental assistance agreement may be extended to cover the initial term of the program participant’s lease. If the program participant’s lease is renewed, the rental assistance agreement may be renewed or extended, as needed, up to the maximum number of months for which the program participant remains eligible. However, under no circumstances may the subrecipient commit ESG funds to be expended beyond the
expenditure deadline in § 576.203 or commit funds for a future ESG grant before the grant is awarded.

(C) Changes in household composition. The limits on the assistance under this section apply to the total assistance an individual receives, either as an individual or as part of a family.

6.0 Data Collection (HMIS) component.

6.1 Eligible costs.

(A) The subrecipient may use ESG funds to pay the costs of contributing data to the HMIS designated by the Continuum of Care for the area, including the costs of:
   (i) Purchasing or leasing computer hardware;
   (ii) Purchasing software or software licenses;
   (iii) Purchasing or leasing equipment, including telephones, fax machines, and furniture;
   (iv) Obtaining technical support;
   (v) Leasing office space;
   (vi) Paying charges for electricity, gas, water, phone service, and high-speed data transmission necessary to operate or contribute data to the HMIS;
   (vii) Paying salaries for operating HMIS, including:
      (a) Completing data entry;
      (b) Monitoring and reviewing data quality;
      (c) Completing data analysis;
      (d) Reporting to the HMIS Lead;
      (e) Training staff on using the HMIS or comparable database; and
      (f) Implementing and complying with HMIS requirements;
(B) Paying costs of staff to travel to and attend HUD-sponsored and HUD-approved training on HMIS and programs authorized by Title IV of the McKinney-Vento Homeless Assistance Act;
(C) Paying staff travel costs to conduct intake; and
(D) Paying participation fees charged by the HMIS Lead, if the subrecipient is not the HMIS Lead.

The HMIS Lead is the entity designated by the Continuum of Care to operate the area’s HMIS.

6.2 If the recipient is the HMIS lead agency, as designated by the Continuum of Care in the most recent fiscal year Continuum of Care Homeless Assistance Grants Competition, it may also use ESG funds to pay the costs of:

(A) Hosting and maintaining HMIS software or data;
(B) Backing up, recovering, or repairing HMIS software or data;
(C) Upgrading, customizing, and enhancing the HMIS;
(D) Integrating and warehousing data, including development of a data warehouse for use in aggregating data from subrecipients using multiple software systems;
(E) Administering the system;
(F) Reporting to providers, the Continuum of Care, and HUD; and
(G) Conducting training on using the system or a comparable database, including traveling to the training.

6.3 If the subrecipient is a victim services provider or a legal services provider, it may use ESG funds to establish and operate a comparable database that collects client-level data over time (i.e., longitudinal data) and generates unduplicated aggregate reports based on the data. Information entered into a comparable database must not be entered directly into or provided to an HMIS.

(A) General restrictions. Activities funded under this section must comply with HUD’s standards on participation, data collection, and reporting under a local HMIS.

7.0 Administrative Activities.

7.1 Eligible costs. The recipient may use up to 7.5 percent of its ESG grant for the payment of administrative costs related to the planning and execution of ESG activities. This does not include staff and overhead costs directly related to carrying out activities eligible under § 576.101 through § 576.107, because those costs are eligible as part of those activities. Eligible administrative costs include:
(A) General management, oversight and coordination. Costs of overall program management, coordination, monitoring, and evaluation. These costs include, but are not limited to, necessary expenditures for the following:
   (i) Salaries, wages, and related costs of the recipient's staff, the staff of subrecipients, or other staff engaged in program administration. In charging costs to this category, the recipient may either include the entire salary, wages, and related costs allocable to the program of each person whose primary responsibilities with regard to the program involve program administration assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any program administration assignments. The recipient may use only one of these methods for each fiscal year grant. Program administration assignments include the following:
      (a) Preparing program budgets and schedules, and amendments to those budgets and schedules;
      (b) Developing systems for assuring compliance with program requirements;
      (c) Developing interagency agreements and agreements with subrecipients and contractors to carry out program activities;
      (d) Monitoring program activities for progress and compliance with program requirements;
      (e) Preparing reports and other documents directly related to the program for submission to HUD;
      (f) Coordinating the resolution of audit and monitoring findings;
      (g) Evaluating program results against stated objectives; and
      (h) Managing or supervising persons whose primary responsibilities with regard to the program include such assignments as those described in paragraph (A)(1)(i)(a) through (g) of this section.

(B) Administrative services performed under third-party contracts or agreements, including general legal services, accounting services, and audit services; and

(C) Other costs for goods and services required for administration of the program, including rental or purchase of equipment, insurance, utilities, office supplies, and rental and maintenance (but not purchase) of office space.

(D) Training on ESG requirements. Costs of providing training on ESG requirements and attending HUD-sponsored ESG trainings.

(E) Consolidated plan. Costs of preparing and amending the ESG and homelessness related sections of the consolidated plan in accordance with ESG requirements and 24 CFR part 91.

Policy and Procedures Standards
The changes made to the homelessness assistance programs from the implementation of the HEARTH Act has given all entities involved a chance to review past policies and practices. Homeless Service Providers should take time to reflect on what changes need to be made to help those most in need in their service areas.

The subrecipient must establish written standards for providing ESG assistance. These standards must be applied consistently within the subrecipient’s program.

Evaluation of individuals and families eligible for assistance under ESG
Policies and procedures must include:
- Process by which the subrecipient must conduct an initial evaluation to determine the eligibility of each individual or family’s eligibility for assistance.
- Process by which the subrecipient conducts assessment in accordance with the CoC’s centralized or coordinated assessment requirements.
- Process by which the subrecipient requires the program participant to meet with a case manager (not less than once per month to assist in ensuring long-term housing stability);
- Process by which the subrecipient develops a plan to assist the program participant to retain permanent housing after assistance ends; taking into account all relevant considerations such as
current or expected income and expenses; other public or private assistance available to the
program participant and relative affordability of the available housing in the area.

- Process by which the subrecipient re-evaluates the program participant’s eligibility and the types
and amounts of assistance the program participant needs not less than once every 3 months for
those receiving homeless prevention assistance and not less than once a year for those receiving
rapid re-housing assistance
- Process by which program participant notifies subrecipient of changes to the program
participant’s income of other circumstances that affect the need for assistance and how such
changes will be re-evaluated.

**Coordination of services among Emergency Shelter Providers**

Policies and procedures must include:

- Where applicable, coordination of ESG-funded services with other services in the local or
  regional service area of the Continuum of Care or area over which the services are coordinated to
  provide a strategic, community-wide system to prevent and end homelessness for the area. These
  programs include:
  - Shelter Plus Care Program
  - Supportive Housing Program
  - Section 8 Moderate Rehabilitation Program for Single Room Occupancy Program for
    Homeless Individuals
  - HUD-Veterans Affairs Supportive Housing
  - Education for Homeless Children and Youth Grants for State and Local Activities
  - Grants for the Benefit of Homeless Individuals
  - Healthcare for the Homeless
  - Programs for Runaway and Homeless Youth
  - Projects for Assistance in Transition from Homelessness
  - Services in Supportive Housing Grants
  - Emergency Food and Shelter Program
  - Transitional Housing Assistance Grants for Victims of Sexual Assault, Domestic Violence,
    Dating Violence, and Stalking Program
  - Homeless Veterans Reintegration Program
  - Domiciliary Care for Homeless Veterans Program
  - VA Homeless Providers Grant and Per Diem Program
  - Health Care for Homeless Veterans Program
  - Homeless Veterans Dental Program
  - Supportive Services for Veteran Families Program
  - Veteran Justice Outreach Initiative

**Coordination with Mainstream resources**

Policies and procedures must include:

- Organizations and/or shelters receiving ESG funds must coordinate and integrate wherever
  possible ESG-funded activities with mainstream housing, health, social services, employment,
  education and youth programs for which families and individuals at risk of homelessness and
  homeless individuals and families may be eligible.

- Such mainstream programs include; but are not limited to:
  - Public housing programs assisted under section 9 of the US Housing Act of 1937
  - Housing programs receiving tenant-based or project-based assistance under section 8 of
    the US Housing Act of 1937
  - Supportive Housing for Persons with Disabilities
  - Home Investment Partnerships Program
  - Temporary Assistance for Needy Families (TANF)
  - Health Center Program
Determination and Prioritization of which eligible families and individuals receive homelessness prevention and which ones will receive rapid re-housing services

The State requires that subrecipients create and implement written standards regarding how an individual or family is chosen to receive either homelessness prevention or rapid re-housing services. The written standards must be applied consistently within the subrecipient’s program.

Determination of the share of rent and utilities costs that each program participant must pay, if any, while receiving homelessness prevention or rapid re-housing assistance

The State requires that subrecipients create and implement written standards regarding what participants have to pay, if anything, over time. The written standards must be applied consistently within the subrecipient’s program.

Determination of how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time

The State requires that subrecipients create and implement written standards regarding adjusted amount of participant assistance, if any, over time. The written standards must be applied consistently within the subrecipient’s program.

Determination of the type, amount and duration of housing stabilization and/or relocation services to provide a program participant

Policies and procedures must include:
- limits; if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive
- maximum amount of assistance
- maximum number of months the program participant receives assistance
- the maximum number of times the program participants may receive assistance.

Termination of Assistance

Policies and procedures must include:
- Process by which the subrecipient may terminate assistance when a program participant violates program requirements must include:
  - Written notice to the program participant containing a clear statement of the reasons for termination;
  - A review of the decision, in which the program participant is given the opportunity to present written or oral objections before a person or other than the person (or a subordinate of that person) who made or approved the termination decision; and
  - Prompt written notice of the final decision to the program participant.
**Homeless Participation Requirement**
The organization or shelter receiving ESG funds must provide for the participation of not less than one homeless individual or formerly homeless individual on the Board of Directors or other equivalent policy-making entity of the subrecipient; to the extent that the entity considers and makes policies and decisions regarding any facilities, services or other assistance that receive funding under ESG.

If the subrecipient is unable to meet the above requirement; it must instead develop and implement a plan to consult with homeless or formerly homeless individuals in considering and making policies and decisions regarding any facilities, services or other assistance that receive funding under Emergency Solutions Grant. The plan must be included with the application upon submission.

**Habitability Standards**
The following are a number of basic standards to ensure that shelter and housing facilities, including qualifying rental assistance residences, funded through the ESG program are safe, sanitary, and adequately maintained.

**Habitability Standards for Shelter Component and Housing programs**
Organizations providing rental assistance with ESG funds will be required to conduct initial and any appropriate follow-up inspections of housing units into which a program participant will be moving. Following are the habitability standards that grantees must follow:

(a) **State and local requirements.** Each grant recipient under this Notice must ensure that shelter facilities or housing occupied by a family or individual receiving ESG assistance is in compliance with all applicable state and local housing codes, licensing requirements, and any other requirements in the jurisdiction in which the housing is located regarding the condition of the structure and the operation of the housing or services.

(b) **Habitability standards.** Housing occupied by a family or individual receiving ESG rental assistance must meet the following minimum requirements:

(1) **Structure and materials.** The structures must be structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the residents from the elements.

(2) **Access.** The housing must be accessible and capable of being utilized without unauthorized use of other private properties. Structures must provide alternate means of egress in case of fire.

(3) **Space and security.** Each resident must be afforded adequate space and security for themselves and their belongings. Each resident must be provided an acceptable place to sleep.

(4) **Interior air quality.** Every room or space must be provided with natural or mechanical ventilation. Structures must be free of pollutants in the air at levels that threaten the health of residents.

(5) **Water supply.** The water supply must be free from contamination.

(6) **Sanitary facilities.** Residents must have access to sufficient sanitary facilities that are in proper operating condition, may be used in privacy, and are adequate for personal cleanliness and the disposal of human waste.

(7) **Thermal environment.** The housing must have adequate heating and/or cooling facilities in proper operating condition.
(8) **Illumination and electricity.** The housing must have adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of residents. Sufficient electrical sources must be provided to permit use of essential electrical appliances while assuring safety from fire.

(9) **Food preparation and refuse disposal.** All food preparation areas must contain suitable space and equipment to store, prepare, and serve food in a sanitary manner.

(10) **Sanitary condition.** The housing and any equipment must be maintained in sanitary condition.

(11) **Fire safety.**

(i) Each unit must include at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors must be located, to the extent practicable, in a hallway adjacent to a bedroom. If the unit is occupied by hearing impaired persons, smoke detectors must have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person.

(ii) The public areas of all housing must be equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, community rooms, day care centers, hallways, stairwells, and other common areas.

**Release of Funds**
Units of general local government/CAA must submit and receive authority to use grants funds prior to expending grant funds. Funds will not be released until all required documentation has been received. Funds expended prior to the authority to use grant funds will not be reimbursed.

**Budget**
Each recipient must complete a project budget and budget narrative form. Project budget should list the amount of ESG funds to be expended in each separate category and the project narrative should provide a description detailing the anticipated expenditures by category.

**Matching Funds**
The FY 2017 ESG Program requires a dollar-for-dollar local match. Each Applicant is required to complete certification describing the sources and amounts submitted for match. The amount of match must be tracked and reconciled by month and reflected on the monthly expenditure report submitted to ODOC on the 20th of each month. It is the award recipient’s responsibility to ensure that cash match must be spent on ESG eligible activities only. Match funds and expenditures must also be included in the annual audit.

The following are examples of what can be used as match:

- Cash (can only be spent on ESG eligible activities)
- The value or fair rental value of any building used for program purposes (in-kind)
- Donated material (in-kind)
- The value of an owned or donated building (match may be used only one time)
- Salary paid to staff to carry out the program of the recipient (Source of funding for staff salaries must be listed on Matcher Certification form and tracked monthly.
- Volunteer time (@ $5/hour)
Reporting
Emergency Solutions Grant recipients will use HMIS through the applicable Continuum of Care to collect data and report on outputs and outcomes as required by HUD. The required data elements to be collected are included in the revised HMIS Standards Final Rule September, 2015: https://www.hudexchange.info/resource/3826/hmis-data-standards-manual/

According to HUD’s final ruling over data collection from Domestic Violence Shelters, the revised “VAWA Protections” include that Domestic Violence Shelters are exempt from having to use any shared database such as the HMIS software to collect client information and services provided. However, data collection relating to non-confidential demographics and services provided is required to be reported by the DV shelter.

Reports due to ODOC using data from approved data collection methods are as follows:

<table>
<thead>
<tr>
<th>Report Type</th>
<th>Reporting Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly Progress Reports</td>
<td>Due the 20th of each following month.</td>
</tr>
<tr>
<td>Semi-Annual Progress Reports</td>
<td>Period ending March 30th – Due April 30th. Period ending September 30th – Due October 30th</td>
</tr>
<tr>
<td>Annual Performance Report</td>
<td>Due 60 days after the end of the contract year for each fiscal year in which ESG funds are expended. Due November 30th</td>
</tr>
</tbody>
</table>

Payments
ODOC shall disburse funds to the units of general local government/CAA upon receipt and approval by ODOC of the Request for Release of Funds. Once the “Authorization to Spend funds” form has been received by the new subrecipient, a reimbursement payment process will be implemented.

Deadline for Using Grant Amounts
The grant period for the ESG project is 12 months effective from the date of the contract with the Oklahoma Department of Commerce. Extensions to the program (grant) periods are made at the discretion of the State and will only be approved in extreme circumstances.

Obligated
ODOC will send a letter to each rural continuum once agreement has been received by HUD notifying each Lead agency the total dollar amount the CoC will be allowed to award in their service area. Each CoC Governance Board has a certain time period in which they review the submitted applications. Once reviewed and final decisions made, each CoC will submit a letter to ODOC with their recommendations for funding to eligible applicants. Funds cannot be expended until ODOC/CD receives an Environmental Review (if applicable), Sponsor Shelter Agreement or summary (if applicable) and a Request for Release of Funds. Upon receipt of these documents, ODOC will return to the Applicant a signed Authority to Use Grant Funds.

Certifications
Federal requirements will be assured by certifications in the grant application. Federal requirement certifications that must be submitted by applicants are as follows:

Local Government Certification – This form is signed by the local unit of government Chief Elected Official when the unit of government agrees to be the Sponsor for a nonprofit organization. The local
unit of government agrees to follow federal regulations as it relates to building standards, assistance to the homeless along with other Department of Housing and Urban Development (HUD) laws and regulations.

**Private Non-Profit Certification** – This form is signed by the Executive Director of the Community Action Agency when said agency agrees to be the Sponsor for a nonprofit organization or the independent nonprofit itself. The signing entity agrees to follow federal regulations

**Certification of Local Government Approval for Nonprofit Organizations** – This form is signed by the Chief Elected Official of the city/town in which the Homeless Assistance program activities are being provided. The local government approves of the services being provided in their city/town.

**Applicant Assurances** – This is signed by the Applicant. The Applicant agrees that Homeless individuals will receive an appropriate level of service and will be given opportunities to participate in policy making decisions regarding shelter and services provided.

**Program Certifications** – This is signed by the Applicant. The Applicant agrees to comply with having policies relating to the State’s Consolidated Plan, Confidentiality, Discharge Planning, Affirmatively Further Fair Housing and HMIS.

**Certification of Consistency with Consolidated Plan HUD 2991** – This form is signed by the Certifying Official at ODOC. The Certifying Jurisdiction agrees that the Applicant’s program is consistent with the jurisdiction’s Consolidated Plan.

**J. Drug-Free Workplace Requirements** - The Drug-Free Workplace Act of 1988 (41 U.S.C. 701, et seq.) and HUD’s implementing regulations as applied to ESG.

**Lead-Based Paint Requirements** - The Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.), as amended by the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4851 et seq.) and implementing regulations at 24 CFR part 35, subparts A, B, M, and R shall apply to housing occupied by families receiving assistance through ESG.

**Anti-Lobbying Certification** – This is signed by the Applicant. The Applicant agrees that no Federally appropriated funds will be used for lobbying activities.

**Request for Release of Funds and Certification** – This is signed by the Applicant. The Applicant submits any and all forms necessary for Environmental Review compliance or states exemption status for Environmental Review process.

**Applicant/Recipient Disclosure/Update Report** – This form is signed by the Applicant. The applicant must disclose if they are receiving, or expect to receive, assistance from other HUD Programs that are subject to the disclosure requirements of Subpart C of 24 CFR Part 12.

**Continuum of Care Lead Agency Participation letter** – This is provided by the Continuum of Care Lead Agency. The letter must include that the shelter is a member of the Continuum of Care, the level of participation in the HMIS or comparable data collection database, level of participation during the Annual Point-in-Time Survey Count and any Continuum of Care committees or related participation.

**Audit Requirement**
All audits of prior awards from ODOC/CD must be in accordance with ODOC/CD Audit Policies and Procedures Manual. An audit is required if $25,000 or more was received from ODOC/CD. The audit should be completed and the report submitted no later than six (6) months after the end of the contractor's fiscal year.

If the audit has not been submitted or the audit is not closed prior to the release of funds, then contractor may be unable to draw funds unless a good cause is shown and approved by ODOC/CD.

Match is a contractual requirement on ESG and must be reported in the audit for both revenue and expenditures. Here are two examples:

1. Note with an asterisk or a number/letter on the financials for both revenues and expenditures. At the bottom of that audit page the explanation would include that this amount includes the match of $____ as required for contract number______.

2. Add a Note to the financial statements that states the match of $____ as required in the contract for contract number ______ was met.
Confidentiality
All ESG recipients must develop and implement procedures to ensure:
   (1) The confidentiality of records pertaining to any individual provided with assistance; and
   (2) That the address or location of any assisted housing will not be made public, except to the extent
       that this prohibition contradicts a preexisting privacy policy of the grantee.

Performance
ODOC reserves the right to recapture Emergency Solution Grant funds under the following
circumstances:
   o Failure to obligate and spend within the time periods as specified:
     o Fifty percent (50%) of awarded funds must be spent by the first six (6) months of the contract;
       seventy-five percent (75%) must be spent within nine (9) months of the contract
   o Failure, without approved modification, to implement the project as set forth in the approved ESG
     grant application.
   o Failure to meet the specified performance measures.
   o Failure to meet threshold responsibilities during the contract period.

Application Procedures, Submission and Selection Requirements

Continuum of Care Scoring Process:
1. CoC scorers will be given a login to OK Grants and instructions to score their assigned
   applications online. A Webinar will be scheduled to show people how to use the score sheet in
   OK Grants. The Scoring criteria will not be released to the CoC leads until after the application
   deadline.
2. Raters will be given a deadline to score applications.
3. Once the applications have been scored, the CoC Lead agency will submit a letter to ODOC
   listing the applicants that are being recommended for funds and the dollar amount being awarded
   equaling the dollar amount allocated to the CoC.
4. ODOC will implement a Pre-Award Risk Assessment. The results of this survey will determine
   if an applicant is a Low, Medium or High Risk and will help determine any additional special
   conditions that will be added to the Applicant’s contract.
5. ODOC will send award letters to subrecipients with final instructions regarding how contracts are
   initiated in OK Grants.

Submission Requirements
In the occurrence of a Sponsor applying on behalf of more than one shelter, separate applications must be
submitted for each shelter. If an Applicant applies for one funding level (either Shelter/Outreach or
Housing) the applicant must still answer all application questions.

Application Workshop
A mandatory application workshop has been scheduled for March 30, 2017. Attendance will be
mandatory for all organizations planning on applying for the 2017 Program year. After the Application is
made available in OK Grants, only questions of a clarifying nature will be answered after the workshop
has been held. ODOC will not answer any questions regarding the Emergency Solutions program or
provide technical assistance during the application process.

Verification and On-site Visits
The Oklahoma Department of Commerce/ Community Development reserves the right to verify
information and documentation received as part of the ESG application. An on-site visit may be
scheduled by ODOC to conduct an observation of the facility where the proposed ESG project will be carried out. On site observations of shelter facilities will receive no more than 24 hour notice via telephone. A representative from both the shelter and the sponsor must be available during the visit.

Selection for Award
The Application Sections below provide justification and support for your proposed project. In the Narrative Section, please provide as much descriptive information as possible. Projects will be evaluated by a point system scoring each category of the narrative and taking into consideration the overall quality of the application and information collected during on-site reviews. After Reviewers from each Continuum of Care individually score each proposal, the combined scores are averaged. The averaged score reflects the Reviewer’s determination of the merit and feasibility of the project. Funds may be awarded, in whole or in part, based on the application’s relative score and funding availability determined by the guidelines set by each Continuum of Care Governing Board and policies. **ODOC reserves the right to refuse funding to applications that receive less than 50% of the total points available.** If funding remains available after all applicants with scores greater than 50% of the total points are awarded, then ODOC may consider applications receiving less than 50% of the total points for a provisional award.

Program Application Guidelines and Submission Requirements
All grant applications must be submitted electronically through the new ODOC OKGrants.gov. Here is the link to the grant site and registration instructions:

[https://grants.ok.gov/](https://grants.ok.gov/)

In the instance of a unit of general local government or CAA applying on behalf of more than one shelter, separate applications must be submitted for each shelter. Applicants may present multiple funding requests in a single application. When this occurs, answer the application questions associated with the highest level Tier for which funding is requested and list all Tiers the applicant is applying for under the appropriate application questions. **Only one application per shelter will be accepted.**
FY 2017 Emergency Solutions Grant Checklist (Form Online in OK Grants)

To be considered for ESG funds, an application must contain the items detailed below:

**OK Grant Forms**
- Application Summary (Form 424)
- All required responses Section I through Section V
- Budget Detail
- Budget Summary (Save Only)
- Budget Narrative
- Match / Additional Funds Certification Form
- Audit

**Upload to Uploads Page**
- Program Certifications and Assurances, which includes:
  - Section I. Applicant Assurances
  - Section II. Program Certifications (formerly ODOC 6)
  - Section III. Drug-Free Workplace (formerly ODOC 7)
  - Section IV. Anti-Lobbying Certification (formerly ODOC 8)
- Request for Release of Funds and Certification
- Applicant/Recipient Disclosure/Update Report
- Certification of Consistency with Consolidated Plan HUD 2991
- Continuum of Care Agreement for HMIS Data Entry
- Continuum of Care Lead Agency Participation letter

- Required forms for Units of General Local Government
  - Local Government Certification
- Or-
- Required forms for Community Action Agency (CAA) or Independent Nonprofit
  - Private Non-Profit Certification
  - Certification of Local Government Approval for Nonprofit Organizations

- In the case of a Community Action Agency, a signed letter must be submitted by the Unit of Local Government assuring that they will perform the environmental review.
### Section I Community Needs (15 Pts)

<table>
<thead>
<tr>
<th>Description</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>The shelter has a targeted and clearly demonstrated need.</td>
<td>I-1) Describe the need for homeless assistance services in your area</td>
</tr>
<tr>
<td></td>
<td>o Include where “proof of need” data was collected.</td>
</tr>
<tr>
<td>The applicant is knowledgeable of the level of need in the community and</td>
<td></td>
</tr>
<tr>
<td>provides local data to document who is being served and a potential for</td>
<td></td>
</tr>
<tr>
<td>those who may need to be served in the community.</td>
<td></td>
</tr>
<tr>
<td>The shelter’s services will make a significant impact on the community in</td>
<td></td>
</tr>
<tr>
<td>alleviating homelessness.</td>
<td></td>
</tr>
</tbody>
</table>

### Section II Proposed Use of Funds (50 pts)

<table>
<thead>
<tr>
<th>Description</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant describes a well defined independent program. Proposed program</td>
<td>II-1. What sub-population(s) does the shelter serve (check all that apply)</td>
</tr>
<tr>
<td>relates to the identified needs of the target clients. The needs identified</td>
<td>___ Children and Youth</td>
</tr>
<tr>
<td>in II-1 relate to proposed programs. A description of how the grant will</td>
<td>___ Chronic Substance Abusers</td>
</tr>
<tr>
<td>be used corresponds with the budget/budget narrative.</td>
<td>___ Co-Occurring Disorder (see definition)</td>
</tr>
<tr>
<td></td>
<td>___ Expectant Mothers</td>
</tr>
<tr>
<td></td>
<td>___ Persons with HIV/Aids</td>
</tr>
<tr>
<td></td>
<td>___ Mentally Ill</td>
</tr>
<tr>
<td></td>
<td>___ Veterans</td>
</tr>
<tr>
<td></td>
<td>___ Victims of Domestic Violence</td>
</tr>
<tr>
<td></td>
<td>___ Other (specify)</td>
</tr>
<tr>
<td>It is a program requirement that the shelter/organization providing</td>
<td>II-2 Describe the shelter’s hours of operation and 24/7 availability.</td>
</tr>
<tr>
<td>services be accessible to clients 24/7.</td>
<td></td>
</tr>
<tr>
<td>Length of stay is established by shelter’s policies. Federal program</td>
<td>II-3 What is the maximum length of stay?</td>
</tr>
<tr>
<td>maximum is up to 24 months continuous assistance and a lifetime maximum</td>
<td></td>
</tr>
<tr>
<td>of 36 months.</td>
<td></td>
</tr>
<tr>
<td>Fee for services is established by shelter’s policies.</td>
<td>II-4 Does your shelter charge a fee for services? If yes, provide</td>
</tr>
<tr>
<td></td>
<td>explanation.</td>
</tr>
</tbody>
</table>
Each applicant must provide one of two options:

1) In communities where no appropriate emergency shelter is available, written agreements or a voucher system may be implemented to pay for hotel or motel costs for the family or individual, or a written agreement with a partnering organization that does have a shelter facility within reasonable distance of the applicant; or

2) Applicant has an Emergency Shelter facility designed to provide temporary housing for individuals and/or families lacking a fixed, regular, and adequate nighttime residence. Local policy shall determine length of stay in the shelter.

Essential services to persons in emergency shelters and operating emergency shelters. Staff costs related to carrying out emergency shelter activities are also eligible.

Applicant describes a well-defined, independent program from their Shelter services. A Street Outreach program cannot be one where the potential client is coming to any of the Shelter’s facilities (example’ Soup kitchen or Day Center).

Services are provided to eligible participants on the street or in parks, abandoned buildings, bus stations, campgrounds, and in other such settings where unsheltered persons are staying. Staff salaries related to carrying out street outreach activities are also eligible.

Thorough description of how Rapid Rehousing funds can be accessed and how client’s program eligibility is determined as well as indication of what documentation is collected/verified. Applicant may have included a plan relating to short-term and medium term assistance.

Depending on the needs of the community and the funding needs of the applicant, the applicant is not required to provide all of the listed activities. The applicant does not need to provide all activities listed to receive full points.

Proposed case management services are well described and easily relate to the needs of the clients described in I-1 and target populations under II-1.

All key positions are described in relation to program implementation and operation.

<table>
<thead>
<tr>
<th>Each applicant must provide one of two options:</th>
<th>II-5 Describe the organization’s Emergency Shelter Component?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) In communities where no appropriate emergency shelter is available, written agreements or a voucher system may be implemented to pay for hotel or motel costs for the family or individual, or a written agreement with a partnering organization that does have a shelter facility within reasonable distance of the applicant; or</td>
<td></td>
</tr>
<tr>
<td>2) Applicant has an Emergency Shelter facility designed to provide temporary housing for individuals and/or families lacking a fixed, regular, and adequate nighttime residence. Local policy shall determine length of stay in the shelter. Essential services to persons in emergency shelters and operating emergency shelters. Staff costs related to carrying out emergency shelter activities are also eligible.</td>
<td></td>
</tr>
<tr>
<td>Applicant describes a well-defined, independent program from their Shelter services. A Street Outreach program cannot be one where the potential client is coming to any of the Shelter’s facilities (example’ Soup kitchen or Day Center). Services are provided to eligible participants on the street or in parks, abandoned buildings, bus stations, campgrounds, and in other such settings where unsheltered persons are staying. Staff salaries related to carrying out street outreach activities are also eligible.</td>
<td>II-6. Describe the organization’s Street Outreach Services.</td>
</tr>
<tr>
<td>Thorough description of how Rapid Rehousing funds can be accessed and how client’s program eligibility is determined as well as indication of what documentation is collected/verified. Applicant may have included a plan relating to short-term and medium term assistance. Depending on the needs of the community and the funding needs of the applicant, the applicant is not required to provide all of the listed activities. The applicant does not need to provide all activities listed to receive full points.</td>
<td>II-7) Describe how clients access requested Rapid Rehousing; including what documentation is collected/verified regarding the client’s program eligibility and how housing is selected.</td>
</tr>
<tr>
<td>Proposed case management services are well described and easily relate to the needs of the clients described in I-1 and target populations under II-1. All key positions are described in relation to program implementation and operation.</td>
<td>II-8) Describe what level of case management clients receive at the Shelter. Identify the person(s) responsible for carrying out case management activities.</td>
</tr>
</tbody>
</table>
Applicant describes the steps taken to provide prevention and keep a client in their housing. Looking for data used to justify using prevention in service area. Answer must include some data relating to housing statistics, condition of local housing; affordability of available housing, barriers caused by landlords to rent, etc.

II-9) Describe how clients access prevention funds; including documentation collected. Provide justification as to why prevention funds are needed in proposed service area. Include housing statistics, available affordable housing data, etc.

Applicant describes the organization’s participation in the CoC’s Coordinated Intake Process required by HUD. The description must provide enough detail that the reviewer has a clear understanding of the Coordinated process and the applicant’s involvement in the process.

II-10) Describe the Organization’s involvement in the CoC’s Coordinated Intake Process required by HUD.

| Section III Performance Measures (30 Pts) |
| --- | --- |
| **Description** | **Questions** |
| Performance measures of the program are clearly identified and applicant has described a clear plan for achieving those goals. Goals are quantitative, realistic and appear well thought out in relation to the services identified in the application narrative. For III-2; the applicant is not required to set an estimate for services they do not provide. For example, if an applicant does not provide prevention services, then they do not have to estimate how many clients for which they are going to provide prevention services. It is acceptable that the applicant has local performance measures or goals that are different from the State performance measures. In this case, the applicant must explain how accomplishing their local goals or performance measures will overall help achieve the State Performance measures. Examples of items that could be mentioned for questions 1 & 3. * Description of process used to determine program accomplishments and client progress/accomplishment is well defined. * The percentage of clients exiting to the next step in the Continuum is being measured and the process for how this is determined is well described and understandable. * The performance measures as they are listed on the HMIS APR report. | III-1) List local Program Performance Measures and Outcomes. How will achieving the local performance measures help achieve the State Performance Measures? III-2) List the number of clients to be served under each performance measure tracked for the proposed services. III-3) How will the data be collected? |

| Section IV Community and Local Government Commitment (5 Pts) |
| --- | --- |
| **Description** | **Questions** |
Documentation corresponds with totals listed on Match / Additional Funds Form in OK Grants

Letters relating to match must be on the letterhead of the organization’s providing the match and uploaded within the Application.

For IV-2: These points need to go to the organizations that go beyond matching their program with other federal or State grant dollars.

For IV-2: The points should be awarded to the organizations that can prove their community is involved and have obtained multiple resources to provide for the needs of their clients.

Do not take away points if source documentation is not provided.

**Note:** Match must be available during 2017 program year

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IV-1) Describe source(s) of match designated by the agency for use with the 2017 grant period.

Eligible forms of match include but are not limited to:

- The value of the time and services contributed by volunteers to carry out the program at a rate of $5.00 per hour.
- The value of volunteers providing professional services such as medical or legal services valued at the reasonable and customary rate in the community.
- The value of any donated goods, material or building. The value of any building lease using a method to reasonably calculate fair market value.
- The value of salary paid to staff to carry out the ESG Program.
- Cash awards from foundations, organizations, private individuals, and other government sources.

IV-2) Describe how community and local government support (in-kind or cash contributions) is received and how these contributions benefit the proposed program.

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<table>
<thead>
<tr>
<th>Section V Continuum of Care Requirements (50 Pts)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>The applicant should provide a description of</td>
</tr>
<tr>
<td>how their services fit in with the performance</td>
</tr>
<tr>
<td>measures, action plan and/or mission of their</td>
</tr>
<tr>
<td>local Continuum.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Mainstream services and the process by which</td>
</tr>
<tr>
<td>shelter clients are connected to those services</td>
</tr>
<tr>
<td>is thoroughly described and appears feasible.</td>
</tr>
<tr>
<td>**Mainstream services include SSI/SSDI, TANF,</td>
</tr>
<tr>
<td>Food Stamps, services through DHS, OJA, etc.;</td>
</tr>
<tr>
<td>services that are mainly provided through State</td>
</tr>
<tr>
<td>funding. The Shelter can also mention how they</td>
</tr>
<tr>
<td>work with local law enforcement, hospitals and</td>
</tr>
<tr>
<td>mental health facilities regarding discharge</td>
</tr>
<tr>
<td>planning.</td>
</tr>
</tbody>
</table>
The applicant should include names of specific organizations they partner and describe how services are delegated to prevent duplication. This is where local partners can be mentioned.

This is also the section where the applicant mentions local partners; such as local churches, Rotary, AMBUCS, Lion’s Club, local clinics and mental health facilities that provide services and partnerships to provide better services to clients.

The organization must provide for the participation of not less than one homeless individual or formerly homeless individual on the board of directors or other equivalent policymaking entity of the recipient, to the extent that the entity considers and makes policies and decisions regarding any facilities, services, or other assistance that receive funding under Emergency Solutions Grant (ESG)...

| V-3) What agencies in your area do you collaborate with to provide better care for your clients and to prevent duplication of services? |
| V-4) Describe how homeless and/or formerly homeless persons participate in the operations, planning, development, and/or policy making at your shelter. |
Local Government Certification

Emergency Solutions Grant (ESG) Program
To be submitted by the Units of General Local Government Applicants

I, ____________________________________________________, Chief Elected Official of _________________________________, certify that the units of general local government will comply with the following:

1. The requirements of 24 CFR Sec. 576.53 and the January 9, 1989, Federal Register Notice of Fund Availability; Amended Program Requirements, concerning the continued use of buildings for which Emergency Solutions Grants are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services, concerning the population to be served.


3. The requirements of 24 CFR Sec. 576.56, concerning assistance to the homeless.


I further certify that the units of general local government will comply with the provisions of, and regulations and procedures applicable under, section 104(g) of the Housing and Community Development Act of 1974 with respect to the environmental review responsibilities under the National Environmental Policy Act of 1969 and related authorities as specified in 24 CFR Part 58.

I further certify that the units of general local government and the shelter(s) conducting activities, funded in whole or in part with McKinney Act funds, to assist the homeless population in this jurisdiction, will administer, in good faith, a policy designed to ensure that the assisted homeless facility is free from the illegal use, possession, or distribution of drugs or alcohol by its beneficiaries.

I further certify that the submission of an application for an emergency solutions grant is authorized under state and/or local law and that the local government possesses legal authority to carry out emergency solutions grant activities in accordance with applicable law and regulations of the Department of Housing and Urban Development.

___________________________________________
Name of Chief Elected Official and Title

___________________________________________
Signature of Chief Elected Official       Date
Private Non-Profit Certification

Emergency Solutions Grant (ESG) Program
To be submitted by the Community Action Agency (CAA) or Independent Nonprofit

I, _______________________________________________________, Executive Director of ________________________________, certify that the Community Action Agency (CAA) / Nonprofit will comply with the following:

1. The requirements of 24 CFR Sec. 576.53 and the January 9, 1989, Federal Register Notice of Fund Availability; Amended Program Requirements, concerning the continued use of buildings for which Emergency Solutions Grants are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services, concerning the population to be served.
3. The requirements of 24 CFR Sec. 576.56, concerning assistance to the homeless.

I further certify that the CAA/ Nonprofit and the shelter(s) conducting activities, funded in whole or in part with McKinney-Vento Act funds, to assist the homeless population in this jurisdiction, will administer, in good faith, a policy designed to ensure that the assisted homeless facility is free from the illegal use, possession, or distribution of drugs or alcohol by its beneficiaries.

I further certify that the submission of an application for an Emergency Solutions Grant is authorized under state and/or local law and that the CAA/ Nonprofit possesses legal authority to carry out Emergency Solutions Grant activities in accordance with applicable law and regulations of the U.S. Department of Housing and Urban Development.

____________________________________________________
Name of Executive Director

______________________________________________________
Signature of Executive Director

__________________________
Date
Certification of Local Government Approval For Nonprofit Organizations

Emergency Solutions Grant
To be prepared by Units of General Local Government

I, _______________________________, (name of local government official and title) duly authorized to act on behalf of the _________________________________
_____________ (name of jurisdiction) hereby approve the following emergency shelter activities
proposed by _________________________________ (name of CAA/Nonprofit) which is (are) to be located in __
______________________________ (name of jurisdiction).

______________________________
Name of Chief Elected Official and Title

______________________________          __________
Signature of the Chief Elected Official          Date
Program Certifications and Assurances
Emergency Solutions Grant (ESG) Program
To be submitted by all Applicants

Section I. Applicant Assurances

I, ___________________________________ (Name of Elected Official / Executive Director), ____________________________ (title) certify that if awarded FY 2017 Emergency Solutions Grant funding ____________________ (Name of local unit of government, Community Action Agency or Nonprofit) does assure the following:

1. Homeless individuals and families will be given assistance in obtaining:
   Appropriate case management, obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living); and other Federal, State, local, and private assistance available for such individuals.

2. Homeless individuals will be provided the opportunity for participation on the policymaking entity in accordance with 42 U.S.C. 11375 (d).

3. Homeless individuals and families will be involved in providing work or services pertaining to facilities or activities assisted under this part, in accordance with 42 U.S.C. 11375 (c) (7).

Section II. Program Certifications

Consolidated Plan – The 2010 HUD-approved Consolidated Plan.

Consistency with Plan – Housing activities to be undertaken with ESG funds are consistent with the strategic plan.

Confidentiality – Grant recipients must develop and implement procedures to ensure:
   (1) The confidentiality of records pertaining to any individual provided with assistance; and
   (2) That the address or location of any assisted housing will not be made public, except to the extent that this prohibition contradicts a preexisting privacy policy of the grantee.

Discharge Policy – Grant recipients must agree to develop and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons.

Affirmatively Further Fair Housing -- The local government or nonprofit will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction or state, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.
**Homeless Persons Involvement** – To the maximum extent practicable, the subrecipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted by ESG.

**HMIS** – HUD’s standards for participation in a local Homeless Management Information System and the collection and reporting of client-level information. (Domestic Violence Shelters exempt as stated in “VAWA Protections”)

INITIALS of Authorized Elected Official / Executive Director __________________________ Date

**Section III. Certification for Drug-Free Workplace**

**Drug-Free Workplace** -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee’s workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about:
   a. The dangers of drug abuse in the workplace;
   b. The grantee’s policy of maintaining a drug-free workplace;
   c. Any available drug counseling, rehabilitation, and employee assistance programs; and
   d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will –
   a. (a) Abide by the terms of the statement; and
   b. (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted –
   a. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
   (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, state, or local health, law enforcement, or other appropriate agency;
7. Make a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.
Additional Instructions for Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.

2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).

5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).

6. The Grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

______________________________
Place of Performance (Street address, city, county, state, zip code)
Check ___ if there are workplaces on file that are not identified here.

The certification with regard to the drug-free workplace is required by 24 CFR part 24, subpart F.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of sub recipients or subcontractors in covered workplaces).
Section IV. Anti-Lobbying Certification

Anti-Lobbying -- To the best of the local government’s or nonprofit’s knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and

3. It will require that the language of paragraphs 1 and 2 of this certification be included in the award documents for all subawards at all funding categories (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Additional Instructions for Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.
I certify that the proposed activities/projects in the application are consistent with the jurisdiction’s current, approved Consolidated Plan.

(Type or clearly print the following information:)

Applicant Name: __________________________________________

Project Name: __________________________________________

Location of the Project: __________________________________

Name of the Federal Program to which the applicant is applying: __________________________________

Name of Certifying Jurisdiction: ____________________________

Certifying Official of the Jurisdiction Name: __________________________

Title: __________________________________________

Signature: __________________________________________

Date: __________________________________________

Form HUD-2991
**Oklahoma Department of Commerce**  
**Office of Community Development**  
**Emergency Solutions Grant Program**  
**REQUEST FOR RELEASE OF FUNDS AND CERTIFICATION**

<table>
<thead>
<tr>
<th>Contractor Name:</th>
<th>Contract Number</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Address:</th>
<th>Date of Request</th>
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<tr>
<th>Project Description (Brief):</th>
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</table>

**REQUIREMENTS**

<table>
<thead>
<tr>
<th>DOCUMENTATION</th>
<th>Items Included</th>
<th>State Use Only</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

| Environmental Review | A. Categorically Excluded/Exempt Activity - Form 702-B & Sample 702-4 are attached.  
|                     | B. Categorically Excluded Activity - Form 702-B & Form 702-D, Sample 702-6 are attached. |
| a. Nonprofit        |                                                            |
| b. Other Than Nonprofits | A. Categorically Excluded/Exempt Activity - I hereby state Form 702-B has been completed and Sample 702-4 is attached.  
|                      | B. Categorically Excluded Activity - I hereby state Form 702-B has been completed and Form 702-D, Sample 702-7 are attached. |
| c. If project is located in the Floodplain | Proof of Floodplain and Wetland Publication - Sample 702-3 is attached. |
| d. Activities that make physical changes to buildings or sites | Property has been cleared by the Historic Preservation Office and Correspondence is attached. |

**OTHER**

| Contract Conditions, listed in Part II of ODOC contract.  
| Copy of signed agreement with Shelter, if applicable. |

**Signature of Authorized Official:** __________________________

**Name & Title of Authorized Official:** __________________________

**Date:** __________________________
<table>
<thead>
<tr>
<th><strong>Applicant/Recipient Disclosure/Update Report</strong></th>
<th>U.S. Department of Housing and Urban Development</th>
<th>OMB Approval No 2510-0011</th>
</tr>
</thead>
</table>

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

**Applicant/Recipient Information**

**Indicate whether this is an Initial Report**

<table>
<thead>
<tr>
<th>1. Applicant/Recipient Name, Address, and Phone (include area code):</th>
<th>2. Social Security Number or Employer ID Number:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>3. HUD Program Name</th>
<th>4. Amount of HUD Assistance Requested /Received</th>
</tr>
</thead>
</table>

5. State the name and location (street address, City and State) of the project or activity:

---

**Part I Threshold Determinations**

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of $200,000 during the fiscal year (Oct.1-Sep.30)? For further information

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

If you answered, “No” to either question 1 or 2, Stop! You do not need to complete the remainder of this form. **However**, you must sign the certification at the end of the report.

---

**Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.**

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

<table>
<thead>
<tr>
<th>Department/State/Local Agency Name and Address</th>
<th>Type of Assistance</th>
<th>Amount Requested/Provided</th>
<th>Expected Uses of the Funds</th>
</tr>
</thead>
</table>

(**Note:** Use additional pages as necessary.)

---

**Part III Interested Parties.** You must disclose:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity, and

2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).

<table>
<thead>
<tr>
<th>Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)</th>
<th>Social Security No. or Employee ID No</th>
<th>Type of Participation in Project/Activity</th>
<th>Financial Interest in Project/Activity ($ and %)</th>
</tr>
</thead>
</table>

(**Note:** Use Additional pages if necessary.)

**Certification**

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed $10,000 for each violation.

I certify that this information is true and complete.

Signature: [signature]

Date: (mm/dd/yyyy)

X

(Please review pages 41 – 42 before filling out this report)
HUD Programs Subject to the Disclosure Requirements
Please read before filling out the Applicant/Recipient Disclosure/Update Report

Following is a list of all the HUD Programs that are subject to the disclosure requirements of Subpart C of 24 CFR Part 12. All applicants for Emergency Solutions Grant assistance must review this list to determine if they are receiving, or expect to receive, assistance from other covered programs. Applicants must consider HUD funds that are received either directly from HUD or through the State.

It is the total amount of funds received from all the below sources that the applicant uses to answer the second question of Part II of the Disclosure Report.

- Section 312 Rehabilitation Loans under 24 CFR Part 510, except loans for single-family properties.
- Applications for grant amounts for a specific project or activity under the Rental Rehabilitation Grant Program under 24 CFR Part 511 made to:
  - A State grantee under Subpart F;
  - A unit of general local government or consortium of units of general local government or a consortium of units of general local government receiving funds from a State or directly from HUD whether or not by formula under Subparts D, F, and G; and
  - HUD, for technical assistance under § 511.3.
  - (Excludes formula distributions to States, units of general local government, or consortia of units of general local government under Subparts D and G, within-year reallocations under Subpart D, and the HUD-administered Small Cities Program under Subpart F.)
- Applications for grant amounts for a specific project or activity under Title I of the Housing and Community Development Act of 1974 made to:
  - HUD, for a Special Purpose Grant under Section 105 of the Department of Housing and Urban Development Reform Act of 1989 for technical assistance, the Work Study Program or Historically Black colleges;
  - HUD, for a loan guarantee under 24 CFR Part 470, Subpart M;
  - HUD, for a grant to an Indian tribe under Title I of the Housing and Community Development Act of 1974;
  - HUD, for a grant under the HUD-administered Small Cities Program under CFR Part 570, Subpart F; and
  - A State or unit of general local government under 24 CFR Part 570.
- Applications for grant amounts for a specific project or activity under the Emergency Shelter Grant Program under 24 CFR Part 576 made to a State or to a unit of general local government, including a Territory.
- (Excludes formula distributions to States and units of general local government [including Territories]; reallocations to States, units of general local government [including Territories] and non-profit organizations; and applications to an entity other than HUD or a State or unit of general local government.)
- Transitional Housing under 24 CFR Part 577.
- Permanent Housing for Handicapped Homeless Persons under 24 CFR Part 578.
- Section 8 Housing Assistance Payments (only project-based housing under the Existing Housing and Moderate Rehabilitation programs under 24 CFR Part 882, including the Moderate Rehabilitation Program for Single Room Occupancy Dwellings for the Homeless under Subpart H).
- Section 8 Housing Assistance Payments for Housing for the Elderly or Handicapped under 24 CFR Part 885.
- Loans for Housing for the Elderly or Handicapped under Section 202 of the Housing Act of 1959 (including operating assistance for Housing for the Handicapped under Section 162 of the
Housing and Community Development Act of 1987 and Seed Money Loans under Section 106(b) of the Housing and Urban Development Act of 1968).

- Section 8 Housing Assistance Payments - Special Allocations - under 24 CFR Part 886.
- Flexible Subsidy under 24 CFR Part 219 - both Operating Assistance under Subpart B and Capital Improvement Loans under Subpart C.
- Low-Rent Housing Opportunities under 24 CFR Part 904.
- Indian Housing under 24 CFR Part 905.
- Public Housing Development under 24 CFR Part 941.
- Comprehensive Improvement Assistance under 24 CFR Part 968.
- Resident Management under 24 CFR Part 964, Subpart C.
- Research and Technology Grants under Title V of the Housing and Urban Development Act of 1970.
- Congregate Services under the Congregate Housing Services Act of 1978.
- Counseling under Section 106 of the Housing and Urban Development Act of 1968.
- Fair Housing Initiatives under 24 CFR Part 125.
- Fair Housing Assistance under 24 CFR Part 111.
- Mortgage Insurance under 24 CFR Subtitle B, Chapter II (only multi-family and non-residential).
- Supplemental Assistance for Facilities to Assist the Homeless under 24 CFR Part 579.
- Shelter Plus Care Assistance under Section 837 of the Cranston-Gonzalez National Affordable Housing Act.
- Planning and Implementation Grants for HOPE for Public and Indian Housing Homeownership under Title IV, Subtitle A, of the Cranston-Gonzalez National Affordable Housing act.
- Planning and Implementation Grants for HOPE for Homeownership of Multi-family Units under Title IV, Subtitle B, of the Cranston-Gonzalez National Affordable Housing act.
- HOPE for Elderly Independence Demonstration under Section 804 of the Cranston-Gonzalez National Affordable Housing Act.
FY 2017 Emergency Solutions Grant (ESG) Program
Request for Application (RFA) - Definitions

For the purposes of this Request for Application, the following definitions will be used:

Administration: Units of General Local Government and/or Community Action Agencies are allowed 3.75% of the total award for administration of the ESG grant. These funds may be passed on to the shelter.

At risk of homelessness:
(1) An individual or family who:
   (A) Has an annual income below 30 percent of median family income for the area, as determined by HUD;
   (B) Does not have sufficient resources or support networks, e.g., family, friends, faith-based or other social networks, immediately available to prevent them from moving to an emergency shelter or another place described in paragraph (1) of the “homeless” definition in this section; and
   (C) Meets one of the following conditions:
       (a) Has moved because of economic reasons two or more times during the 60 days immediately preceding the application for homelessness prevention assistance;
       (b) Is living in the home of another because of economic hardship;
       (c) Has been notified in writing that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance;
       (d) Lives in a hotel or motel and the cost of the hotel or motel stay is not paid by charitable organizations or by Federal, State, or local government programs for low-income individuals;
       (e) Lives in a single-room occupancy or efficiency apartment unit in which there reside more than two persons or lives in a larger housing unit in which there reside more than 1.5 persons reside per room, as defined by the U.S. Census Bureau;
       (f) Is exiting a publicly funded institution, or system of care (such as a health-care facility, a mental health facility, foster care or other youth facility, or correction program or institution); or
       (g) Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient’s approved consolidated plan;

(2) A child or youth who does not qualify as "homeless" under this section, but qualifies as "homeless" under section 387(3) of the Runaway and Homeless Youth Act (42 U.S.C. 5732a(3)), section 637(11) of the Head Start Act (42 U.S.C. 9832(11)), section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2(6)), section 330(h)(5)(A) of the Public Health Service Act (42 U.S.C. 254b(h)(5)(A)), section 3(m) of the Food and Nutrition Act of 2008 (7 U.S.C. 2012(m)), or section 17(b)(15) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)(15)); or

(3) A child or youth who does not qualify as "homeless" under this section, but qualifies as "homeless" under section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)), and the parent(s) or guardian(s) of that child or youth if living with her or him.

Consolidated plan: A plan prepared in accordance with 24 CFR part 91. An approved consolidated plan means a consolidated plan that has been approved by HUD in accordance with 24 CFR part 91.

Continuum of Care: The group composed of representatives of relevant organizations, which generally includes nonprofit homeless providers; victim service providers; faith-based organizations; governments; businesses; advocates; public housing agencies; school districts; social service providers; mental health agencies; hospitals; universities; affordable housing developers; law enforcement; organizations that serve homeless and formerly homeless veterans, and homeless and formerly homeless persons that are organized to plan for and provide, as necessary, a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies
to address the various needs of homeless persons and persons at risk of homelessness for a specific geographic area.

**Co-Occurring Disorder:** Persons who have a diagnosis of mental illness and a diagnosis of substance abuse, HIV/AIDS, or other health condition.

**Eligible Applicants:** Units of General Local Government and Community Action Agencies (CAAs). Cities of Tulsa and Oklahoma City must apply directly to HUD and are therefore excluded from the receipt of funds administered by ODOC.

**Emergency shelter:** Emergency Shelter is a facility designed to provide temporary housing for individuals and/or families lacking a fixed, regular, and adequate nighttime residence. Local policy shall determine length of stay in the shelter.

Emergency Shelter services are available to all persons or individuals who meet the definition of homeless. No person or family shall be denied shelter or services if they are a part of the sub-population to be served by the shelter and do not pose a safety risk to themselves or others. Emergency Shelter operators must have a plan in place to assist in the provision of emergency services, including clothing, food, and assistance locating other state and local services and funds. Emergency Shelters shall be available 24 hours a day and seven (7) days per week.

**Equipment and Furnishings:** Typically large, one-time expenditures essential for the continued operation of the homeless shelter. Office equipment and major furniture replacement or purchase such as beds or cots for an expanding facility, are examples of items to be budgeted under Equipment and Furnishings.

**Developmental Disability:** As defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (42 U.S.C. 15002):

1) A severe, chronic disability of an individual that—
   a. Is attributable to a mental or physical impairment or combination of mental and physical impairments;
   b. Is manifested before the individual attains age 22;
   c. Is likely to continue indefinitely;
   d. Results in substantial functional limitations in three or more of the following areas of major life activity:
      i. Self-care;
      ii. Receptive and expressive language;
      iii. Learning;
      iv. Mobility;
      v. Self-direction;
   e. Capacity for independent living;
   f. Economic self-sufficiency; and
   g. Reflects the individual’s need for a combination and sequence of special, interdisciplinary, or generic services, individualized supports, or other forms of assistance that are of lifelong or extended duration and are individually planned and coordinated.

(2) An individual from birth to age 9, inclusive, who has a substantial developmental delay or specific congenital or acquired condition, may be considered to have a developmental disability without meeting three or more of the criteria described in paragraphs (1)(i) through (v) of this definition if the individual, without services and supports, has a high probability of meeting those criteria later in life.

**Homeless, homeless individual and homeless person:**

1) An individual or family who lacks a fixed, regular, and adequate nighttime residence and is:
   a. An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human
beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;

b. An individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (including hotels and motels paid for by Federal, State, or local government programs for low-income individuals or by charitable organizations, congregate shelters, and transitional housing); or

c. An individual who is exiting an institution where he or she resided for 90 days or less and who resided in a shelter or place not meant for human habitation immediately before entering that institution;

2) An individual or family who will imminently lose their primary nighttime residence, provided that:

a. The primary nighttime residence will be lost within 14 days of the application for homeless assistance;

b. No subsequent residence has been identified; and

c. The individual or family lacks the resources or support networks needed to obtain other permanent housing;

3) Unaccompanied youth and homeless families with children and youth defined as homeless under other Federal statutes who do not otherwise qualify as homeless under this definition and:

a. Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 91 days immediately preceding the application for homeless assistance;

b. Have experienced persistent instability as measured by three moves or more during the 90-day period immediately before applying for homeless assistance; and

c. Can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental health conditions, substance addiction, histories of domestic violence or childhood abuse, the presence of a child or youth with a disability, or two or more barriers to employment, which include the lack of a high school degree or General Education Development (GED), illiteracy, low English proficiency, a history of incarceration, and a history of unstable employment; and

4) Any individual or family who:

a. Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member that has either taken place within the individual’s or family’s primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence;

b. Has no other residence; and

c. Lacks the resources or support networks to obtain other permanent housing.

Homeless individual with a disability:

1) an individual who is homeless and has a disability that:

a. Is expected to be long-continuing or of indefinite duration;

b. Substantially impedes the individual’s ability to live independently;

c. Could be improved by the provision of more suitable housing conditions; and

d. Is a physical, mental, or emotional impairment, including an impairment caused by alcohol or drug abuse, post-traumatic stress disorder, or brain injury;

2) Is a developmental disability, as defined in this section; or

3) Is the disease of acquired immunodeficiency syndrome (AIDS) or any conditions arising from the etiologic agency for acquired immunodeficiency syndrome, including infection with the human immunodeficiency virus (HIV).

Income Eligibility: A homeless individual shall be eligible for assistance under any program provided by the Stewart B. McKinney Homeless Assistance Act, or by the amendments made by this Act, only if the individual complies with the income eligibility requirements otherwise applicable to such program.
Exclusion: For purposes of this Act, the term “homeless” or “homeless individual” does not include any individual imprisoned or otherwise detained pursuant to an Act of the Congress or State Law.

Families with Children and Youth Defined as Homeless under other Federal Statutes: The term ‘families with children and youth defined as homeless under other Federal statutes’ means any children or youth that are defined as ‘homeless’ under any Federal statute other than this subtitle, but are not defined as homeless under section 103, and shall also include the parent, parents, or guardian of such children or youth under subtitle B of title VII of this Act (42 U.S.C. 11431 et seq.).

Homeless Management Information System (HMIS): The information system designated by the Continuum of Care to comply with the HUD’s data collection, management, and reporting standards and used to collect client-level data and data on the provision of housing and services to homeless individuals and families and persons at-risk of homelessness.

HUD: U.S. Department of Housing and Urban Development.

Match Funds: Funds contributed to the project for the expressed purpose of implementing the eligible activities proposed in the application. Eligible match includes cash on deposit, and cash committed from other sources, as documented by bank statements, and funding award letters. Non-cash match shall be documented by timesheets, appraisals, or other sufficient documentation. Match funds must be expended during the time frame of the ESG contract. Match Funds are a contractual requirement in ESG and must be reported in the audit for both revenue and expenditures.

Major Rehabilitation: Rehabilitation that involves costs in excess of 75 percent of the value of the building before rehabilitation. Major rehabilitation undertaken with ESG funds must meet local government safety and sanitation standards under 24 CFR 576.55. In addition, for projects of 15 or more units where rehabilitation costs are 75 percent or more of the replacement cost of the building, that project must meet the requirements of 24 CFR 8.23(a). The facility must be used as an emergency shelter for a period of not less than ten years after the ESG contract is closed or the applicant may be required to repay grant funds.

Nonprofit Recipient: Any nonprofit organization assisting the homeless to which a Unit of General Local Government or CAA distributes ESG funds.

Obligated: The ESG contractor, as appropriate, has placed orders, awarded contracts, received services, or entered similar transactions that require payment from the grant amount.

Operations: Recurring costs incurred by a recipient operating a homeless shelter with respect to administration, rent, food for feeding the homeless, security, maintenance, utilities, fuels, and insurance for the homeless shelter.

Private nonprofit organization: A private nonprofit organization that is a secular or religious organization described in section 501(c) of the Internal Revenue Code of 1986 and which is exempt from taxation under subtitle A of the Code, has an accounting system and a voluntary board, and practices nondiscrimination in the provision of assistance. A private nonprofit organization does not include a governmental organization, such as a public housing agency or housing finance agency.

Program income: Program income includes any amount of a security or utility deposit returned to the subrecipient under 24 CFR 85.25.
Program participant means an individual or family who is assisted under ESG program.

Program year means the consolidated program year established by the recipient under 24 CFR part 91.

Recipient: Any State, territory, metropolitan city, or urban county, or in the case of reallocation, any unit of general purpose local government that is approved by HUD to assume financial responsibility and enters into a grant agreement with HUD to administer assistance under this part.

Rehabilitation: Labor, materials, tools, and other costs of improving the building, including repair directed toward an accumulation of deferred maintenance; replacement of principal fixtures and components of existing buildings; installation of security devices; and improvements through alterations or incidental additions to or enhancement of, existing buildings including improvements to increase the efficient use of energy. Rehabilitation includes the conversion of a building to an emergency shelter where the costs of conversion and any rehabilitation do not exceed 75 percent of the cost of the building before rehabilitation, and includes structural changes necessary to make a facility accessible to persons with physical handicaps. The facility must be used as an emergency shelter for a period of not less than three years after the ESG contract is closed or the applicant may be required to repay grant funds.

Subrecipient: A unit of general purpose local government or private nonprofit organization to which a recipient makes available ESG funds.

Transitional Housing: Facility-based or scattered-site temporary housing combined with essential services, with occupancy typically limited to 24 months. The applicant would administer the transitional housing activities and establish eligibility for occupants. Transitional Housing is an eligible activity under the Continuum of Care Grant funds only. Transitional housing also functions to do the following:

- Assist homeless families and individuals overcome the problems/conditions that made them homeless;
- Increase skills and/or income and aid in obtaining and remaining in permanent housing; and
- Provide or coordinate, as required, substance abuse services, mental health services, day care, life skills training, educational services and/or family support.

Transitional Housing, as compared to a general shelter, implies a greater level of responsibility in that residents typically maintain their own home or apartment without 24-hour supervision, while at the same time receiving essential services from the administrators of the facility, or from a contracted service provider. These services function to teach each resident the necessary skills in order for them to move to permanent housing and independent living. Individual rehabilitation plans are also emphasized over a group treatment approach.

Underserved Populations: The term `underserved populations' includes populations underserved because of geographic location, underserved racial and ethnic populations, populations underserved because of special needs (such as language barriers, disabilities, alienage status, or age), and any other population determined to be underserved by the Secretary, as appropriate.

Unit of local government: means any city, county, town, township, parish, village, or other general purpose political subdivision of a State.

Value of building: Value of building is defined as the monetary value assigned to a building by an independent real estate appraiser or as otherwise reasonably established. If the value of the building is established other than by an appraisal, ODOC must be advised and provided with written documentation of the method for determining the value.
The value of the building can only be used as match if the building is donated after the ESG contract is entered into with ODOC. If the shelter is purchasing or renting the facility, only the mortgage or lease amount paid with non-ESG funds multiplied by 12 months (the term of the ESG contract) can be used as match.

Please refer to Federal Register, Title 24, Volume 3, revised April 1, 1998 for further clarification and for other related definitions.

Victim Service Provider: The term `victim service provider' means a private nonprofit organization whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking. This term includes rape crisis centers, battered women's shelters, domestic violence transitional housing programs, and other programs.

Victim Services: The term `victim services' means services that assist domestic violence, dating violence, sexual assault, or stalking victims, including services offered by rape crisis centers and domestic violence shelters, and other organizations, with a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.