

State of Oklahoma
Emergency Solutions Grant ESG
2023 Request for Application



OKLAHOMA
Commerce

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TIMETABLE

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

Date	Description
March 28, 2023	Mandatory Application Workshop
April 3, 2023	COC Documentation of any changes that have been made regarding ESG additional requirements to the grant amounts, additional requirements, etc.
April 3 – May 31, 2023, 5pm	Applications entered into OKGrants
April 28, 2023	CoC Lead Agency Submits copy of PIT Count Data HDX Report to ODOC
May 26, 2023	CoC Lead Agency Submits Reviewer Volunteers
May 31, 2023, 5:00 pm	Final application must be submitted into OKGrants
June 1, 2023	Application Reviewer Training Webinar
June – July, 2023	Continua score, rank and recommend
July 31, 2023	CoC Lead Agency Submits updated CoC Governance Charter and Policies
August – September, 2023	ODOC verifies eligibility of potential subrecipients
Second Week of September, 2023	Approximate Date for Award Notification to ESG subrecipients
September 29, 2023	CoC Lead Agency Submits copy of most current Consolidated Application showing name of Lead Agency or member agency who submitted application
October 1, 2023	ESG 2023 Contract Start Date
September 30, 2024	ESG 2023 contract end date. All funds must be expended by this date.
November 30, 2024	ESG 2023 Closeout Documentation and Annual Report Due to ODOC.

FISCAL YEAR 2023 EMERGENCY SOLUTIONS GRANT

Request for Application

BACKGROUND

The original Homeless Assistance Grants were 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) updated five-year Plan supported 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 and is 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

Entities interested in applying must meet one of three criteria:

1. Private Nonprofits that have a yearly independent audit and have received ODOC's ESG funds within two (2) grant cycles may directly apply for an ESG grant without sponsorship.
2. Private Nonprofits that do not have a yearly independent audit and/or have not received ODOC's ESG funds within two (2) grant cycles may seek sponsorship from either a unit of general local government, 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.
 - b. In the occurrence of a sponsor applying on behalf of more than one shelter, separate applications must be submitted for each shelter.
3. Private Nonprofits that have a yearly independent audit but are seeking ESG funding from ODOC 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 an ODOC monitoring report with no major findings, the private nonprofit can request permission from ODOC to apply for ESG funding independently with no sponsor.
 - a. Community Action Agencies seeking ODOC ESG funding for the first time that have successful experience with following federal regulations, such as CSBG,

Weatherization, etc., are exempt from this requirement and allowed to apply without a 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 housing or administrative funds (not exceeding 3.75% of the total grant) to carry out certain activities. Not all funds used by the unit of general local government or CAA for housing 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 only funds ESG applicants located in and serving non-entitlement 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 respective 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 multiple 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](#) and [at risk 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. A comparable database must include the capacity to create reports that can be uploaded into the SAGE Reporting System.
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 registered for the federal System for Award Management (SAM) system at [sam.gov](#).
7. Grant recipients must operate outside of the jurisdictions of the City of Tulsa or The City of Oklahoma City.

THRESHOLD REQUIREMENTS FOR THE EMERGENCY SOLUTIONS GRANT

All Emergency Solutions Applicants must meet the threshold criteria listed below. ODOC reserves the right to disqualify any applicant who does not meet one or more of the threshold criteria.

- Applicant/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 hours/7 days/365 days a year.
- Applicant/Shelter must provide documentation of active involvement in Continuum of Care planning and coordination of service efforts.
- Applicant/Shelter must provide documentation that the applicant is a participating member of the Continuum of Care's Coordinated Intake/Assessment.
- Applicant/Shelter must provide required data/reporting through their Continuum of Care HMIS or comparable (DV organizations only) database.
- All outstanding ODOC monitoring findings and audit or unresolved financial/program issues from previously awarded grants must be resolved.
- All required [certifications](#) must be received and signed by the appropriate signatory.
- One hundred percent (100%) of contract funds including match must be expended before newly awarded funds can be used.
- Must have a complete set of written policies and procedures in which to manage the Emergency Solutions Grant Program that include:
 - Termination of Participation and Grievance Procedures,
 - a process for participation of Homeless Persons in Policymaking and Operations, and
 - a Confidentiality Policy.
- Must have a current Financial Audit submitted before funds can be requested from grant.
- Must follow all General Record Keeping Requirements, both for financial and client files.
- Must meet all spending timeline requirements: 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 and one hundred percent (100%) must be spent by the end of the contract period.
- Must be activated in the System for Award Management (SAM) at sam.gov. Applicant must be clear of any findings and show as eligible for federal contracts and assistance awards.

CONTINUUM OF CARE

The model used by Continuum of Care (CoCs) is based on an understanding that homelessness is not caused by simply a lack of shelter but involves a variety of underlying needs. ODOC partners with the CoCs for the purpose of alleviating homelessness through a community-based process providing a comprehensive response to the diverse needs of homeless persons. Applicants are not eligible to apply for ODOC's ESG funds unless they are an active member of their CoC. Therefore, applicants 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, Point-In-Time Count Survey and Coordinated Intake. 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

The seven (7) State Program eligible Continuum of Care organizations will be allocated a portion of the State ESG program funds. A Continuum of Care will be allocated funds upon proof of compliance 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 established by HUD under the CoC Program regulations:

1. Operate the CoC:

- Establish a Board to act on behalf of the Continuum of Care
- Conduct at least semi-annual (twice yearly) 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

2. 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

3. 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 a procedure set by ODOC/CD.

CONTINUUM OF CARE AUTHORITY/RESPONSIBILITY RELATING TO 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, with at least forty percent (40%) of the total amounts in Housing (Rapid Rehousing and Prevention together).

- If a CoC chooses not to track the amount each ESG applicant within their CoC has in housing, then, each ESG applicant within that CoC must have at least 40% of their total grant amount budgeted in Housing (Rapid Re-Housing and Prevention together) to meet this requirement.
- 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 must submit an appeal in writing;
 - How the Board shall meet (including timeframe) 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 Continuum service area to best answer the Federal/State's overall "No Wrong Door" goals.
- The CoC Governing Board must schedule one Public Meeting between the months of June and September of each year. The meeting agenda must include time on the agenda to discuss any proposed changes to the Emergency Solutions Grant Program for the next funding year. The following process must be followed to allow public posting of the annual meeting:
 - A meeting notice must be posted in the local paper and Collaborative Applicant's (CoC Lead Agency) Website.
 - The meeting agenda must be posted at all CoC's members' offices and shelters, the site of the location and at the CoC's Lead Contact's Offices a minimum of 48- hours before the meeting.

CONTINUUM OF CARE ELIGIBILITY DOCUMENTATION:

Deadlines for the following documents are listed in the [Timetable](#):

- CoC Lead Agencies must submit the following to ODOC/CD:
 - Names of volunteer application reviewers
 - If applicable, agreement with another lead CoC agency to score each other's CoC applications
 - The following data to show proof of Lead CoC Eligibility:
 - Copy of most updated CoC Governance Charter;
 - 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);
 - Copy of most current Continuum of Care Grant Consolidated Application showing the name of the lead agency or member agency who submitted the application (only if this has not already been submitted); and
 - 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:
 - Copy of Agenda and Minutes of meeting where changes were discussed and/or approved.

- Copy of policies/procedures created as a result of above discussion and approval.

DISTRIBUTION/REDISTRIBUTION OF NON-AWARDED FUNDS:

CoC allocated funding will be redistributed to remaining Continuum of Care entities when:

- The CoC does not comply with the responsibilities listed above
- A CoC is not considered an eligible Continuum of Care
- Funds are not allocated due to there being no eligible CoC in a region
- Dollars are returned due to lack of eligible applicants in a CoC region

Funds not awarded through a first-round allocation will be redistributed to other eligible Continuum of Care organizations through a procedure set by ODOC/CD. Redistribution may be based on performance and need of each CoC as a whole network.

ODOC reserves the right to recapture any administrative funds not budgeted by the awarded subrecipients equal to the maximum spending requirement allowed by HUD regulations.

FY 2023 PROGRAM DESIGN

PRIORITIES

THE 2023 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

PERFORMANCE MEASURES

Emergency Solutions subrecipients are required to choose and track all State Performance measures that best match their own organizational performance measures and local Continuum Action Plan. Each subrecipient establishes performance measures during the application process and are to use performance measures to systematically evaluate whether their efforts are making an impact on the program participants they are serving and/or the problem they are targeting. A subrecipient can have local performance measures that are different from the State Performance Measures listed in Part II.A. of this requirement below, but at least two (2) out of the four (4) State Performance Measures must be tracked. Victim Service Providers must collect the same measures in their own comparable database. Status will be reviewed during monitoring and a final count will be reported for the program year's closeout.

The Statewide Performance Measures to be tracked are:

1. Number of persons that exit ESG programs that are not Homeless Prevention into permanent housing.
 - a. Found on CAPER #23C, Permanent Destinations Subtotal.
2. Number of persons in Homeless Prevention exiting to permanent housing.
 - a. Found on CAPER #24, Homeless Prevention Housing Assessment at Exit. Add the first 6 rows of the Total column.
3. Total number of persons served.

- a. Found on CAPER #5A, 1. Total Number of Persons Served, Count of Clients column.
4. Total number of persons with income at exit or end of grant year.
 - a. Found on CAPER #17, Cash Income - Sources. Add all numbers starting with Earned Income through Other source in both the Stayers and Leavers columns on the far right.

PERFORMANCE MEASURES ARE RECORDED AND TRACKED AS FOLLOWS:

1. Goals for all appropriate performance measures start with what is reported by each Applicant in the Application.
 - a. A subrecipient can have local performance measures that are different from the State Performance Measures listed above, but at least two (2) out of the four (4) State Performance Measures must be tracked.
 - b. A subrecipient that has local performance measures different from the State Performance Measures listed above must explain in the Application how accomplishing their local goals or performance measures will overall help achieve the State Performance measures.
2. Each Performance Measure must have the following structure:
 - a. Clearly identify performance indicator;
 - b. Set performance target by establishing a clear plan for achieving the goal;
 - c. Measure performance realistically and quantitatively (with percentages or numbers);
 - d. Report Progress to ODOC during monitoring and at grant Closeout; and
 - e. Identify and make improvements.
3. Performance Measures must be tracked for a twelve-month (12) period, preferably the ESG contract period (between October 1st of one year to September 30th of the next).
4. Compliance of tracking performance measures will be reviewed during monitoring. Final performance measure numbers will be reported on the End of Program/Closeout Report when the subrecipient will identify areas where targets were not met and make improvements.
5. Subrecipients should use Point-in-Time (PIT) Data and/or data from HMIS (or a comparable database for Victim Service Providers).

DEFINITIONS RELATED TO THE PERFORMANCE MEASURES:

1. Performance Indicators:
 - a. Output - what a program or system does or produces (e.g., number served, cost/household, length of stay, etc.).
 - b. Outcomes - what is gained or changed as a result of output related to client knowledge, skills, behaviors or conditions (e.g., housing destination, recidivism, income changes, etc.)
2. Performance Target: percentage or numeric goal set for an indicator.

FUNDS DISTRIBUTED TO 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 of Care 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 2023 HUD ESG Appropriation of \$1,677,389 (minus the ODOC admin of \$62,902 and the ISOK HMIS contract of \$30,000), the 2023 Continuum of Care allocations *are projected to be* as follows:

CoC	Allocation with Base of \$140,000 Tulsa with Base of \$60,000
Cleveland	\$165,430.00
North Central	\$217,504.00
Northeast	\$235,512.00
Northwest	\$258,662.00
Southeast	\$349,282.00
Southwest	\$271,958.00
Tulsa (minus City of	\$ 86,138.00

These CoC allocations are not official until HUD issues ODOC the official FY 2023 ESG Award Letter. If the FY 2023 ESG Appropriation is different in the official Award Letter, the CoC allocations will be updated accordingly.

The formula used for ESG project funding:

1. 10% - 2021 Estimated Total Population
2. 30% - Weighted Median Income Measure
3. 30% - April 2020 Unemployment Rate
4. 30% - 2017 - 2021 Housing units experience severe overcrowding (1.5 occupants per room)

According to the set [Timetable](#), each Continuum of Care 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) for the area being served. Income limits are available on [HUD's website](#).
 - a. When the household is literally homeless, the below 30% AMI Income limit cannot be used to determine approval for assistance. At the time the household is re-assessed or reevaluated for continued or extended assistance, the household cannot make above 30 percent Area Median Income (AMI).

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 services 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. Basic details regarding eligible activities are listed below. A more detailed list can be found in ODOC's [ESG Implementation Manual](#) Requirement 703. If an activity/service is not listed in Requirement 703, then that activity/service cannot be funded through this program.

ESG Eligible Activity	Activity Description
ADMINISTRATION	3.75% maximum limit. ESG general management, oversight, and coordination.
HMIS	Costs of contributing data to the CoC designated HMIS. For example, purchasing/leasing computers, software licenses, technical support, leasing office space, and salaries for HMIS data entry.
STREET OUTREACH	ACTIVITY ONLY ALLOWED FOR UNSHELTERED HOMELESS PEOPLE.
Essential Services	Costs of engagement, case management, emergency health services, emergency mental health services, transportation, and services for special populations of unsheltered homeless people.
EMERGENCY SHELTER	ACTIVITY ONLY ALLOWED FOR HOMELESS FAMILIES AND INDIVIDUALS IN EMERGENCY SHELTERS.
Essential Services	Case management, childcare, education services, employee assistance and job training, outpatient health services, legal services, life skills training, mental health services, substance abuse treatment services, transportation, and services for special populations.
Operations	Costs of shelter maintenance (including minor and routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, supplies, and hotel/motel vouchers.
Renovation/Rehab/Conversion	Not allowed for ODOC's annual ESG program.
RAPID RE-HOUSING	ONLY ALLOWED FOR INDIVIDUALS AND FAMILIES THAT MEET PARAGRAPHS (1) OR (4) OF HUD's Homeless Definition.
Rental Housing	Short-term/medium-term rental assistance and payment of rental arrears.
Relocation and Stabilization Services - Financial Assistance	Rental application fees, security deposits, last month's rent, utility deposits, utility payments (including utility arrears), and moving costs.
Relocation and Stabilization Services - Services	Housing search and placement, housing stability case management, mediation, legal services, and credit repair.

HOMELESS PREVENTION	ONLY ALLOWED FOR INDIVIDUALS AND FAMILIES THAT MEET PARAGRAPHS (2), (3), OR (4) OF HUD'S "At Risk of Homelessness" DEFINITION AND HAVE AN ANNUAL INCOME BELOW 30% OF MEDIAN FAMILY INCOME FOR THE AREA.
Rental Housing	Short-term/medium-term rental assistance and payment of rental arrears.
Relocation and Stabilization Services - Financial Assistance	Rental application fees, security deposits, last month's rent, utility deposits, utility payments (including utility arrears), and moving costs.
Relocation and Stabilization Services - Services	Housing search and placement, housing stability case management, mediation, legal services, and credit repair.

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.

Each ESG subrecipient must establish written standards for providing ESG assistance and provide a copy to ODOC. Returning applicants must submit documentation that the Program's Written Policies and Procedures have been reviewed by the Staff and Board at least once a year. Documentation must include a Board Agenda showing the Policies/Procedures as an Agenda item as well as the minutes produced from the meeting showing the discussion and approval of the Policies/Procedures from the Board. **New subrecipients must have an established set of Policies and Procedures within ninety (90) days of receiving their ESG Award letter.** The new subrecipient must submit a copy to ODOC of the written Policies/Procedures, Board Agenda showing the Policies/Procedures as an Agenda item as well as the minutes produced from the meeting showing the discussion and approval of the Policies/Procedures from the Board.

The following standards must be applied consistently within the subrecipient's program:

- ODOC's [ESG Implementation Manual](#) Requirement 708 – Written Standards and Procedures
- ODOC's *ESG Implementation Manual* Requirement 707, Part II-M – Habitability Standards

ESG23 PROGRAM REQUIREMENTS

RELEASE OF FUNDS

Applicants awarded funds must submit a Request of Funds with the application and receive authority to use grant funds from ODOC (Release of Funds) prior to expending grant funds. Funds will not be released until all required documentation has been received. Funds expended prior to the Release of Funds will not be reimbursed.

BUDGET

Each recipient must complete a project budget and budget narrative form in OKGrants. 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 2023 ESG Program requires a dollar-for dollar local match. All eligible match funds, in-kind contributions, and cash included in the application must be available for spending during the grant's contract period. The dates available for each match resource must be entered on the Match Certification form in OK Grants. Each applicant is required to complete certification documenting the sources and amounts submitted for match available in the contract period. Matching funds cannot be used to match any other Federal program's funds nor any other ESG grant and ESG funds cannot be used to meet the matching requirements of another program that is being used to match ESG.

The matching funds are provided based on the total grant amount and do not have to be provided on a component-by-component basis. For example, if a recipient is spending \$1,000 on HMIS, they do not need to find \$1,000 in data collection funds from another source to use as match.

The amount of match must be tracked and reconciled by month and reflected on the monthly Reimbursement Claim Form submitted to ODOC in OKGrants on the 20th of each month. It is the award recipient's responsibility to ensure that 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 Match Certification form in OKGrants and tracked monthly)
- Volunteer time (Must be valued at rates consistent with those ordinarily paid for similar work in the recipient's or subrecipient's organization.)

Match fiscal supporting records must include the following:

- The fiscal year grant for which each matching contribution is counted.
- How the value placed on third-party, noncash contributions was derived. Requirement: You must use a method reasonably calculated to establish the fair market value.
- Document that the matching funds were used in accordance with both the other federal program's requirements and the requirements that apply to ESG grant funds, except for the expenditure limits in 24 CFR 576.100. This includes requirements such as documentation requirements, eligibility requirements, and eligible costs.

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 [FY 2022 HMIS Data Standards Manual](#) released December 2021 (also refer to HUD's [HMIS Data Standards](#)).

According to HUD's final ruling over data collection from Domestic Violence (DV) 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. A comparable database can be used to

collect such data. The comparable database must meet all HMIS data standards and reporting requirements.

Reports due to ODOC using data from HMIS (or comparable database for DV Shelters) are as follows:

Report Type	Reporting Period
Monthly Progress (CAPER) Report – Shelter, RRH, Prevention, and/or Outreach CAPER report for the reporting month.	Due the 20 th of the following month. For example, the January Progress (CAPER) Report would be due no later than February 20 th and uploaded with the Reimbursement Claim Form in OKGrants.
Semi-Annual Progress Reports – Report providing unduplicated numbers every 6 months.	Period from October 1 to March 31 st – Due April 25 th . Period from April 1 to September 30 th – Due October 25 th .
Contract Closeout Report – Report due with Contract Closeout.	Captures data for October 1 of one year to September 30 of the next – Due November 30 th .
SAGE Upload – Must be uploaded 45 days before CAPER is due to HUD	Period from April 1 st of one year to March 30 th of the next - Due May 15 th .

SAGE REPORTING

SAGE is the online portal for the submission of aggregate, de-identified data from HMIS or comparable databases via a Comma Separated Value (CSV) import. All Applicants who receive ESG funds will be required to upload Performance

Report data to the SAGE System. Domestic Violence Shelters are not exempt from providing required aggregate data to upload into SAGE. The comparable system that the Domestic Violence Shelters use must be able to create a CSV file needed to upload to the SAGE system to meet requirements. If a Domestic Violence Shelter’s comparable database cannot provide required demographic data and cannot provide required reports in the required format (CSV file for SAGE) the Domestic Violence Shelter may be disqualified from receiving Emergency Solution Grant funds.

PAYMENTS

ODOC shall disburse awarded funds to the Applicants upon contract execution and approval by ODOC of the Request for Release of Funds. Once the “Release of Funds” form has been emailed by ODOC to the new subrecipient, a reimbursement payment process will be implemented.

DEADLINE FOR USING GRANT AMOUNTS

The grant period for the ESG project is twelve (12) months: October 1, 2023 to September 30, 2024. All grant funds must be expended by September 30, 2024. Extensions to the program (grant) periods are made at the discretion of the State and will only be approved in extreme circumstances.

In addition, timelines within the twelve-month contract period have been established to ensure one hundred percent (100%) of program funds are spent within the program period. Grant funds must be spent within the following timelines: 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 and one hundred percent (100%) must be spent by the end of the contract period.

OBLIGATED

Once ODOC has received an ESG grant agreement by HUD, ODOC will send a letter to each rural continuum 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 (Release of Funds).

CERTIFICATIONS

Federal requirements will be assured by certifications in the grant application. Forms to complete are found in [2023 Grant Application Forms](#).

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. Do not wait until the last minute to obtain this signature, as it takes 3-5 business days to process. 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 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 Audit Policies and Procedures Manual.

Per ODOC's Audit Policies and Procedures Manual, [Oklahoma Administrative Code Title 150 Chapter 1 Subchapter 21](#) establishes the policy and procedures for the audit of state and federal funds administered by ODOC.

1. If a private non-profit subrecipient has an annual income of \$50,000 or more (no longer \$25,000) during a fiscal year, it is required by Oklahoma State Statute to have an audit prepared. When such funds are awarded through ODOC, a report also needs to be submitted to ODOC.
2. If a private non-profit subrecipient expends a total of \$750,000 or more in Federal awards during the fiscal year, a Single Entity Audit or program specific audit in accordance with the provisions of [2 CFR part 200.500-521](#) needs to be conducted. When such funds are awarded through ODOC, a report also needs to be submitted to ODOC.
3. Audit requirements for sponsors that are units of general local governments (UGLGs):
 - a. An UGLG (city, town, or municipality) with an annual income of \$50,000 or more (no longer \$25,000) must complete an annual audit ([HB1058](#)) unless otherwise required by a stricter regulation.
 - b. If the revenue of an UGLG that is a city, town, or municipality is \$50,000 or more (no longer \$25,000), but its population is less than 2,500, it has the option to request a biennial agreed-upon-procedures engagement, which would be prescribed by the State Auditor and Inspector and developed in collaboration with a representative from an organization representing municipal governments, a representative from an organization that advises municipal clerks and treasurers and a certified public accountant ([HB1058](#) which repeals [11 O.S. 17-108](#)). This is allowed unless otherwise required by a stricter regulation.
 - c. An UGLG that is a county must have the Oklahoma State Auditor and Inspector complete their audit at least every two years. [[19 OK Stat § 19-171 \(2021\)](#)]

Audit reports must be submitted to ODOC within thirty (30) days of completion of report but no later than nine (9) months after the end of the subrecipient's fiscal year.

If the audit has not been submitted or the audit is not closed prior to the release of funds, then subrecipient 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.

CLIENT 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 applicant.

PERFORMANCE

ODOC reserves the right to recapture Emergency Solution Grant funds under the following circumstances:

- Failure to obligate and spend within the time periods as specified in this application:
 - 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.
- Failure, without approved modification, to implement the project as set forth in the approved ESG grant application.
- Failure to meet the specified performance measures.
- Failure to meet [threshold](#) responsibilities during the contract period.

APPLICATION PROCEDURES, SUBMISSION AND SELECTION REQUIREMENTS

CONTINUUM OF CARE SCORING PROCESS:

1. After applications are submitted into OKGrants, volunteers whose names have been submitted from each CoC (according to the timeframe outlined in the Timetable) will receive training through a Webinar training to become a Reviewer. Reviewers will be trained how to use the ESG Scoring tool and shown how to enter scores into OKGrants. Reviewers will then be given a login to OKGrants and additional instructions to score their assigned applications online.
2. There will be three (3) Reviewers assigned to every eligible application. The two (2) highest scores will be averaged for the CoC Governing Board to use to make final funding recommendations.
3. Reviewers will be given a deadline to score applications.
4. 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.
5. ODOC will then conduct 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. First time applicants that are awarded funds will be automatically scored as a "High Risk" and will

- have special conditions added to their contract, including additional Technical Assistance, monitoring and submitted source documentation with every Reimbursement Claim Form.
6. ODOC will either approve the CoC's recommendation for funds or amend/refuse funding to applicants for, but not limited to:
 - a. Receiving less than 50% of the total points available for the application,
 - b. Receiving High Risk assessment scores that show applicant has too many unresolved compliance issues to qualify for funding,
 - c. Not meeting all ESG threshold requirements, and/or
 - d. Requesting ineligible expenses in their budget not found by the Reviewers.
 7. ODOC will send award letters to subrecipients with final instructions regarding how contracts are initiated in OKGrants.

APPLICATION WORKSHOP

A mandatory application workshop has been scheduled for March 28, 2023. Attendance is mandatory for all organizations planning on applying for the 2023 ESG Program Year. After the Application is made available in OKGrants, 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 Grant 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. If a site visit is warranted, all CDC, Department of Commerce and Shelter policies in regard to masks and social distancing will be followed to ensure health and safety of all involved.

PROGRAM APPLICATION GUIDELINES AND SUBMISSION REQUIREMENTS

All grant applications must be submitted electronically through the ODOC OKGrants Grant Management System at <https://grants.ok.gov/>.

OKGrants instructions can be found on the [OKGrants Resource Page](#) and in the [OKGrants Subgrantee User Manual](#).

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 (e.g., HMIS, Shelter, Rapid Re-Housing, Prevention, Outreach).

FY 2023 EMERGENCY SOLUTIONS GRANT CHECKLIST

A few tips regarding the required information:

1. Forms from previous ESG grant applications are not allowed, as they will not be valid for the new grant year. All document dates will need to coincide/agree with the ESG 23 funding dates. ESG23 Grant Application forms can be found [here](#).
2. The Certificate of Consistency, HUD Form 2991, will need to be sent to ODOC for a signature by the Director of Community Development once applicant completes their part of the form. DO NOT wait until the last minute.
3. DO NOT wait until the last minute to contact your local government or CoC for documents or signatures. The ESG grant deadline is **5pm on May 31, 2023** and is very strict. Applications submitted after the deadline will not be considered under any circumstance.
4. The ESG Budget Detail section is different. Pay attention and enter the budgets in the format provided in OKGrants.
5. Check your sam.gov registrations early. Applications will be returned for non-valid or expired registrations.
6. All new applicants or returning applicants who have changed addresses and/or banking/financial updates, must complete and upload a W-9 and OMES Vendor/Payee Form.
7. Applications sent back through OKGrants for changes need to be corrected and resubmitted back to ODOC within 14 calendar days to meet the ESG23 Application/Grant timelines. Any delay can and will affect your ability to meet the spending requirements. Check the status of your application frequently in your OKGrants Task box during the ESG application process.

OKGRANTS SECTIONS:

Application Summary

Fill this section out completely.

Include all counties where ESG funds will be used, if more than one county.

Ensure signature is the OKGrants Authorized Official.

Ensure grant dates are correct: October 1, 2023 – September 30, 2024.

Project Narrative Exhibits (questions are [below](#))

Enter detailed explanations of programs on this page.

Exhibits must align with Budget Detail and Budget Narrative.

Demographics Comparison Report, CAPER for last 12 months, Letters relating to match, and CoC Agreement for HMIS Data Entry must be uploaded in the appropriate answers on this page.

Risk Assessment questions must all be answered.

Budget Detail

Must be in line with Project Narrative and Budget Narrative.

Match does not have to equal 'ESG Requested Funds' per line item, though the Match total must equal the 'ESG Requested Funds' total. *For example, if \$1,000 in ESG funds is budgeted for HMIS, it is not necessary to budget \$1,000 in data collection funds from another source to use as match.*

Budget Narrative

Must be in line with Project Narrative and Budget Detail.

Audit

Most recent audit must be uploaded to this section.

If most recent audit is not complete, provide a document (letter) from agency auditor stating when expected completion and upload to ESG 23 application will be.

NOTE: Funding could be held up if most recent audit is not received.

Match Certification

Match funds must equal ESG grant amount awarded.

This same match supporting documentation should also be uploaded in the Project Narrative Exhibits. DO NOT upload this information in the Uploads section.

Date of availability of match funds must coincide with ESG 23 funding dates and match documentation should clearly provide dates and amounts.

OKGRANTS UPLOADS SECTION – LIST OF FORMS THAT MUST BE UPLOADED TO THIS SECTION

Program Certifications and Assurance, which includes

Section I. Applicant Assurances

Section II. Program Certifications

Section III. Drug-Free Workplace

Section IV. Anti-Lobbying Certification

Applicant/Recipient Disclosure/Update Report (read [this](#) before filling out this form)

Certification of Consistency with Consolidated Plan HUD 2991 (signed by ODOC's Director of Community Development)

Environmental Review Record for Exemptions/Release of Funds

Continuum of Care Agreement for HMIS Data Entry (same agreement was also uploaded to Project Narrative Exhibits)

Victim Service Providers using a comparable database should upload the agreement with the comparable database provider (i.e., EmpowerDB agreement between agency and EmpowerDB).

Continuum of Care Lead Agency Participation letter

System for Award Management (sam.gov) PDF Verification of Non-Debarred Status, UEI#, and date of expiration

Current Board Roster including email addresses for each Board member

Documentation showing proof of Annual Board Review of ESG Written Policies and Procedures

Sponsor/Shelter agreement (for applicants who are sponsoring shelters)

Shelter Habitability Standards Checklist

Shelter Lead-Based Paint Checklist

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

All new applicants, or returning applicants who have changed addresses, contact personnel, and/or banking/financial updates, must complete and upload the following:

W-9 (found at <https://www.irs.gov/pub/irs-pdf/fw9.pdf>)

[OMES Vendor/Payee form](#)

NOTE: If uploading a document to a space in the uploads section that is not pre-labeled, PLEASE use the space provided to label the document.

SECTION I – V QUESTIONS

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. In the Narrative Exhibit Section (In OKGrants), please provide as much thorough information as possible. **If ESG funds are not being requested for a particular activity, the applicant should describe how they still do that activity or partner with others to do so.**

Section I Community Needs (15 Pts)	
Description	Question
<p>I-1) The applicant has a targeted and clearly demonstrated need. The applicant’s services will make a significant impact on the community in alleviating homelessness.</p> <p>The applicant is knowledgeable of the level of need in the community and provides local data to document who is being served and a potential for those who may need to be served in the community.</p> <p>I-2) The Applicant’s response must clearly describe how their staff/volunteers participated in the annual Point-in-time (PIT) Count. The results from the PIT must also be included</p>	<p>I-1) Describe the need for homeless assistance services in your area.</p> <ul style="list-style-type: none"> • Include where “proof of need” data was collected. <p>I-2) Describe Applicants participation in Annual Point-in-time Count. Explain the numbers collected by the applicant and how the applicant uses the PIT results to change program priorities or services.</p>
Section II Proposed Use of Funds (50 pts)	
Description	Question
<p>II-1) Each applicant must provide one of Shelter two options:</p> <p>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</p> <p>2) Applicant has an Emergency Shelter facility designed to provide temporary shelter for individuals and/or families lacking a fixed, regular, and adequate nighttime residence. Local policy shall determine length of stay in the shelter.</p>	<p>II-1) Describe the organization’s Emergency Shelter Component. Include details such as:</p> <ul style="list-style-type: none"> • How shelter remains accessible/open to meet the 24/7/365 accessibility requirement • The maximum length of stay • Description and explanation of any fees for services that the shelter charges • Essential services to persons in emergency shelters • Emergency shelter operating costs <p>Staff costs related to carrying out emergency shelter activities are also eligible</p>

<p>II-2) 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 (i.e., Soup kitchen or Day Center).</p> <p>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.</p>	<p>II-2) Describe the organization’s Street Outreach Services.</p>
<p>II-3) Thorough description of how Rapid Rehousing/ Prevention 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.</p> <p>Depending on the needs of the community and the funding needs of the applicant, the applicant is not required to provide both Rapid Rehousing and Prevention assistance. The applicant does not need to provide all activities listed to receive full points.</p>	<p>II-3) Describe how clients access requested Rapid Rehousing/Prevention Services, including what documentation is collected/verified regarding the client’s program eligibility and how housing is selected.</p>
<p>II-4) Proposed case management services are well described and easily relate to the needs of the clients’ applicants intend to serve with ESG funds (Outreach, Shelter, Rapid Rehousing and/or Prevention).</p> <p>All key positions are described in relation to program implementation and operation. The Applicant must include qualifications required of case managers along with what type of training provided or made available to case management staff.</p>	<p>II-4) Describe what level of case management clients receive at the Shelter.</p> <ul style="list-style-type: none"> • Identify the person(s) responsible for carrying out case management activities. • Include the qualifications of the case managers identified in the response. <p>Also include what kind of training is provided to case management staff.</p>
<p>II-5) Applicant must describe some level of external training provided for case management/ housing assistance staff members. SOAR should be mentioned.</p>	<p>II-5) Describe the training ESG staff receives to improve quality of service for the program participants approved for shelter/housing assistance. Whom in the organization/shelter has received the following training: SOAR, ADA compliance training, Housing first, trauma informed care, evidenced-based case management practices, etc.</p>

<p>II-6) Response should include a brief description about appropriate policies and protocols for the discharge of persons from applicant's ESG Shelter, Outreach, RRH, and/or Prevention programs. Policies and protocols should also include how agency is working/will work with their CoC, partner agencies, and publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) to prevent such discharge from immediately resulting in homelessness for such persons.</p>	<p>II-6) Describe the agencies' Participant Discharge Plan from agency homeless services programs to prevent the discharge of persons into homelessness. The Discharge Plan should also include how the agency is working/will work with CoC, partner agencies, and publicly funded institutions or systems of care to prevent the discharge of persons into homelessness.</p>
<p>II-7) Equity refers to proportional representation (by race, class, gender, etc.) of opportunities in housing, healthcare, employment, and all indicators of living a healthy life.</p> <p>Response should include description of the following: <u>Advancing Equity through Homeless Response Inclusion</u>: To what extent are the diverse identities and perspectives of Black, Indigenous and people of color included in this decision-making process that will impact their lives? <u>Data (quantitative and qualitative)</u>: To what extent do you know who is most impacted beyond who currently presents at the front door(s)? <u>Strategies</u>: To what extent do the strategies (programs and policies) meet the needs of those impacted and does not cause harm? <u>Impact</u>: To what extent do you seek out the unintended harm and creation of new margins through policies and program requirements? <u>Evaluation</u>: To what extent do you use disaggregated data and feedback from those with lived experience to monitor the impact that your decision, policy, or program has on each population. <u>Accountability</u>: To what extent have you built gathering input, advice and recommendations on an on-going basis into the homeless response system?</p> <p>Applicant must upload completed Demographics Comparison Report. Missing or incomplete reports should not be given full available points.</p>	<p>II-7) Describe the agency's process and status in gathering data and developing a plan to improve racial equity within the services provided to the community.</p> <p>Complete Demographics Comparison Report and upload in available space below response for II-7 on Projects Narrative Exhibit form in OKGrants.</p>

Section III Performance Measures (30 Pts)	
Description	Questions
<p>III-1) Performance measures of the program, whether local or State, 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.</p> <p>At least 2 out of the 4 State Performance Measures must be tracked. 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.</p>	<p>III-1) List local Program Performance Measures and Outcome goals, if applicable. List State Performance Measures and Outcome Goals. At least 2 out of the 4 State Performance Measures must be tracked in addition to any local Performance Measures an applicant wishes to track. Outcome goals must be quantitative (as percentages or numbers) and for a 12-month period – preferably during the ESG program year. Refer to the Performance Measures section of the application for more guidance.</p> <ol style="list-style-type: none"> 1. Number of persons that exit ESG programs that are not Homeless Prevention into permanent housing. Outcome: _____ 2. Number of persons in Homeless Prevention exiting to permanent housing. Outcome: _____ 3. Total number of persons served. Outcome: _____ 4. Total number of persons with income at exit or end of grant year. Outcome: _____
<p>III-2) 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.</p>	<p>III-2) How will achieving the local performance measures help achieve the State Performance Measures?</p>
<p>III-3) Applicant must upload separate CAPERs from each project in which ESG funds were expended (Shelter, Outreach, RRH, Prevention). Scores/percentages/error rates more than 5% (found on the CAPER question 6) should not be given full available points. If the applicant has never applied for ESG before and never entered into HMIS, they have no reports to upload and should not receive less points.</p>	<p>III-3) How will the data be collected? Include HMIS or comparable database CAPER from each project in which ESG funds were expended (Shelter, Outreach, RRH, Prevention) for the last 12 months.</p> <p>Upload the separate CAPERs for last 12 months in available spaces below response for III-3 on Projects Narrative Exhibit form in OKGrants.</p> <p>NOTE: Each time a CAPER is uploaded and saved, an additional upload line will be provided.</p>

Section IV Community and Local Government Commitment (5 Pts)	
Description	Questions
<p>IV-1) The match sources/amounts listed in the Project Narrative Exhibits and the uploaded supporting documentation <i>must</i> correspond with the totals listed on Match/Additional Funds Form in OK Grants.</p> <p>Match documentation must be provided to show as much of the ESG23 program year (October 1, 2023-September 30, 2024) as possible is covered.</p> <p>Points will be taken away if source documentation is not provided. However, if match documentation for that timeframe has not yet been provided (since State and Federal grant award letters might not even be available for the ESG23 program year before the application submittal date of May 31, 2023), the applicant may provide current award letters that may be outside of the ESG23 program year as examples of the match that will probably be provided during the ESG23 grant. Approved applicants will be required to provide updated documentation in September-October, if necessary, before contract execution.</p> <p>IV-2) Maximum 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.</p>	<p>IV-1) List match source and amounts that will be provided to match 100% of the ESG funds from October 1, 2023 through September 30, 2024. Source documentation showing match funding sources/amounts must be on the letterhead of the organization's providing the match and uploaded in the space provided under response IV-2 of the Projects Narrative Exhibits form in OKGrants. The same letters will also need to be uploaded in the Match Certification page in OKGrants. Eligible forms of match include but are not limited to:</p> <ul style="list-style-type: none"> • Volunteer time (must be valued at rates consistent with those ordinarily paid for similar work in the recipient's or subrecipient's organization). • 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. (Can only be used as ESG match once.) • The value of salary paid to staff to carry out the ESG Program. • Cash awards from foundations, organizations, private individuals, and other government sources. <p>IV-2) Describe how community and local government support (in-kind or cash contributions) is received and how these contributions benefit the proposed program.</p>
Section V Continuum of Care Requirements (50 Pts)	
Description	Questions
<p>V-1) The applicant should provide a description of how their services fit in with the performance measures, action plan and/or mission of their local Continuum.</p>	<p>V-1) Explain how services proposed fit into the local CoC's Action Plan to end homelessness? If exempt from using HMIS, describe how method for collecting data is comparable to HMIS.</p> <p>Upload CoC Agreement for HMIS Data Entry in space below V-1 in Projects Narrative Exhibit Form in OKGrants. Victim Service Providers</p>

	<p>using a comparable database should upload the agreement with the comparable database provider (i.e., EmpowerDB agreement between agency and EmpowerDB). The same agreement will also need to be uploaded in the Uploads section of the Application in OKGrants.</p>
<p>V-2) 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.</p>	<p>V-2) Describe the Organization's involvement in the CoC's Coordinated Entry Process required by HUD. Explain what and how priorities were changed to accommodate the updated HUD guidance.</p>
<p>V-3) Mainstream services and the process by which shelter clients are connected to those services is thoroughly described and appears feasible. Mainstream services include SSI/SSDI, TANF, Food Stamps, services through DHS, OJA, etc.; services that are mainly provided through Federal or State funding. The Shelter can also mention how they work with local law enforcement, hospitals and mental health facilities regarding discharge planning.</p>	<p>V-3) Describe the mainstream services available in your area and the process for connecting shelter clients to these services.</p>
<p>V-4) 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.</p> <p>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.</p>	<p>V-4) What agencies in your area do you collaborate with to provide better care for your clients and to prevent duplication of services?</p>
<p>V-5) 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).</p>	<p>V-5) Describe how homeless and/or formerly homeless persons participate in the operations, planning, development, and/or policy making at your shelter.</p> <p>A duplication of benefits/services occurs when a person, household, business, government, or other entity receives financial assistance from multiple sources for the same purpose, during the same time period, and the total assistance received for that purpose is more than the total need for assistance.</p>

Do not forget to fill out the Section VI. Risk Assessment questions in OKGrants. They will not be used in scoring the application, but they will be used by ODOC staff before contract execution.

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.
- Neighborhood Development Demonstration under Section 123 of the Housing and Urban-Rural Recovery Act of 1983.
- Nehemiah Grants under 24 CFR Part 280.
- 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.
- Public Housing Drug Elimination Grants under Section 5129 of the Anti-Drug Abuse Act of 1988.
- Fair Housing Assistance under 24 CFR Part 111.
- Public Housing Early Childhood Development Grants under Section 222 of the Housing and Urban-Rural Recovery Act of 1983.
- 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 2023 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:
 - i. Has moved because of economic reasons two or more times during the 60 days immediately preceding the application for homelessness prevention assistance;
 - ii. Is living in the home of another because of economic hardship;
 - iii. Has been notified in writing that their right to occupy their current housing or living situation will be terminated within 14 days after the date of application for assistance;
 - iv. 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;
 - v. 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;
 - vi. 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
 - vii. 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.

Chronically Homeless:

1. A homeless individual with a disability as defined in section 401(9) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11360(9)), who:

- a. Lives in a place not meant for human habitation, a safe haven, or in an emergency shelter; and
 - b. Has been homeless and living as described continuously for at least 12 months without a break in homelessness (a “break” in homeless is considered to be 7 or more nights) or on at least 4 separate occasions in the last 3 years, as long as the combined occasions equal at least 12 months and each break in homelessness separating the occasions included at least 7 consecutive nights of not living as described.
2. An individual who has been residing in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital, or other similar facility, for fewer than 90 days and met all of the criteria of this definition, before entering that facility (an individual residing in an institutional care facility does not constitute a break in homelessness); or
 3. A family with an adult head of household (or if there is no adult in the family, a minor head of household) who meets all of the criteria of this definition, including a family whose composition has fluctuated while the head of household has been homeless.

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 rehousing; 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.

Debarment: Debarment is the state of being excluded from certain possessions, rights, privileges, or practices and the act of prevention by legal means. For example, companies can be debarred from contracts due to allegations of fraud, mismanagement, and similar improprieties.

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.

Duplication of Benefits: A duplication of benefits occurs when a person, household, business, government, or other entity receives financial assistance from multiple sources for the same purpose, and the total assistance received for that purpose is more than the total need for assistance.

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, and which does not require occupants to sign leases or occupancy agreements. 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, seven (7) days per week, 365 days a year.

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.

Families with Children and Youth Defined as Homeless under other Federal Statutes: This term 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 of Subtitle I of the McKinney-Vento Act, and shall also include the parent, parents, or guardian of such children or youth under subtitle B of title VII this Act (42 U.S.C. 11431 et seq.).

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 and congregate shelters); 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, but who:
 - a. Are defined as homeless under the other listed federal statutes:
 - i. Section 387 of the Runaway and Homeless Youth Act (42 U.S.C. 5732a), section 637 of the Head Start Act (42 U.S.C. 9832), section 41403 of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2), section 330(h) of the Public Health Service Act (42 U.S.C. 254b(h)), section 3 of the Food and Nutrition Act of 2008 (7 U.S.C. 2012), section 17(b) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)), or section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a);
 - b. Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the application for homeless assistance;
 - c. Have experienced persistent instability as measured by three moves or more during the 90-day period immediately before applying for homeless assistance; and
 - d. 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.

Exclusion: For ESG, 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.

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. A person shall also be considered to be a homeless individual with a disability if he or she has a disability that is a developmental disability, as defined in this section; or
 3. If he or she has acquired immunodeficiency syndrome (AIDS) or any conditions arising from the etiologic agency for acquired immunodeficiency syndrome, including infection with the human immunodeficiency virus (HIV).

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.

Homeless 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.

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.

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

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.

Individuals: Persons not accompanied by children or adult partner. Individuals can also mean the number of family members in a household.

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 and shall have the meaning provided in 2 CFR 200.80. Per 24 CFR 576.201(f), costs paid by program income shall count toward meeting the subrecipient's matching requirements, provided the costs are eligible ESG costs that supplement the subrecipient's ESG program.

Program participant: an individual or family who is assisted under the ESG program.

Program Year: the consolidated program year established by the recipient under 24 CFR part 91.
Project-Based Rental Assistance (PBRA): In PBRA, the subrecipient contracts for a particular unit or property and the participant then enters a lease with the landlord. If the participant moves, the PBRA stays with the unit for the next eligible participant. Program participants must reside in housing provided through a contract with the owner of an existing structure whereby the owner agrees to lease subsidized units to program participants. Program participants do not retain the rental assistance if they relocate to a unit outside the project; the subsidy remains with the project. *Note - The Oklahoma Department of Commerce does not allow ESG funds to be expended on project-based rental assistance.*

Rapid re-housing assistance: The provision of 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.

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.

System for Award Management (SAM): A Federal Government owned and operated free web site that consolidates the capabilities in Central Contractor Registration (CCR), Online Representations and Certifications Applications (ORCA) and the Excluded Parties List System (EPLS). To receive ESG funds, a business or non-profit organization needs to be registered at sam.gov. This registration is sometimes referred to as "self-certifying" an organization with the primary database of vendors doing business with the federal government. Any organization shown as debarred in sam.gov (due to allegations of fraud, mismanagement, and similar improprieties) will not be eligible to receive ESG funds.

Telework: As defined in the Telework Enhancement Act of 2010: "[t]he term 'telework' or 'teleworking' refers to a work flexibility arrangement under which an employee performs the duties and responsibilities of such employee's position, and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work."

Tenant-Based Rental Assistance (TBRA): In TBRA, the program participants locate housing in the private rental market and enter into a lease with the property owner. Program participants are responsible for locating housing in the private rental market. If a program participant later moves to another unit, he/she can take the rental assistance and use it in the new unit.

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.

Unaccompanied Youth: Youth for the purposes of this program under the age of 25 years of age that 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.

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: 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: 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.

Weather and Safety Leave: Pursuant to Administrative Leave Act of 2016 and 5 CFR 630, an agency may grant weather and safety leave to employees only if they are prevented from safely traveling to or safely performing work at a location approved by the agency due to:

1. An act of God;
2. A terrorist attack; or
3. Another condition that prevents an employee or group of employees from safely traveling to or safely performing work at an approved location.

2023 ESG GRANT APPLICATION FORMS

SECTION I. APPLICANT ASSURANCES

Emergency Solutions Grant (ESG) Program – Program Certifications and Assurances

To be submitted by all Applicants.

I, _____ (Name of Elected Official / Executive Director),

_____ (title) certify that if awarded FY 2023 Emergency Solutions Grant funding

_____ (Name of local unit of government, Community Action Agency or
Nonprofit) does assure the following:

Homeless individuals and families will be given assistance in obtaining:

1. Appropriate case management, assistance in 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).

INITIALS of Authorized Elected Official / Executive Director

Date

SECTION II. PROGRAM CERTIFICATIONS

Emergency Solutions Grant (ESG) Program – Program Certifications and Assurances

To be submitted by all Applicants.

Consolidated Plan – The 2023 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, appropriate policies and protocols for the discharge of persons from applicant’s shelter and/or housing programs in order to prevent such discharge from immediately resulting in homelessness (or going back into homelessness) for such persons. Policies and protocols should also include how agency is working/will work with their CoC, partner agencies, and publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) 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

Emergency Solutions Grant (ESG) Program – Program Certifications and Assurances

To be submitted by all Applicants.

Drug-Free Workplace -- Applicant 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 applicant'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 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. Abide by the terms of the statement; and
 - 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 ODOC 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

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

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

Workplaces under grants, for applicants other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the applicant does not identify the workplaces at the time of application, or upon award, if there is no application, the applicant 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 applicant's drug-free workplace requirements.

Workplace identifications must include the actual address of buildings (or parts of buildings), shelters, or other sites where work under the grant takes place. Categorical descriptions may be used.

If the workplace identified to ODOC changes during the performance of the grant, the applicant shall inform ODOC of the change(s), if it previously identified the workplaces in question.

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

Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Applicants' 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 an applicant 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 applicant's payroll. This definition does not include workers not on the payroll of the applicant (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the applicant's payroll; or employees of subrecipients or subcontractors in covered workplaces).

INITIALS of Authorized Elected Official / Executive Director

Date

SECTION IV. ANTI-LOBBYING CERTIFICATION

Emergency Solutions Grant (ESG) Program – Program Certifications and Assurances

To be submitted by all Applicants.

Anti-Lobbying --To the best of the local government 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.

INITIALS of Authorized Elected Official / Executive Director

Date

Authorized Signature & Official Title

Date

APPLICANT/RECIPIENT DISCLOSURE/UPDATE REPORT

Applicant/Recipient Disclosure/Update Report	U.S. Department of Housing and Urban Development	OMB Approval No 2510-0011
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Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2 of this [document](#). Also read the HUD PROGRAMS SUBJECT TO THE DISCLOSURE REQUIREMENTS in this RFA before filling out this document.)

Applicant/Recipient Information **Indicate whether this is an Initial Report** **or an update report**

1. Applicant/Recipient Name, Address, and Phone (include area code):	2. Social Security Number or Employer ID Number:
3. HUD Program Name	4. Amount of HUD Assistance Requested /Received

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

Part I Threshold Determinations

<p>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).</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>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</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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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.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use additional pages as necessary.)

Part III Interested Parties. You must disclose: 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 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).

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

(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: _____ Date: (mm/dd/yyyy) _____

X

CERTIFICATION OF CONSISTENCY WITH CONSOLIDATED PLAN HUD 2991

To be submitted by all Applicants.

Instructions: Complete the form with applicant information, then email to ODOC ESG liaison so Director of Community Development signature can be obtained. Form could take up to 3-5 business days to process.

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: Oklahoma Department of Commerce

Certifying Official of the Jurisdiction Name: Marshall Vogts

Title: Director of Community Development

Signature: _____

Date: _____

**Form
HUD-2991**

ENVIRONMENTAL REVIEW RECORD FOR EXEMPTIONS/RELEASE OF FUNDS

Oklahoma Department of Commerce/Office of Community Development
Emergency Solutions Grant Program

Environmental Review or Activity/Project that is Exempt or Categorically Excluded Not Subject to Section 58.5
Pursuant to 24 CFR Part 58.34(a) and 58.35(b)

REQUEST FOR RELEASE OF FUNDS AND CERTIFICATION

Contractor Name:		Funds Requested:
Address:		Date of Request:
Project Description (Brief):		
I have reviewed and determined that the above-mentioned project is a Categorically Excluded activity (subject to §58.5) per 24 CFR §58.35(a) as follows: (Place checkmark by each requirement to verify that Applicant's project does not include any item listed)		
<input type="checkbox"/>	58.35(a) (1). Acquisition, repair, improvement, reconstruction, or rehabilitation of public facilities and improvements (other than buildings) when the facilities and improvements are in place and will be retained in the same use without change in size or capacity of more than 20 percent (e.g., replacement of water or sewer lines, reconstruction of curbs and sidewalks, repaving of streets);	
<input type="checkbox"/>	58.35(a) (2). Special projects directed to the removal of material and architectural barriers that restrict the mobility of and accessibility to elderly and handicapped persons;	
<input type="checkbox"/>	58.35(a) (3). Rehabilitation of buildings and improvements when the following conditions are met:	
<input type="checkbox"/>	58.35(a) (3) (i). In the case of a building for residential use (with one to four units), the density is not increased beyond four units, the land use is not changed, and the footprint of the building is not increased in a floodplain or in a wetland;	
<input type="checkbox"/>	58.35(a) (3) (ii). In the case of multifamily residential buildings: (A) Unit density is not changed more than 20 percent; (B) The project does not involve changes in land use from residential to non-residential; and (C) The estimated cost of rehabilitation is less than 75 percent of the total estimated cost of replacement after rehabilitation.	
<input type="checkbox"/>	58.35(a) (3) (iii). In the case of non-residential structures, including commercial, industrial, and public buildings: (A) The facilities and improvements are in place and will not be changed in size or capacity by more than 20 percent; AND (B) The activity does not involve a change in land use, such as from non-residential to residential, commercial to industrial, or from one industrial use to another.	
<input type="checkbox"/>	58.35(a) (4) (i) An individual action on up to four dwelling units where there is a maximum of four units on any one site. The units can be four one-unit buildings or one four-unit building or any combination in between; or	
<input type="checkbox"/>	58.35(a) (ii) An individual action on a project of five or more housing units developed on scattered sites when the sites are more than 2,000 feet apart and there are not more than four housing units on any one site. 58.35(a) (iii) Paragraphs (a) (4) (i) and (ii) of this section do not apply to rehabilitation of a building for residential use (with one to four units) (see paragraph (a) (3) (i) of this section).	
<input type="checkbox"/>	58.35(a) (5). Acquisition (including leasing) or disposition of, or equity loans on an existing structure, or acquisition (including leasing) of vacant land provided that the structure or land acquired, financed, or disposed of will be retained for the same use.	
<input type="checkbox"/>	58.35(a) (6). Combinations of the above activities.	
Signature of Authorized Official: _____		
Name & Title of Authorized Official: _____		
Date: _____		

LOCAL GOVERNMENT CERTIFICATION

Emergency Solutions Grant (ESG) Program

To be submitted ONLY by Units of General Local Government Applicants.

I, _____, Chief Elected Official of

_____, certify that the units of general local government will comply with the following:

The requirements of 24 CFR Sec. 576 and the current 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.

The building standards requirement of 24 CFR Sec. 576.55.

The requirements of 24 CFR Sec. 576, concerning assistance to the homeless.

The requirements of 24 CFR Sec. 576.330, other appropriate provisions of 24 CFR Part 576, and other applicable Federal laws concerning nondiscrimination and equal opportunity.

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 ONLY by Community Action Agencies (CAA) or Independent Nonprofits.

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 and the current 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;
2. The building standards requirement of 24 CFR Sec. 576.55;
3. The requirements of 24 CFR Sec. 576 concerning assistance to the homeless; and
4. The requirements of 24 CFR Sec. 576.330, other appropriate provisions of 24 CFR Part 576, and other applicable Federal laws concerning nondiscrimination and equal opportunity.

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 (ESG) Program

To be submitted ONLY by Community Action Agencies (CAA) or Independent Nonprofits and 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

DEMOGRAPHICS COMPARISON REPORT

Emergency Solutions Grant (ESG) Program

To be submitted by all Applicants.

Equity refers to proportional representation (by race, class, gender, etc.) of opportunities in housing, healthcare, employment, and all indicators of living a healthy life.

By collecting information and asking how the data gathered is used to strategize and evaluate decisions; planning can improve to better serve the whole community. Provide the data requested on this form. Upload the form in the space provided under the applicant's response for question II-7 on the *Project Narrative Exhibits Form* in OK Grants.

Applicant Name: _____

Shelter Name: _____

Data Collection Method (ex.HMIS, DV Comparable, etc.) _____

Service Area Population: _____ Total
 Individuals Served: _____ Total

Provide combined totals for all Counties in service area. This data can come from the Census or State data resource.

Provide data from the HMIS CAPER report or comparable report when using comparable database.

Race	Service Area Population	Community
	Totals (If possible)	Percentages
White		
Black or African American		
Asian		
American Indian or Alaska Native		
Native Hawaiian or Other Pacific Islander		
Multiple Races		
Client Doesn't Know/Client Refused		
Data Not Collected		
TOTAL		

Race	Individuals Served	HMIS Client
	Totals	Percentages
White		
Black or African American		
Asian		
American Indian or Alaska Native		
Native Hawaiian or Other Pacific Islander		
Multiple Races		
Client Doesn't Know/Client Refused		
Data Not Collected		
TOTAL		

Ethnicity	Service Area Population	Community
	Totals (If possible)	Percentages
Non-Hispanic/ Non-Latino		
Hispanic/Latino		
Client Doesn't Know/Client Refused		
Data Not Collected		
TOTAL		

Ethnicity	Individuals Served	HMIS Client
	Totals	Percentages
Non-Hispanic/ Non-Latino		
Hispanic/Latino		
Client Doesn't Know/Client Refused		
Data Not Collected		
TOTAL		

SHELTER HABITABILITY STANDARDS CHECKLIST

Instructions: Place a check mark in the correct column to indicate whether the property is approved or deficient with respect to each standard. A copy of this checklist should be placed in the shelter’s files. For more information about ESG Minimum Habitability Standards, refer to HUD’s [ESG Minimum Habitability Standards for Emergency Shelter and Permanent Housing](#).

Approved	Deficient	Standard <i>(24 CFR part 576.403(b))</i>
		1. <i>Structure and materials:</i> a. The shelter building is structurally sound to protect the residents from the elements and not pose any threat to the health and safety of the residents. b. Any renovation (including major rehabilitation and conversion) carried out with ESG assistance uses Energy Star and WaterSense products and appliances.
		2. <i>Access.</i> Where applicable, the shelter is accessible in accordance with: a. Section 504 of the Rehabilitation Act (29 U.S.C. 794) and implementing regulations at 24 CFR part 8; b. The Fair Housing Act (42 U.S.C. 3601 et seq.) and implementing regulations at 24 CFR part 100; and c. Title II of the Americans with Disabilities Act (42 U.S.C. 12131 et seq.) and 28 CFR part 35.
		3. <i>Space and security:</i> Except where the shelter is intended for day use only, the shelter provides each program participant in the shelter with an acceptable place to sleep and adequate space and security for themselves and their belongings.
		4. <i>Interior air quality:</i> Each room or space within the shelter has a natural or mechanical means of ventilation. The interior air is free of pollutants at a level that might threaten or harm the health of residents.
		5. <i>Water Supply:</i> The shelter’s water supply is free from contamination.
		6. <i>Sanitary Facilities:</i> Each program participant in the shelter has access to sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.
		7. <i>Thermal environment:</i> The shelter has any necessary heating/cooling facilities in proper operating condition.
		8. <i>Illumination and electricity:</i> a. The shelter has adequate natural or artificial illumination to permit normal indoor activities and support health and safety. b. There are sufficient electrical sources to permit the safe use of electrical appliances in the shelter.
		9. <i>Food preparation:</i> Food preparation areas, if any, contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.
		10. <i>Sanitary condition:</i> The shelter is maintained in sanitary condition.
		11. <i>Fire safety:</i> a. There is at least one working smoke detector in each occupied unit of the shelter. Where possible, smoke detectors are located near sleeping areas. b. All public areas of the shelter have at least one working smoke detector. c. The fire alarm system is designed for hearing-impaired residents. d. There is a second means of exiting the building in the event of fire or other emergency.
		12. If ESG funds were used for renovation or conversion, the shelter meets state or local government safety and sanitation, as applicable.

Certification Statement

I certify that I have evaluated the property located at the address below to the best of my ability and find the following:

- Property meets all of the above standards.
- Property does not meet all of the above standards.

COMMENTS:

ESG Recipient Name: _____

ESG Subrecipient Name: _____

Program Participant Name: _____

Street Address: _____

Apartment: _____

City: _____ State: _____ Zip: _____

Evaluator Signature: _____ Date of review: _____

Evaluator Name: _____

Approving Official Signature (if applicable): _____ Date: _____

Approving Official Name (if applicable): _____

LEAD SCREENING WORKSHEET

About this Tool

The *Lead Screening Worksheet* is intended to guide grantees through the lead-based paint inspection process to ensure compliance with the rule. ESG staff can use this worksheet to document any exemptions that may apply, whether any potential hazards have been identified, and if safe work practices and clearance are required and used. A copy of the completed worksheet along with any additional documentation should be kept in each program participant's case file.

Instructions

To prevent lead-poisoning in young children, ESG grantees must comply with the Lead-Based Paint Poisoning Prevention Act of 1973 and its applicable regulations found at 24 CFR 35, Parts A, B, M, and R. Under certain circumstances, a visual assessment of the unit is not required. This screening worksheet will help program staff determine whether a unit is subject to a visual assessment, and if so, how to proceed. A copy of the completed worksheet along with any related documentation should be kept in each program participant's file.

Note: ALL pre-1978 properties are subject to the disclosure requirements outlined in 24 CFR 35, Part A, regardless of whether they are exempt from the visual assessment requirements.

Basic Information

Name of Participant				Unit Number
Address				
City	State		Zip	
ESG Program Staff				

Part 1: Determine Whether the Unit is Subject to Visual Assessment

If the answer to one or both of the following questions is 'no,' a visual assessment is not triggered for this unit and no further action is required at this time. Place this screening worksheet and related documentation in the program participant's file.

If the answer to both of these questions is 'yes,' then a visual assessment is triggered for this unit and program staff should continue to Part 2.

1. Was the leased property constructed before 1978?

Yes
 No

2. Will a child under the age of six be living in the unit occupied by the household receiving ESG assistance?

Yes
 No

Part 2: Document Additional Exemptions

If the answer to any of the following questions is 'yes,' the property is exempt from the visual assessment requirement and no further action is needed at this point. Place this screening sheet and supporting documentation for each exemption in the program participant's file.

If the answer to all of these questions is 'no,' then continue to Part 3 to determine whether deteriorated paint is present.

1. Is it a zero-bedroom or SRO-sized unit?

Yes
 No

2. Has X-ray or laboratory testing of all painted surfaces by certified personnel been conducted in accordance with HUD regulations and the unit is officially certified to not contain lead-based paint?

- Yes
- No

3. Has this property had all lead-based paint identified and removed in accordance with HUD regulations?

- Yes
- No

4. Is the client receiving Federal assistance from another program, where the unit has already undergone (and passed) a visual assessment within the past 12 months (e.g., if the client has a Section 8 voucher and is receiving HPRP assistance for a security deposit or arrears)?

- Yes (Obtain documentation for the case file.)
- No

5. Does the property meet any of the other exemptions described in 24 CFR Part 35.115(a).

- Yes
- No

Please describe the exemption and provide appropriate documentation of the exemption.

Part 3: Determine the Presence of Deteriorated Paint

To determine whether there are any identified problems with paint surfaces, program staff should conduct a visual assessment prior to providing ESG financial assistance to the unit as outlined in the following training on HUD's website at: <http://www.hud.gov/offices/lead/training/visualassessment/h00101.htm>.

If no problems with paint surfaces are identified during the visual assessment, then no further action is required at this time. Place this screening sheet and certification form (Attachment A) in the program participant's file.

If any problems with paint surfaces are identified during the visual assessment, then continue to Part 4 to determine whether safe work practices and clearance are required.

1. Has a visual assessment of the unit been conducted?

- Yes
- No

2. Were any problems with paint surfaces identified in the unit during the visual assessment?

- Yes
- No (Complete Attachment 1 – Lead-Based Paint Visual Assessment Certification Form)

Part 4: Document the Level of Identified Problems

All deteriorated paint identified during the visual assessment must be repaired prior to clearing the unit for assistance. However, if the area of paint to be stabilized exceeds the de minimus levels (defined below), the use of lead safe work practices and clearance is required.

If deteriorating paint exists but the area of paint to be stabilized does not exceed these levels, then the paint must be repaired prior to clearing the unit for assistance, but safe work practices and clearance are not required.

1. Does the area of paint to be stabilized exceed any of the de minimus levels below?

- 20 square feet on exterior surfaces Yes No
- 2 square feet in any one interior room or space Yes No
- 10 percent of the total surface area on an interior or exterior component with a small surface area, like windowsills, baseboards, and trim Yes No

If *any* of the above are 'yes,' then safe work practices and clearance are required prior to clearing the unit for assistance.

Part 5: Confirm all Identified Deteriorated Paint has been Stabilized

Program staff should work with property owners/managers to ensure that all deteriorated paint identified during the visual assessment has been stabilized. If the area of paint to be stabilized does not exceed the de minimus level, safe work practices and a clearance exam are not required (though safe work practices are always recommended). In these cases, the ESG program staff should confirm that the identified deteriorated paint has been repaired by conducting a follow-up assessment.

If the area of paint to be stabilized exceeds the de minimus level, program staff should ensure that the clearance inspection is conducted by an independent certified lead professional. A certified lead professional may go by various titles, including a certified paint inspector, risk assessor, or sampling/clearance technician. Note, the clearance inspection cannot be conducted by the same firm that is repairing the deteriorated paint.

1. Has a follow-up visual assessment of the unit been conducted?
 Yes
 No
 2. Have all identified problems with the paint surfaces been repaired?
 Yes
 No
 3. Were all identified problems with paint surfaces repaired using safe work practices?
 Yes
 No
 Not Applicable – The area of paint to be stabilized did not exceed the de minimus levels.
 4. Was a clearance exam conducted by an independent, certified lead professional?
 Yes
 No
 Not Applicable – The area of paint to be stabilized did not exceed the de minimus levels.
 5. Did the unit pass the clearance exam?
 Yes
 No
 Not Applicable – The area of paint to be stabilized did not exceed the de minimus levels.
- Note: A copy of the clearance report should be placed in the program participant's file.

LEAD-BASED PAINT VISUAL ASSESSMENT CERTIFICATION

I, _____, certify the following:
(print name)

- I have completed HUD's online visual assessment training and am a HUD-certified visual assessor.
- I conducted a visual assessment at _____ on _____.
(property address and unit number) (date of assessment)
- No problems with paint surfaces were identified in the unit or in the building's common areas.

(Signature)

(Date)

Client Name: _____

Case Number: _____