



**Letter of Intent
(LOI)**

2009 Renewal Applicants

**Continuum of Care
Homeless Assistance Programs**



**Issue Date
August 5, 2009**

**Submission Deadline
August 19, 2009 12:00 Noon**

Late submissions will not be accepted.

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Section 1

INTRODUCTION

**Letter of Intent (LOI)
(CoC Renewal Applicants only)**

1.1 Introduction

OC Community Services is seeking responses in the form of an LOI from CoC Non-Profit/Organizations who are interested in renewing their current federally funded Homeless Assistance Program contract with the U. S. Department of Housing and Urban Development (HUD). This comprises Part I of the II Part application process. Your current funding, services, population served, accomplishments and term of your renewal will remain the same as stated in your current HUD agreement. The renewal term will be for a one-year period only. OC Community Services will not be entering into contracts or agreements with respondents, nor will OC Community Services provide oversight or monitoring of renewed projects. Respondents will continue to contract directly with HUD and will be required to adhere to all HUD requirements.

To assist the organization in determining whether or not it is qualified to continue to provide these services, a threshold and evaluation review will be conducted. In keeping with HUD's directive, all applications will be rated and ranked.

Renewal applications passing threshold will participate in Part II, the HUD SHP competition. Part II consists of all HUD required processes and documentation as well as completion of an electronic application in the ESNAPS system. Applicants referred to Part II of the application process will receive additional instructions and information regarding HUD requirements and the completion of the electronic application in ESNAPS.

Proposed Supportive Housing Program (SHP) projects will be reviewed separately from Shelter Plus Care (S+C) and Section 8 Single Room Occupancy renewal projects, and will be evaluated and ranked according to the criteria included herein.

While the County has the responsibility for preparing the Continuum of Care strategy, applicants bear the responsibility to demonstrate project need as it relates to Orange County's Continuum of Care priorities and filling the gaps.

Organizations, which are interested in continuing to provide services as currently contracted through HUD must submit a LOI, and requested supporting documentation.

1.2 Update/Significant Changes to 2009 Continuum of Care Application

In 2009, the application funding process is divided into three parts:

- Part 1, the County CoC process, which takes place prior to HUD's release of the 2009 SuperNOFA. The intent of this process is to allow applicants additional time to complete their application under the premise that the HUD process will remain the same as in the past and remain open for no less than 60 days. Should there be any changes; respondents will be allowed the opportunity to amend the application.
- Part II, the HUD Electronic process, which takes place after HUD releases the NOFA.
- Part III, HUD funding announcements, after applications have been selected and submitted to HUD, HUD announces awards.
- Review of HMIS/CMIS budget by HMIS/CMIS consultant & inclusion of usage fees for

HMIS/CMIS participation

1.3 HUD Renewal Background

HUD has indicated that under Shared Housing Programs (SHP) and Shelter Plus Care, renewal projects are considered to have met most of the HUD threshold requirements through their previously approved grant applications. However, reviews will be done to determine: (1) the eligibility of proposed activities; (2) the eligibility of the population to be served; and the capacity of the applicant and/or sponsor, including specific progress data contained in the Annual Progress Report (APR).

1.4 LOI Timeline

The timeline is as follows:

Release of CoC LOI	August 5, 2009
Technical Assistance Workshop	August 12, 2009
LOI Due Date	August 19, 2009 12:00 Noon
HUD NOFA Release (Estimated)	August 24, 2009
HUD NOFA Electronic Application Due (Estimated)	October 22, 2009

NOTE: Dates subject to change.

SECTION 2	SUBMISSION REQUIREMENTS
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2.1 Letter of Intent

Renewal applicants, your Letter of Intent must be EXACTLY REFLECT the information provided in ESNAPS, Exhibit 2, of the 2008 competition. If your Letter of Intent and the 2008 Exhibit 2 is not consistent, you must provide a copy of your current HUD agreement/contract with a summary that clearly identifies the changes.

Applicants, which are renewing for the first time, provide a copy of their current HUD agreement/contract.

2.2. Applicant’s Questions

Applicants are encouraged to submit questions via e-mail, particularly questions that are lengthy or technical in nature. Applicants may submit written questions regarding the LOI and process by email to COCNOFA.LOI@hcs.ocgov.com. All questions must be received by August 7, 2009. All questions, without identifying the submitting organization, will be answered and issued as a Q & A document(s) on BIDSUNC. In addition, new information, and Q&A’s that become available will be posted to the County of Orange website at:

<http://egov.ocgov.com/vgnfiles/ocgov/OCCS%20%20Housing/Docs/2009%20Continuum%20of%20Care%20Questions%20and%20Answers.doc> and the Orange County Partnership website at:

<http://www.ocpartnership.net>. It is the responsibility of all potential applicants to check the websites on a regular basis throughout the application process for the most current information. No questions will be answered that would give an applicant a competitive advantage over other applicants.

2.3 Technical Assistance Workshop

A Technical Assistance Workshop will be held to discuss this LOI. OC Partnership, on behalf of the Continuum of Care will conduct the presentation. An overview of the process will be conducted and potential applicant’s questions will be addressed. Attendance to the Technical Assistance Workshop is

strongly encouraged. The conference is scheduled for:

Date: August 12, 2009
Time: 12:30 PM to 2:00 PM
Place: OC Partnership
139 South Olive
Orange, CA 92866

2.4 LOI Submission

LOI and supplemental documentation must be hand delivered by August 19, 2009 at 12:00 noon to:

OC Community Services
Attention: Orlando Calleros
1770 N. Broadway
Santa Ana, CA. 92706.

The envelope(s) shall be clearly marked “LOI”. Email submissions will not be accepted. Late submissions will not be accepted.

2.5 Preparation of the Proposal

The content and sequence must be as follows:

- **One (1) original and two (2) copies.**
- Clearly identify the original and copies on the front page
- One inch margins; single-sided; Verdana, size 10 point font; double-spaced.
- All pages numbered sequentially and in accordance with the Supporting Documents Checklist (exhibit 1)
- Dividers between each exhibit and tabs inserted between sections;
- Bind LOI package by drilling two-hole on top, held together with file fasteners;

Failure to submit any of the required documents will result in failure at threshold or a reduction of points.

Documents submitted are not to be marked as confidential or proprietary. Responses to this LOI are subject to public disclosure as permitted by the California Public Records Act. Additionally, all proposals shall become the property of the County. The County reserves the right to make use of any information or ideas presented in the responses submitted.

The documents below will fulfill the *County* requirements. If your organization passes threshold and continues on to be recommended for funding, you will be required to attend a two-day mandatory workshop. At the workshop applicants will update/complete budget worksheets and all HUD required forms in ESNAPS and finalize your electronic application.

2.6 Right of County to Waive Irregularities

OC Community Services reserves the right to:

- a) Withdraw this solicitation at any time without prior notice and, furthermore, makes no representation that any Contract occur and that funds will be awarded by HUD to any respondent to this solicitation;
- b) CoC/County reserves the right to waive any irregularities in the LOI process and to reject any

and all submissions not in the best interest of the CoC.

SECTION 3	REVIEW AND EVALUATION CRITERIA
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3.1 Advisory

The County of Orange does not require and neither encourages nor discourages the use of lobbyist or other consultants for the purpose of securing business.

3.2 Review Process and Steps

LOI's will be reviewed by OC Community Services to ensure that all required information has been submitted in the following process:

1. OC Community Services staff conducts a threshold review of all responses for completeness and accuracy, and ensure eligibility of the activity. Responses that fail to meet threshold requirements will be eliminated from further consideration and are ineligible for protest.
2. Responses, which pass the threshold review process, will be forwarded to an Evaluation Committee for review and scoring. Successful respondents will be required to update their project information within the ESNAPS system by the date, which will be determined by the County in order for the CoC to meet HUD's application deadline.
3. Prior to submitting the CoC Associated Application to HUD, OC Community services will present a complete list of projects recommended for HUD funding to the County Board of Supervisors for approval.

3.3 Threshold Review

The threshold review will evaluate the proposal's compliance with the LOI guidelines and requirements. Proposals that do not pass threshold are final and are not eligible for appeal.

OC Community Services reserves the right to waive a minor deficiency and may request the applicant to provide minor corrections or clarifications. Minor deficiencies/corrections include, but are not limited to: failure to sign documentation, missing of supporting documentation, missing email addresses, fax or phone numbers, typos, calculation errors.

3.4 Scoring and Evaluation Criteria

The Orange County CoC scoring criteria for this LOI is based on prior SuperNOFA priorities and application regulations as published by HUD. Data reported is subject to verification through the Annual Performance Report (APR) and data reported in the Client Management Information System (CMIS). Maximum amount of points is 100. Renewal applicants will be scored on the following criteria:

- | | |
|---|--------------------------------|
| A. Project Priority | Up to 10 Points Maximum |
| 1. Project Priority (Exhibit 3) | |
| B. Goals and Performance Accomplishments | Up to 40 Points Maximum |
| 1. Goals and Accomplishments Exhibit 7 | |
| C. Leveraging | Up to 10 Points Maximum |
| 1. Total Dollar Amount of Leveraging (Up to 5 points) Exhibit 8 | |
| 2. Total Committed Leveraging (up to 5 points) Exhibit 8 | |
| D. Continuum of Care Collaboration | Up to 40 Points Maximum |
| 1. Participation in the County CoC system (up to 15 points) Exhibit 9 | |
| 2. Participation in 2009 Point in Time (PIT) Count, Annual Needs | |

- Assessment Survey and Annual Housing Inventory (up to 15 Points) Exhibit 10
3. Level of CMIS Participation (up to 10 points) Exhibit 11

Category A - Project Priority

This category also evaluates the projects as they align with the Continuum of Care System priorities as shown on the Priority Chart (Exhibit 3) (Up to 10 points)

Category B – Goals and Performance Accomplishments

Applicants will be evaluated on their project performance and accomplishments towards moving individuals to stable housing and self-sufficiency as verified through their most recent APR. (Up to 40 points)

Category C – Leveraging

The applicant will be evaluated on the total dollar amount of leveraged and committed. Applicant must provide commitment letters or other certification of committed leveraging. (Up to 10 points)

Category D– Continuum of Care Collaboration CMIS

The applicants will be evaluated on their level of participation and consistency of data maintained in CMIS, including their consistency of participation and quality of data contributed. Applicants should describe their frequency of use for entering new clients and updating service utilization and a description of the protocol for data entry/validation and use of data for process improvement. NOTE: Subject to verification by CMIS Consultant. (Up to 10 points)

CoC Participation

The agency will be evaluated on its level of participation and attendance in the CoC activities such as collaborations related to planning and decision-making groups, committees, and sub-committees. (Up to 15 points)

PIT and Other Data Collection Participation

Applicants should describe their participation in the 2009 Point in Time Count and participation in housing and supportive service surveys. (Up to 10 points)

Category E – Completeness of Application Proposal

All forms correctly submitted and in correct order. (Up to 5 points)

3.5 Rating and Ranking

HUD determines the amount of funding allotted to each CoC: this is called the Pro Rata Need. It is estimated that the amount for the County of Orange CoC 2009 Pro Rata will allow sufficient funding to renew all applications eligible for renewal and passing threshold. If funds remain the CoC will include new projects in the final list in ranking order as described below.

HUD requires the CoC to submit a single application in which new and renewal applicants are shown in ranked order.

The following is the process for the overall ranking of new and renewal projects in the final list:

- 1) Preference will be given to applicants with NEW Permanent Housing Projects. Projects will be assigned a weight based on their high priority preference and will therefore rank above all other applicants. Those applying for NEW projects may do so through a separate LOI for NEW projects. NEW projects may not be submitted under his LOI. The amount of new projects will be based on the amount of funds remaining after including all eligible renewal projects.
- 2) Renewals will be given a medium priority preference. HUD renewal applicants are assigned a weight based on their medium priority and will therefore comprise the middle of the ranking, based on their

renewal status.

- 3) New applications for projects other than Permanent Housing will be assigned a weight based on their lower priority preference and will be ranked below renewal applicants. It should be noted that not all of these projects are going to fall within the prorata line, however, the project will remain on the list in case another project falls out or is not funded by HUD. Those applying for new projects may do so under a separate LOI for NEW projects. See example below.
- 4) Shelter + Care renewals are exempt and will be placed on the list according to HUD regulations and will comprise the bottom of the list as directed by HUD.
- 5) HMIS renewals are exempt and will be placed after the lowest ranked Permanent Housing project.
- 6) NEW HMIS will also be accepted as HUD requires the implementation and maintenance of a HMIS system for all awarded projects in the within the local CoC.

Example of weighted scores

Project Type	Project Score	Weight	Total Project Score
New Permanent Housing Projects	70 - 100	4 Times	280 - 400
New HMIS Projects	70 - 100	2.5 Times	175 - 250
All Renewal Projects	70 - 100	1.5 Times	105 - 150
New Non-Permanent Housing Projects	70 - 100	1 Time	70 - 100

3.6 Site Visits

HUD requires that a site visit be conducted to assess the agency’s role within the CoC system and to link them to partners, funders, and other nonprofits, etc. to maximize resources and improve service delivery in the region.

3.7 Submission to HUD

The panel of selected projects will be submitted to the Board of Supervisors for approval. The completed 2009 Continuum of Care Associated application will be submitted to HUD for final approval. The submission date will be as determined by HUD in the 2009.

3.8 Equal Scoring/Ranking Criteria

In the event of an applicant tie in scoring, the following will apply in the following order:

- 1) The applicant that ranked highest in Category 1, Goal and Performance Accomplishments: If still equal
- 2) The applicant that ranked highest in Category 2, Continuum of Care Collaboration: If still equal
- 3) The highest cumulative score (not averaged)

SECTION 4	PROTESTS AND APPEAL PROCESS
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4. 1 Policy

All actual or prospective bidder, proposer or contractor who alleges a grievance by the solicitation or award of a contract may submit a grievance or protest to the Director of OC Community Services. The appeal must be submitted within five (5) business days after the notice of the proposed scoring decision is provided by OC Community Services. Appeals received after five (5) business days will not be accepted.

Address your appeal letters to:

Karen Roper, Director
OC Community Services
1770 N. Broadway
Santa Ana, CA 92706
Fax: (714) 480-2819

Procedure

All protest shall be typed under the protester's letterhead and submitted in accordance with the provisions stated herein. All protests shall include at a minimum the following information:

- The name, address and telephone number of the protester;
- The signature of the protester or the protester's representative;
- The solicitation or contract number;
- A detailed statement of the legal/or factual grounds for the protest; and
- The form of relief requested.

Protest of Bid/Proposal Specifications:

All protests related to the bid or proposal specifications must be submitted no later than five (5) business days prior to the close of the bid or proposal. Protest received after the five (5) business day deadline will not be considered by the County.

Address bid protest to:

Judi Crumly, Deputy Purchasing Agent
OC Community Services
1770 N. Broadway
Santa Ana, CA 92706
Fax: (714) 480-2819

In the event the protest of specifications is denied and the protester wishes to continue in the solicitation process, they must still submit a bid prior to the close of the solicitation in accordance with the bid/proposal submittal procedures provided in the bid/proposal.

Protest of Award of Contract:

In protests related to the award of a contract, the protest must be submitted no later than five (5) business days after the notice of the proposed contract award is provided. Protests relating to a proposed contract award which are received after the five (5) business day deadline will not be considered by the County.

Protest Process

- In the event of a timely protest, the County shall not proceed with the solicitation or award of the contract until the Deputy Purchasing Agent, the County Purchasing Agent or the Procurement Appeals Board renders a decision on the protest.
- Upon receipt of a timely protest, the Deputy Purchasing Agent will within ten (10) business days of the receipt of the protest, issue a decision in writing which shall state the reasons for the actions taken
- The County may, after providing written justification to be included in the procurement file, make the determination that an immediate award of the contract is necessary to protect the substantial interests of the County. The award of a contract shall in no way compromise the protestor's right to the protest procedures outlined herein.
- If the protester disagrees with the decision of the Deputy Purchasing Agent, the protester may submit a written notice to the Office of the County Purchasing Agent requesting an appeal to the Procurement Appeals Board, in accordance with the process stated below.

Appeal Process

If the protester wishes to appeal the decision of the Deputy Purchasing Agent, the protester must submit, within three (3) business days from the receipt of the Deputy Purchasing Agent's decision, a written appeal the Office of the County Purchasing agent.

- Within fifteen (15) business days, the County Purchasing Agent will review all materials in connection with the grievance, assess the merits of the protest and provide a written determination that shall contain his or her decision on whether the protest shall be forwarded to the Procurement Appeals Board.
- The decision of the County Purchasing Agent on whether to allow the appeal to go forward will be final and there shall be no right to any administrative appeal of this decision.

4.2 Procurement Appeal Board

Definition

The County Purchasing Agent has the Authority to establish a Procurement Appeals Board ("PAB"). The PAB will meet to hear vendor protests that have not been resolved at the agency/department level. Upon receipt of written documentation by the County Purchasing Agent that a hearing is to be convened, the protester and the county agency/department will be given at least ten (10) days written notice of the hearing date, time and location. No postponement of the hearing shall be granted unless good cause is shown by the party seeking the postponement. Whether or not good cause exists shall be the sole discretion of the County Purchasing Agent.

Composition

The Procurement Appeals Board will be chaired by the County Purchasing Agent or designee and comprised of administrative or executive managers from various County agencies/departments. The County personnel selected for the PAB shall have no connection whatsoever with the solicitation or bid being protested. The County Purchasing agent has the authority to request participation on the PAB by specific County managers. The County Purchasing Agent shall also include a member of the public whenever possible. The non-County PAB member shall be familiar with general public procurement processes and ethical standards, so that protests can be resolved quickly. Whenever a protest is considered by the PAB, all members of the PAB, including the outside member must sign a County Conflict of Interest Statement certifying that they do not have a conflict of interest with the protest being heard.

Appointment

Upon approval of the County Purchasing Agent and the agency/department head, County employees may serve on a one-time basis or elect to serve a term that meets interests of their respective agency/department. The county Purchasing Agent will have the authority to grant term renewals, if approved by the agency/department head and the member.

Procedures/Support

The County Purchasing Agent may adopt administrative procedures as may be necessary in the execution of the Procurement Appeals Board functions. Any Administrative support to the PAB will be provided by the Office of the County Purchasing Agent.

Purpose

It will be the purpose of the Procurement Appeals Board to determine whether a solicitation or contract award is in accordance with applicable case law, statues, code, County ordinances, policies and procedures, and accepted standards of fairness and ethics. The decision of the Procurement Appeals Board will be final and there shall be no right to further protest or appeal to the Board of Supervisors.

APPENDIX

ATTACHMENT A
Terms and Conditions

Organizations will be required to comply with terms set forth by the County of Orange, and the U. S. Department of Housing and Urban Development (HUD). These conditions include, but are not limited to, the following:

- 1) All costs of proposal preparation shall be borne by the applicant organization. The County of Orange shall not, in any event, be liable for any pre-contractual expenses incurred by the bidder in the preparation and/or submission of the proposal. The applicant shall not include any such expenses as part of the budget in the proposal.
- 2) The proposal should always include the applicant's best terms and conditions.
- 3) The proposal must set forth full, accurate, and complete information as required by this solicitation. No changes or additions are allowed after the proposal deadline unless requested by the County.
- 4) The County of Orange does not certify, license or endorse grant writers. Applicants are free to select any grant writer. The responsibility for the performance of the grant writer rests with the applying organization.
- 5) The County of Orange reserves the right to retain all submitted proposals and the proposals shall become the property of the County of Orange. Proposals may be required to be disclosed under the Public Records Act at a later date. Any department or agency of the County shall have the right to use any or all ideas presented in proposals submitted in response to this solicitation without any change or limitation. Selection or rejection of a proposal does not affect these rights.
- 6) The County of Orange reserves the right to communicate with grantors or providers associated with the applicant to obtain additional clarification of design of program, or agency fiscal and programmatic capacities, and to utilize this information in the evaluation process.
- 7) The applicant must be in compliance with applicable civil rights laws and Executive Orders. There must be no pending civil rights suits, outstanding findings of non-compliance with civil rights statutes, Executive Orders, regulations, unresolved secretarial charge of discrimination issued under the Fair Housing Act, no adjudications of civil rights violations on a civil action, or deferral of processing of applications from the applicant imposed by HUD.
- 8) The County of Orange reserves the right to conduct site visits of agency applicants.
- 9) The County of Orange reserves the right to extend the solicitation submission deadline should such action be in the best interest of the County of Orange. The applicant may revise its proposal in the event the deadline is extended.
- 10) The County of Orange reserves the right to reject any or all proposals received in answer to this solicitation if it is deemed inappropriate or incomplete or is not in the best interest of the County of Orange.
- 11) If the applicant is a current or past recipient of assistance under a HUD McKinney Act Program (i.e. SuperNOFA) or the HUD Single-Family Property Disposition Program, there must be no project or construction delays, HUD findings, or an outstanding audit that HUD deems serious, regarding the administration of HUD McKinney Act programs or the HUD Single-Family Property Disposition Program.
- 12) The Applicant must provide a copy of the Organization's 501 (c) (3) certificate. Also, the applicant

must provide an IRS tax-exempt letter dated no earlier than July 2008., or a Certificate of Status provided by the Secretary of State, Business Programs Division. Certificate of Status application can be found at http://www.sos.ca.ca.gov/business/pdf/be_ircform.pdf (NOTE: This may take as long as 24 days). Documents to be attached under Exhibit 3 Non Profits Standing and Exhibit 6 IRS Tax Documents.

- 13) Applicants must submit a copy of their organization's most recent audit (within the last two years) by an independent, certified CPA and a description of corrective action taken for any finding identified by the auditor, both of which will be reviewed by OC Community Services Accounting Manager or designated staff.
- 14) The County of Orange reserves the right to withdraw this solicitation at any time without prior notice. Furthermore, the County of Orange makes no representation that any contract will be awarded to any applicant responding to this solicitation.
- 15) The County of Orange reserves the right to reduce the funding request submitted by applicants, or not recommend for funding multiple requests by the same applicant in order to maximize the distribution of funds.
- 16) An applicant may not be recommended for funding, regardless of the merits of the proposal submitted, if it has a history of past or current contract non-compliance with the County of Orange, a termination for cause by any other funding source, or disallowed costs with the County of Orange or any other funding source.
- 17) The County of Orange reserves the right to verify information submitted in the proposal. If the information in the proposal cannot be verified, the County of Orange reserves the right to reduce the rating points awarded.
- 18) The Applicant is responsible for adhering to the regulatory and application requirements as stated in this solicitation and as published by HUD.

Other Federal, State, or Local Requirements

Fair Housing and Civil rights Laws

Grantees and Sponsors must be in compliance with applicable civil rights laws and Executive Orders, and must meet the threshold requirements of the General Section of the SuperNOFA. Projects funded under this SuperNOFA shall operate in a fashion that does not deprive any individual of any right protected by the following Federal requirements apply as noted in the respective program regulations:

Nondiscrimination and equal opportunity. **The Fair Housing Act** (42 U.S.C. 3601–19) and implementing regulations at 24 CFR part 100 *et seq.*; Executive Order 11063, as amended by Executive Order 12259 (3 CFR, 1959–1963 Comp., p. 652 and 3 CFR, 1980 Comp., p. 307) (**Equal Opportunity in Housing Programs**) and implementing regulations at 24 CFR part 107; **title VI of the Civil Rights Act of 1964** (42 U.S.C. 2000d-2000d-4) (Nondiscrimination in Federally Assisted Programs) and implementing regulations at 24 CFR part 1; **the Age Discrimination Act of 1975** (42 U.S.C. 6101–6107) and implementing regulations at 24 CFR part 146; section 504 of the **Rehabilitation Act of 1973** (29 U.S.C. 794) and implementing regulations at part 8 of this title; **title II of the Americans with Disabilities Act**, 42 U.S.C. 12101 *et seq.* ; 24 CFR part 8; section 3 of the **Housing and Urban Development Act of 1968** (12 U.S.C. 1701u) and implementing regulations at 24 CFR part 135; Executive Order 11246, as amended by Executive Orders 11375, 11478, 12086, and 12107 (3 CFR, 1964–1965 Comp., p. 339; 3 CFR, 1966–1970 Comp., p. 684; 3 CFR, 1966–1970 Comp., p. 803; 3 CFR, 1978 Comp., p. 230; and 3 CFR, 1978 Comp., p. 264, respectively) (**Equal Employment Opportunity Programs**) and implementing regulations at 41 CFR chapter 60; Executive Order 11625, as amended by Executive Order 12007 (3 CFR, 1971–1975 Comp., p. 616 and 3 CFR, 1977 Comp., p. 139) (**Minority Business Enterprises**); Executive Order 12432 (3 CFR, 1983 Comp., p. 198) (**Minority Business Enterprise Development**); and Executive Order 12138, as amended by Executive Order 12608 (3 CFR, 1977 Comp., p. 393 and 3 CFR, 1987 Comp., p. 245) (**Women's Business Enterprise**).

Disclosure requirements. The disclosure requirements and prohibitions of 31 U.S.C. 1352 and implementing regulations at 24 CFR part 87; and the requirements for funding competitions established by the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3531 *et seq.*).

Debarred, suspended, or ineligible contractors and participants. The prohibitions at 2 CFR part 2424 on the use of debarred, suspended, or ineligible contractors and participants.

Drug-Free Workplace. The Drug-Free Workplace Act of 1988 (41 U.S.C. 701, *et seq.*) and HUD's implementing regulations at 24 CFR part 21.

Housing Opportunities for Persons with AIDS

The Housing Opportunities for Persons With AIDS was established by the AIDS Housing Opportunity Act in 1990 (42 U.S.C. 12901 - 12912) to provide resources and incentives to recipient communities (program participants) to develop long-term comprehensive plans for addressing the local housing needs of low-income persons living with HIV/AIDS and their families. Program participants may designate or select housing agencies and/or nonprofit organizations to serve as project sponsors for the purposes of carrying out program activities over the planned use period, established as not more than three years. Activities are governed by HOPWA regulations found at 24 CFR Part 574. Title VIII; subtitle D of the Cranston-Gonzalez National Affordable Act of 1990,

Lead Based Paint Requirements

Scientific research has found that exposure to lead in dust is the most common way young children become lead poisoned. The Residential Lead based Paint Health Reduction Act of 1992; the regulations implemented by 24CFR Part 35, Subpart B through R of this part are promulgated to implement the Lead-Based Paint Poisoning Prevention Act.

Flood Insurance Requirements

The National Flood Insurance Act of 1968, 24 CFR Part 55 under Executive Order 11988, the regulations for proposed projects and properties located in floodplain. This part implements the requirements of Executive Order 11988, Floodplain Management, and employs the principles of the Unified National Program for Floodplain Management. It covers the proposed acquisition, construction, improvement, disposition, financing and use of properties located in a floodplain for which approval is required either from HUD under any applicable HUD program or from a grant recipient subject to 24 CFR part 58.

Environmental Requirements

In regard to environmental reviews, an important statutory change now provides that for recipients who are private nonprofit organizations or public housing authorities (PHA), the environmental review may be performed by responsible entities (units of general local government in whose jurisdiction the activity is located or States) in accordance with 24 CFR Part 58 - "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities" whether or not the grantee is itself a unit of local government or State.

If a responsible entity is either unwilling or unable to perform an environmental review for grantees who are public housing agencies or private nonprofit organizations (Section 58.11), or if HUD determines that the responsible entity should not perform the environmental review on the basis of performance, timing or compatibility of objectives, HUD may designate another responsible entity to conduct the review under Part 58 or may itself conduct the environmental review based on Part 50.

Environmental Reviews

All CoC assistance is subject to the National Environmental Policy Act and applicable related Federal environmental authorities. Conditional selection of projects under the CoC Homeless Assistance competition is subject to the environmental review requirements of 24 CFR 582.230, and 882.804(c) as applicable. The recipient, its project partners and their contractors may not acquire, rehabilitate, convert, lease (under TRA where participants are required to live in a particular structure or area as described in Section III.C.3.h. (3)(a), repair, dispose of, demolish or construct property for a project under this CoC NOFA, or commit or expend HUD or local funds for such eligible activities, until the responsible entity has completed the environmental review procedures required by Part 58 and the environmental certification and Request for Release of Funds (RROF) have been approved or HUD has performed an environmental review under Part 50 and the recipient has received HUD approval of the property. The expenditure or commitment of Continuum of Care assistance or nonfederal funds for such activities prior to this HUD approval may result in the denial of assistance for the project under consideration.

Historic and Cultural Properties

The criteria applied to evaluate properties (other than areas of the National Park System and National Historic Landmarks) for the National Register may be found at 36 CFR 60.4 and 36 CFR Part 800. The criteria shall be used

in evaluating properties for nomination to the National Register, by NPS in reviewing nominations, and for evaluating National Register eligibility of properties. Guidance in applying the criteria is further discussed in the “How To” publications, Standards & Guidelines sheets and Keeper’s opinions of the National Register.

Affordable Housing

The Office of Community Planning and Development (CPD) (<http://www.hud.gov/offices/cpd/>) seeks to develop viable communities by promoting integrated approaches that provide decent housing, a suitable living environment, and expanded economic opportunities for low and moderate-income persons.

National Affordable Housing Act (NAHA) PL 101-625

The purpose of the National Affordable Housing Act (NAHA) PL101-625 is to enable persons with disabilities to live with dignity and independence within their communities by expanding the supply of supportive housing that:

- (i) Is designed to accommodate the special needs of such persons; and
- (ii) Provides supportive services that address the individual health, mental health, and other needs of such persons.

Local Resident Employment Requirements

To the extent that any housing assistance (including rental assistance) funded through this program section of the SuperNOFA is used for housing rehabilitation (including reduction and abatement of lead-based paint hazards, but excluding routine maintenance, repair, and replacement) or housing construction, then it is subject to section 3 of the Housing and Urban Rehabilitation Act of 1968, and the implementing regulations at 24 CFR part 135. Section 3, as amended, requires that economic opportunities generated by certain HUD financial assistance for housing and community development programs shall, to the greatest extent feasible, be given to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to businesses that provide economic opportunities for these persons.

Increasing Opportunities and Access for Disadvantaged Businesses

Executive Order 13170, expand all contracting opportunities for small disadvantaged businesses (SDBs), Minority Business Enterprises (MBEs), and firms participating in the Small Business Administration’s business development.

U. S. Housing and Urban Development Act of 1968, Section 3

Section 3, requires to the greatest extent feasible, economic opportunities are given to residents and business in the area where HUD assistance is received, particularly to those who are of low and very low local income.

Relocation Requirements

Title IV of the Personal Responsibility and Work Opportunities Reconciliation Act of 1996. 42 U.S.C. 4601 (URA) (42 U.S.C. 4601), the Department of Transportation at 49 CFR part 24 and section 104(d) of the Housing and Community Development Act of 1974 (42 U.S.C. 5304 (d)) are policies that provide for displacement, relocation assistance, and real property acquisition as defined by and implementing regulations issued by and any other applicable Federal, State or local regulations. These regulations apply to:

- SHP, S+C, and SRO programs
- Any person or family who moves, even temporarily
- Certain resident aliens

Conducting Business in Accordance with Core Values and Ethical Standards

HUD’s competitive funding Notice of Funding Availability (NOFAs) contains the requirement that an applicant must provide a copy of their Code of Conduct prior to entering into an agreement with HUD. Failure to provide a copy of an organization’s Code of Conduct will prohibit applicants from receiving HUD funding. The Code of Conduct:

- 1) Must prohibit the solicitation and acceptance of gifts or gratuities by officers, employees, and agents for their personal benefit in excess of minimal value;
- 2) Outline administrative and disciplinary actions available to remedy violations of such standards,
- 3) Describe the method to be used to ensure that all officers, employees and agents of the organization are aware of the Code of Conduct, and
- 4) Must be written on company letterhead that provides a mailing address, authorized official name, and telephone number.

HUD will provide a listing of all Code of Conducts that has been submitted with NOFA applications. Applicants/grantees who have a Code of Conduct posted at the following website: <http://www.hud.gov/offices/adm/grants/codeofconduct/cc-ca.cfm> will not have to submit one, unless the name of the organization or authorized official has changed.

Restrictions on Lobbying

24 CFR Part 87, each person shall file a certification, and a disclosure form, if required, with each submission that initiates agency consideration of such person for: (1) An Award of a Federal contract, grant, or cooperative agreement exceeding \$100,000; (2) An award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000 or the single-family maximum mortgage limit for affected programs, whichever is greater.

Byrd Anti-Lobbying Amendment, none of the funds appropriated by any 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 any Federal action.

Environmental Policy 24 CFR Part 50.

It is the policy of the Department to reject proposals which have significant adverse environmental impacts and to encourage the modification of projects in order to enhance environmental quality and minimize environmental harm.

Clean Air Act

The Clean Air Act (CAA) (42 U.S.C. 7401) is the comprehensive federal law that regulates air emissions from stationary and mobile sources. Among other things, this law authorizes EPA to establish National Ambient Air Quality Standards (NAAQS) to protect public health and public welfare and to regulate emissions of hazardous air pollutants.

Federal Water Pollution Control Act

These regulations and provisions (33 U.S.C. 1251 et seq.) require compliance with all applicable standards, orders, or regulations issued following the rule.

Copeland "Anti-Kickback" Act

The regulations on contracts for construction or repair awarded by subrecipients shall include a provision for compliance with the Copeland "Anti-Kickback" Act (18 U.S.C. 276c).

Reporting Act may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or

Once conditionally selected applications advance to full award and execution of a grant agreement, grantees are required to submit an Annual Performance Report and a completed Logic Model showing outputs and outcomes achieved for the year to both HUD Headquarters and the respectful Field Office each year.

Grantees who expend \$500,000 or more in a year in Federal awards must have a single or program-specific audit for that year in accordance with the provision of 24 CFR 45 and OMB Circular No. A-133.

Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, 24 CFR Part 84 and OMB Circular A-110. These regulations include the Conflict of Interest provision under 24 CFR 84.42 and 570 as it applies to procurement.

Costs Principles for Nonprofits, OMB Circular A-122, regulations that identify costs principles for nonprofits.

HUD requirements, all other required reports, circulars, and procedures when applicable.

Workforce Investment

Workforce Investment ACT (WIA) of 1998, 20 CFR Parts 652 and 660-671, as amended (29 U.S.C. 2801 et seq), is intended to be customer-focused, to help Americans access the tools they need to manage their careers through information and high quality services, and help U.S. companies find skilled workers.

The American Recovery and Reinvestment Act of 2009

The Act, (P.L. 111-5), preserves and creates jobs and promotes economic recovery to assist the most impacted by

the recession by providing investments as needed to increase economic efficiency.

Compliance with any other applicable Federal, State, or Local Regulations

Homeless Management and Information System (HMIS)

Federal Register dated July 30, 2004, (Docket no. FR 4848-N-02) – Homeless Management Information System (HMIS) Data and Technical Standards Final Notice

Congress has established a national goal that all communities should be collecting an array of data on the homeless, including unduplicated counts of the homeless, their use of services and the effectiveness of local assistance systems. In order to achieve this objective, HUD has encouraged communities to develop a Homeless Management Information System (HMIS). Orange County has implemented the Client Management Information System (CMIS), which address HUD's goal of HMIS implementation. The lead agency for CMIS implementation in Orange County is OC Partnership. To obtain more information about CMIS in Orange County, visit www.ocpartnership.net.

ATTACHMENT B Glossary of Terms

Applicant An entity that applies to HUD for funds. See the CoC Homeless Assistance Programs Chart in Section III.A.3 for a list of entities that are eligible. An applicant must submit a SF-424. If selected for funding, the applicant becomes the grantee and is responsible for the overall management of the grant, including drawing grant funds and distributing them to project sponsors. The applicant is also responsible for supervision of project sponsor compliance with grant requirements. The applicant may also be a project sponsor.

Applicant Certification The form, required by law, in which an applicant certifies that it will adhere to certain statutory requirements, such as the Civil Rights Act of 1964.

Chronically Homeless Person An unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more OR has had at least four (4) episodes of homelessness in the past three (3) years. A disabling condition is defined as “a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions.” In defining the chronically homeless, the term “homeless” means “a person sleeping in a place not meant for human habitation (e.g., living on the streets) or in an emergency homeless shelter.”

Consolidated Plan A long-term housing and community development plan developed by state and local governments and approved by HUD. The Consolidated Plan contains information on homeless populations and should be coordinated with the CoC plan. It can be a source of information for the Unmet Need sections of the Housing Activities Chart. The plan contains both narratives and maps, the latter developed by localities using software provided by HUD.

Consolidated Plan Certification The form, required by law, in which a state or local official certifies that the proposed activities or projects are consistent with the jurisdiction’s Consolidated Plan and, if the applicant is a state or unit of local government that the jurisdiction is following its Consolidated Plan.

Continuum of Care (CoC) A collaborative funding approach that helps communities plan for and provide a full range of emergency, transitional, and permanent housing and service resources to address the various needs of homeless persons.

Continuum of Care Hold Harmless Amount This is the total of the one-year amount of all SHP projects eligible for renewal. CoCs shall receive the higher of: (1) The preliminary pro rata need (PRN) or (2) the CoC hold harmless amount. CoCs receiving the CoC hold harmless amount have the opportunity to reallocate their PRN funds in order to create new permanent supportive housing projects.

Current Inventory A complete listing of the community’s existing beds and supportive services.

Homeless Management Information Systems (HMIS) An HMIS is a computerized data collection application designed to capture client level information over time on the characteristics and service needs of men, women, and children experiencing homelessness, while also protecting client confidentiality. It is designed to aggregate client-level data to generate an unduplicated count of clients served within a community's system of homeless services. An HMIS may also cover a statewide or regional area, and include several CoCs. The HMIS can provide data on client characteristics and service utilization.

Homeless Person means a person sleeping in a place not meant for human habitation or in an emergency shelter; and a person in transitional housing for homeless persons who originally came from the street or an emergency shelter. For a more detailed discussion, see the Questions and Answers Supplement available on the web at www.hud.gov/offices/adm/grants/fundsavail.cfm. The programs covered by this NOFA are not for populations who are at risk of becoming homeless.

NOFA Notice of Funding Availability, published in the Federal Register to announce available funds and application requirements.

Private Nonprofit Status Private nonprofit status is documented by submitting either: (1) A copy of the Internal Revenue Service (IRS) ruling providing tax-exempt status under Section 501(c)(3) of the IRS Code; or (2) documentation showing that the applicant is a certified United Way agency; or (3) a certification from a designated official of the organization that no part of the net earnings of the organization inures to the benefit of any member, founder, contributor, or individual; that the organization has a voluntary board; that the organization practices nondiscrimination in the provision of assistance; and that the organization has a functioning accounting system that

provides for each of the following (mention each in the certification):(1) Accurate, current and complete disclosure of the financial results of each federally sponsored project.(2) Records that identify adequately the source and application of funds for federally sponsored activities.(3) Effective control over and accountability for all funds, property and other assets.(4) Comparison of outlays with budget amounts. (5) Written procedures to minimize the time elapsing between the transfer of funds to the recipient from the U.S. Treasury and the use of the funds for program purposes. (6) Written procedures for determining the reasonableness, allocability and allowability of costs. (7) Accounting records, including cost accounting records, which are supported by source documentation.

Project Sponsor The organization that is responsible for carrying out the proposed project activities. A project sponsor does not submit a SF-424, unless it is also the applicant. To be eligible to be a project sponsor, you must meet the same program eligibility standards as applicants do, as outlined in Section III.A.3, except in the Sponsor-based rental assistance (SRA) component of the S+C Program. Eligible sponsors for the SRA component are statutorily precluded from applying for S+C funding.

Public Nonprofit Status Public nonprofit status is documented for community mental health centers by including a letter or other document from an authorized official stating that the organization is a public nonprofit organization.

SF 424 The application cover sheet required to be submitted by applicants requesting HUD Federal Assistance.

Safe Haven A Safe Haven is a form of supportive housing funded and administered under the Supportive Housing Program serving hard-to-reach homeless persons with severe mental illness and other debilitating behavioral conditions who are on the streets and have been unwilling or unable to participate in supportive services. Safe Havens may be transitional supportive housing, or permanent supportive housing if it has the characteristics of permanent housing and requires participants to sign a lease.

Samaritan Housing Initiative The Samaritan Initiative (formerly known as the Permanent Housing Bonus) will be integrated into this NOFA as part of the larger CoC process and is only for projects serving exclusively chronically homeless persons. It is 15 percent of a CoC's preliminary pro rata need amount or

\$6 million, whichever is less. Applicants may use no more than 20 percent of this bonus for case management costs to enable program participants to remain successfully housed. See Section V.A.2.b (3) for additional information on this subject.



EXHIBIT 1: Supporting Document Checklist

Complete checklist – this serves as the first page of your document. Checking off the items will help you to complete and assemble the packet correctly. All items on the form should be checked off as complete. For Exhibits requiring 3rd party certification, please ensure that it has been completed.

ORGANIZATION INFORMATION

EXHIBIT 1: Supporting Documents Checklist

EXHIBIT 2: Project Summary Form

EXHIBIT 3: Project Priority

EXHIBIT 4: Organization Capacity and Experience

a) Organizational Chart

b) Staff Experience

c) Change in Key Members

d) Board of Directors Resolution

e) 501 (c) (3)

f) State Certificate of Non Profit Status

g) Code of Conduct

FINANCIAL INFORMATION

EXHIBIT 5: Audit Documentation & Financial Information

a) Most recent Audit

b) Description of Corrective Action or N/A

c) Returned funds document

d) Unexecuted Grant Agreements

e) Fund Raising Plan

EXHIBIT 6: IRS Tax Documents

a) IRS 990 Form

b) IRS Tax Exempt Letter

ORGANIZATIONAL PERFORMANCE AND CAPACITY

EXHIBIT 7: Organizational Capacity

a) HUD Contract or Agreement

b) Annual Progress Report (most recent APR)

EXHIBIT 8: Project Leveraging Information

a) Leveraging Commitment Letters

b) Leveraging Certification

ORGANIZATION CERTIFICATIONS

- EXHIBIT 9: Continuum of Care Participation Certification (Certification required)
- EXHIBIT 10: Point in Time Certification/Annual Needs Assessment Participation Certification (Certification required)
- EXHIBIT 11: Client Management Information System Certification (CMIS) (Certification required)
b) Domestic Violence Providers
- EXHIBIT 12: Environmental Form
- EXHIBIT 13: Certification of Consistency with the Consolidated Plan (Certification required)

EXHIBIT 2: Project Summary Form

It is the intention of our organization to submit this formal LOI renewal to OC Community Services to renew our current Homeless Assistance grant with HUD.

The information provided:

- Is the same as Exhibit 2, submitted in 2008 ESNAPS? Y/N
- Is the same as our current award/contract with HUD? Y/N
- Has the information regarding your project change from its original submission? Y/N
- Was your original submission in ESNAPS? Y/N

If you answered NO to any of the above questions, attach a copy of your current HUD agreement/contract where requested in *Exhibit 6*.

A. Organization's Legal Name: _____

Executive Director: _____
Executive Director E-mail Address: _____
Agency Address: _____ City _____ Zip _____
Agency Phone: () _____ Fax: _____
Website Address _____

B. Organization's *Contact Person(s): _____ Title: _____

*Person most knowledgeable about this proposal, who can be easily reached at any time. This person may be different than the person authorized to sign and submit the proposal. If this person is not the grant writer, please list the grant writers name & contact information. NOTE: The contact person listed will be the MAIN point of contact for all correspondence. Please ensure that this person will be available during the entire LOI process.

Contact Person Phone: Day () _____ Night () _____ Fax () _____
Email Address: _____

C. Project Information

HUD Project Title: _____
(The title of your project as stated in ESNAPS)
HUD Contract Number: _____
Project Address: _____
City _____ Zip Code _____
Supervisorial District _____ Congressional District _____
Primary Subpopulation served: _____ Program Type _____
(i.e. transitional housing)

Amount of request _____ Grant Term for Renewal is one (1) Year Only

EXECUTIVE DIRECTOR OR CHAIRMAN OF THE BOARD CONCURRENCE

I authorize submission of this application and acknowledge and accept the responsibilities surrounding the administration of a HUD grant.

Signature _____ Title _____ Date _____

Print Name: _____

EXHIBIT 3: Project Priority

Exhibit a. Chart 2, 2009 Continuum of Care System Project Priority – **Circle the applicable symbol**

Priority 1 (10 Points)	Permanent Housing Projects Serving the Disabled & Chronic Homeless New Permanent Housing Project 100% Chronic – Permanent Housing Shelter Plus Care
Priority 2 (8 Points)	Transitional, Safe Haven, SRO – 30% to 100% Chronic Homeless Transitional, Safe Haven, SRO Projects that serve 30% to 100% Chronic Homeless HMIS Dedicated Projects
Priority 3 (6 Points)	Transitional, Safe Haven, SRO – 1% to 29% Chronic Homeless Transitional, Safe Haven, SRO Projects that serve 1% to 29% Chronic Homeless
Priority 4 (4 Points)	Transitional, Safe Haven, SRO – 0% Chronic Homeless Transitional, Safe Haven, SRO Projects that serve 0% Chronic Homeless
Priority 5 (2 Points)	Supportive Services Only (Chronic Homeless – 1% to 100%) Mental Health Services Counseling or Therapy Substance Abuse Treatment Health Related Treatment & Services (Vision, medical & services) Outreach to hard to reach individuals Supportive services that meet the needs of the chronically homeless
Priority 6 (1 Point)	Supportive Services Only (Chronic Homeless – 0%) Life Skills Follow-up Services for those who are transitioning from Shelters into Permanent Housing Job Placement/Retention Information & Referral Services Housing Placement Legal Services Case Management Services Innovative/Special Services Transportation Mental Health Services Child Care Assistance

	Substance Abuse Treatment Services Health Related Treatment Counseling or Therapy Services (Vision, medical and Services)

NOTE: Percentage of Population is relevant to the subpopulation served with HUD 2009 Continuum of Care Homeless Assistance funds. HUD'S Chronic Homeless Definition: An unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more OR has had at least four episodes of homelessness in the past three years.

EXHIBIT 4: Organization Capacity and Experience

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 4.d). Attach the tab and documentation to the page where the question is asked.

Please answer the following questions and attach the requested documentation to this section.

- 1) Organizational Chart – including Board of Directors and their names;
- 2) Has there been a change in key members since receiving your award from HUD? Y/N
- 3) If Yes, please complete Organization Structure chart by filling in the key members such as staff, board members volunteers etc, involved with this project. Describe their roles in implementing the project, their experience, and any credentials/licensing qualifications:

Chart 1: Organizational Structure				
Key Member	Key Member Title	Role in Project	Experience	Credentials
EXAMPLE				
John Smith	Executive Director	Lead Project & administrator	4 years administration of homeless programs	MA in Public Administration

- 4) Attach a Board of Director's Resolution on renewing your SuperNOFA award in the 2009 competition process.
4. Attach a copy of your Organization's 501 (c) (3) certificate.
5. State Certificate of Status - may be obtained by accessing the Secretary of State, Business Programs Division. Certificate of Status application can be found at http://www.sos.ca.gov/business/pdf/be_ircform.pdf (NOTE: This may take as long as 24 days). In the event that your Certificate is not available by the due date, a placeholder may be inserted. Submittal of the Certificate must be made by HUD NOFA release date.
6. Organizations Code of Conduct - Provide page listing your organization from HUD's Code of Conduct listing.
7. Is your organization listed on HUD's slow spender list? Y/N

If YES, provide a brief summary describing what is your organization doing to remove their name from HUD's list?

8. For each question, circle "Yes" or "No". Attach, on a separate sheet of paper, explanations of any "Yes" answers.
- a. In the past ten years, has your organization ever had its nonprofit status revoked or withheld by the IRS, the Secretary of State, the State Attorney General, or the Franchise Tax Board? Y/N
 - b. Has your organization been sued in the last five years? Y/N
 - c. Are any of your managers or staff with fiscal responsibilities involved in litigation presently that has any bearing on fiduciary trust or employee relations? Y/N
 - d. Have any unfavorable rulings been handed down by a court against your organization or Executive Director in the last five years? Y/N
 - e) Does your organization currently have any unresolved fiscal, reporting, or program issues with any of its funding sources? Y/N

EXHIBIT 5: Audit Documentation and Financial Information

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 5.c.2). Attach the tab and documentation to the page where the question is asked.

- a) Provide a copy of your agency's most recent audit (within the last two years) completed by an independent CPA.
- b) Provide a copy of the description of corrective action(s) taken for any findings identified by the auditor.
- c) Describe your Agency's:
 - 1. Funding development method
 - 2. Experience in utilizing and administration of State, local, government and/or public funds
 - 3. Current committed sources of support
 - 4. History of prior HUD contracts
- d) If applicable attach copies of:
 - Fundraising plans for this project

EXHIBIT 6: IRS Tax Documents

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 6.c). Attach the tab and documentation to the page where the question is asked.

- a) Attach a signed copy of IRS 990 form “Return of Organization Exempt from Income Tax.”
- c) Attach an IRS tax-exempt letter dated no earlier than July 2008. Or,
- d) Publication 78, Cumulative List of Organizations described in Section 170 (C) of the Internal Revenue Code of 1986, provides a list of organizations eligible to receive tax-deductible contributions. An online version is available at <http://www.irs.gov/app/pub-78> . This will allow you print out a statement of your organizations current Exempt status. Please print and attach the portion that lists your organization.
- e) Collaborative Only
 - 1. Have the partner/collaborative members changed since submitting the application that was awarded by HUD? Y/N
 - 2. Has the original contractual agreements/memorandums of understanding between any partner/ collaborative members expired since submitting the application that was awarded by HUD? Y/N
 - 3. If you have answered yes to either question 1 or 2, Please provide copies of existing contractual agreements or memorandums of understanding between any partner/collaborator.

EXHIBIT 7: Organizational Performance and Capacity

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 7.c). Attach the tab and documentation to the page where the question is asked.

7a. Point in Time Housing and Participants Instructions

(All Projects Except Dedicated HMIS Projects)

This chart is for recording the housing type, number of units, and number of beds/bedrooms and participants in the project. Information on *all* housing projects should be entered in these sections.

Section 1: Check the appropriate box to identify the housing type and if scattered site or project based. Housing Types: Multi-family (apartments, duplexes, SROs, other buildings with 2 or more units); Single-family; Congregate Facility (dormitory, barracks, shared-living).

Sections 2 and 3:

- § In column a., Current Level, enter the requested information for all items at a point in time (a given night).
- § In column b., New Effort or Change in Effort, enter the new number of beds and persons that will be served at a point in time if this project is funded.
- § In column c., Projected Level, enter the projected number of units, bedrooms, beds, or participants served that your project will attain at a point in time. Add columns 1 and 2 together and enter this amount in column e for each row.

Note: If your project is funded you will be responsible for achieving the numbers submitted.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).

7a: Point in Time Housing and Participants Chart

(All Projects Except Dedicated HMIS Projects)

1. Housing Type* (Check all that apply)	1a. <input type="checkbox"/> Multi-family <input type="checkbox"/> Single-family <input type="checkbox"/> Congregate Facility	1b. <input type="checkbox"/> Scattered Site <input type="checkbox"/> Project Based	
	a. Current	b. New Effort or	c. Projected

2. Units, Bedrooms, Beds	Level (Point-in-Time)	Change in Effort (If Applicable)	Level (column a + col. b)
Number of Units			
Number of Bedrooms			
Number of Beds			
3. Participants			
a. Number of Households with Dependent Children			
i. Number of adults			
ii. Number of children			
iii. Number of disabled persons			
b. Number of Households without Dependent Children			
i. Number of disabled persons			
ii. Of all disabled persons, number of chronically homeless			
*Housing Types: Multi-family (apartments, duplexes, SROs, other buildings with 2 or more units); Single-family; Congregate Facility (dormitory, barracks, shared-living).			

7b: Renewal Performance

Questions 1 and 2: Answer and provided explanation as requested.

All S+C, SHP-PH, SHP-TH, SSO, and SHP-Safe Haven renewals should complete questions 3, 4, and 5 as applicable. The charts in this section will assess your project’s progress in reducing homelessness by helping clients move to and stabilize in permanent housing, access mainstream services and gain employment. For each applicable chart, provide information from the most recently submitted Annual Progress Report (APR) for the RENEWAL project. Note: If an APR has not yet been submitted for this renewal project, please check the N/A box and skip these questions and attach a copy of the Logic Model form submitted in your original application.

7b: Renewal Performance

<p>1. <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Are there any unresolved HUD monitoring findings, or outstanding audit findings related to this project? If “Yes,” briefly describe.</p> <hr/> <hr/> <hr/>
<p>2. <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Are there any significant changes in the project since the last funding approval? Check all that apply:</p> <p><input type="checkbox"/> Number of persons served: from _____ to _____.</p> <p><input type="checkbox"/> Number of units: from _____ to _____.</p> <p><input type="checkbox"/> Location of project sites.</p> <p><input type="checkbox"/> Line item or cost category budget changes more than 10%.</p> <p><input type="checkbox"/> Change in target population.</p> <p><input type="checkbox"/> Change in project sponsor.</p> <p><input type="checkbox"/> Change in component type.</p> <p><input type="checkbox"/> Other: _____</p> <p>Please explain changes: <u>This application serves 5% chronically homeless</u></p> <hr/> <hr/>

Renewal Performance (Continued) (For all S+C, SHP-PH, SHP-TH, SHP-Safe Haven, and SSO Renewals):	
Use information from the most recently submitted Annual Progress Report (APR) to answer questions 3, 4, and 5. If an APR has not yet been submitted for this renewal project, please check the N/A box and skip these questions. <input type="checkbox"/> N/A	
If you checked N/A, please provide a copy of your original Logic Model and attach to this section.	
3. Permanent Housing (PH) Performance (To be filled out by all SHP and S+C renewal permanent housing projects, including both SHP-PH and SHP-Safe Haven permanent housing). Complete the following chart using data based on the most recently submitted APR Questions 12(a) and 12(b):	
a. Number of participants who exited PH project(s)—APR Question 12(a)	
b. Number of participants who did not leave the project(s)—APR Question 12 (b)	
c. Of those who exited, how many stayed 7 months or longer in PH—APR Question 12(a)	
d. Of those who did not leave, how many stayed 7 months or longer in PH—APR question 12(b)	
e. Percentage of all participants in PH projects staying 7 months or longer $[(c + d) \text{ divided by } (a + b)] \times 100 = e$. Example: $[(16 + 15) \text{ divided by } (20 + 20)] \times 100 = 77.5\%$	%
4. Transitional Housing (TH) Performance (To be filled out by all SHP renewal transitional housing projects, including both SHP-TH and SHP-Safe Haven transitional housing). Complete the following chart using data based on the most recently submitted APR Question 14:	
a. Number of participants who exited TH project(s)—including unknown destination	
b. Number of participants who moved to PH—from any destination identified as permanent housing	
c. Of the number of participants who left TH, what percentage moved to PH? $(b \text{ divided by } a) \times 100 = c$ Example: $(14 / 18) \times 100 = 77.7\%$.	

7b: Renewal Performance (Continued)

5. Supportive Services - Mainstream Programs and Employment Chart (To be filled out by all S+C and SHP renewals, except dedicated HMIS projects) HUD will be assessing the percentage of clients in your renewal project who gained access to mainstream services and, especially, who gained employment. Based on responses to APR Question 11 complete the following:

1 Number of Adults Who Left (Use the same number in each row)	2 Income Source	3 Number of Exiting Adults with Each Source of Income	4 % with Income at Exit (Col. 3 ÷ Col. 1 x 100)
Example: 105	a. Social Security Insurance (SSI)	40	38.1%
105	b. Social Security Disability Insurance (SSDI)	35	33.3%
105	c. Social Security	25	23.8%
	a. SSI		
	b. SSDI		
	c. Social Security		
	d. General Public Assistance		
	e. TANF		
	f. SCHIP		
	g. Veterans Benefits		
	h. Employment Income		
	i. Unemployment Benefits		
	j. Veterans Health Care		
	k. Medicaid		
	l. Food Stamps		
	m. Other (please specify)		
	n. No Financial Resources		

7c: Overall Program Goals (No. 16 of your APR)

1. Did your project meet or exceed stated objectives under each goal below? If no, please explain.

a. Residential Stability

Objectives:

Progress:

Percent Completed: _____ %

Next operating Year:

- i. How did the project meet its stated objectives and goals?
- ii. How is the project meet stated objectives and success in meeting HUD's goals?
- iii. If this project did not meet or exceed stated objectives, please explain.

b. Increased Skills or Income

Objectives:

Progress:

Percent Completed: _____ %

Next operating Year:

- i. How did the project meet its stated objectives and goals?
- ii. How is the project meet stated objectives and success in meeting HUD's goals?
- iii. If this project did not meet or exceed stated objectives, please explain.

c. Greater Self-determination

Objectives:

Progress:

Percent Completed: _____ %

Next operating Year:

- i. How did the project meet its stated objectives and goals?
- ii. How is the project meet stated objectives and success in meeting HUD's goals?
- iii. If this project did not meet or exceed stated objectives, please explain.

Attach a copy of your most recent Annual Performance Report (APR). or if applicable, Copy of the Logic Model originally submitted for this project.

NOTE:

Information provided in the APR provided will be crosschecked with CMIS data. If an APR has not been completed, CMIS data will be used.

EXHIBIT 8: Project Leveraging Information

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 8). Attach the tab and documentation to the page where the question is asked.

In Chart 8: Table 1 Project Leveraging Chart list all leveraged funds committed. Attach all leveraging commitment letters.

The following will not be included in the application evaluation process resulting in a reduction of your leveraging score:

- Undocumented leveraging commitments identified in the chart.
- Committed funds utilized in prior years.
- Commitments dated prior to January 2009.

Chart 17: Project Leveraging Chart

Chart 8: Table 1 Project Leveraging				
Type of Contribution	Source	Source Name and source ID: Private (P) Government (G)	Date of Written Commitment	Value of Written Commitment
Example: Child Care	CDBG	G – City of Orange	2/25/08	\$10,000
			TOTAL:	\$

1) Calculate the percentage of funds committed for this project. _____%

Leveraging Certification

The following format must be used to certify leveraging use for this project. Please use your agency letterhead and attach it to Exhibit 8.

Leveraging Certification

I certify on behalf of _____ and attest that all leveraged
(Print agency name and project name)
 amounts listed in Table 8, have not been previously used in other project(s) and/or Continuum of Care Homeless Assistance Program competitions. All information contained in the Leveraging Chart is true and correct to the best of my knowledge.

 Authorized Person Signature

 Date

 Print Name

 Title of Authorized Person

EXHIBIT 9: Continuum of Care Participation Certification

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 9). Attach the tab and documentation to the page where the question is asked.

HUD has placed a high value on agency participation in the Regional CoC organization. Please provide the following data as it pertains to your agency for the period of *January 2008 to December 2008*. NOTE: *Information is subject to verification.*

Meeting Type	**Name of person attending	Frequency of Meetings	Times attended meetings	Name of Committee/Sub-Committee Work Group	Verified at Threshold
CoC Quarterly Community Forum					
Homeless Provider Forum					
Anaheim Motel Collaborative					
CMIS Annual User Meeting					
Orange County Point In Time					
Kennedy Commission					

* Under Participation, please identify your agency participation in the organization, using the following:

**If more than one person attended meetings, identify meeting and additional attendee. You may use an additional sheet of paper if necessary.

1. Total number of meetings, which were attended from January 2008 to December 2008? _____
2. The total number of Committees/Sub-Committee Work Group your organization participated in from January 2008 -December 2008? _____

I certify that the foregoing information is true and correct to the best of my knowledge.

Authorized Person Signature

Date

Print Name

Title of Authorized Person

.....
The above information has been reviewed and verified:

Comments

Name and Title of Authorized Representative

Signature of Authorized Representative

Date

EXHIBIT 10
Point In Time Participation Certification, Annual Needs Assessment Survey and Annual Housing Inventory

The bi-annual Point In Time (PIT) Count and Survey and Annual Needs Assessment Survey process is an important component of the CoC Homeless Assistance application. It is mandatory that CoC members and partners participate and cooperate in these efforts.

Please indicate your level of participation for the 2009 PIT. Your responses to the following questions are subject to verification.

- a) Number of persons from your agency that participated in the *Street* PIT count. _____
- b) Deployment location _____
- c) Participant(s) Name _____ Volunteer Role _____
- d) Did your agency provide resources, either for the actual count or survey, i.e., snacks, care package items for the unsheltered homeless, the use of your facility as a deployment or survey site. If so, what was provided? Please describe your activities:

- e) Please indicate your level of participation in the Annual Needs Assessment Survey.
Please describe your activities: _____

- f) Please indicate your level of participation in the Annual Housing Inventory Survey. Please describe your activities: _____

- g) Did you participate as a Member of the PIT Advisory Board? Y/N

I certify that the foregoing information is true and correct to the best of my knowledge.

Authorized Person Signature _____
Date

Print Name of Authorized Person _____
Title of Authorized Person

The above information has been reviewed and verified:

Comments _____

Name of Authorized Representative _____
Date

Signature of Authorized Representative _____
Title of Authorized Representative

EXHIBIT 11: CMIS Certification

CMIS Certification must be submitted, completed and will be subject to verification by a CMIS authorized representative. Please rate the items as *F (fully compliant)*, *P (partially compliant)*, *N (not compliant)*.

1. _____ Agency is currently an active participant in Orange County's CMIS with client data already entered.
2. _____ Agency is currently engaged with CMIS Consultant to **become** an active participant in Orange County's CMIS and has begun implementation activities.
3. _____ All homeless clients served by each of the agency's programs (regardless of funding source) are recorded in CMIS. List all participating programs and indicate the percentage of clients entered. List all non-participating programs that serve the homeless and indicate the percentage of clients entered:
4. _____ Agency upholds the standards regarding data security and protection of client confidentiality as outlined in the Policies and Procedures of the CMIS manual.
5. _____ Agency consistently enters demographic data on all clients served by the program from June 2008 to June 2009 within two weeks of the client's intake into the program.
6. _____ Agency consistently exits clients from CMIS within two weeks of actual program exit date.
7. _____ Agency regularly enters services provided data into CMIS at a minimum of once per month.
8. _____ Agency runs a monthly Universal Data Elements Report and performs needed updates to client records to ensure quality data.
9. _____ Agency has completed the process of setting of working with consultants to set up program to allow APR to run out of CMIS.
10. _____ If you are a DV, you participate by providing aggregate data on clients served.
11. _____ Agency is not currently working with CMIS Consultant to contribute client information to the regional database
12. _____ Agency is paying all required CMIS user fees.

I certify that the foregoing information is true and correct to the best of my knowledge and that the above information accurately reflects the administrative records at my agency.

Authorized Person Signature

Date

Print Name of Authorized Person

Title of Authorized Person

The above information has been reviewed and verified with CMIS records.

Comments:

Name and Title of CMIS Consultant Authorized Representative

Signature of CMIS Consultant Authorized Representative

Date

- Those agencies serving primarily victims of domestic violence must complete Exhibit 11a: Domestic Violence Providers, CMIS Domestic Violence Participation Certification form located on the next page in order to participate in the 2009 SUPERNOFA Associated Application.

**EXHIBIT 11 a: Domestic Violence Providers
CMIS Domestic Violence Participation Certification**

Applicant Name: _____.

For those agencies primarily serving victims of domestic violence, by signing below you agree to provide aggregate accurate and timely information to the regional Client Management Information System (CMIS) on a minimum of a monthly basis. Participation in CMIS is mandatory upon receipt of this application's funding from HUD. Failure to participate in CMIS will preclude you from further participation in Orange County's SuperNOFA funding process as well as potential exclusion from other county funding.

Authorized Person Signature

Date

Print Name

Title of Authorized Person

EXHIBIT 12: Environmental Information Forms

OC Community Services 1770 N. Broadway, Santa Ana CA 92706 ENVIRONMENTAL INFORMATION FORM NEPA (24 CFR Part 58) & CEQA

PROJECT TITLE: PROGRAM ACTIVITY: NAME OF SUBRECIPIENT: FUND TYPE (S): CDBG CDBG-R NSP HOME ESG NDAPP Operating Reserves HSS SHP CONTRACT NUMBER (S):
--

PROJECT LOCATION: (Provide precise address and include Census Tract No. If confidential, please insert "Suppressed" and provide Census Tract No.)

PROJECT ACTIVITY LEVEL DESCRIPTION: (Please provide in detail the level of services you provide or the scope of rehabilitation and/or construction your project will involve. If needed, please use attachments.) (Projects involving new construction, rehabilitation or acquisition activities <u>must</u> complete the SUPPLEMENTAL SITE INFORMATION portion of this form)
--

EXISTING ENVIRONMENTAL CONDITIONS: (Please, describe the surrounding environment around the project)
--

PREVIOUS GOVERNMENTAL ACTIONS/APPROVALS RECEIVED ON YOUR PROJECT: (If applicable, please list and attach a copy of any discretionary approvals you received on your project from a City or other County Agency.)
--

DISCRETIONARY APPROVAL (S) NEEDED FROM CITY/COUNTY TO COMPLETE YOUR PROJECT (S):
--

I hereby declare that the statements furnished above, including any exhibits attached hereto represent all information required for this assessment. Said statements together with any exhibits attached hereto are true and correct.

Studio # of units _____ 1 Bedroom # of units _____
2 Bedroom # of units _____ 3 Bedroom # of units _____ 4+Bedroom _____ units
Total Number of Units: _____ Total Number of Buildings: _____

Existing Conditions and Trends: Describe the existing conditions of the project area and its surroundings.
[24 CFR 58.40(a)]

Is current zoning and use appropriate for the proposed site? If not, present a plan for obtaining any discretionary approvals.

Prior Analysis:

Have there been any prior Environmental Reviews completed for the proposed site or project within the last five (5) years. *If yes, please attach copies of the Environmental Review.* Yes No

Has the site been involved in any other proposals previously submitted to this office? Yes No

Title of Prior Proposal: _____

Applicant's Name: _____

Eventual Result:

Project Not Funded

Project Funded \$ _____

Project Completed Date Completed _____

Project Cancelled Date Cancelled _____

Describe reasons why project was cancelled:

EXHIBIT 13: Certification of Consistency with the Consolidated Plan

Please provide a response to the following questions. If you are providing documents, tab the document and identify the Exhibit number and question number or letter (example, Exhibit 13.a). Attach the tab and documentation to the page where the question is asked.

All projects submitted under the County of Orange’s 2009 Associated SuperNOFA Application must be certified as being consistent with the Consolidated Plan of the jurisdiction where the proposed project is to be located. Depending on the proposed project’s location, applicants may be required to contact individual jurisdictions within Orange County for this Certification.

City of Aliso Viejo	City of Laguna Hills	City of Seal Beach
City of Brea	City of Laguna Woods	City of Stanton
City of Cypress	City of La Palma	City of Villa Park
City of Dana Point	City of Los Alamitos	City of Yorba Linda
City of Laguna Beach	City of Placentia	Unincorporated County

If your proposed project is located in any of the jurisdictions listed, complete Exhibit 13.a: Application for Consistency with Orange County’s Consolidated Plan and forward it electronically to orlando.calleros@hcs.ocgov.com.

If your proposed project is not located in any of the jurisdictions listed above, you will need to contact that jurisdiction directly (see Contact List on the following page).

Exhibit 13.a: Application for Consistency with Orange County’s Consolidated Plan

Prior to the application deadline complete questions one through five below and return to orlando.calleros@hcs.ocgov.com

- 1) Applicant Name:
- 2) Project Name:
- 3) Project Location to include address, city and zip Code.
- 4) Name of Federal Program to which the applicant is applying.
- 5) Summary of the project to include project’s:
 - A) Purpose
 - B) Services and/or housing to be provided
 - C) Population served
 - D) Number of persons served and/or housing units to be completed

Urban County and Entitlement Cities, Consolidated Plan Certification Contact List

<p>County of Orange Orlando Calleros OC Community Service 1770 N. Broadway Santa Ana, CA 92706 (714) 480-2731</p>	<p>City of Anaheim Steven Stoewer Housing & Community Dev. 201 S. Anaheim Blvd. Ste 201 Anaheim CA, 92805 (714) 765-4300 ext. 4338</p>	<p>City of Buena Park Maria Siacunco 6650 Beach Blvd. Buena Park, CA 90622 (714) 562-3591</p>
<p>City of Costa Mesa Muriel Ullman 77 Fair Drive Costa Mesa, CA 92626 (714) 754-5167</p>	<p>City of Fountain Valley Brent Hoff Housing & Community Dev. 10200 Slater Fountain Valley CA, 92728 (714) 593-4511</p>	<p>City of Fullerton Linda Morad Housing & Community Dev. Dept 303 W. Commonwealth Ave. Fullerton CA, 92832 (714) 738-6878</p>
<p>City of Garden Grove Karl Hill Community Dev. Dept. 11222 Acacia Parkway Garden Grove CA, 92840 (714) 741-5312</p>	<p>City of Huntington Beach Sidney Stone, Housing Manager Economic Development 2000 Main St. Huntington Beach CA, 92646 (714) 536-5901</p>	<p>City of Irvine Steve Holtz Community Dev. Dept. One Civic Center Plaza Irvine CA, 92623 (949) 724-7452</p>
<p>City of La Habra Michael Haack Planning Department 201 E. La Habra Boulevard La Habra CA, 90631 (562) 905-9724</p>	<p>City of Laguna Niguel Larry Longenecker Community Dev. Dept. 27781 La Paz Rd. Laguna Niguel, CA, 92677 (949) 362-4321</p>	<p>City of Lake Forest Elaine Nagano Redevelopment Agency 25550 Commercentre Dr. Lake Forest CA, 92630 (949) 461-3471</p>
<p>City of Mission Viejo Elaine Lister Community Dev. Dept 200 Civic Center Mission Viejo, CA 92691 (949) 470-3000</p>	<p>City of Newport Beach Sharon Wood Economic Dev. Dept. 3300 Newport Blvd. Newport Beach CA, 92658 (949) 644-3230</p>	<p>City of Orange Mary Ellen Laster Economic Dev. Dept. 230 E. Chapman Ave. Orange CA, 92866 (714) 744-7211</p>
<p>City of Rancho Santa Margarita Nate Farnsworth, Analyst 22112 El Paseo Rancho Santa Margarita, CA 92688 (949) 635-1800 x6704</p>	<p>City of San Clemente Leslie Davis Senior Housing Coordinator 910 Calle Negocio, Suite 100 San Clemente, CA 92673 (949) 361-6188</p>	<p>City of San Juan Capistrano Lynnette Adolphson Planning Department 32400 Paseo Adelanto San Juan Capistrano, CA 92675 (949) 443-6324</p>
<p>City of Santa Ana Shelly Landry-Bayle Community Dev. Agency 20 Civic Center Plaza Santa Ana, CA 92702 (714) 667-2200</p>	<p>City of Tustin Kimberly McAllen Community Dev. Dept. 300 Centennial Way Tustin, CA 92780 (714) 573-3128</p>	<p>City of Westminster Kathy Johnston Community Dev. Dept. 8200 Westminster Blvd. Westminster, Ca 92683 (714) 898-3311 x6107</p>

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Please download the Certificate of Consistency with the Consolidated Plan (form HUD-2991) from the HUD Website; <http://www.hudclips.org/>. Select 'forms', enter form number in 'Search HUD forms'