

Section V – Attachments

Clearly identify each attachment with a cover page (do not save cover sheet as a separate file). If the item is optional or not applicable for the project add “N/A” to the cover page. The SCANNED copy should be saved on the flash drive in SEPARATE FILES and NAMED APPROPRIATELY, i.e. “*Application*” or number and description of the Attachment (1. *SAM*, 2. *INCORPORATION*, 3. *IRS STATUS*, 4. *ORG CHART*, etc.).

1. **SAM Entity Overview:** Attach a copy of confirmation that the organization does not have any exclusions.
2. **Certificate of Incorporation:** Attach a copy of the organization’s Certificate of Incorporation pursuant to the laws of the State of Oklahoma.
3. **IRS Tax Exempt Status:** Attach a copy of the IRS letter authorizing tax-exempt status for the organization.
4. **Organization Chart:** An organization chart depicting the organization’s internal structure, including any boards, trustees, or affiliates to whom the organization must report.
5. **Board of Directors:** A list of board officers and members including address, telephone number and length of board tenure for each member. Indicate upcoming rotations.
6. **Bylaws:** Attach a copy of the organization’s bylaws.
7. **IRS Form 990:** Non-profit applicants: include a copy of IRS form 990 (Informational Tax Return of Organizations Exempt from Income Tax), or an explanation of why the organization has not been required to complete such a form.
8. **Certificate of Commercial General Liability Insurance**
9. **Application / Intake Forms**
10. **Accounting policy/procedure** (If over 20 pages, submit the Table of Contents only)
11. **Procurement policy/procedure** (If over 20 pages, submit the Table of Contents only)
12. **Conflict of Interest policy/procedure** (If over 20 pages, submit the Table of Contents only)
13. **Record Retention policy/procedure** (If over 20 pages, submit the Table of Contents only)
14. **Certificate of Directors and Officers Liability Insurance for Board of Directors** (optional, but encouraged)
15. **Certificate of Bonding for Board of Directors** (optional, but encouraged)
16. **Monthly Performance Measure Report:** If the organization is requesting funds for an on-going Program / project funded by the City in PY2018, attach a copy of the June 2018 monthly performance report showing activity and levels of participation for 2017 - 2018.
17. **Certified Organization Audit/Financial Statements** of most recent year (one of the following)
 - a. Copy of organization's Single Audit (if required);
OR
 - b. Audited financial statements prepared by a CPA.
18. **Memorandums of Understanding (MOUs)** (optional, but encouraged)
19. **Committed Non-HUD Funding:** Attach documentation to support Non-HUD funding committed for the program/project.
20. **Allocation Plan:** Attach the allocation plan for costs shared among more than one program/project.

Section V – Attachments (continued)

Clearly identify these project-specific attachments with a cover page that includes the type of project (**example:** HO Rehab / Program Policies and Procedures). If the item is not applicable for the project/program add “N/A” to the cover page.

NOTE: Follow the procedures for scanning and naming the files as **separate** attachments that are outlined on page 1 of this section (Section V – Attachments)

ACQUISITION PROJECTS – ATTACHMENTS

1. **Option Agreement for applicable property acquisition and appropriate URA Notice to Seller**
2. **Flood Plain Map (project location identified, including all possible locations)**
3. **Copy of Zoning Verification**
4. **Current Appraisal or Comparative Market Analysis** from a knowledgeable real estate professional (no older than 3 months)
5. **Documentation of required land use approvals** such as Site Review, Annexation, Zone Change, Minor Land Partition, Demolition, or Conditional Use permits
6. **Photographs of the property**
7. **Most recent property inspection report and/or capital needs assessment** (no older than 1 year)
8. **URA GIN Notice** (*include date distributed to occupants*) and **Listing of Existing Tenants** (if applicable)
9. **Relocation Plan with timeline and budget** (if applicable)
10. **Five Year Operating Pro Forma** (copy of Section III - Budget Table 4)
11. **Timeline:** Attach a timeline of major milestones and include a project start date, the date all funding will be spent, and a project completion date.

CONSTRUCTION/REHABILITATION PROJECTS – ATTACHMENTS

1. **Site Control** (property deed, executed contract of sale)
2. **Flood Plain Map** (project location identified)
3. **Copy of Zoning verification**
4. **Most recent property inspection report and/or capital needs assessment** (no older than 1 year)
5. **Work write-up detail**
6. **Cost Estimate** (Cost for new construction projects or substantial rehabs must be estimated by a Professional Engineer (PE) licensed in the State of Oklahoma and authorized to sign and seal plans, drawings and costs that will be submitted to a public authority for approval.) For rehabilitation projects that are not substantial, attach several quotes from reputable companies for cost estimates.
7. **Photographs of the property site to be improved**
8. **Architectural/Engineering schematic**
9. **Timeline (to include project start, project spending and project completion dates)**
10. **Five Year Operating Pro Forma** (copy of Section III - Budget Table 4)
11. **Phase 1 Environmental Assessment** (for new construction projects)
12. **URA GIN Notice** (*include date distributed to occupants*) and **Listing of Existing Tenants** (if applicable).
13. **Relocation Plan with timeline and budget** (if applicable)

Appendix 1

CDBG APPLICATION CHECKLIST

Organization _____ Submitted by _____

Program/Project Name _____ Five-Year Community Goal _____

Category: ☐ Public Service ☐ Physical ☐ Housing Services ☐ Economic Development

Review the application prior to submission to ensure that the following requirements are met. Applications that do NOT include the following REQUIRED documents will be considered INCOMPLETE.

Please confirm the application contains the following components in the order given and all applicable forms are **signed and dated** by the appropriate representatives.

- REQUIRED DOCUMENTS TO MEET QUALIFICATIONS -

- ☐ **Executive Summary**
- ☐ **Section I: Organization Information**
- ☐ **Section II: Program/Project Information**
- ☐ **Section III: Program / Project Financial Information, Pro Forma (if applicable), and Budget Forms (Excel spreadsheets)** – Signed by an Authorized Board Official and an Authorized Agency Representative.
- ☐ **Section IV: Grant Certification Forms 1 - 5** – Ensure each Grant Certification Form is complete and signed by the appropriate persons.
 - ☐ **Grant Certification Form 1 (Federal Regulations)** Signed by a Board Official, Authorized Agency Representative, and Agency Financial Representative
 - ☐ **Grant Certification Form 2 (Conflict of Interest)** Signed by a Board Official and Authorized Agency Representative
 - ☐ **Grant Certification Form 3 (Committed Funding)** Signed by a Board Official and Authorized Agency Representative
 - ☐ **Grant Certification Form 4 (Board Authorization)** Signed by a Board Official
 - ☐ **Grant Certification Form 5 (Grant Certification)** Signed by a Board Official and Authorized Agency Representative. **Note: If the proposal is not for a Rehabilitation or New Construction Project, write N/A on form.**
- ☐ **Section V: Attachments** – All applicable attachments for the proposed program/project

PLACE THIS COMPLETED CHECKLIST ON TOP OF THE APPLICATION

Appendix 2

FUNDING OPPORTUNITIES

BRIEF ACTIVITY DESCRIPTIONS

ACQUISITION AND NEW CONSTRUCTION OF HOUSING

Assistance for First-Time Homebuyers (HOME) – Only for the direct financial assistance to households for down payment, closing costs, and interest subsidy assistance; maximum assistance is \$5,000 per household.

Housing Services (CDBG) – CDBG funds in support of the HOME program are available for project delivery costs for qualifying and processing loans for assistance to First-Time Homebuyers. Staff costs and related expenses required for screening applicants, loan processing, and other services related to delivering a homebuyer assistance program are allowed. *Note: Activities under this project must be used in conjunction with the HOME Assistance for First-Time Homebuyers program.*

New Construction of Multi-Family Rental (HOME) – Rental projects must be planned to ensure that 90% of the residents who reside in HOME-assisted units are no more than 60% Median Family Income (MFI); 20% must be below 50% MFI; and projects meet accessibility requirements for federally assisted housing.

Acquisition and/or Rehabilitation of Multi-Family Rental (HOME) – Rental projects must be planned to ensure that 90% of the residents who reside in HOME-assisted units are no more than 60% MFI; 20% must be below 50% MFI; and projects meet accessibility requirements for federally assisted housing.

CLEARANCE AND DEMOLITION

Clearance and Demolition (CDBG) – The demolition of buildings and improvements, the removal of demolition products (rubble) and other debris, or the movement of structures to other sites.

ECONOMIC DEVELOPMENT

Direct Financial Assistance to For-Profits (CDBG) – Assisting a private, for-profit business for the purpose of creating jobs. Assistance may include grants, loans, loan guarantees, and technical assistance.

Microenterprise Assistance (CDBG) – Activities designed to foster the development, support, and expansion of Microenterprise businesses. (A microenterprise is defined as a commercial enterprise that has five or fewer employees, or a person who has expressed an interest and who is, or after an initial screening process is expected to be, actively working toward developing a business that will be a microenterprise at the time it is formed.)

Appendix 2 (continued)

EMERGENCY SHELTERS

Mental Health Services (CDBG & ESG) – Direct outpatient mental health treatment for targeted populations.

Operating Cost of Homeless Program (CDBG & ESG) - Use of funds for operations, maintenance, rent, insurance, repair, security, utilities, fuel, and food for facilities such as emergency shelters.

Employment Training (CDBG & ESG) – The provision of job training and employment assistance for individuals experiencing homelessness in emergency shelters, or for low-income persons through an employment program.

HOUSING REHABILITATION

Owner Occupied Rehabilitation (CDBG and HOME) – Homeowner rehabilitation work includes repairs and/or rehabilitation of owner occupied units. Work must comply with City of Tulsa Rehabilitation Standards and applicable local and state codes. Housing must be the homeowner's primary residence. Assistance may be structured as a grant or a loan. **Note:** *Requirements for CDBG and HOME may differ.*

Special Purpose Minor Rehabilitation (CDBG) – Rehabilitation projects that include energy efficiency improvements, handicapped accessibility, and emergency repairs are capped at less than \$5,000 per household. **Note:** Contingent on LBP requirements, assistance can increase up to \$7,500.

Housing Services (CDBG) – CDBG funds in support of the HOME program are available for project delivery costs for Owner Occupied Rehabilitation projects. Staff costs and related expenses required for outreach and marketing, rehabilitation counseling, screening applicants and structures, preparing work specifications, loan processing, inspections, and other services related to delivering a homeowner rehabilitation program.

PUBLIC FACILITIES AND INFRASTRUCTURE IMPROVEMENTS

Funds may be used for the acquisition (including long-term leases for periods of 15 years or more), construction, reconstruction, or rehabilitation of facilities and real property improvements that are publicly owned or nonprofit owned. Those owned by nonprofits must be operated so as to be open to the general public. Examples of projects include:

Neighborhood Facilities (CDBG) - Acquisition, construction, or rehabilitation of facilities that are principally designed to serve a neighborhood and that will be used for social services or for multiple purposes (including recreation). Such facilities may include libraries and community centers.

Parks, Recreational Facilities (CDBG) - Development of open space areas or facilities intended primarily for recreational use.

Transportation Infrastructure (CDBG) – Sidewalks, bus shelters, street lighting along public transportation routes or to provide access to route from various living facilities.

Child Care Centers (CDBG) - Acquisition, construction, or rehabilitation of facilities intended primarily for children age 12 and under. Examples are daycare centers and Head Start Program facilities.

Appendix 2 (continued)

PUBLIC SERVICES

Funds may be used for a variety of public service programs/projects. Examples include the following:

Abused and Neglected Children (CDBG) – Daycare and other services exclusively for abused and neglected children.

Battered and Abused Spouses (CDBG) - Services for battered and abused spouses and their families.

Crime Awareness (CDBG) – Promotion of crime awareness and prevention, including crime prevention education programs and paying for security guards. Additional security and crime prevention must result in an increased level of existing services provided by the City of Tulsa.

Educational Childcare Programs (CDBG) – Services that will benefit children (generally age 12 and under), including parenting skills classes.

Employment Training (CDBG, HOPWA & ESG) – The provision of job training and employment assistance for individuals experiencing homelessness in emergency shelters, or for low-income persons through an employment program.

Food Security (CDBG) – Costs associated with the operation of food banks, community kitchens, and food pantries, such as staff costs, supplies, utilities, maintenance, and insurance.

Health Services (CDBG) – Education and other supportive health services for targeted populations.

Housing Counseling (CDBG) - Education workshops and individual counseling, and one-on-one financial evaluations.

Mental Health Services (CDBG) – Direct outpatient mental health treatment for targeted populations.

Operating Cost of Homeless Program (CDBG & ESG) - Use of funds for operations, maintenance, rent, insurance, repair, security, utilities, fuel, and food for facilities such as emergency shelters.

Transportation Services (CDBG) – Operating costs for transportation services.

Senior Services (CDBG) – Services for the elderly.

Street Outreach (CDBG & ESG) – Essential services necessary to reach out to unsheltered homeless individuals and families, connect them with emergency shelter, housing, or critical services, and provide them with urgent, non-facility-based care. Component services generally consist of engagement, case management, emergency health and mental health services, and transportation.

Youth Services (CDBG) - Educational or recreational activities provided for young people age 13 to 19, such as after school tutoring, mentoring, summer camps, etc.

RENTAL HOUSING SUBSIDIES

Rental Housing Subsidies (ESG & HOPWA) – Rental housing subsidies for persons experiencing homelessness, low-income persons at-risk of homelessness, including persons with HIV/AIDS.

Appendix 3

Goals, Objectives, Performance Measures, and Outcomes

Community Goals and Objectives – Broad guidelines stating general intentions for the use of grant funds

Note: These are established by the HUD Community Development Committee with input from various businesses, organizations, and citizens in the community.

Program/Project Objectives – General statement that describes what the agency wants to achieve with the program/project. These objectives should be directly related to one of the priorities listed in the Community Goals/Objectives and are generally directly related to the organization's purpose.

Program/Project Performance Measures – Provides the criteria for how the City can evaluate the success of the program/project. Performance Measures should include one or more specific units of measure that directly correlate to the Program/Project Goals, proving the success of the program/project. Performance Measures should also outline the end results and how they are to be tracked and evaluated.

Short-Term Goals – Provide a specific, measurable description of what the program/project is intended to accomplish. Short-term goals should be specific, measurable, attainable, relevant and time-limited.

Long-Term Outcomes – Measurable hoped-for effects of accomplishments over a period of time.

General Suggestions

Be careful not to “over-promise” on what the program/project can realistically deliver or the time frame for implementation. Do not project serving hundreds of individuals if staffing and budget simply will not enable the agency to do so. Should the program/project be funded, Performance Measures will be used as the basis for drafting a contract and as a framework for monitoring program performance. Because these projections will be translated directly into a written agreement scope of work and into the reporting requirements that are part of the monitoring process, it is important to be realistic. A useful way of making goals more powerful and measurable is to use the SMART mnemonic. While there are numerous variants, S.M.A.R.T. usually stands for:

S Specific **M** Measurable **A** Attainable **R** Relevant **T** Time-bound

EXAMPLE 1

Community Goal/Objective: Improve access to affordable housing for homeowners

Program/Project Objective: Increase the ability of low to moderate-income individuals to become homeowners

Performance Measures:

Short-Term Goal: Provide First-Time Homebuyer Education Seminars to 300 low to moderate-income households from July 1st through June 30th.

Long-Term Outcome:

30% of the individuals who participate in the First-Time Homebuyer Education Seminars will improve their credit ratings by 100 points and become homeowners.

EXAMPLE 2

Community Goal/Objective: Early childhood education and youth activities

Program/Project Objective: Prepare youth for success in school

Performance Measures:

Short-Term Goal: Provide a reading and math summer camp program for 30 children from July 1st through August 15th.

Long-Term Outcome: At the end of the camp, 75% of the children who participate will perform above their grade level based on pre and post-testing results as measured by the XYZ Assessment.

Appendix 3 (continued)

Goals, Objectives, Performance Measures, and Outcomes

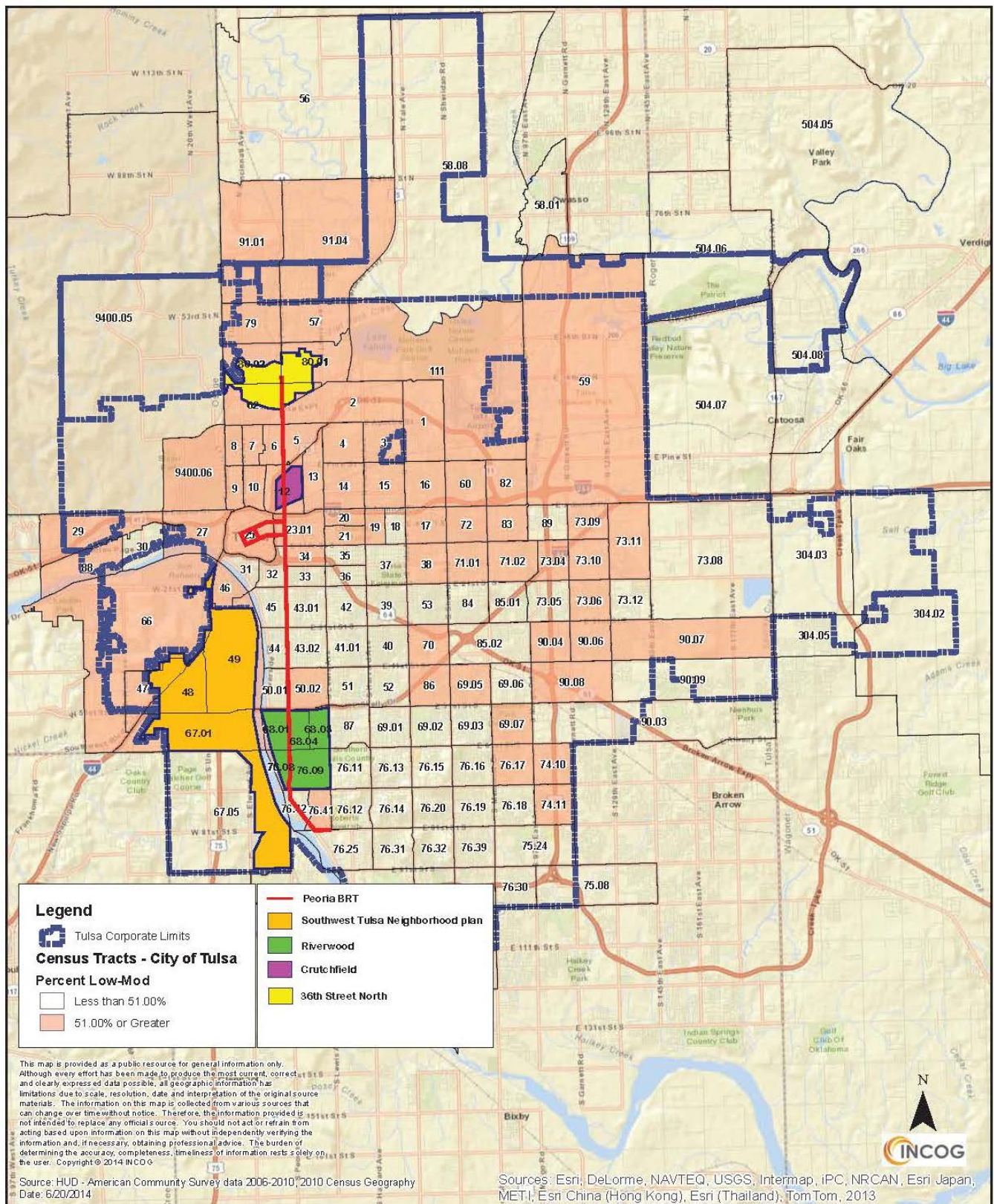
This worksheet is to help create objectives, goals and outcomes.

Do NOT submit with the application.

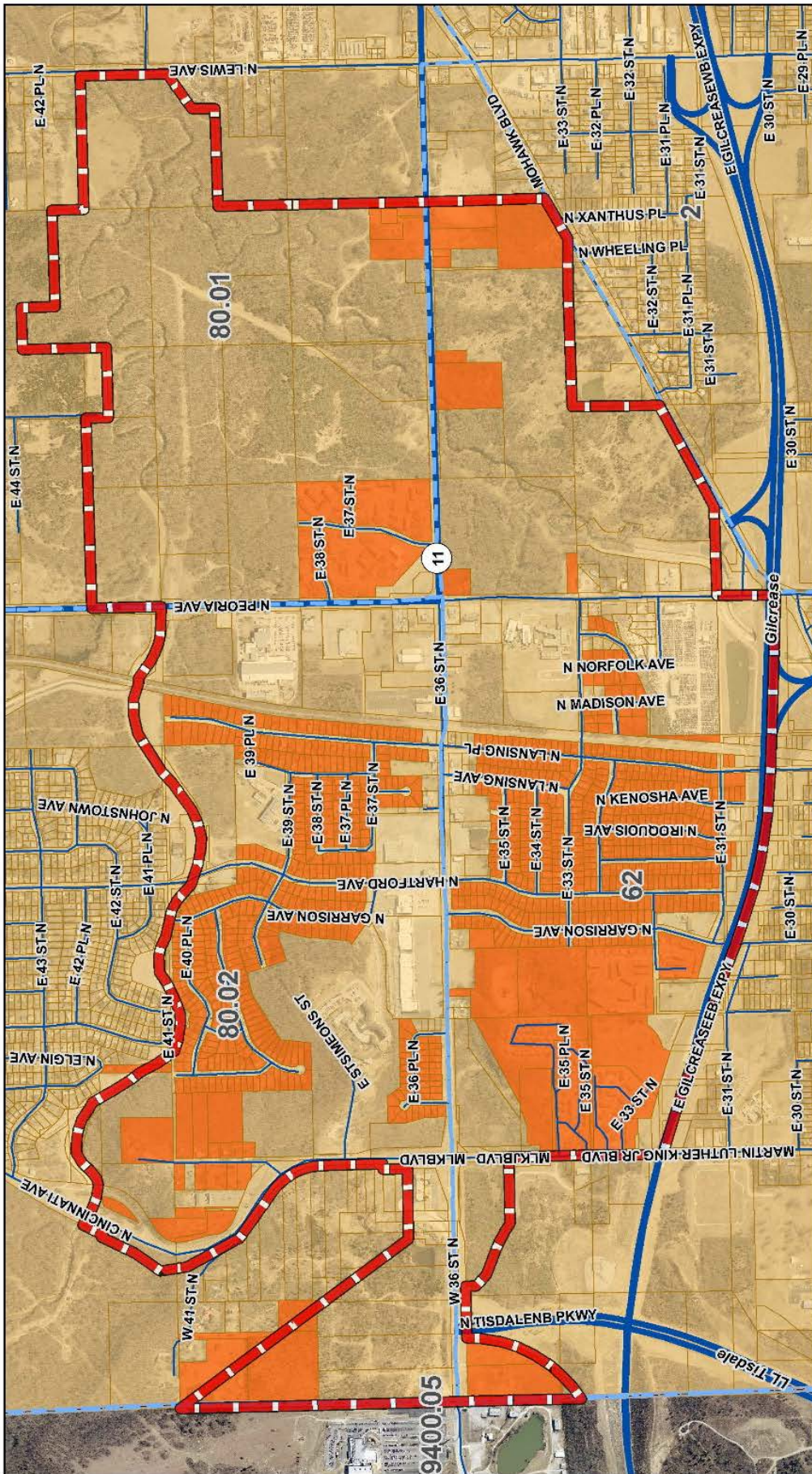
Worksheet	
Community Goal/Objective	
Program/Project Objective	
Short-Term Goals	
Long-Term Outcomes	

Appendix 4 - Maps

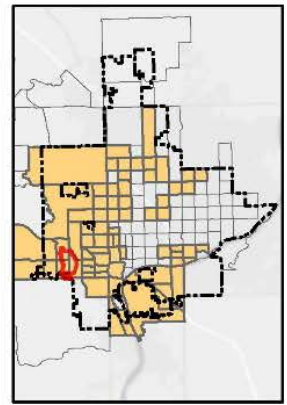
Low and Moderate Income Census Tracts and Target Areas



Consolidated Plan - 36th Street North Target Area Low-Mod Census Tracts with Residential Land Use



Date: 9/7/2017
Source: Tulsa County Assessor July 2017
Criteria selection based upon:
Property Type = Condo, Duplex, Mobile Home, Multiple Unit
Residential, Triplex or LEAPDESC = Apartments, Condo,
Multi-Family, or Single-Family
HUD - American Community Survey data 2006-2010, 2010
Census Geography



Legend

Census Tracts

Percent Low-Mod Income

Less than 51.00%

☐ 51.00 % or Greater

Land Use Classification
Residential Parcels

Census Tract Boundary

36th Street North

Target Area Bound

County Boundary
Parcel Boundaries

Highways

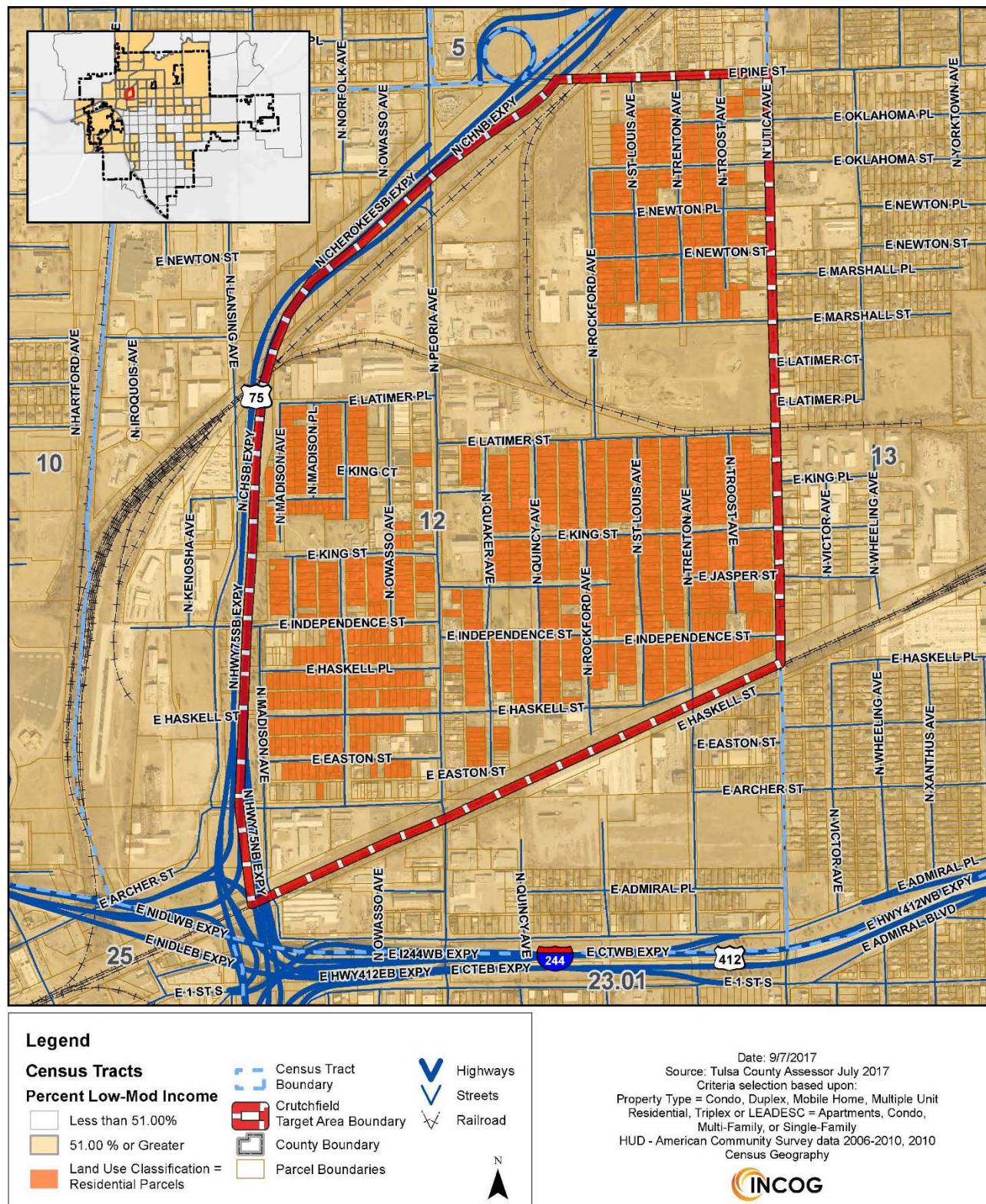
Streets

✓ Railroad

 \mathbb{Z}

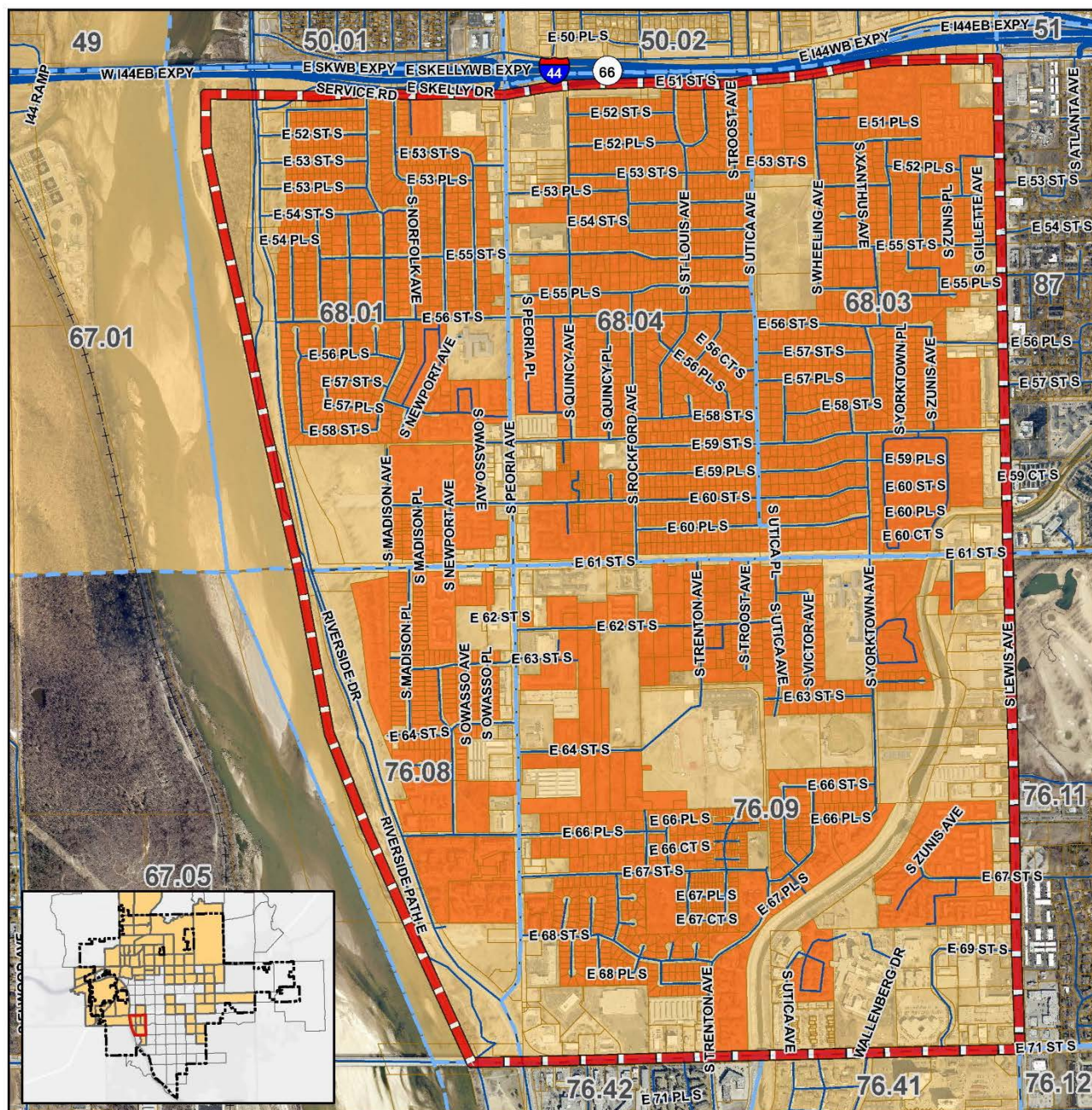
Appendix 4 - Maps (continued)

Consolidated Plan - Crutchfield Target Area Low-Mod Census Tracts with Residential Land Use



Appendix 4 - Maps (continued)

Consolidated Plan - Riverwood Target Area Low-Mod Census Tracts with Residential Land Use



Legend

Census Tracts

Percent Low-Mod Income

Less than 51.00%

51.00 % or Greater

Land Use Classification =
Residential Parcels

Census Tract
Boundary

Riverwood
Target Area Boundary

County Boundary

Parcel Boundaries

Highways

Streets

Railroad



Date: 9/7/2017

Source: Tulsa County Assessor July 2017

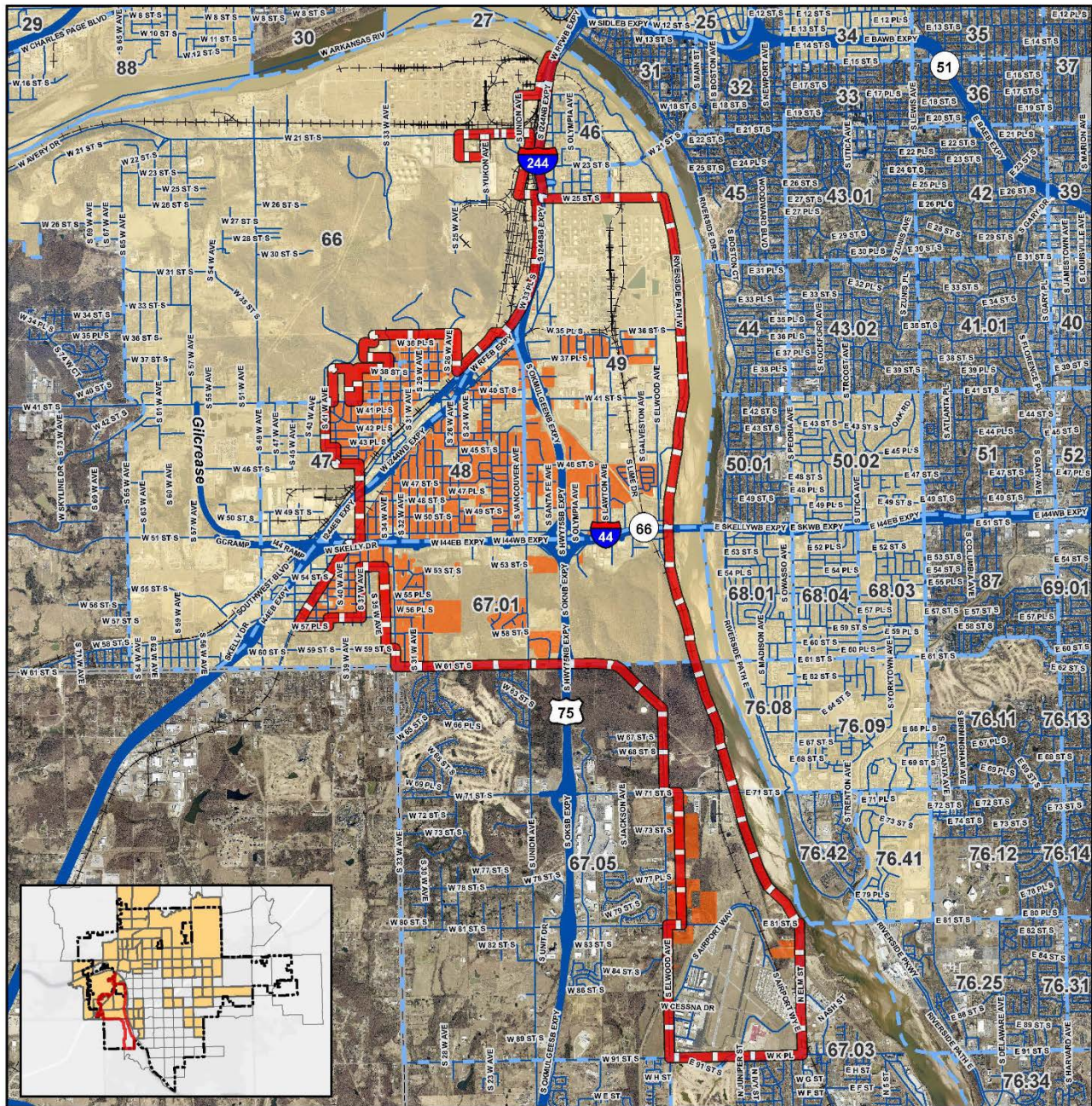
Criteria selection based upon:

Property Type = Condo, Duplex, Mobile Home, Multiple Unit
Residential, Triplex or LEADESC = Apartments, Condo,
Multi-Family, or Single-Family
HUD - American Community Survey data 2006-2010, 2010
Census Geography



Appendix 4 - Maps (continued)

Consolidated Plan - Southwest Tulsa Target Area Low-Mod Census Tracts with Residential Land Use



Legend

Census Tracts

Percent Low-Mod Income

- Less than 51.00%
- 51.00 % or Greater
- Land Use Classification = Residential Parcels

- Census Tract Boundary
- Southwest Tulsa Target Area Boundary
- County Boundary

- Highways
- Streets
- Railroad



Date: 9/7/2017

Source: Tulsa County Assessor July 2017

Criteria selection based upon:

Property Type = Condo, Duplex, Mobile Home, Multiple Unit
Residential, Triplex or LEADESC = Apartments, Condo,
Multi-Family, or Single-Family
HUD - American Community Survey data 2006-2010, 2010
Census Geography



Appendix 4 - Maps (continued)

