

**CITY OF OAKLAND
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

**REQUEST FOR FUNDING PROPOSALS
SEVEN COMMUNITY DEVELOPMENT DISTRICT FUNDS
FOR FUNDING CYCLE 2017-2019**



PROPOSAL PACKET AND INSTRUCTIONS

Issued November 16, 2016 By:
**Department of Housing and Community Development
Community Development Block Grant/Commercial Lending Division
250 Frank H. Ogawa Plaza, Suite 5313
Oakland, California 94612-2034
Mr. Gregory Garrett, Acting Manager
510-238-2716**

Submission Deadline:
Proposals for CD Districts 1, 3-7: 2:00 p.m. Wednesday, December 14, 2016
Proposals for CD District 2: 2:00 p.m. Monday, March 13, 2017

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REQUEST FOR PROPOSALS PACKET**

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SECTION A - INTRODUCTION TO THE REQUEST FOR PROPOSALS

The City of Oakland through its Department of Housing and Community Development (DHCD) is inviting non-profit organizations and City Departments to submit proposals for programs that will provide services in the seven Community Development (CD) Districts from the Community Development Block Grant (CDBG) to be awarded by the U.S. Department of Housing and Urban Development (HUD) for the 2017-19 funding cycle beginning July 1, 2017. It is projected that \$1,556,895 may be available for the CD Districts to allocate in each of the two years.

Interested applicants are required to attend one of two mandatory trainings for prospective applicants scheduled for Wednesday, November 30, 2016 in City Hall Hearing Room Two, First Floor, One Frank H. Ogawa Plaza, Oakland. The trainings will be from 10:00 a.m. to 12:00 noon, and from 2:00 p.m. to 4:00 p.m. Attendance sign-in will begin at 9:45 a.m. and 1:45 p.m. respectively, and attendees must sign-in no later than 10:10 a.m. and 2:10 p.m. respectively and be present for the entire session. Please confirm your attendance by email (cdbg@oaklandnet.com) no later than Monday, November 28, 2016 and indicate the preferred time slot and number of persons to attend. Please bring this Request for Proposal (RFP) packet with you as staff will be reviewing the CDBG application process and requirements detailed in the RFP. **The RFP will be available and distributed until November 30, 2016 and will not be available or distributed after that date.**

Copies of the proposal packet are available at the Department of Housing and Community Development-CDBG/Commercial Lending Division, 250 Frank H. Ogawa Plaza, Suite 5313, (across from City Hall) Oakland, California 94612-2034, (510) 238-3716 during the business hours of 8:30 a.m. to 5:00 p.m. Until November 30, 2016, the proposal packet can be viewed and downloaded from the City of Oakland's website at <http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm> by following the link for CDBG Application Process.

To be accepted and considered for funding, proposals must address the District-specific service and capital improvement activities identified by the seven CD District Boards, which will be posted on <http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>. The Boards are in the process of identifying the activities that will meet their respective needs and priorities for the 2017-19 funding cycle. For applicants seeking funding from Districts 1 and 3 to 7, this information will be distributed on November 30, 2016. For applicants seeking funding from District 2, this information will be available and distributed to prospective applicants by March 3, 2017.

The Calendar on pages 3-6 provides the dates for the submission and review of proposals as well as the formulation of funding recommendations from allocations for the seven CD Districts in the 2017-19 funding cycle. For District 2, a separate timeline is identified for priorities to be developed, proposals to be submitted and reviewed, and funding recommendations to be made. District 2 has opted to engage in the Participatory Budgeting Process, a tool being employed nationally to increase the participation of low- and moderate-income residents in identifying projects that will improve and benefit their community and in recommending the allocation of public funds appropriated for the respective community.

Requests for funding from CD Districts 1 and 3 to 7 must be submitted to DHCD by 2:00 p.m. on Wednesday, December 14, 2016. The deadline for submission of requests for funding from CD District 2 is 2:00 p.m. on Monday, March 13, 2017. Any proposals that are not received by staff on or before the respective dates will not be accepted.

Applicants will be scheduled to make presentations to the CD Districts for which they are requesting funding, and funds will not be recommended for applicants who do not make a presentation. The Board members of

Districts 1 and 3-7 will hear presentations on Saturday, January 21, 2017. The Board members of District 2 will hear presentations on Saturday, April 8, 2017. The location and schedules for each session will be distributed to applicants in advance.

Each CD District Board will meet subsequently to formulate its funding recommendations for consideration by the City Council as it develops the final FY2017-18 budget for submission to HUD.

To assist community organizations and City Departments in developing funding proposals, summaries are provided on pages 7-13 of the types of activities that are eligible for CDBG funding and the requirements for compliance with the CDBG National Objectives. Also included are guidelines for Faith-based organizations which may apply for funding to carry out CDBG eligible programs and activities provided that:

- a. They do not engage in inherently religious activities as part of a CDBG funded program or activity.
- b. They shall not, in providing CDBG funded services, discriminate against a program beneficiary on the basis of religion or religious belief.
- c. CDBG funds are not be used for the acquisition, construction, or rehabilitation of structures that are used principally for inherently religious activities.

Review the Federal guidelines very carefully to ensure that you can satisfy the HUD regulations. Staff will review the proposals to determine that organizations and proposed activities are eligible for CDBG funding, that proposed costs are CDBG allowable expenditures, and that proposed activities demonstrably benefit predominantly low- and moderate-income persons.

Applicants should take care to familiarize themselves with the instructions for documents in the proposal packet to ensure that the proposals they prepare and submit are complete and meet all requirements. Proposals that are incomplete or not in compliance will not be accepted.

Applicants need to be aware of the following aspects of Oakland's CDBG funding process:

- The number of grant agreements with community organizations to be recommended for funding for each CD District will be limited to four (4).
- No less than \$15,000 shall be recommended for a project to be operated in any individual District unless the amount of the applicant's request is less than \$15,000.
- Grant Agreements with community organizations and Memoranda of Understanding with City Departments and will be effective based on the funding recommendations for a two year period if funding is recommended for 2017-2019, or for a one year period if funding is recommended for either 2017-2018 or 2018-2019.

This application packet provides all necessary information on the data and documents which must be submitted. Until November 30, 2016, the required forms can be viewed and downloaded from the City's website <http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm> by following the link for CDBG Application Process. All proposals should be addressed and delivered as follows since we cannot guarantee receipt of proposals delivered to other City offices or staff:

Mr. Gregory Garrett, Acting CDBG/Commercial Lending Manager
City of Oakland Department of Housing and Community Development
250 Frank H. Ogawa Plaza, Suite 5313 (across from City Hall)
Oakland, California 94612-2034

Requests for information should be made to Mr. Garrett at (510) 238-6183.

SECTION B
CALENDAR FOR THE DEVELOPMENT OF THE SEVEN CD DISTRICT
RECOMMENDED FUNDING ALLOCATIONS
TO BE INCLUDED IN THE CONSOLIDATED PLAN ANNUAL ACTION PLAN
AS THE CITY OF OAKLAND'S APPLICATION FOR FUNDING CYCLE 2017-2019
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ENTITLEMENT FUNDS

The Calendar presents the dates for the sequence of events in the development of the allocations for the Community Development Block Grant funds to be awarded to applicants for CD District funding for the 2017-2019 funding cycle beginning July 1, 2017. A Consolidated Plan was prepared and submitted to HUD in May 2015 that described the housing and community development needs of lower income households and individuals in the City of Oakland; and included a Five Year Strategy for the period July 1, 2015 to June 30, 2020 as well as an Annual Action Plan identifying how these needs will be addressed. Each year for the five year period an Annual Action Plan is submitted to HUD. In order that citizens have adequate opportunity to participate in an advisory role, the Calendar describes how timely information is distributed and how the input of citizens will be recognized. A public hearing will be held as required by Federal regulations.

2016

November 16
Wed. Staff distributes the Request for Proposals (RFP) for services, housing related services and capital improvement projects to be funded from the allocation for the seven CD Districts for projects that will operate in their respective districts.

November 20
Sun. Public notice of the availability of the Request for Proposals.

November 30
Wed. Mandatory Trainings for prospective applicants for 2017-2019 funding. In order to be eligible to submit a proposal, prospective applicants are required to attend one of the two meetings which will be held in **City Hall Hearing Room Two, First Floor, City Hall, One Frank H. Ogawa Plaza, Oakland at the following times: 10:00 a.m. to 12:00 noon; 2:00 p.m. to 4:00 p.m. RFP packets will not be distributed after this date.**

December 14
Wed. **Deadline for submission of funding requests for Districts 1, and 3 to 7 from non-profit organizations and City Departments to the Department of Housing and Community Development (DHCD) by 2:00 p.m.** Acknowledgment letters will be mailed to organizations and City Departments when initial staff review is completed. Copies of each proposal will be distributed to the appropriate City bodies. *(Note: Deadline for submission of funding requests for District 2 is Monday, March 13, 2017.)*

2017

January 11
Wed. CDBG staff will conduct an overview of the CDBG funding process for the members of the Seven Community Development (CD) District Boards. This meeting will be held from **6:00-8:00 p.m. in the Fox Conference Room, 5th Floor, Dalziel Building, 250 Frank H. Ogawa Plaza.**

| | |
|--------------------------|--|
| January 21 Sat. | <p>Presentations from funding applicants will be made to the Board members of Community Development (CD) Districts 1 and 3 to 7 from 9:30 a.m.-3:00 p.m. in Oakland City Hall, One Frank H. Ogawa Plaza. Applicants will be notified of the scheduled time slots and will convene at 9:30 a.m. in Hearing Room 1. Funding will not be considered or recommended for applicants who do not attend to make presentations.</p> <p><i>(Note: Presentations from applicants to District Board 2 will be on Saturday, April 8, 2017)</i></p> |
| February | <p>The Board members of Community Development (CD) Districts 1 and 3 to 7 will meet in their respective Districts to formulate recommendations for programs to be funded from the respective District allocations. <u>The recommendations will be submitted no later than Tuesday, February 28, 2017</u> to the respective Councilperson as well as to the CDBG staff.</p> <p><i>(Note: The Board members of District 2 will formulate their recommendations after April 8, 2017 and submit their funding recommendations no later than Friday, April 17, 2017)</i></p> |
| February 28 Tues | <p>The Board members of Community Development (CD) District 2 will finalize and submit to CDBG staff their specific priority activities for funding.</p> |
| March 1-3 Wed. – Fri. | <p>CDBG staff will release the priority activities for District 2 to prospective applicants seeking funding from District 2.</p> |
| March 13 Mon. | <p>Deadline for submission of funding requests for CD District 2 from non-profit organizations and City Departments to the Department of Housing and Community Development (DHCD) by 2:00 p.m. Acknowledgment letters will be mailed to organizations and City Departments when initial staff review is completed. Copies of each proposal will be distributed to the appropriate City bodies.</p> |
| March | <p>CDBG staff will compile the funding recommendations of the Boards of Community Development (CD) Districts 1 and 3 to 7 in the staff report on the proposed 2017-2019 budget allocations for the Annual Action Plan of the Consolidated Plan.</p> |
| April 8 Saturday | <p>Presentations from funding applicants will be made to the Board members of Community Development (CD) District 2. Applicants will be notified of the location and scheduled time slots. Funding will not be considered or recommended for applicants who do not attend to make presentations.</p> |
| April 17 Fri. | <p>Deadline for the Board members of Community Development (CD) District 2 to submit to the Councilperson and CDBG staff the recommendations for programs to be funded from their District allocations.</p> |

- April Publication of the Notice of the Official City Council Public Hearing on 2017-2019 budget recommendations, of the availability of the Annual Action Plan of the Consolidated Plan, and the request for public comments on proposed budget allocations.
- April The City Council Community and Economic Development Committee will review the proposed 2017–2019 budget allocations for the Annual Action Plan of the Consolidated Plan. The meeting will be held on the 2nd or 4th Tuesday in **Sgt. Mark Dunakin Room (Hearing Room One), City Hall, One Frank H. Ogawa Plaza, from 1:30 to 4:00 p.m.**
- May End of 30 day comment period and deadline for submission of all public comments on the Annual Action Plan.
- May **Official City Council Public Hearing** on the recommendations for 2017-2019 budget allocations at **6:30 p.m. in the City Council Chambers, Third Floor, City Hall, One Frank H. Ogawa Plaza.** The Council meets on the 1st, 3rd, and 5th Tuesdays. Council will obtain citizen views and respond to proposals and questions, and will direct staff to prepare the draft Annual Action Plan of the Consolidated Plan.
- May 15 Mon. Deadline for submittal of Annual Action Plan to HUD.
- May/June Private nonprofit agencies recommended for funding will be required to attend the mandatory orientation meeting(s) that will be scheduled to provide information on grant agreement procedures and guidelines, including required documents that must be completed before grant agreements are developed. Funded agencies will be notified of the dates, times and locations. No grant agreements will be executed with and no funds released to a prospective subgrantee that has not attended an orientation meeting. In the early Fall, staff will schedule additional trainings to provide indepth review of fiscal and program monitoring requirements.
- Mandatory meetings will also be scheduled with City staff who will be administering CDBG funded public service and capital improvement programs for the purpose of reviewing the development of Memoranda of Understanding as well as requirements for reporting program accomplishments and expenditures.
- Non-profit agencies and City Departments recommended for funding by District 2 will be required to attend with the proviso that their respective allocations will not be scheduled for approval by the City Council until June or July, and will be submitted to HUD in July or August as an Amendment to the FY2017-18 Annual Action Plan.**

/ORGANIZATIONS SHOULD NOT INCUR ANY COSTS, PERFORM ANY WORK, PURCHASE ANY GOODS OR SERVICES, NOR MAKE ANY COMMITMENTS OR SIGN ANY CONTRACTS WITH ANY PERSON, ORGANIZATION OR COMPANY RELATED TO THE PROJECT FOR WHICH CDBG FUNDS HAVE BEEN REQUESTED UNTIL THE FUNDS HAVE BEEN APPROPRIATED BY THE CITY COUNCIL AND A GRANT AGREEMENT OR MEMORANDUM OF UNDERSTANDING HAS BEEN EXECUTED WITH THE CITY.

June/July

The City Council will review and take action on the program allocations recommended by Community Development (CD) District 2.

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SECTION C-1
SUMMARY OF ELIGIBLE AND INELIGIBLE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM ACTIVITIES

This is a summary, based on the Final Rules published in March 1996, of the activities that are eligible and ineligible for assistance under the Community Development Block Grant (CDBG) Program pursuant to the governing regulations of the Code of Federal Regulations, Title 24, Part 570, Sections 570.200-570.207.

General Policies -- 570.200

The primary objective of the CDBG Program is the development of viable urban communities, by providing decent housing and a suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Funds must be used so as to give maximum feasible priority to activities which will carry out one of the three broad national objectives of: benefit to low- and moderate-income families; or aid in the prevention or elimination of slums or blight; or activities designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs. At least 70% of the total CDBG funds must be used for activities that benefit low- and moderate-income persons; and at least 51% of the beneficiaries of individual activities must be low- and moderate-income persons.

Basic Eligible Activities -- 570.201

- (a) Acquisition in whole or in part by purchase, long-term lease, donation, or otherwise, of real property for any public purpose.
- (b) Disposition of real property acquired with CDBG funds through sale, lease, donation, or otherwise; or its retention for public purposes, including reasonable costs of temporarily managing such property.
- (c) Acquisition, construction, reconstruction, rehabilitation or installation of public facilities and improvements, except buildings for the general conduct of government. Activities may include:
- Removal of material and architectural barriers that restrict the mobility and accessibility of elderly or severely disabled persons to public facilities or improvements;
 - Design features and improvements which promote energy efficiency;
 - Architectural design features and similar treatments intended to enhance the aesthetic quality of facilities and improvements receiving CDBG assistance.
- Eligible facilities include homeless shelters; convalescent homes; hospitals; nursing homes; battered spouse shelters; halfway houses for run-away children, drug offenders or parolees; group homes for mentally retarded persons; and temporary housing for disaster victims.
- (d) Clearance, demolition and removal of buildings and improvements; movement of structures to other sites; and remediation of known or suspected environmental contamination.
- (e) Provision of public services (including labor, supplies and materials) such as those concerned with employment, crime prevention, child care, health, drug abuse, education, fair housing counseling, energy conservation, welfare, homebuyer down payment assistance, or recreational needs. The services must meet each of the following criteria:
- A service must either be new or be a quantifiable increase in the level of an existing service above that which has been provided with State or Local funds in the previous twelve calendar months; and
 - The amount obligated for public services shall not exceed 15 percent of the annual grant and of program income received during the immediately preceding program year.
- (f) Interim assistance to correct objectively determinable signs of physical deterioration in areas where immediate action is necessary and where permanent improvements will be carried out as soon as practicable; or to alleviate emergency conditions threatening the public health and safety and requiring immediate resolution.

- (g) Payment of the non-Federal share required in connection with a Federal grant-in-aid program undertaken as part of CDBG activities.
- (h) Completion of urban renewal projects.
- (i) Relocation payments and assistance for relocated individuals, families, businesses, nonprofit organizations, and farm operations.
- (j) Payment to housing owners for losses of rental income incurred in holding units for individuals and families displaced by relocation activities.
- (k) Housing services, such as tenant counseling in connection with tenant-based rental assistance and affordable housing projects, energy auditing, preparation of work specifications, loan processing, inspections, tenant selection, management of tenant-based rental assistance, and other services related to assisting owners, tenants, contractors, and other entities participating or seeking to participate in housing activities assisted under title II of the Cranston-Gonzalez National Affordable Housing Act.
- (l) Acquisition, construction, reconstruction, rehabilitation, or installation of the distribution lines and facilities of privately owned utilities.
- (m) Rehabilitation of privately owned real property, and development grants for new construction or substantial rehabilitation of real property to be used for primarily residential rental purposes.
- (n) Direct homeownership assistance to low- and moderate-income homeowners:
 1. To subsidize interest rates and mortgage principal amounts;
 2. To finance the acquisition of owner-occupied property;
 3. To acquire guarantees for mortgage financing obtained from private lenders but not to guarantee such mortgage financing directly or provide such guarantees directly;
 4. To provide up to 50 percent of any required down payment;
 5. To pay reasonable closing costs.
- (o) Microenterprise assistance through the provision of assistance to facilitate economic development by providing credit for the establishment, stabilization and expansion of microenterprises; providing technical assistance, advice and business support service to owners or developers of microenterprises; and providing general support to owners and developers or microenterprises. Training and technical assistance may also be provided.
- (p) Provision of technical assistance to public or nonprofit entities to increase their capacity to carry out eligible neighborhood revitalization or economic development activities.
- (q) Assistance to institutions of higher education to carry out eligible activities.

Eligible Rehabilitation and Preservation Activities -- 570.202

- (a) Rehabilitation assistance for:
 - Privately owned residential buildings and improvements for residential purposes;
 - Low-income public housing and other publicly owned residential buildings and improvements;
 - Publicly and privately owned commercial or industrial buildings;
 - Nonprofit-owned nonresidential buildings and improvements; and
 - Manufactured housing that is part of the permanent housing stock.
- (b) Financing assistance through grants, loans, loan guarantees, interest supplements, or other means for:
 - (1) Private individuals and entities, including profit making and nonprofit organizations, to acquire and rehabilitate, and to rehabilitate properties for use or resale for residential purposes;
 - (2) Labor, materials and other rehabilitation costs, including repair, replacement of principal fixtures and components, installation of security devices, and renovation of existing structures;
 - (3) Loans for refinancing existing indebtedness secured by a property being rehabilitated;
 - (4) Improvements to increase the efficient use of energy;
 - (5) Improvements to increase the efficient use of water;
 - (6) Connection of residential structures to water distribution or local sewer collection lines;

- (7) Initial homeowner warranty premiums, hazard insurance premiums, flood insurance premiums and lead-based paint testing and abatement;
 - (8) Acquisition of tools to be lent to carry out rehabilitation;
 - (9) Rehabilitation services related to assisting participants in rehabilitation activities;
 - (10) Rehabilitation of housing under Section 17 of the U.S. Housing Act of 1937; and.
 - (11) Improvements designed to remove material and architectural barriers that restrict the mobility and accessibility of elderly or severely disabled persons.
- (c) Code violations inspections and enforcement to arrest the decline of deteriorating or deteriorated areas.
 - (d) Rehabilitation, preservation or restoration of publicly or privately owned historic properties.
 - (e) Renovation of closed school or other buildings for use as an eligible public facility or for housing.
 - (f) Lead-based paint hazard evaluation and reduction.

Special Economic Development Activities -- 570.203

Activities that are listed as eligible may be carried out as part of an economic development project. In addition, special economic development activities that are necessary or appropriate to carry out an economic development project, including costs associated with project-specific assessment or remediation of known or suspected environmental contamination --but not including assistance for the construction of new housing-- may be carried out including:

- (a) Acquisition, construction, reconstruction, rehabilitation or installation of commercial or industrial buildings, structures, and other real property equipment and improvements, including railroad spurs or similar extensions. Such activities may be carried out by the recipient, or public or private nonprofit subrecipients.
- (b) The provision of assistance to private for-profit businesses (including, but not limited to, grants, loans, loan guarantees, interest supplements, technical assistance, and other forms of support, for any activity where the assistance is appropriate to carry out an economic development project -- except for buildings for the general conduct of government, general government expenses, and political activities. Displacement of existing businesses and jobs in neighborhoods shall be minimized to the extent practicable.
- (c) Economic development services including, but not limited to, outreach efforts to market available forms of assistance; screening of applicants; reviewing and underwriting applications for assistance; preparation of all necessary agreements; management of assisted activities; and the screening, referral and placement of applicants for employment opportunities generated by CDBG-eligible economic development activities, including the costs of necessary training.

Special Activities By Community-Based Development Organizations (CBDOs) -- 570.204

Grants or loans may be provided to CBDOs to undertake activities directly or through contract with an entity other than the grantee, or through the provision of financial assistance for activities in which it retains a direct and controlling involvement and responsibilities, including: activities listed as eligible; and activities not otherwise listed as eligible -- excluding, buildings for the general conduct of government business, general government expenses, and political activities.

- (a) Neighborhood revitalization projects that include activities of sufficient size and scope to have an impact on the decline of a geographic location within the jurisdiction of general local government unit designated in comprehensive plans, ordinances, or other local documents as a neighborhood, village, or similar geographical designation; or the entire jurisdiction of a general local government unit which is under 25,000 population;
- (b) Community economic development projects that include activities that increase economic opportunity, principally for low- and moderate-income persons, or that stimulate or retain businesses or permanent jobs, including projects that include one or more such activities that are clearly needed to address a lack of affordable housing accessible to existing or planned jobs; and may include costs associated with project-specific assessment or remediation of known or suspected environmental contamination;

- (c) Energy conservation projects that include activities that address energy conservation, principally for the benefit of the residents of the recipient's jurisdiction; and

Eligible Planning, Urban Environmental Design and Policy-Planning-Management-Capacity Building Activities -- 570.205

- (a) Planning activities such as data gathering, studies, analyses, preparation of plans, and identification of actions to implement plans.
- (b) Policy, planning, management and capacity-building activities.

Program Administration Costs -- 570.206

- (a) Reasonable costs of overall program management, coordination, monitoring, and evaluation, - including:
 - Staff salaries, wages, and related costs;
 - Travel costs;
 - Administrative services such as general legal, accounting and audit services performed under third-party contracts; and
 - Other goods and services required for administration of the program.
- (b) Provision of information and other resources to residents and citizen organizations.
- (c) Provision of fair housing services.
- (d) Indirect costs.
- (e) Preparation of applications for Federal programs.
- (f) Necessary administrative expenses in planning or obtaining financing for housing units which are identified in the HUD approved Housing Assistance Plan.
- (g) Overall program management of the Rental Rehabilitation and Housing Development programs.
- (h) Overall program management of:
 - (1) A Federally designated Empowerment Zone or Enterprise Community; and
 - (2) The HOME program under title I of the Cranston-Gonzalez Affordable Housing Act.

Ineligible Activities -- 570.207

- (a) Assistance for:
 - Buildings used for the general conduct of government
 - General government expenses; and
 - Political activities.
- (b) Assistance for:
 - Purchase of construction equipment, fire protection equipment, furnishings and personal property;
 - Repairing, operating and maintaining public facilities, improvements and services;
 - New housing construction; and
 - Income payments.except when carried out as a special economic development activity, or as a public service, or by an eligible community-based development organization, or by the recipient as specifically authorized.

SECTION C-2
SUMMARY OF GUIDELINES FOR ENSURING EQUAL TREATMENT
OF FAITH-BASED ORGANIZATIONS

This is a summary, based on the Final Rules published July 9, 2004, of the guidelines regarding participation of faith-based organizations in programs and activities funded by the U.S. Department of Housing and Urban Development pursuant to the governing regulations of the Code of Federal Regulations, Title 24, Part 5, Section 109. This summary is based upon the Final Rules published July 9, 2004.

A. Equal Participation of Faith-Based Organizations in HUD Programs and Activities

Faith-based organizations are eligible, on the same basis as any other organization, to participate in the full range of HUD's programs and activities. This includes programs that make funds available through contract, grants, cooperative agreements, or other instruments for eligible goods, services, and activities as well as programs that do not make funds available, but involve other forms of benefit or resources, e.g., Federal Housing Administration (FHA) mortgage insurance or foreclosed properties that are available to qualifying organizations. Neither the Federal government, nor a State or local government, nor any other entity that administers any HUD program or activity shall discriminate against an organization on the basis of the organization's religious character or affiliation.

B. Inherently Religious Activities

Organizations that receive direct HUD funds under a HUD program or activity may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services directly funded under the HUD program or activity. If an organization conducts such activities, the activities must be offered separately, in time or location, from the programs, activities, or services supported by direct HUD funds, and participation must be voluntary for the beneficiaries of these programs, activities, or services.

The term "direct HUD funds" refers to direct funding within the meaning of the Establishment Clause of the First Amendment. For example, direct HUD funding may mean that the government or an intermediate organization with similar duties as a governmental entity under a particular HUD program selects an organization and purchases the needed services straight from the organization (e.g., via a contract or cooperative agreement). In contrast, indirect funding scenarios may place the choice of service provided in the hands of a beneficiary, and then pay for the cost of that service through a voucher, certificate, or other similar means of payment.

C. Independence of Faith-Based Organizations.

A faith-based organization that participates in a HUD program or activity will retain its independence from Federal, State and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not engage in any inherently religious activities, such as worship, religious instruction, or proselytization, as part of the program or services supported by direct HUD funds. Among other things, faith-based organizations may use space in their facilities to provide services under a HUD program, without removing religious art, icons, scriptures, or other religious symbols. In addition, a faith-based organization participating in a HUD program retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members and otherwise govern itself on a religious basis, and include religious references in its organization's mission statements and other governing documents.

D. Exemption From Title VII Employment Discrimination Requirements

A faith-based organization's exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in section 702(a) of the Civil Rights Act of 1964 (42U.S.C. 2000e-1), is not forfeited when the organization participates in a HUD program.

E. Nondiscrimination Requirements

An organization that receives direct HUD funds shall not, in providing program assistance, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Organizations participating in HUD program and activities must also comply with any other applicable Federal fair housing and nondiscrimination requirements.

F. Acquisition, Construction and Rehabilitation of Structures

HUD funds may not be used for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities. HUD funds may be used for the acquisition, construction, or rehabilitation of structures only to the extent that those structures are used for conducting eligible activities under a HUD program or activity. Where a structure is used for both eligible and inherently religious activities, HUD funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities in accordance with the cost accounting requirements applicable to the HUD program or activity. Parsonages, chapels, and other rooms that a HUD-funded religious congregation uses as its principal place of worship, however, are ineligible for HUD-funded improvements. Disposition of real property after use for the authorized purpose, or any change in use of the property for the authorized purpose, is subject to government-wide regulations governing real property disposition (see, e.g., 24 CFR parts 84 and 85).

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SECTION C-3
STANDARDS TO DETERMINE COMPLIANCE WITH NATIONAL OBJECTIVES

Each CDBG funded activity must meet one of three broad national objectives:

1. Benefit to low- and moderate-income persons.
2. Aid in the prevention or elimination of slums or blight.
3. Designed to meet community development needs having a particular urgency.

At least 70 percent of the grantee's funds must be used for activities that benefit low- and moderate-income persons; while individual activities must benefit at least 51 percent low- and moderate-income persons.

1. Activities Benefiting Low- And Moderate-Income Persons

- a. **Area benefit activities:** An activity whose benefits are available to all of the residents in a primarily residential area where at least 51% of the residents are low- and moderate-income persons.
- b. **Limited clientele activities:**
 - 1) An activity which benefits a specific group of people, at least 51% of whom are low- and moderate- income persons:
 - i. Clientele presumed to be principally low- and moderate-income abused children, battered spouses, elderly persons, severely disabled adults, homeless persons, illiterate adults, persons living with AIDS, migrant farm workers;
 - ii. Individuals whose family income does not exceed Section 8 low- and moderate-income limits;
 - iii. An activity with eligibility requirements exclusively for low- and moderate-income persons; or
 - iv. Activities of such nature and in such locations that it may be concluded the clientele will primarily be low- and moderate-income persons.
 - 2) An activity that serves to remove material and architectural barriers to the mobility and accessibility of elderly or severely disabled persons.
 - 3) A microenterprise assistance activity carried out by low- and moderate-income owners or developers.
 - 4) An activity designed to provide job training and placement and/or other employment support services for less than 51% low- and moderate-income persons if the proportion of the total cost of the project borne by CDBG funds is no greater than the proportion of the total number of low- and moderate-income persons assisted.
- c. **Housing activities:** An activity which provides or improves permanent, residential structures which will be occupied by low- and moderate-income households upon completion.
- d. **Job creation or retention activities:** An activity designed to create or retain permanent jobs, at least 51% of which, computed on a full time equivalent basis, involve the employment of low- and moderate-income persons.

2. Activities Which Aid In The Prevention Or Elimination Of Slums Or Blight

- a. Activities to address slums or blight in a designated area.
- b. Activities to address slums or blight on a spot basis.
- c. Activities to address slums or blight in an urban renewal area.

3. Activities Designed To Meet Community Development Needs Having A Particular Urgency

An activity designed to alleviate existing conditions that meet the following criteria:

- a. Posing a serious and immediate threat to the community's health or welfare.
- b. Being of recent origin or recently becoming urgent (generally within the past 18 months).
- c. The grantee is unable to finance the activity on its own.
- d. Other sources of funding are not available.

SECTION D-1 - GUIDANCE FOR PROPOSAL COVER SHEET

| | |
|--------------------|--|
| Date | Actual date of submission |
| Applicant | Provide all required contact information |
| Project | Identify project title and address |
| D-U-N-S # | <p>The Federal Government requires that the nine-digit Data Universal Numbering System (D-U-N-S) number be provided to identify each physical location, division and/or branch of organizations receiving agreements or grants from Federal funding agencies. It must be included for all CDBG funded subgrantees and City administered projects in annual performance and evaluation reporting to the U.S. Department of Housing and Urban Development. Both private non-profit and City Departments must obtain a separate D-U-N-S number for each location which it owns, rents or leases to house and operate its CDBG funded activity. To request a D-U-N-S number, the following information on the organization must be provided: the name, the physical location of the CDBG funded activity, the director's name, the legal structure, the year established, the primary type of the organization, and the total number of both full and part time employees. The number can be obtained free from Dun and Bradstreet within 1-2 business days online at http://fedgov.dnb.com/webform/displayHomePage.do.</p> |
| Priority Code # | <p>The seven Community Development District Boards are in the process of identifying the District-specific service and capital improvement activities that will meet their respective needs and priorities for the 2017-19 funding cycle. A Priority Code# will be assigned to each activity and must be inserted on the Proposal Cover Sheet. Only proposals addressing the specific priorities will be accepted and considered for funding.</p> <ul style="list-style-type: none"> • For entities seeking funding from Districts 1 and 3 to 7, this information will be distributed at the mandatory training for prospective applicants on November 3, 2016. • For entities seeking funding from District 2, this information will be available and distributed to prospective applicants by March 3, 2017. <p>The District priorities will be available at http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm</p> |
| Amount | Identify the total amount being requested as well as the amount being requested for each of the two years in the funding cycle or for the one year that funding is being requested. |
| CD District | Identify the District from which funding is being requested. A separate proposal must be submitted to each District. |
| Program Category | Identify which category applies to the proposed activity for which being is being requested. Refer to pages 7-13 for summaries of activities that are eligible and ineligible for CDBG funding, activities that can be carried out by faith-based organizations, and compliance with CDBG national objectives. |
| Required Documents | Check 'Yes' to indicate that all required documents are included in the proposal packet in the order listed. If any are not included, a written explanation should be attached. Refer to pages 24-26 for guidance on required documents. |

CODING NO. _____ **[FOR STAFF USE ONLY]**

**COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM - 2017-2019 FUNDING CYCLE
D-2 - PROPOSAL COVER SHEET – COMMUNITY DEVELOPMENT DISTRICT PROGRAMS**

A Proposal Cover Sheet must be attached to each separate proposal submitted to a District and for each project or site for which funding is requested. Submit only one proposal packet for each separate request. TYPE OR PRINT LEGIBLY. DO NOT REFORMAT OR CHANGE.

Date: _____

Submitted By: _____ Title: _____

Agency: _____

Address: _____

City: _____ Zip Code: _____ Phone/Ext: _____ Fax: _____ Email: _____

Project Title: _____ D-U-N-S# _____ Priority Code# _____

Address of Proposed Project : _____ City: _____ Zip: _____

Total Request: \$ _____ Amount for FY17-18: \$ _____ Amount for FY18-19: \$ _____

CD District To Be Served **[CHECK ONE ONLY]**: 1. North Oakland ___ 2. Eastlake/San Antonio/Chinatown ___

3. Western Oakland ___ 4. Central Oakland ___ 5. Fruitvale/San Antonio ___ 6. Central East Oakland ___ 7. Elmhurst ___

Program Category**[CHECK ONE ONLY]**: Services ___ Capital Improvement ___ Acquisition ___ Housing Related Services ___

Checklist of Required Documents

Please check "Yes" to indicate that the documents are attached. Attach a written explanation if any are not included. Submit proposal documents in the order listed below. **SUBMIT ONLY ONE SET OF DOCUMENTS.**

| | Yes | No | Explanation Attached |
|---|-------|-------|----------------------|
| 1. Proposal Cover Sheet [ORIGINAL] | _____ | _____ | _____ |
| 2. Proposal Narrative – 5 pages maximum [ORIGINAL] | _____ | _____ | _____ |
| 3. Budget Form [ORIGINAL] | _____ | _____ | _____ |
| 4. Articles of Incorporation and Bylaws | _____ | _____ | _____ |
| 5. Documentation of Good Standing from the State of California | _____ | _____ | _____ |
| 6. State AND Federal Tax Exemption Determination Letters | _____ | _____ | _____ |
| 7. List of Board of Directors | _____ | _____ | _____ |
| 8. Board of Director’s authorization to submit request and designation of authorized Officials [ORIGINAL] | _____ | _____ | _____ |
| 9. Organizational chart | _____ | _____ | _____ |
| 10. Resume of program administrator | _____ | _____ | _____ |
| 11. Resume of fiscal officer | _____ | _____ | _____ |
| 12. Financial statement, audit | _____ | _____ | _____ |
| 13. Conflict of interest questionnaire [ORIGINAL] | _____ | _____ | _____ |
| 14. Application Certification [ORIGINAL] | _____ | _____ | _____ |

- **City agencies to submit documents Nos. 1, 2, 3, 14.**
- **Private non-profit agencies to submit all documents.**
- **Private non-profit agencies using a fiscal sponsor to submit the following documents of the sponsor (Nos. 4, 5, 6, 7, 8, 9, 10, (11, 12, 13, 14) as well as their own corporate documents.**

SECTION D-3 - GUIDANCE FOR THE PROPOSAL NARRATIVE

A prescribed form for the Proposal Narrative is not provided. Applicants should prepare the Proposal Narrative in single space in font size of 12 on 8-½ x 11 inch white paper with 1” margins on the top, bottom and both sides of the paper. The following information must be provided in a ½” header on each page: the name of the requesting agency, the project title, and the respective District Priority Code number. All pages must be consecutively numbered.

In completing the Proposal Narrative, the City recommends that applicants be as specific as possible to facilitate evaluation of the proposed activity; and that they not over-promise but make realistic projections as to what they can reasonably achieve.

In accordance with the City of Oakland’s policies, the priorities set forth by the Mayor and City Council in the FY2015-17 Adopted Policy Budget must be a primary consideration in the allocation of CDBG funds. Applicants are strongly encouraged to plan programs that will meet at least one of the following priorities and should identify in the proposal narrative which priority(ies) will be met:

1. **A Safe City:** that invests in Holistic Community Safety strategies.
2. **A Vibrant City:** that makes strategic investments in infrastructure, public works, and the arts to protect and enhance the quality of life for all neighborhoods.
3. **A Just City:** that promotes equitable jobs and housing that protects and nurtures a diverse and inclusive community that cares for its youth, elderly, families, and the vulnerable.
4. **A Prosperous City:** that values workers and fosters a diverse economy that creates equitable economic growth, jobs, and housing.
5. **Trustworthy Government:** that provides quality municipal services, efficiency, transparency, and accountability, as well as respects municipal employees.

The District allocation do not support the housing programs that are a major sector of Oakland’s CDBG program but, for reference, a copy of the Oakland Housing Action Plan can be accessed on <http://www2.oaklandnet.com/government/o/hcds/CDBG/index.htm>.

Applicants must provide information in the format prescribed below.

- The activities to be carried out, the number of clients to be served, and the goals to be accomplished must be specific to the CE District from which funding is requested.
- There are seven sections to the required Proposal Narrative presented in an outline format below, and the subheadings should be inserted in the body of the Narrative. In addition to the guidance preceding the required outline, there is a more specific description under each section heading identifying information to be included within each section. It is important to incorporate information responsive to ALL these descriptions, with the exception to information that is not relevant to the proposed activity.
- The page limits given for each section are suggested limits. Each applicant may allocate somewhat more or somewhat less space to each section according to the nature of the proposal. **But in no instance may the applicant provide more than five (5) pages of total narrative.**

I. **Need for Program [1/2 page]**

In one-half page describe the need for your proposed program in your community and the problem to be addressed by the program. Provide data that supports the need for your program, as well as the source of the data.

II. **Description of Use of Funds [1-1/2 pages]**

In one and one-half pages, provide a description of the services you propose or the activities for which the funds would be used.

- Indicate how you will identify clients. Provide an estimate as to the number of clients to be

served and describe them in terms of age, gender, ethnicity, income-level, and other defining characteristics.

- ❑ Be very specific about who will carry out the activities, the location in which they will be carried out, the period over which the activities will be carried out, and the frequency with which services will be delivered.
- ❑ For service programs, include how you propose to coordinate your services with other community agencies and leverage their resources.

III. Program Monitoring [1/2 page]

In one-half page, describe how you will monitor progress in implementing the program. Attach copies of all data collection tools that will be used to verify achievement of program goals and objectives. Describe who will be responsible for the monitoring process.

IV. Describe the Experience/Capacity of Your Agency [1 page]

In one page, organize your response into three sections with the majority of space devoted to programmatic and fiscal capacity.

IV.A. Agency Purpose/Experience/Capacity

Provide a concise description of your agency's purpose and the history and success in delivering these services.

IV.B. Financial Capacity

- ❑ Identify CDBG funding for this program (by District and Fiscal Year) for the past five years.
- ❑ Identify funds being sought or committed for this program for FY2017-18 and/or FY18-19.
- ❑ Describe your agency's total current operating budget and the major sources and uses of funding.
- ❑ Describe the agency's fiscal management, disbursement methods, financial reporting, record keeping, and accounting procedures.
- ❑ Indicate whether or not your agency pays all payroll taxes and worker's compensation as required by Federal and State law.

IV.C. Personnel

Indicate whether your agency has a written personnel policy, affirmative action plan and grievance procedure.

V. Describe Staff Capacity [1/2 page]

In one-half page, list the staff, consultants, tutors, and volunteer, as applicable, that will be involved in carrying out the proposed program. Where known, describe the experience and expertise of the individuals who will be responsible for program implementation.

VI. Description of Facilities Where Activities will be Carried Out [1/2 page]

In one-half page, describe the site where the program will be implemented. How will clients get to the facility? What efforts will your agency and partners make to promote your program and reach isolated individuals? Describe how the facility complies with Americans with Disabilities Act (ADA) requirements relating to accessibility.

VII. Other City Contracts [1/2 page]

In one-half page, identify any current contracts awarded by City Departments other than DHCD; and provide for each the amount awarded, the funding source, the services provided and the performance period.

SECTION D-4
GUIDANCE FOR PROPOSAL BUDGET FORM
AND LIMITATIONS ON THE USE OF CDBG FUNDS

The proposal must include a one-page budget form to identify the line item costs that are included in the proposed budget. **Do not exceed the one page limit.** The budget forms on pages 21-23 are samples and not all of the suggested line items may apply. Please delete those line items that are not applicable.

- D-5 - Budget form for service projects: itemize the costs of salaries, fringe benefits, payroll taxes, operating expenses, any consultant services or trainee stipends, and indirect costs.
- D-6 - Budget form for construction projects: itemize the costs of architectural or engineering services, construction, and permits or fees.
- D-7 - Budget form for acquisition projects: itemize the costs of appraisal and purchase.

The budget should reflect the amount being requested from CDBG funds, not the total organizational budget. The form should identify in separate columns the line item amounts being requested from CDBG funds and those from other funding sources that will support the project. Do not use cents but round off each amount to the nearest dollar.

A separate budget must be provided for each District for which funding is being requested. If you are applying for funds to provide the same project in more than one District, each budget form must identify only the amount being requested for each District not the total being requested for all the Districts for which you are applying. **If the same amount is being requested for each of the two fiscal years, one budget form showing the annual costs for a fiscal year should be prepared and a photocopy included in each proposal. If different annual amounts are being requested, either a separate budget form should be prepared for each year or the annual amounts should be shown in separate columns on one budget form with the fiscal years clearly identified.**

Unless otherwise authorized, funds can only be used to serve persons or areas in the respective District by which funds are allocated.

If a proposed project includes construction and/or acquisition as well as program operation and delivery of services, the funding request must be prepared as two separate proposals identifying the respective activities and costs.

Limitations to the use of CDBG funds: Before completing the Budget Form, please review very carefully the following limitations to the use of CDBG funds which should be observed.

1. Expenditure of Fund Within the Fiscal Year Allocated

Applicants must apply for the funds for the fiscal year in which they are sure that the funds will be expended. HUD requires that funds be expended in the year in which they are allocated. Only in limited circumstances, such as a justifiable emergency, should the City carry forward funds to the subsequent year. Particularly in proposals for capital improvements, applicants should not assume that funding for two years can be combined and expended in the second year of a two year allocation. If anticipated planning or predevelopment activities that would not be charged to CDBG funds might be prolonged, the funds should be sought for the second year of the cycle rather than for both years of the two year cycle. Delays in expenditure can result in the reprogramming of unexpended funds.

2. Property Acquisition:

- a. Itemized costs of appraisal, inspection and purchase must be provided.

- b. Requests for acquisition of property must include a purchase agreement with the owner. A property owner who is an employee, agent, officer or consultant of an agency applying for capital improvement funds could potentially be in conflict of interest by deriving a direct financial benefit from improvements to his/her property.
- c. CDBG funds may be used for acquisition of a public facility if the entity undertaking the purchase takes title to the property. **However, HUD has determined that paying off or refinancing a loan obtained for the purchase of real property is not considered acquisition if no change in title results.**
- d. A request for property acquisition should identify the proposed site and sale price, as well as the estimated value based upon comparable market values.
- e. CDBG funds may not be used for the acquisition of structures used for inherently religious purposes but may be used for structures in which eligible activities under a HUD program or activity are conducted. Where a structure is used for both eligible and inherently religious activities, HUD funds may not exceed the cost of the portion of the acquisition that is attributable to eligible activities in accordance with the cost accounting requirements applicable to the HUD program or activity.
3. Lease and Rent Payments:
- a. CDBG funds may not be used solely for lease or rent payments without other allowable operating costs.
- b. Agencies receiving CDBG funds may be precluded by Federal conflict of interest provisions from renting or leasing space from a public official or from an employee, agent, officer or consultant of their agency.
4. Capital Improvements:
- a. Requests for funds to undertake capital improvements to real property or open space development must include proof of legal ownership, or authorization from the owner to perform the improvements.
- b. Proposals to undertake capital improvements on City-owned facilities will only be accepted from the responsible operating City Department.
- c. Renovation costs may include equipment provided that the equipment is fixed and permanent and is not moveable.
- d. A request for capital improvements should be supported by cost estimates, preferably from at least three (3) reasonable, responsible sources that comply with Equal Employment Opportunity standards and can meet the City's reporting requirements.
- e. CDBG funds may not be used for the construction or rehabilitation of structures used for inherently religious purposes but may be used for structures in which eligible activities under a HUD program or activity are conducted. Where a structure is used for both eligible and inherently religious activities, HUD funds may not exceed the cost of the portions of the construction or rehabilitation that is attributable to eligible activities in accordance with the cost accounting requirements applicable to the HUD program or activity.
- f. Identify other funding sources and the discrete portion of the work to be done with Oakland's CDBG funds.
4. Capital Equipment:
- Lease or rental of capital equipment is generally advised because all assets which an agency acquires with CDBG funds have, upon termination of the grant agreement, to be transferred to the City or the agency must reimburse the CDBG Program at the current per unit fair market value less the amount of depreciation previously agreed upon with the City. Estimates of the lease/rental costs should be provided.

5. Indirect Costs

If Indirect Costs are to be included as a line item a detailed cost allocation plan must be submitted for City files that lists the costs to be charged, the total annual allocation for each line item, the amount charged to other grants or agreements, and the percentage to be charged to the CDBG agreement. As established by the Federal Office of Management and Budget, indirect costs are those incurred for general organizational overhead expenses that do not relate solely to any single activity, such as the salaries and expenses of executive officers, personnel administration and accounting as well as depreciation or use allowances on buildings and equipment and the costs of operating and maintaining facilities. Costs directly related to delivery of a particular grant-funded activity such as personnel and operating costs should be charged as direct line item costs in the budget.

6. Unallowable Costs:

The following costs are unallowable: bad debts; contingencies; contributions and donations; entertainment costs (including meals for social events and awards/graduation banquets); gifts or incentive awards to individuals; fines and penalties resulting from violations of or non-compliance with Federal, State, and Local laws; interest on borrowed capital; fundraising; investment management; losses on other awards; and litigation expenses.

Department of Housing and Community Development-CDBG/Commercial Lending Division
D-4. BUDGET GUIDANCE November 2016

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**SECTION D-5
BUDGET FORM-PROPOSAL FOR SERVICES**

| | SUPPLEMENTAL FUNDS-SOURCE & USE | FY17-18 | FY18-19 | <u>Total 17-19</u> |
|---|---------------------------------|---------|---------|--------------------|
| <u>SALARIES, PAYROLL TAXES AND FRINGE BENEFITS</u> | | | | |
| <u>Salaries</u> ¹ | | | | |
| Position Title | | | | |
| <u>Fringe Benefits</u> | | | | |
| <i>TOTAL SALARIES AND TAXES/BENEFITS</i> | | | | |
| <u>OPERATING COSTS</u> ² | | | | |
| Supplies | | | | |
| Rent | | | | |
| Insurance | | | | |
| Telephone | | | | |
| Equipment Lease | | | | |
| Travel | | | | |
| Professional Development | | | | |
| Field Trips | | | | |
| Accounting | | | | |
| <i>TOTAL OPERATING COSTS</i> | | | | |
| <u>SUB-SUBGRANTEE SERVICES</u> | | | | |
| | | | | |
| | | | | |
| <i>TOTAL SUB-SUBGRANTEE SERVICES</i> | | | | |
| <u>TRAINEE STIPENDS</u> | | | | |
| | | | | |
| <i>TOTAL TRAINEE STIPENDS</i> | | | | |
| <u>INDIRECT COSTS</u> ³ | | | | |
| | | | | |
| TOTAL EXPENSES | | | | |

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¹ It is recommended that salaries be the primary budget line item as the documentation to be maintained and submitted with requisitions is more manageable.

² It is recommended that the number of line items in Operating Costs be limited to minimize the documentation that has to be maintained and submitted with requisitions.

³ Subgrantees who intend to include Indirect Costs as a line item must submit for City files a detailed cost allocation plan that lists the costs to be charged, the total annual allocation for each line item, the amount charged to other grants or agreements, and the percentage to be charged to the CDBG agreement. See page 20, Item 6 of Section D-4 for the definition of Indirect Costs.

**SECTION D-6
BUDGET FORM - PROPOSAL FOR CAPITAL IMPROVEMENTS**

| | SUPPLEMENTAL FUNDS-SOURCES & USE | FY17-18 | FY18-19 | <u>TOTAL 17-19</u> |
|---|----------------------------------|---------|---------|--------------------|
| <u>ARCHITECTURAL/ENGINEERING DESIGN SERVICES</u> | | | | |
| | | | | |
| | | | | |
| | | | | |
| <i>TOTAL ARCHITECTURAL/ENGINEERING DESIGN SERVICES</i> | | | | |
| <u>PERMITS/FEES</u> | | | | |
| | | | | |
| | | | | |
| | | | | |
| <i>TOTAL PERMITS/FEES</i> | | | | |
| <u>CONSTRUCTION COSTS</u> | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| <i>TOTAL CONSTRUCTION COSTS</i> | | | | |
| <u>CONSTRUCTION MANAGEMENT</u> | | | | |
| | | | | |
| | | | | |
| | | | | |
| <i>TOTAL CONSTRUCTION MANAGEMENT</i> | | | | |
| TOTAL EXPENSES | | | | |
| | | | | |

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**SECTION D-7
BUDGET FORM - PROPOSAL FOR ACQUISITION**

| | | SUPPLEMENTAL FUNDS-SOURCE & USE | FY17-18 | FY18-19 | <u>TOTAL 17-19</u> |
|--------------------------------|--|---------------------------------|---------|---------|--------------------|
| <u>PURCHASE COST</u> | | | | | |
| - | | | | | |
| - | | | | | |
| - | | | | | |
| <i>TOTAL PURCHASE COST</i> | | | | | |
| <u>APPRAISAL COSTS</u> | | | | | |
| - | | | | | |
| - | | | | | |
| - | | | | | |
| <i>TOTAL APPRAISAL COSTS</i> | | | | | |
| <u>INSPECTION COSTS</u> | | | | | |
| - | | | | | |
| - | | | | | |
| - | | | | | |
| <i>TOTAL INSPECTION COSTS</i> | | | | | |
| <u>OTHER COSTS</u> | | | | | |
| - | | | | | |
| - | | | | | |
| - | | | | | |
| <i>TOTAL OTHER COSTS</i> | | | | | |
| TOTAL EXPENSES | | | | | |

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SECTION D-8 GUIDANCE FOR REQUIRED DOCUMENTS

Certain required documents, as described below, must be submitted. The matrix on page 26 identifies the documents to be submitted by applicants as follows: City Departments; Private Non-Profit Organizations; and Fiscal Sponsors, if applicable. These documents will enable staff to assess whether or not applicants can satisfy all program requirements. These documents will be kept in the Department of Housing and Community Development-CDBG/Commercial Lending Division's files but will not be distributed.

a. **Articles of Incorporation/Bylaws**

- Articles of Incorporation are the documents recognized by the State as formally establishing a private corporation or agency. They indicate if the organization is a private-non-profit. They further identify the principals (owners or officers) of the corporation; indicate if they will sell stock; and give the corporation's full legal name. The Articles should be executed by the Directors and their signatures should be certified. The copy submitted should include the endorsement stamp showing the date on which the Articles were filed with the Secretary of State.
- Bylaws are defined as "secondary laws or rules adopted by an organization or assembly for governing its own meetings or affairs." The Bylaws should include certification that they were adopted by the governing body and on what date.

b. **Documentation of Good Standing from the State of California**

Private non-profit organizations must provide documentation that they are in active status with the State of California as determined by the payment of all fees due to the State in regard to the corporation's legal status, e.g., corporate filing fees, and the filing with the State of all necessary tax return forms. Either of the following documents obtained **at the time of the submission of the proposal** is acceptable:

- A copy of an Exempt Letter of Good Standing from the Franchise Tax Board; or
- A Certificate of Good Standing from the Secretary of State; or
- A printout of the online California Business Search result from the California Secretary of State website (<http://kepler.ss.ca.gov>)

Submission of the organization's Statement by Domestic Non-profit Corporation is not acceptable documentation.

c. **Tax-Exempt Determination**

Non-profit organizations must submit copies of the following two tax-exemption determination letters:

- From the Federal Internal Revenue Service; **AND**
- From the California State Franchise Tax Board. Organizations can submit the Franchise Tax Board Entity Status Form verifying that the entity is currently exempt from tax under the Revenue Taxation Code Section 23707d.

All organizations must provide their Employer's Identification Number.

d. **List of the Board of Directors**

A list of the current Board of Directors or other governing body of the agency must be submitted. The list must include the name, telephone number, mailing address, email address, and occupation or affiliation of each member; and it must identify the principal officers of the governing body.

e. **Authorization to Request Funds and Designation of Authorized Officials**

- Documentation must be provided of the governing body's authorization to submit the funding request. Documentation of this requirement consists of an original dated and signed letter on

official letterhead from the President/Chairperson or Secretary of the governing body with a copy of the minutes of the meeting in which the governing body's resolution, motion or other official action is recorded. **The authorization should not be a blanket approval for any and all funding requests but should be specifically for the Community Development Block Grant funding request.**

- Documentation must be submitted of the governing body's action designating at least two (2) representatives of the agency authorized to negotiate for and contractually bind the agency. One of the representatives must be the Executive Director/Chief Executive Officer of the organization. Documentation of this requirement consists of an original dated and signed letter on official letterhead from the President/Chairperson of the governing body providing the name, position title, mailing address, telephone number/extension, fax number and email address of each authorized individual.

f. **Organizational Chart**

An organizational chart must be provided which describes the organization's administrative framework and staff positions, which indicates where the proposed program will fit into the organizational structure, and which identifies any staff positions of shared responsibility. The names of the staff persons in each position, including the Chief Program Administrator and the Chief Fiscal Officer, must be provided.

g. **Resume of Chief Program Administrator**

The resume should identify the person by name and position title.

h. **Resume of Chief Fiscal Officer**

The resume should identify the person by name and position title.

i. **Financial Statement and Audit**

A copy must be submitted of the agency's most recent audited financial statement as well as an audited review of the balance sheet, statements of revenue, expenditure, fund balance, and statements of profit and loss.

j. **Conflict of Interest Questionnaire**

The original of this document must be submitted with the original signature in blue ink. For information on the Conflict of Interest Provisions refer to <http://www2.ackland.net.com/government/o/hcd/s/CDBG/index.htm>.

k. **Applicant Certification**

The original signed/dated Applicant Certification which was issued at the mandatory training for prospective applicants must be submitted.

Note: The submission of letters of recommendation is not necessary or encouraged.

| | DOCUMENTS TO BE SUBMITTED WITH PROPOSALS | CITY DEPARTMENT APPLICANTS | PRIVATE NON-PROFIT APPLICANTS | APPLICANT'S FISCAL SPONSOR <i>(If applicable)</i> |
|--|--|----------------------------|-------------------------------|--|
| SUBMIT ONE SET ONLY OF THE FOLLOWING REGARDLESS OF THE NUMBER OF PROPOSALS SUBMITTED: | | | | |
| a. | Articles of Incorporation and Bylaws | N.A. | X | X |
| b. | State of California Documentation of Good Standing <i>[Dated at time of submission]</i> | N.A. | X | X |
| c. | Tax Exemption Determination Letters: • State Franchise Tax Board AND • Federal Internal Revenue Service | N.A. | X | X |
| d. | List of Board of Directors | N.A. | X | X |
| e. | Board of Directors Authorization to Submit Proposal AND Designation of Authorized Officials <i>[Hard copy of original on agency letterhead signed/dated with blue ink signature]</i> | N.A. | X | X |
| f. | Organizational Chart | N.A. | X | X |
| g. | Resume of Program Administrator | N.A. | X | X |
| h. | Resume of Fiscal Officer | N.A. | X | X |
| i. | Financial Statement and Audit | N.A. | X | X |
| j. | Conflict of Interest Questionnaire <i>[Hard copy original signed/dated with blue ink signature]</i> | N.A. | X | X |
| k. | Applicant Certification <i>[Hard copy original signed/dated with blue ink signature]</i> | X | X | X |

DO NOT COPY

SECTION D-9 - CONFLICT OF INTEREST QUESTIONNAIRE

(For detailed information refer to Conflict of Interest Provisions at <http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>)

Federal, State and City law prohibits employees and public officials of the City of Oakland from participating on behalf of the City in any transaction in which they have a financial interest. This questionnaire must be completed and submitted by each applicant for Community Development Block Grant (CDBG) funding. The purpose of this questionnaire is to determine if the applicant, or any of the applicant's staff, or any of the applicant's Board of Directors would be in conflict of interest.

1. Is there any member(s) of the applicant's staff or any member(s) of the applicant's Board of Directors or governing body who currently is or has/have been within one year of the date of this questionnaire either a City employee or consultant, or a City Councilperson, or a director of a Community Development District Board?
Yes ___ No__ . If yes, on a separate sheet please:
 - Provide each person's name, and the job title or role each person has with respect to the applicant;
 - State whether each person listed is a City employee, consultant, City Councilperson, or a District Board Director; and
 - Identify the City Department in which he/she is employed or the District Board of which he/she is a member.

2. Will the CDBG funds requested by the applicant be used to award a subcontract to any individual(s) or business affiliate(s) who is/are currently or has/have been within one year of the date of this questionnaire a City employee, consultant, City Councilperson, or a director of a Community Development District Board?
Yes ___ No__ . If yes, on a separate sheet please:
 - Provide the name of each person
 - State whether each person listed is a City employee, consultant, City Councilperson, or a District Board member; and
 - Identify the City Department in which he/she is employed or the District Board of which he/she is a member.

3. Is there any member(s) of the applicant's staff or member(s) of the applicant's Board of Directors or other governing body who is/are business partners or family members of a City employee, consultant, City Councilperson, or director of a Community Development District Board?
Yes ___ No__ . If yes, on a separate sheet please:
 - Identify the City employee, consultant, Councilperson or District Board with whom each individual has family or business ties.

Name of Applicant: _____

Signature of Applicant's Representative

Title

Date: _____

SECTION D-10

**City Of Oakland
Community Development Block Grant Program**

**APPLICANT CERTIFICATION FOR
COMMUNITY DEVELOPMENT DISTRICT FUNDS
FUNDING CYCLE 2017-2019**

This is to certify that on Wednesday, November 30, 2016, I attended the Mandatory Training for Prospective Applicants for the City of Oakland's Community Development Block Grant (CDBG) 2017-2019 funding cycle for projects to be provided in the seven Community Development Districts of Oakland. To the best of my knowledge and belief, all information and data in this application and attachments are true and correct. No material information has been omitted, including financial information. If funded, I certify that the Agency is willing and able to adhere to the policies and procedures specified by the City of Oakland as well as the applicable program regulations of the U.S. Department of Housing and Urban Development.

Further, I understand this is not an agreement for grant funding and that the Agency shall not incur any costs, perform any work, purchase any goods or services, nor make any commitments or sign any contracts with any person, organization or company related to the project for which CDBG funds are requested until the funds have been appropriated by the Oakland City Council and a Grant Agreement has been executed with the City of Oakland.

DO NOT COPY

Signature (*sign in blue ink*)

Print Name

Title

Print Name of Agency

Date

SECTION E - GUIDANCE FOR PROPOSAL ASSEMBLY AND SUBMISSION

A separate proposal must be submitted for each District and for each program/project, activity or site for which CDBG funding is requested. Discrete activities such as service delivery/operating costs and acquisition or construction costs should be submitted in separate proposals.

We recommend that you pay careful attention to the following requirements that are included in the Proposal Packet:

- a. Summary of HUD Rules and Regulations (pages 7-13)
- b. Guidance for the Proposal Cover Sheet (page 15)
- c. Guidance for Required Documents (page 24-25)
- d. Guidance for Proposal Narrative (16-17)
- e. Guidance for Proposal Budget (18-20)

Failure to follow the submission guidelines and/or provide all required data and documents will result in a proposal being returned without review or comment.

In preparing the Proposal Packet

- A font size of 12 must be used in the Proposal Narrative and no smaller than a 10 font in forms.
- Forms may not be reformatted or revised or borders extended in order to include additional information, and will not be accepted if changed in any way.
- The Cover Sheet, Narrative, Budget, Conflict of Interest Questionnaire, and Application Certification must be copied on single side sheets and not on two-sided sheets.
- Do not include a separate cover letter

In assembling the Proposal Packet:

- Documents must be submitted in the order listed on the Proposal Cover Sheet
- Secure the packet with binder clips not staples
- The packet should not be placed in binders or bound covers.
- Do not separate the proposal sections with dividers.
- Do not submit the RFP sections with instructions/guidelines in the proposal packet.
- If licensing, certification or health inspection is required to operate and provide the proposed service, a copy of the required document(s) must be submitted with the proposal(s).
- Do not include additional information such as client intake/application forms, pre-/post-test forms, program brochures and letters of recommendation

The Department of Housing and Community Development will duplicate and distribute the Proposal Cover Sheet, Proposal Narrative and Budget Form to the Councilmember and Board members of the District from which funding is requested. All other required documents will be reviewed and filed but will not be distributed.

Due Date: Completed proposals for CD Districts 1 and 3 to 7 must be received by DHCD no later than **2:00 p.m. on Wednesday, December 14, 2016**. Completed proposals for CD District 2 must be received by DHCD no later than 2:00 p.m. on Monday, March 13, 2017. Proposals must arrive at and be time-stamped by DHCD by 2:00 p.m. on the date due. Postmarks will not be accepted and late proposals will not be accepted. There will be no exception to this rule. Applications should be mailed or hand-delivered to:

**Attention: Mr. Gregory Garrett, Acting CDBG/Commercial Lending Manager
City of Oakland Department of Housing and Community Development
CDBG/Commercial Lending Division
250 Frank H. Ogawa Plaza, Suite 5313, Oakland, CA 94612-2034**

| | DOCUMENTS TO BE SUBMITTED WITH PROPOSALS | CITY DEPARTMENT APPLICANTS | PRIVATE NON-PROFIT APPLICANTS | APPLICANT'S FISCAL SPONSOR <i>(If applicable)</i> |
|---|--|----------------------------|-------------------------------|--|
| SUBMIT A SINGLE SET OF THE ORIGINALS OF THE FOLLOWING WITH EACH PROPOSAL: | | | | |
| 1. | Proposal Cover Sheet | X | X | N.A. |
| 2. | Proposal Narrative <i>[5 Pages Maximum]</i> | X | X | N.A. |
| 3. | Budget Form | X | X | N.A. |
| SUBMIT ONE COPY ONLY OF THE FOLLOWING REGARDLESS OF THE NUMBER OF PROPOSALS SUBMITTED: | | | | |
| 4. | Articles of Incorporation and Bylaws | N.A. | X | X |
| 5. | State of California Documentation of Good Standing <i>[Dated at time of submission]</i> | N.A. | X | X |
| 6. | Tax Exemption Determination Letters: • State Franchise Tax Board AND • Federal Internal Revenue Service | N.A. | X | X |
| 7. | List of Board of Directors | N.A. | X | X |
| 8. | Board of Directors Authorization to Submit Proposal AND Designation of Authorized Officials <i>[Hard copy of original on agency letterhead signed/dated with blue ink signature]</i> | N.A. | X | X |
| 9. | Organizational Chart | N.A. | X | X |
| 10. | Resume of Program Administrator | N.A. | X | X |
| 11. | Resume of Fiscal Officer | N.A. | X | X |
| 12. | Financial Statement and Audit | N.A. | X | X |
| 13. | Conflict of Interest Questionnaire <i>[Hard copy original signed/dated with blue ink signature]</i> | | | |
| 14. | Applicant Certification <i>[Hard copy original signed/dated with blue ink signature]</i> | X | X | X |

SECTION F
HUD PROGRAM INCOME LIMITS
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
 Effective March 28, 2016

| Family Size | Extremely Low Income (0-30% of Median) | Low Income (31-50% of Median) | Moderate Income (51-80% of Median) |
|-------------|--|-------------------------------|------------------------------------|
| 1 | \$20,500 | \$34,150 | \$52,650 |
| 2 | \$23,400 | \$39,000 | \$60,150 |
| 3 | \$26,350 | \$43,900 | \$67,650 |
| 4 | \$29,250 | \$48,750 | \$75,150 |
| 5 | \$31,600 | \$52,650 | \$81,200 |
| 6 | \$33,950 | \$56,550 | \$87,200 |
| 7 | \$36,730 | \$60,450 | \$93,200 |
| 8 | \$40,890 | \$64,350 | \$99,200 |

NOTE: The median family income for the Alameda/Contra Costa Primary Metropolitan Statistical Area (PMSA) is \$93,600 for a family of four.

With the changes implemented in 1994 that consolidate the planning and application process for the CDBG program and the assisted housing program it administers, HUD is now using the uniform term "low-income" and "very low-income". The terms "moderate-income" and "low-income" which are used in the CDBG program have the same meaning: moderate-income corresponds to the new usage "low-income", while low-income corresponds to the new usage "very low-income".

SECTION G
LOW- AND MODERATE-INCOME POPULATION
AND PROJECTED ANNUAL ALLOCATION OF FUNDS
FOR THE SEVEN COMMUNITY DEVELOPMENT(CD) DISTRICTS
LOW AND MODERATE INCOME POPULATION

Boundaries Realigned the Oakland City Council Resolution No. 78102 C.M.S. Dated September 30, 2003

Maps of the Seven CD Districts can be accessed on

<http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>

| CD Districts | Population¹ | Total Low-Mod Persons² | Percentage Low-Mod | Share of Low-Mod |
|---|-------------------------------|--|---------------------------|-------------------------|
| District 1: North Oakland | 34,982 | 22,079 | 63.1% | 7.3% |
| District 2: Eastlake/San Antonio/ Chinatown | 87,458 | 54,561 | 62.4% | 17.9% |
| District 3: Western Oakland | 67,071 | 47,900 | 71.4% | 15.8% |
| District 4: Central Oakland | 37,948 | 25,082 | 66.1% | 8.3% |
| District 5: Fruitvale/San Antonio | 81,738 | 58,710 | 71.8% | 19.3% |
| District 6: Central East Oakland | 65,013 | 48,195 | 74.1% | 15.9% |
| District 7: Elmhurst | 64,699 | 46,935 | 72.5% | 15.5% |
| TOTAL | 438,909 | 303,461 | 69.1% | 100.0% |

SOURCE: 2010 Census data compiled by the U.S. Department of Housing and Urban Development

Note 1: Population is estimated using population by block group. District boundaries do not conform exactly to block group boundaries.

Note 2: Total Low-Mod Persons: "low-mod universe" of the number of person for whom low-mod status could be determined.

PROJECTED ANNUAL ALLOCATION OF FUNDS IN THE 2017-19 FUNDING CYCLE

Oakland does not expect to receive HUD notification of its FY2017-18 entitlement grant amount until February 2017 and is basing the planning for the 2017-19 funding cycle on the \$7,076,798 awarded for FY16-17. It is expected that approximately \$1,556,895 (22% of each annual grant) may be available for District programs. Of this amount, \$1,015,517 must be used for Capital Improvement projects and no more than \$541,378 may be used for Public Services and Housing Related Services recommended to serve the respective CD Districts. Based on its low- and moderate-income population the projected proportion for each District is as follows:

| CD Districts | District Percentages | Maximum Public and Housing Related Services | Minimum Capital Improvements | Total |
|---|-----------------------------|--|-------------------------------------|--------------------|
| District 1: North Oakland | 7.3% | \$39,521 | \$74,133 | \$113,654 |
| District 2: Eastlake/San Antonio/ Chinatown | 17.9% | \$97,907 | \$181,778 | \$278,685 |
| District 3: Western Oakland | 15.8% | \$85,538 | \$160,451 | \$245,989 |
| District 4: Central Oakland | 8.3% | \$44,934 | \$84,288 | \$129,222 |
| District 5: Fruitvale/San Antonio | 19.3% | \$104,486 | \$195,995 | \$300,481 |
| District 6: Central East Oakland | 15.9% | \$86,079 | \$161,467 | \$247,546 |
| District 7: Elmhurst | 15.5% | \$83,913 | \$157,405 | \$241,318 |
| TOTAL | 100.0% | \$541,378 | \$1,015,517 | \$1,556,895 |

Department of Housing and Community Development-CDBG/Commercial Lending Division

G. LOW- AND MODERATE-INCOME POPULATION AND FY17-19 ANNUAL ALLOCATION - 7 COMMUNITY DEVELOPMENT DISTRICTS November 2016

SECTION H - FUTURE CONTRACTING REQUIREMENTS

Private non-profit agencies selected for funding will be required to enter into a Grant Agreement with the City. Prior to the development of the Agreement, agencies will be notified of the date and time of a mandatory training at which they will be provided with details on the requirements specified below and with the documents referenced. For reference, the websites on which they can be accessed for review are provided below.

I. Contract Schedules

<http://www2.oaklandnet.com/government/o/CityAdministration/d/CP/s/FormsSchedules>

- a. Schedule C-1: Declaration of Compliance with the Americans with Disabilities Act
- b. Schedule D: Ownership, Ethnicity and Gender Questionnaire
- c. Schedule E: Project Consultant Team Listing
- d. Schedule K: Pending Dispute Disclosure Form
- e. Schedule N: Declaration of Compliance-Living Wage Ordinance
- f. Schedule N-1: Equal Benefits-Declaration of Nondiscrimination/Equal Access
- g. Schedule O: Contractor Acknowledgement of City of Oakland Campaign Contribution Limits
- h. Schedule P: Nuclear Free Zone Disclosure Form
- i. Schedule Q-1: Construction Services Insurance Requirements
- j. Schedule Q-2: Professional and Specialized Services Insurance Requirements
- k. Schedule R: Subcontractor, Supplier, Trucking Listing
- l. Schedule Z: Certification A-Certification of Debarment and Suspension
- m. Schedule Z: Certification B-Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction

II. City of Oakland Minimum Wage Law

<http://www2.oaklandnet.com/government/o/CityAdministration/d/CP/s/minimumwage>

III. City of Oakland Local Business and Local Employment Policies

- a. Local and Small Local Business Enterprise(L/SLBE) Program
- b. L/SLBE Certification for Non Profit and For Profit
<http://www2.oaklandnet.com/government/o/CityAdministration/d/CP/s/LocalSmallLocalBusinessCertification>
- c. Local Employment Program (LEP)
<http://www2.oaklandnet.com/government/o/CityAdministration/d/CP/s/LocalEmploymentApprenticeshipProgram>

IV. Accessibility Requirements

<http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>

V. Affirmative Action and Equal Employment Opportunity

<http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>

VI. Audit Requirements

<http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>

VII. Job Training Performance Standards

<http://www2.oaklandnet.com/government/o/hcd/s/CDBG/index.htm>