# Part 1: Public Services Program Checklist

Agency Name: Amount of funds requested:

***The following documents, in compliance with City, State and Federal regulations, must be submitted with all applications. Please use this checklist as a guide to complete your proposal. Place a check mark by the items included in the proposal. If you feel the item does not apply to your proposal, please indicate with "N/A." Additional justification must be provided within the documentation.***

 One original and 4 copies of Parts 1 through 14

\_\_\_\_\_\_PART 1: Public Services Program Checklist

\_\_\_\_\_\_PART 2: Title Page

 PART 3: Proposal Content and Program Narrative

 Introduction

 Problem Statement/Demonstration of Need

 Description of Program and Services

 Program Objectives and Plans

 Organizational Capacity and Capability

 Demonstration of Funding Need

 Results and Evaluations

 Local Housing Needs Assessment Consistency

 \_\_\_\_\_\_\_PART 4: Detailed Project Budget

 \_\_\_\_\_\_\_PART 5: Authorized Signatures

 \_\_\_\_\_\_\_PART 6: Certification of Nonprofit Eligibility

 \_\_\_\_\_\_\_PART 7: Accounting System

 \_\_\_\_\_\_\_PART 8: Security Policy

 \_\_\_\_\_\_\_PART 9: Assurances and Certification

 \_\_\_\_\_\_\_PART 10: Board of Directors Roster

 \_\_\_\_\_\_\_PART 11: Leveraging Funds

 \_\_\_\_\_\_\_PART 12: Certification Regarding Location of Facilities

 \_\_\_\_\_\_\_PART 13: Required Supportive Documentation

# Part 2: Title Page

|  |  |
| --- | --- |
| Applicant (Offeror) Name and Address | Contact Person |
| Phone Number | Title and Number of NOFA |
| Contact Email Address  | DUNS # and SAMS CAGE Code |
| Type of Project | Amount Requested |
| Name & Title of Certifying Representative Note*: "Certifying Representative" means the individual who may legally submit proposals for the agency and enter into agreements with The City of Houston, i.e. the Chairman of the Board of a social service agency. You may identify a different "contact person.”*Name: Title: |

I hereby certify that all information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate to the best of my knowledge.

|  |  |
| --- | --- |
| Signature of Certifying Representative | Date |
| Signature of Preparer | Date |

Notarized by:

# Part 3: Proposal Content and Program Narrative

***1. INTRODUCTION***

Briefly state the organization's mission. List the services and programs that the organization currently offers, the number of individuals served, and include the geographic area it serves.

1. ***PROBLEM STATEMENT/DEMONSTRATION OF NEED***

Provide a description of the need the proposal is intended to address and describe the extent of the need and its impact on the target population and the community. Include the number of persons affected, the characteristics of the affected population, and the direct or indirect tie back to Hurricane Harvey and how that is documented.

1. ***DESCRIPTION OF PROGRAM AND SERVICES***

Provide a general description of the proposed project, including but not limited to type of project or program for which Public Service funds will be used, the population targeted as recipients of the services to be provided, and the estimated number of clients to be served by the project in a one-year period. Describe how the proposed project meets a National Objective by demonstrating the information on the target population (i.e. service area map or description of area-benefit project, applicant eligibility requirements).

1. ***PROGRAM OBJECTIVES AND PLANS***

DELIVERY - Describe the service delivery plans, including the hours of operation, intake system, outreach and referral procedures, number of clients expected to serve, and other major program features. Include a brief description of how the service delivery plans will comply with the Fair Housing Act and relevant regulations including how to provide meaningful access to persons with limited English proficiency. Please include accessibility to location of service regarding public transportation, light rail, or transportation service. (i.e. location is ¼ mile from high frequency bus route or light rail)

POLICY - Describe the policies and procedures for termination of services to clients or graduation from program and/or subsequent referrals that reflect a continuum of care. Describe the organizations plan or ability to maintain this program when Public Service funds are decreased or eliminated.

COLLABORATION - Describe how other services within the organization or other agencies provide in conjunction with the housing assistance/service described in your proposal. Please provide a list of collaborations that directly relate to ongoing services that support or enhance care for the target population. Describe the services provided through the collaboration. Include letters pledging support of the collaborations listed signed by the Executive Director/CEO of the collaborating agency. Letters will need to be on the collaborating agency’s letterhead and not older than 12-months.

1. ***ORGANIZATION CAPACITY AND CAPABILITY***

Describe organization’s qualifications for performing the proposed work. Describe the agencies past experience in administering programs to primarily low to moderate-income.

Document organizations’ accomplishments and/or qualifications to administer the proposed Public Service program; including resumes, job descriptions describing the experience, education, certifications and qualifications of the individuals who will implement the proposed project. Include your agency organizational chart of current and program related personnel. Include any issues that the City should be aware of, any outstanding monitoring or audit findings, and any other relevant information.

List organizational Board Members, their places of employment, and a description of the Board’s rule and duties.

**Document organizations’ anti-discriminatory policy. Include hard copy.**

**Document organizations’ three-month (3) cash flow reserve. Provide documentation (i.e. Line of Credit, bank statement).**

***6. DEMONSTRATION OF FUNDING NEED***

Describe other revenue sources for the organization. Describe why Public Service funds are critical to the implementation of the proposal, including a discussion of other funds that have been researched and applied for, and the ability of Public Services to leverage other funds.

***7. RESULTS AND EVALUATION***

Describe how the project will address the problem statement/demonstration of need described above. Include anticipated results and previous results if the program is ongoing. What proportion of the identified need will be addressed by the project and what measurable results will be achieved? How is success of the program defined and determined?

Describe the organization’s project evaluation plan, assessment parameters, measures of success, and feedback mechanisms for correcting plan deviations. The evaluation plan should include an assessment of the outcomes for the Public Service project (as listed under #3 above), tracking, and follow up services. The evaluation plan should measure the agency’s progress in achieving the performance goal. Document evidence that the proposed approach is likely to be effective and/or provide a significant opportunity to advance the field. Additionally, describe commitment to defining clear goals and tracking results, learning and adapting, and sharing results and learnings with others.

Include Logic Model for the proposed program by using the template provided or one that is comparable.

***8. LOCAL HOUSING NEEDS ASSESSMENT CONSISTENCY***

Describe how the proposed service will be integrated and/or reduce the unmet needs in the City of Houston’s Local Housing Needs Assessment ( <https://recovery.houstontx.gov/wp-content/uploads/2019/01/City-of-Houston-Local-Housing-Needs-Assessment-11.28.2018.pdf> ).

# Part 4: DETAILED PROJECT BUDGET

Please use the budget titled Harvey Public Services Budget Application NOFA 2019 to complete your project budget. Note that all information, including **Other Sources of Funds** must be filled out completely. If Public Service funding is the only funding source for the organization, please note that on the budget documentation. **Failure to complete ALL components of the Budget Summary will eliminate the application from consideration.** This is a zero-based budget; Zero-based budgeting is a method of budgeting in which all expenses must be justified for each new period. The process of zero-based budgeting starts from a "zero base." Budget form is found as a separate excel attachment, located on the Housing and Community Development Department’s webpage.

The Detailed Project Budget Form for the project, including all sources and expected sources of funding must be completed in its entirety. Under Payroll and Personnel Expenses, salary and wages for each category, the budget should detail position, title and corresponding salary amounts for all employee positions to be funded by Public Services. Under Fringe Benefits, please list all benefits and corresponding amounts to be funded by Public Services. Budget information contained on other forms should also be included or transferred onto this form. Please do not include your total agency budget but include the total program budget. Include funding sources only for the specific project or program for which you are applying for Public Services funds. Failure to complete ALL components of the Detailed Project Budget will eliminate the application from consideration. This is a threshold requirement. Without this information the application cannot move forward.

# Part 5: AUTHORIZED SIGNATURES

The Directors duly authorize the following officers or employees of to

 **(Name of Agency)**

carry out the performance contemplated by a contract with the City of Houston and can execute a

contract on behalf of .

 **(Name of Agency)**

 **Name Title**

Type Name of President of Board of Directors/Trustees

Signature of President of Board of Directors/Trustees

 Date

# Part 6: CERTIFICATION OF NONPROFIT ELIGIBILITY

Agencies that fit the following description are eligible to apply: A secular or religious organization described in Section 501c of the internal revenue code of 1954 which, a) is exempt from taxation under Subtitle A of the code; b) has an accounting system and a voluntary board; and c) practices nondiscrimination in the provision of assistance. In compliance with Title 26 U.S.C., subchapter F, tax exempt organizations, agency must supply a copy of its tax-exempt organization certification -- Internal Revenue Code 501c(3) with this application.

I hereby certify that this agency,

 Name of Agency

is in compliance with the above.

Type Name of President of Board of Directors/Trustees

Signature of President of Board of Directors/Trustees

Date

Agency’s Tax Exempt Number

# Part 7: ACCOUNTING SYSTEM

As the Chief Financial Officer of

 (Name of Agency)

I bear responsibility for providing services adequate to ensure the establishment and maintenance of the accounting system for this agency. The accounting system and internal control procedures will be adequate to safeguard the assets of this agency, check the accuracy and reliability of accounting data, promote operating efficiency and assure compliance with prescribed management policies of the agency and the City of Houston.

Type Name of Financial Officer

Signature of Financial Officer

Date

# Part 8: SECURITY POLICY

Pursuant to regulations of the U.S. Department of Housing and Urban Development, grantees must maintain records necessary to document compliance with HUD guidelines found at Title 24 Code of Federal Regulations; Part 574. Because of this requirement, the Applicant must maintain all data in a safe and secure place.

The undersigned certifies that

 (Name of Agency)

shall have in place a mechanism for keeping records, reports, and all data related to this project confidential and in a safe and secure place; that all file cabinets containing such data shall have a lock to which only the bookkeeper, executive director, and the project director shall have a key; that all files shall be kept under lock and key; and that all file cabinets containing these types of information shall not be located in the program areas.

Type Name of President of Board of Directors/Trustees

Signature of President of Board of Directors/Trustees

Date

# Part 9: ASSURANCES AND CERTIFICATIONS

The Applicant hereby certifies as applicable, that:

1. Within the designated population:
	1. It will adhere to the requirements of the Fair Housing Act (42 U.S.C. 3601-20) and implementing regulation at 24 CFR Part 100; Executive Order 11063 and implementing regulations at 24 CFR Part 100; Executive Order 11063 and implementing regulations at 24 CFR Part 107; and Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and implementing regulations issued at 24 CFR Part 1;
	2. It will comply with the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and implementing regulations at (24 CFR part 146), prohibiting discrimination on the basis of age; section 504 of the Rehabilitation Act of 1973 (29 U.S.C., 794) and implementing regulations at 24 CFR Part 8 prohibiting discrimination against handicapped individuals; and Executive Order 11063 and regulations under 24 CFR Part 107 prohibiting discrimination by race, color, creed, sex, or national origin;
	3. It will adhere to the requirements, if applicable, of Section 3 of the Housing and Urban Development Act of 1968, (12 U.S.C. 1701a) regarding employment opportunities for lower-income residents of the project;
	4. It will adhere to the requirements, if applicable, of Executive Orders 11625, 12432, and 12138, that grantee or project sponsor must make efforts to encourage the use of minority and women's business enterprises in connection with funded activities;
	5. It will establish additional procedures to ensure that interested persons can obtain information concerning assistance under this program in cases where established procedures are unlikely to reach persons of any particular race, color, religion, sex, age, national origin, familial status, or handicap, who may qualify for assistance; and
	6. It will comply with reasonable modification and accommodation requirements of the Fair Housing Act and, as appropriate, the accessibility requirements of the Fair Housing Act and Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act.

2. It will provide a drug-free workplace in accordance with Executive Order 1-31, the Mayor’s Drug Detection and Deterrence Policy.

3. It will not use federally appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government as required by Section 319 of the Department of Interior Appropriations Act (Pub. L. 101-121, as approved October 23, 1989).

1. It will implement provisions of 24 CFR Part 24 -- governing employment, engagement of services, awarding of contracts, or funding of any Applicants or sub-applicants/ subcontractors during any period of debarment, suspension, or ineligible status.
2. It will use procurement policies that adhere to state and federal procurement requirements.

6. CONFLICT OF INTEREST

1. In addition to the conflict of interest requirements in 24 CFR 85.36(b)(3), no employee, agent, consultant, officer, or elected or appointed official of the grantee or project sponsor who exercises or has exercised any functions or responsibilities with respect to assisted activities, or who could participate in a decision-making process or gain inside information about such activities, may obtain a financial interest or benefit from the activity, or have an interest in any contract, subcontract, or agreement with respect thereto, or the proceeds thereunder, either for himself or herself or for those with whom he or she has family or business ties, during his or her tenure or for one year thereafter.

I hereby certify the correctness and truth of all information and documentation submitted as part of this proposal, to the best of my knowledge.

|  |
| --- |
|  |
| Typed Name of Chairperson of Board of Directors |
|  |
| Signature of Chairperson of Board of Directors |
|  |
| Date |

# Part 10: BOARD OF DIRECTORS ROSTER

Instructions: Please provide a list of your current board members. Additional pages may be attached if necessary.

**Do not include initials or P.O. Box Numbers.**

|  |
| --- |
| BOARD OF DIRECTORS |
| Name of Member | Company Affiliation/Job Classification | Business AddressandTelephone Number | Home Address and Telephone Number |  Board Position | Term Length |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

# Part 11: LEVERAGING FUNDS FOR THE PROGRAM

|  |  |  |  |
| --- | --- | --- | --- |
| Source | Quantity | Dollar Value | Formula or Method of Calculations |
| Donations |  | $ |  |
| Materials |  | $ |  |
| Buildings |  | $ |  |
| Cash |  | $ |  |
| Lease or Rent |  | $ |  |
| Salaries |  | $ |  |
| Volunteers |  | $ |  |
| Memberships |  | $ |  |
| Other Grants |  | $ |  |
|  |  | $ |  |
|  |  | $ |  |
|  |  | $ |  |
|  |  | $ |  |
| Other Sources |  | $ |  |
|  |  | $ |  |
|  |  | $ |  |
| Leverage Total |  | $ |  |

\*\*The City of Houston and the Department of Housing and Urban Development use as one measure of success the degree to which Federal Dollars leverage private sector and local funds.

# Part 12: CERTIFICATION REGARDING LOCATION OF FACILITIES AND SHELTERS

**CERTIFICATION REGARDING RESTRICTIONS ON**

 **AND NOTICE OF LOCATION**

 **OF CERTAIN FACILITIES AND SHELTERS**

**CERTIFICATION REGARDING RESTRICTIONS ON AND NOTICE OF LOCATION OF CERTAIN FACILITIES AND SHELTERS**

Pursuant to the Local Government Code at Chapter 244, Subchapter A, Correctional or Rehabilitation Facility and Subchapter B, Shelter for Homeless Individuals, the construction or operation of a correctional or rehabilitation facility or a shelter for the homeless is subject to certain distance and location restrictions the particulars of which are set forth herein below.

**DEFINITION:** For homeless individuals means a supervised private facility that provides temporary living accommodations to homeless individuals.

**DEFINITION:** for correctional or rehabilitation facility means a probation or parole office or a residential facility that is operated by an agency or the state, a political subdivision of the state, or a private vendor operating under a contract with an agency of the state or a political subdivision of the state and houses persons convicted of misdemeanors or felonies or children found to have engaged in delinquent conduct regardless of whether the persons are housed in the residential facility (a) while serving a sentence of confinement following conviction of an offense (b) as a condition of probation, parole or mandatory supervision or (c) under a court order for out-of-home placement under Title 3, Family code, other than in a foster home which the foster home is located under a contract with the Texas Youth Commission.

**DEFINITION**: for residential area means (A) an area designated as a residential zoning district by a governing ordinance or code or an area in which the principal permitted land use is for private residences; (B) a subdivision for which a plat is recorded in the real property records of the county and that contains or is bounded by public streets or parts of public streets that are abutted by residential property occupying at least 75 percent of the front footage along the block face; or (C) a subdivision for which a plat is recorded in the real property records of the county and a majority of the lot of which are subject to deed restrictions limiting the lots for residential use.

**APPLICABILITY:** Subchapter A, Correctional or Rehabilitation Facility (a) applies to the construction or operation of a correctional or rehabilitation facility the state subject to the parameters described herein below as RESTRICTION “A”.

**APPLICABILITY**: Subchapter B, Shelter for Homeless Individuals applies to the construction or operation of a shelter for homeless individuals that is located or proposed to be located within the boundaries of a municipality with a population of 1.6 million or more; and subject to the parameters described herein below as RESTRICTION “B”.

**WRITTEN REQUEST TO RECEIVE NOTICE:** (a) The commissioners court of a county described under Section 244.002(a)(1) and governing body of a municipality described under Section 244.022(a)(2) are entitled to notice under Section 244.002(a) only if the commissioners court or the governing body as appropriate, submits by resolution to the agency or political subdivision of the state that proposes to construct or operate a

correctional or rehabilitation facility, or that contracts for the construction or operation of a correctional or rehabilitation facility, a written request to receive notice. (b) The commissioners court of a county described under Section 244.002(a)(1) and the governing body of a municipality describer under Section 244.002(a)(2) are entitled to receive notice under Section 244.002(a) from a private vendor that contracts with an agency or political subdivision of the state only if the commissioners court or governing body, as appropriate, submits by resolution to the contracting agency or political subdivision of the state a written request to receive notice.

**RESTRICTION A:** Unless local consent is denied under Section 244.004, an agency of the state, a political subdivision of the state, or a private vendor operating under a contract with an agency or political subdivision of the state may operate a correctional or rehabilitation facility within 1,000 feet of a residential area, a primary or secondary school, property designated as a public park or public recreation area by the state or a political subdivision of the state, or a church, synagogue or other place of worship. The governing body of a church, synagogue, or other place of worship may waive the distance requirements of Section 244.002 of worship by filing an acknowledged written statement of the waiver in the deed records of the county in which the facility is located.

A person who intends to construct or operate a correctional or rehabilitation facility within 1,000 feet of a residential area, a primary or secondary school, property designated as a public park or public recreation area by the state or a political subdivision of the state, or a church, synagogue, or other places of worship shall, if a request is made under Section 244.005 as indicated above at WRITTEN REQUEST TO RECEIVE NOTICE, notify:

1. the commissioners court of any county with an unincorporated area that included all or part of the land within 1,000 feet of the proposed correctional or rehabilitation facility;
2. the governing body of any municipality that included within its boundaries all or part of the land within 1,000 feet of the proposed correctional or rehabilitation facility; and
3. the entity shall provide notice required by the afore stated notice requirement not later than the 60th day before the date the person or entity begin construction or operation of the correctional or rehabilitation facility, whichever date is earlier.

 **MUNICIPAL CONSENT FOR CORRECTIONAL OR REHABILITATION FACILITIES**: Local consent to the operation of a correctional or rehabilitation facility at a location within 1,000 feet of a residential area, a primary of secondary school, a state park or recreation area, a political subdivision of a state, a church, a synagogue or other place of worship is granted unless, not later than the 60th day after the date on which notice is received by a commissioners court or governing body of the municipality under Section 244.002 (a), the commissioners court or governing body, as appropriate, determines by resolution after a public hearing that the operation of a correctional or rehabilitation facility at the proposed location is not in the best interest of the county or municipality, as appropriate. A commissioner’s court or governing body of a municipality may rescind a resolution adopted as described herein.

**RESTRICTION B**: Unless municipal consent is granted under section 244.025, a person may not construct or operate a shelter for homeless individuals within 1,000 feet of another shelter for homeless individuals or a primary or secondary school.

A person who intends to construct or operate any of the above-described facilities is subject to the following notification requirements that are more particularly described at Chapter 244 of the Local Government Code:

Post notice of the proposed location of the shelter at that location.

* 1. **Provide notice of the proposed location of the shelter to the governing body of the municipality. Written notice must be made to the City of Houston, Planning Department, Attn.: Director, and to the City of Houston, City Secretary, Attn.: City Secretary. The written notice must be sent by certified mail, return receipt requested. No exceptions will be made.**
	2. **The person shall post and provide notice required by the foretasted notice requirement before the 61st day before the date the person begins construction or operation of the shelter for homeless individuals, whichever date is earlier.**

**MUNICIPAL CONSENT FOR HOMELESS SHELTERS:** Municipal consent to the construction or operation of a shelter for homeless individuals subject to the notice requirements above is considered granted unless before the 61st day after the date the notice is received by the governing body of the municipality under Section 244.024 (a) (2), the governing body determines by resolution after a public hearing that the construction or operation of a shelter at the proposed location is not in the best interest of the municipality. The governing body of the municipality may rescind a resolution adopted as described herein.

**DISTANCE MEASUREMENT**: For the purpose of Subchapter A, distance is measured along the shortest straight line between the nearest property line of the correctional or rehabilitation facility and the nearest property line of the residential area, school, park, recreation area, or place of worship as appropriate. For the purposes of Subchapter B, distance is measured alone the shortest straight line between the nearest property line for the homeless shelter and the nearest property line of another homeless shelter, primary or secondary school.

**EXEMPTIONS:** correctional and rehabilitation that are exempted from these requirements are described at Section 244.006. If Proposer is exempt, please indicate citation and exemption below.

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**PROPOSER CERTIFIES THAT IT HAS READ AND UNDERSTANDS ALL APPLICABLE STATUTORY REQUIREMENTS PURSUANT TO CHAPTER 244 OF THE LOCAL GOVERNMENT CODE AS THEY RELATE TO THE CONSTRUCTION OR OPERATION OF CERTAIN FACILITIES AND HEREINABOVE. PLEASE CHECK THE APPLICABLE BLANKS.**

 The proposed facility is located within 1,000 feet of a

 \_\_\_\_\_\_\_\_\_\_ homeless shelter

 \_\_\_\_\_\_\_\_\_\_ primary school

 \_\_\_\_\_\_\_\_\_\_ secondary school

 \_\_\_\_\_\_\_\_\_\_ correctional facility

 \_\_\_\_\_\_\_\_\_\_ rehabilitation facility

 \_\_\_\_\_\_\_\_\_\_ state park

 \_\_\_\_\_\_\_\_\_\_ state recreation area

 \_\_\_\_\_\_\_\_\_\_ city park

 \_\_\_\_\_\_\_\_\_\_ city recreation area

 \_\_\_\_\_\_\_\_\_\_ church

 \_\_\_\_\_\_\_\_\_\_ synagogue

 \_\_\_\_\_\_\_\_\_\_ other place of worship

 \_\_\_\_\_\_\_\_\_\_ none of the above

Are the aforementioned statutory notice requirements applicable to your project? Yes or No

 Please indicate the type of facility.

 \_\_\_\_\_\_\_\_\_\_ halfway house

 \_\_\_\_\_\_\_\_\_\_ community residences

 \_\_\_\_\_\_\_\_\_\_ SRO

 \_\_\_\_\_\_\_\_\_\_ transitional living facility

 \_\_\_\_\_\_\_\_\_\_ multi-family residence

 \_\_\_\_\_\_\_\_\_\_ single-family residence

 \_\_\_\_\_\_\_\_\_\_ other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (please specify)

IF THE NOTICE REQUIREMENTS ARE APPLICABLE TO YOUR PROJECT, PLEASE INDICATE THE STEPS THAT HAVE BEEN TAKEN TO SATISFY SUCH NOTICE REQUIREMENTS AND ATTACH A COPY OF ANY AND ALL SUPPORTING DOCUMENTATION INCLUDING THE CERTIFIED MAIL RETURN CARD, LETTERS, RESOLUTION, AND A 4X6 COLOR PHOTO OF THE NOTICE POSTED ON THE PROPERTY.

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Proposer certifies that the information submitted herein is true and correct. Proposer understands and agrees that any misrepresentation or omission of the relevant information may result in disqualification of the proposal from further consideration by the City of Houston, acting by and through its Housing and Community Development Department. For additional information concerning the information contained herein, please contact, Brenda Scott at (832) 394-6236.

|  |  |
| --- | --- |
| Agency or Organization: |  |
| By: |  |  | Title: |  |
| Name: |  | Date: |  |
|  |  |  |  |

#

# Part 13: REQURED SUPPORTIVE DOCUMENTATION

**REQUIRED SUPPORTIVE DOCUMENTATION**

***HCDD WILL NOT CONSIDER PROPOSALS LACKING A REQUIRED SUPPORTIVE DOCUMENT.***

1. **ARTICLES OF INCORPORATION OR CHARTER** - Submit a copy of your agency's most current articles of incorporation on file with the Secretary of State's Office.
2. **BY-LAWS OR RULES** - Submit a copy of your agency's most current by-laws or rules.
3. **FINANCIAL AUDIT** - If the agency contracted with the City under an agreement which terminated within the past two years, submit a copy of the financial audit conducted on that contract if such an audit was performed and has been completed. Otherwise, submit the agency's most recently completed general financial audit, no more than two (2) years old.
4. **OCCUPANCY PERMITS** - Submit copies of all appropriate occupancy permits required by the State and the City to operate and provide the services proposed. This shall include certified copies and dates of inspection by the City's Fire and Health Departments, where applicable
5. **LEASE** - For proposers requesting funds for property leases, please submit a copy of the current lease.
6. **LICENSES** - Attach, as applicable, copies of state and other licenses issued to the agency for providing your services, as well as professional licenses issued to your staff, including nursing, LCDC, and CADAC licenses.
7. **FAIR CAMPAIGN ORDIANCE FORM “A”** (Exhibit A)
8. **AFFIDAVIT OF OWNERSHIP OR CONTROL** (Exhibit B)
9. **CONFLICT OF INTEREST QUESTIONNAIRE** (Exhibit C)

# EXHIBIT I

# FAIR CAMPAIGN ORDINANCE

The City of Houston Fair Campaign Ordinance makes it unlawful for a Contractor to offer any contribution to a candidate for City elective office (including elected officers and officers-elect). All respondents to this invitation to bid must comply with Houston Code of Ordinances Chapter 18 as amended relating to the contribution and solicitation of funds for election campaigns. Provisions of this ordinance are provided in part in the paragraphs that follow. Complete copies may be obtained from the office of the City Secretary.

Candidates for city office may neither solicit nor receive contributions except during a period commencing 270 calendar days prior to an election date for which a person is a candidate for such office and ending 90 calendar days after the election date, including run-off elections if such candidate is on the ballot.

Further, it shall be unlawful either for any person who submits a Bid or Proposal to contribute or offer any contribution to a candidate or for any candidate to solicit or accept any contribution from such person for a period commencing at the time of posting of the City Council Meeting Agenda including an item for the award of the Contract and ending upon the 30th day after the award of the Contract by City Council.

For the purposes of this Ordinance, a **Contract** is defined as each Contract having a value in excess of $30,000 that is let by the City for professional services, personal services, or other goods or services of any other nature whether the Contract is awarded on a negotiated basis, Notice of Funding Availability basis, competitive Proposal basis or formal sealed competitive Bids. The term **Contractor** includes proprietors of proprietorships, partners having an equity interest of 10% of more of partnerships, (including limited liability partnerships and companies), all officers and directors of corporations (including limited liability corporations), and all holders of 10% or more of the outstanding shares of corporations.

**A STATEMENT DISCLOSING THE NAMES AND BUSINESS ADDRESSES EACH OF THOSE PERSONS WILL BE REQUIRED TO BE SUBMITTED WITH EACH BID OR PROPOSAL FOR A CITY CONTRACT.** Completion of the attached form entitled **"Contractor Submission List"** will satisfy this requirement. Failure to provide this information may be just cause for rejection of your Bid or Proposal.

#  EXHIBIT I

# FORM “A”: FAIR CAMPAIGN

CONTRACTOR SUBMISSION LIST

CITY OF HOUSTON FAIR CAMPAIGN ORDINANCE

By submitting a bid or proposal to the City of Houston for a Contract in excess of $50,000 or for which a request is presented to City Council for approval, all respondents agree to comply with Chapter 18 of the Code of Ordinances.

Pursuant to Section 18-36 of the Code of Ordinances, it is unlawful either for any contractor to contribute or offer any contribution to a candidate, or for any candidate to solicit or accept any contribution from a contractor for a period commencing at the time of posting of the City Council Meeting Agenda including an item for the award of the Contract and ending upon the 30th day after the award of the Contract by City Council, or a determination by City Council of the Mayor that the contract will not be awarded to a contractor.

The term “contractor” means any person who has received the award of a contract, has submitted a bid or proposal in any form for the award of a contract, or has been proposed to be awarded the contract in an item placed upon the City Council agenda, including any other person who seeks the award of the contract and is contesting, appealing, or protesting the award of the contract as proposed.

This list is submitted under the provisions of Section 18-36(b) of the City of Houston Code of Ordinances in connection with the attached Bid/Proposal of:

Firm or Company Name:

Firm or Company Address:

The firm/company is organized as indicated below. Check one as applicable and attach additional pages if needed to supply the required names and addresses.

[ ] SOLE PROPRIETOR

Name

Proprietor Address

[ ] A PARTNERSHIP

LIST EACH PARTNER HAVING EQUITY INTEREST OF 10% OR MORE OF PARTNERSHIP (IF NONE STATE “NONE”)

Name

Partner Address

Name

Partner Address

[ ] A LIMITED LIABILITY COMPANY

LIST EACH MEMBER OR MANAGER (IF NO MEMBERS) HAVING EQUITY INTEREST OF 10% OR MORE IN THE LIMITED LIABILITY COMPANY (IF NONE, STATE “NONE”)

Name

Member/Manager Address

Name

Member/Manager Address

Name

Member/Manager Address

[ ] A CORPORATION

LIST ALL DIRECTORS OF THE CORPORATION (IF NONE STATE “NONE”)

Name

Director Address

Name

Director Address

Name

Director Address

LIST ALL OFFICERS OF THE CORPORATION (IF NONE STATE “NONE”)

Name

Officer Address

Name

Officer Address

Name

Officer Address

LIST ALL INDIVIDUALS OWNING 10% OR MORE OF OUTSTANDING SHARES OF STOCK OF THE CORPORATION (IF NONE STATE “NONE”)

Name

Owner Address

Name

Owner Address

Name

Owner Address

I certify that I am duly authorized to submit this list on behalf of the firm, that I am associated with the firm in the capacity noted below, and that I have knowledge of the accuracy of the information provided herein.

Signature

Printed Name

Title

Note: This list constitutes a government record as defined by § 37.01 of the Texas Penal Code.

12/15/2016

# EXHIBIT II

# CONTRACTOR OWNERSHIP DISCLOSURE ORDINANCE

**City Council requires knowledge of the identities of the owners of entities seeking to Contract with the City in order to review their indebtedness to the City prior to entering Contracts. Therefore, all respondents to this Invitation to Bid must comply with Houston Code of Ordinances Chapter 15, as amended (Sections 15-122 through 15-126) relating to the disclosure of owners of entities bidding on, proposing for or receiving City contracts. Provisions of this ordinance are provided in part in the paragraphs that follow. Complete copies may be obtained from the office of the City Secretary.**

Contracting entity means a sole proprietorship, corporation, non-profit corporation, partnership, joint venture, limited liability company, or other entity that seeks to enter into a contract requiring approval by the Council but excluding governmental entities.

A contracting entity must submit at the time of its Bid or Proposal, an affidavit listing the full names and the business and residence addresses of all persons owning five percent or more of a contracting entity or, where a contracting entity is a non-profit corporation, the full names and the business and residence addresses of all officers of the non-profit corporation.

Completion of the **"Affidavit of Ownership or Control,"** included herein, and submitted with the Official Bid or Proposal Form will satisfy this requirement. Failure to provide this information may be just cause for rejection of your Bid or Proposal.

# EXHIBIT II

# AFFIDAVIT OF OWNERSHIP OR CONTROL

**Orig. Dept.:** [Department] **File/i.d. no.:** [WBS No.]

**INSTRUCTION:** Entities using an assumed name should disclose that fact to avoid rejection of this affidavit. The following format is recommended: *Corporate/Legal Name dba Assumed Name*.

**STATE OF**  **§**

**§ AFFIDAVIT OF OWNERSHIP OR CONTROL**

**COUNTY OF**  **§**

BEFORE ME, the undersigned authority, on this day personally appeared [***full* *name***] (the “Affiant”), [***state title/capacity with Contracting Entity***] of [***Contracting Entity’s corporate/legal name***] (”Contracting Entity”), who being by me duly sworn on oath stated as follows:

**1.** Affiant is authorized to give this affidavit and has personal knowledge of the facts and matters herein stated.

**2.** Contracting Entity seeks to do business with the City in connection with

[***describe project or matter***] which is expected to be in an amount that exceeds $50,000.

**3.** The following information is submitted in connection with the proposal, submission or bid of Contracting Entity in connection with the above described project or matter.

**4.** Contracting Entity is organized as a business entity as noted below (check box as applicable).

**FOR PROFIT ENTITY**: **NON-PROFIT ENTITY**:

[ ] SOLE PROPRIETORSHIP [ ] NON-PROFIT CORPORATION

[ ] CORPORATION [ ] UNINCORPORATED ASSOCIATION

[ ] PARTNERSHIP

[ ] LIMITED PARTNERSHIP

[ ] JOINT VENTURE

[ ] LIMITED LIABILITY COMPANY

[ ] OTHER (Specify type in space below)

**5.** The information shown below is true and correct for the Contracting Entity; and

**6.** All owners of 10% or more of the Contracting Entity and, where the Contracting Entity is a non-profit entity, the required information has been shown for each officer, *i.e.*, president, vice-president, secretary, treasurer, etc. ***[Note: In all cases, use full names, local business and residence addresses and telephone numbers. Do not use post office boxes for any address. Inclusion of e-mail addresses is optional, but recommended. Attach additional sheets as needed.]***

**Contracting Entity**

Name:

Business Address *[****No./Street****]*

*[****City/State/Zip Code****]*

Telephone Number (\_\_\_\_\_)

Email Address ***[OPTIONAL]***

Residence Address *[****No./Street****]*

*[****City/State/Zip Code****]*

Telephone Number (\_\_\_\_\_)

Email Address ***[OPTIONAL]***

**10% Owner(s) or More (if none, state “none.”)**

Name:

Business Address *[****No./Street****]*

*[****City/State/Zip Code****]*

Telephone Number (\_\_\_\_\_)

Email Address ***[OPTIONAL]***

Residence Address *[****No./Street****]*

*[****City/State/Zip Code****]*

Telephone Number (\_\_\_\_\_)

Email Address ***[OPTIONAL]***

**7**. ***Optional Information***

Contracting Entity and/or [***name of owner or non-profit officer***] is actively protesting, challenging or appealing the accuracy and/or amount of taxes levied against [***Contracting Entity, owner or non-profit officer***] as follows:

Name of Debtor:

Tax Account Nos.

Case or File Nos.

Attorney/Agent Name

Attorney/Agent Phone No. (\_\_\_\_\_)

Tax Years

Status of Appeal *[****Describe****]*

Affiant certifies that he or she is duly authorized to submit the above information on behalf of the Contracting Entity, that Affiant is associated with the Contracting Entity in the capacity noted above and has personal knowledge of the accuracy of the information provided herein, and that the information provided herein is true and correct to the best of Affiant’s knowledge and belief.

Affiant

**SWORN TO AND SUBSCRIBED** before me this day of , 20 .

(Seal)

Notary Public

**NOTE:**

This affidavit constitutes a **government record** as defined by Section 37.01 of the Texas Penal Code. Submission of a false government record is punishable as provided in Section 37.10 of the Texas Penal Code. Attach additional pages if needed to supply the required names and addresses.

# EXHIBIT III

# ANTI-COLLUSION STATEMENT

The undersigned, as Proposer, certifies that the only person or parties interested in this Proposal as principals are those named herein; that the Proposer has not, either directly or indirectly entered into any Agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with the award of this Contract.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date Proposer Signature

# EXHIBIT IV

# CONFLICT OF INTEREST QUESTIONNAIRE

**CONFLICT OF INTEREST QUESTIONNAIRE:**

Chapter 176.006 of the Local Government Code (“the code”) requires a Vendor/Contractor to file a Conflict of Interest Questionnaire (CIQ) with the City.

**NOTE:** Vendors/Contractors or Agents should **not** complete the CIQ if a conflict, as described below, **does not exist. Only Vendors/Contractors or Agents that actually have a conflict, as described below, must file a CIQ.**

**Who must file a CIQ?**

A Vendor/Contractor or Agent of a Vendor/Contractor does not have to file a CIQ unless they intend to enter or is considering entering into a contract with the City or:

1. has an employment or other business relationship with the Local Government Officer/Family Member; or
2. has given the Local Government Officer/Family Member one or more gifts with the aggregate value exceeding $250.00.

**When must the Vendor/Contractor or Agent file a CIQ?**

The completed CIQ must be filed with the City Chief Procurement Officer not later than the 7th business day after the date the Vendor/Contractor or Agent:

1. begins discussions or negotiations to enter into a contract with the City;
2. submits an application to the City in response to a request for proposals or bids, correspondence, or any other writing related to a potential contract with the City;
3. becomes aware of an employment or other business relations with the Local Government Officer/Family Member;
4. becomes aware that he/she has given one or more gifts to the Local Government Officer/Family Member that exceeds $250.00; or
5. an event that would make the CIQ incomplete or inaccurate.

**What is a business relationship?**

Under Chapter 176, business relationship means a connection between two or more parties based on the commercial activity of one of the parties. The term does not include:

1. a transaction that is subject to a rate or fee regulation by a governmental entity;
2. a transaction conducted at a price and subject to terms available to the public; or
3. a purchase or lease of goods or services from a person who is chartered by a state or federal agency and is subject to regular examination and reporting to that agency.

The Original Conflict of Interest Questionnaire shall be filed with the Finance Department, Strategic Procurement Division, ATTN: Jerry Adams, Chief Procurement Officer; 901 Bagby; Concourse Level; Houston, Texas 77002). Vendors and Contractors required to file shall include a copy of the form as part of the BID/Proposal package**. Any questions about filling out this form should be directed to your attorney.**

**EXHIBIT IV**

**CONFLICT OF INTEREST QUESTIONNAIRE**





 

