

# HUD Conflict of Interest Statement Example

"No persons who is an employee, agent, consultant, officer or elected official or appointed official of the Agency or of subrecipients who exercise any functions or responsibilities with respect to CDBG activities assisted, or who are in a position to participate in the decision making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from a CDBG-assisted activity, or with respect to the proceeds of the CDBG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for one year thereafter."

CFR570.661 B Conflict of Interest

\*\*If your agency is required to submit a Conflict of Interest Statement, please submit the statement as an addendum to your Conflict of Interest Policy and have it signed by the agency's board.

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## REQUIRED INSURANCE INFORMATION

The following additional insurance information is required of all agencies receiving CDBG Funds and is to be reflected on an effective certificate of insurance for the grant year:

1. Current Policy Period reflecting current Effective & Expiration Dates;
2. Agency Name AND Program Name;
3. Program Site Address(s);
4. Liability Limits of \$1,000,000.00 or more;
5. the following verbiage in the "Additional Insured" Section of Certificate of Insurance and on the Endorsement Page in its entirety (as stated in the agency's signed CDBG contract):

*"City of Lompoc, City Council and members thereof, and City's officers, agents and employees shall be named as additional insured under such liability insurance policy or policies."*

6. Copy of Certificate of Insurance and Endorsement Page containing the above information.

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## CLIENT INTAKE FORMS

### **Client Intake Form Example #1 (attached Page 3)**

This form includes the required sections for race, ethnicity, address and female head of household question.

Client Intake Form 1 is used for programs who serve "Presumed Benefit Clients." This form does not require income verification but the agency **MUST** have documentation and written agency procedure as to how it verifies the client qualifies as "Presumed Benefited." Some examples of procedures & verification are: for seniors – staff verifies birth date from government issued identification with photograph and has a section on the client intake form that states "verified" and by who / for homeless – Affidavit of Homelessness completed and in file / for abused children & battered spouses – Police Report Case Number in file / for severely disabled – SSI Award Letter in file.

"Presumed Benefit Clients" are clients in "activities that exclusively serve a group of persons in any one or a combination of following categories that may be presumed to benefit persons, 51% of whom are low and moderate income: abused children, battered spouses, elderly persons, adults meeting the Bureau of Census' Current Population Reports definition of "severely disabled," homeless persons, illiterate adults, persons living with AIDS, and migrant farm workers."

CFR570.483 (2) (ii) (A)

## Client Intake Form Example #2 (attached Page 4)

Client Intake Form 2 is the most common intake form which includes the required section for income verification for qualification, race, ethnicity, address and female head of household question.

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## DUNS NUMBER

The DUNS Number is required from all agencies receiving CDBG Funding in order for the City of Lompoc to complete HUD's Reporting requirements. Please be sure to supply the City with your "LOMPOC DUNS Number." When applying for a DUNS Number please be sure to enter your "LOMPOC" information. (The information provided below was obtained on-line at the sites below.)

### Definition of "DUNS Number" as reflected on-line at:

<http://fedgov.dnb.com/webform/pages/dunsnumber.jsp>

#### About the D-U-N-S Number

Created in 1962, the Data Universal Numbering System or D-U-N-S® Number is D&B's copyrighted, proprietary means of identifying business entities on a location-specific basis.

**Assigned and maintained solely by D&B, this unique nine-digit identification number** has been assigned to over 100 million businesses worldwide.

#### **A D-U-N-S® Number remains with the company location to which it has been assigned even if it closes or goes out-of-business.**

The D-U-N-S® Number also "unlocks" a wealth of value-added data associated with that entity, including the business name, physical and mailing addresses, trade styles ("doing business as"), principal names, financial, payment experiences, industry classifications (SICs and NAICS), socio-economic status, government data and more. The D-U-N-S® Number also links members of corporate family trees worldwide.

The D-U-N-S® Number is widely used by both commercial and federal entities and was adopted as the standard business identifier for federal electronic commerce in October 1994.

**The D-U-N-S Number® was also incorporated into the Federal Acquisition Regulation (FAR) in April 1998 as the Federal Government's contractor identification code for all procurement-related activities.**

**To see if you already have a DUNS Number:** [www.dnb.com/US/duns\\_update/](http://www.dnb.com/US/duns_update/)

**To request a free DUNS Number via web:** <http://fedgov.dnb.com/webform>

### **To request a free DUNS Number by phone:**

(Information provided below is indicated as reflected on-line at <http://fedgov.dnb.com/webform>)

Contact the D&B Government Customer Response Center at: **1-866-705-5711**  
Monday - Friday 7 AM to 8 PM C.S.T.

The process to request a D-U-N-S® Number by telephone takes between 5 and 10 minutes. You will need to provide the following information:

- Legal Name
- Trade style, Doing Business As (DBA), or other name by which your organization is commonly recognized
- Physical Address, City, State and Zip Code
- Mailing Address (if separate)
- Telephone Number
- Contact Name
- SIC Code (Line of Business)
- Number of Employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

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## Limited English Proficiency Plan (LEP)

**A Limited English Proficiency Plan will contain the following concepts and be part of the agencies written policy:**

- Agency will serve all persons equally including those who speak English or Spanish.
- Agency will have a staff person on site who speaks English and Spanish.
- Agency will train English speaking staff to direct Spanish speaking clients to Spanish speaking staff.
- Agency will translate all brochures, pamphlets and client intake forms to English and Spanish.
- Agency will have program material in English and Spanish on website.
- Agency will not discriminate against any person on the basis of race, color, national origin, religion, sex, familial status, disability or to a person's actual or perceived sexual orientation, gender identity, or marital status.
- Agency will post contact information for clients who feel they have been discriminated against based on race, color, national origin, religion, sex, disability, or familial status. This includes refusing to provide reasonable accommodations to persons with disabilities. (Title II of the Americans with Disabilities Act prohibits discrimination on the basis of disability in all programs, services, and activities of local governments.)

U.S. Department of Housing and Urban Development  
Office of Fair Housing and Equal Opportunity (Office of FHEO)  
451 7<sup>th</sup> Street, SW, Washington, DC 20410  
PH#: 1-202-708-1112  
TTY: 1-202-708-1455  
Website: [www.usa.gov/federal-agencies/office-of-fair-housing-and-equal-opportunity#](http://www.usa.gov/federal-agencies/office-of-fair-housing-and-equal-opportunity#)