Fair Housing Initiatives and Housing Counseling Programs Application

U.S. Department of Housing and Urban Development
Andrew Cuomo, Secretary

hud
YOUR COMMUNITY PARTNER

<u>The Housing Counseling Program</u>
OMB Approval No. 2502-0261 (exp. 04/28/98)

<u>Fair Housing Initiatives Program</u>
OMB Approval No. 2529-0033 (exp. 02/28/2000)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the Housing Counseling Program and the Fair Housing Initiatives Program are based on the rating factors for this program listed in the SuperNOFA for Housing and Community Development Programs, published on March 31, 1998.

Public reporting burden for collection of this information for the **Housing Counseling Program** is estimated to average **13 hours** and the reporting burden for collection of information for the **Fair Housing Initiatives Program** is estimated to average **53 hours** per response. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project to the Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments please refer to OMB approval number 2502-0261 for the Housing Counseling Program, and OMB approval number 2529-0033 for the Fair Housing Initiatives Program.

Do not send this form to the above address.

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

The information submitted in response to the notice of funding availability for the Housing Counseling Program and the Fair Housing Initiatives Program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

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

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
THE SECRETARY
WASHINGTON, D.C. 20410-0001

MAR 3 1 1998

Dear Friend:

For many years, local citizens and organizations have worked hard to build strong and healthy communities, and the U.S. Department of Housing and Urban Development (HUD) has often been an important partner in those efforts. Under the direction of President Clinton, HUD has streamlined operations and redesigned programs to make our assistance more effective and to make it easier for people to work with the agency. HUD's reinvention is well underway, and we continue to make substantial reforms so that HUD will truly be one department with one mission – empowering people to create viable communities for all Americans.

The key elements of viable and sustainable American communities are good, safe homes and supportive living environments for people of all income levels. The Drug Elimination Grant Programs for public and Indian and multifamily housing makes strong communities possible by helping to address one of the most destructive elements in communities today. These programs fund comprehensive strategies to eliminate drugs and drug-related crime in and around public and other federally-assisted housing communities.

We know that these Drug Elimination Grant programs can have an even greater impact on a community when they work in tandem with other HUD programs. As part of HUD's continuing management reforms, we have streamlined our competitive grant funding process for Fiscal Year 1998 to make it easier for citizens to do just that. Instead of 40 separate, hard-to-track Notices of Funding Availability (NOFAs), we are using three consolidated "SuperNOFAs" to provide information on the array of HUD's competitive programs. Because we use a standardized format, the application and selection process is simplified. Our SuperNOFAs will give those interested in the health and vitality of our communities greater opportunities to create and implement successful, comprehensive local plans. When designing your proposed drug elimination strategies, we urge you to use the new SuperNOFA process as an opportunity to create truly holistic, coordinated strategies by combining your drug elimination efforts with other efforts designed to effectively address your community's housing and development needs.

Good luck! We look forward to working with you in addressing the needs and interests of our nation's communities and of the people who live and work within them.

Sincerely,

Andrew Cuomo

Andrew Cuomo

U. S. Department of Housing and Urban Development
Washington, D.C. 20410-2000

OFFICE OF THE ASSISTANT SECRETARY
FOR FAIR HOUSING AND EQUAL OPPORTUNITY

MAR 31 1998

Dear Friends:

This year marks the 30th anniversary of the passage of the Fair Housing Act. This nation has an historic opportunity to address housing discrimination. The President has directed HUD to double the fair housing enforcement actions we take. The Secretary and I agree that a strong civil rights enforcement program should be the hallmark of this Department.

The Office of Fair Housing and Equal Opportunity is pleased to be a part of HUD's new comprehensive approach to consolidate the awards process with the Fiscal Year 1998 Fair Housing Initiatives Program (FHIP) grants. As part of the Secretary's commitment to streamline the application process, there is a single application kit for the FHIP and the Housing Counseling Program. Therefore, this application kit will allow eligible applicants to use one application to apply for all initiatives funded by these two programs.

The objectives for this year's FHIP competition are to:

- Contribute to the President's directive to double the number of Fair Housing enforcement actions taken by HUD.
- Address the fair housing education and enforcement needs of new immigrants and other underserved groups.
- Improve enforcement of fair housing protections for persons with disabilities.
- Promote full service and broad-based fair housing enforcement activities.

In meeting these objectives FHIP participants should be guided by the following themes:

- Create enforcement partnerships between private fair housing organizations and FHAP agencies, traditional civil rights groups and disability advocacy groups.
- Conduct credible and reliable testing and other enforcement activities.

Under this Notice $11,500,000 out of the 15 million appropriated for this fiscal year is being made available. The remaining $3,500,000 will be announced in the soon to be released National Competition Notice of Funding Availability (NOFA).

The projects that can be conducted under this FHIP Notice of Funding Availability (NOFA) are:

- Private enforcement;
- Education and outreach;
- Continued development of enforcement capacity, and;
- Creation of a new fair housing enforcement organization.

You should read both the Application Kit and the NOFA very carefully before preparing your proposal.

Sincerely,

Eva M. Plaza

Eva M. Plaza
Assistant Secretary for Fair
Housing and Equal Opportunity

U. S. Department of Housing and Urban Development
Washington, D.C. 20410-8000

MAR 31 1998

OFFICE OF THE ASSISTANT SECRETARY
FOR HOUSING-FEDERAL HOUSING COMMISSIONER

TO: All Entities Approved by HUD as Housing Counseling Agencies on or before March 31, 1998; and

State Housing Finance Agencies

The Office of Single Family Housing is pleased to be part of HUD's new comprehensive and coordinated SuperNOFA approach to awarding 1998 housing counseling grant funds. These resources are offered to enhance your efforts, and bring homeownership opportunities to underserved families and individuals. For the first time, the housing counseling grant competition includes the addition of State Housing Finance Agencies as eligible applicants.

HUD's Housing Counseling Program continues all elements of comprehensive housing counseling set forth in Handbook 7610.1 as revised. Working in partnership with local housing officials, private real estate interests, mortgage lenders, and nonprofit organizations, your agency can promote a coordinated, community-based process to identify housing and homeownership needs, and build a system to address these needs.

In addition to applying for funds under this program, your organization should also consider leveraging its resources through the availability of private funds, as well as Community Development Block Grant funds and HOME Program funds available through your locality. This year HUD is placing special emphasis upon the successful efforts of grant applicants to obtain funds from sources other than HUD, and develop linkages with partners to coordinate its activities in the community.

The FY 1998 Notice of Funding Availability (NOFA) announcing this competition was published in the <u>Federal Register</u> on March 31, 1998. The Application Kit accompanying this letter is designed to help you respond. You should read both documents carefully before beginning to prepare your application. A copy of the NOFA is enclosed for your convenience. If you have any questions, please call the SuperNOFA Information Center at 1-800-HUD-8929 or the contact(s) listed in the Application Kit.

Sincerely,

Emelda P. Johnson
Emelda P. Johnson
Deputy Assistant Secretary for
Single Family Housing

Enclosure

General Instructions

To improve customer service and provide you the necessary tools to revitalize your community, HUD is consolidating 39 competitive programs into three SuperNOFA (Notice of Funding Availability) announcements. By providing a menu of potential funding sources at one time during the year, your community will be able to create integrated solutions to problems in your community, and plan comprehensively. HUD also streamlined its application process to reduce your administrative burden and to make our programs easier to understand and use. We grouped together similar programs into singular applications to minimize, to the extent allowed by law, the paperwork you fill out if you chose to apply for more than one program. Of course, you can still choose to apply for only one program. These are first steps. HUD intends to streamline the application process even further next year and to learn from you how we can do better.

This application consolidates two programs for outreach, counseling and other services. Approximately, $29,500,000 is available as follows:

Program	**Approx. Amt.**
Housing Counseling Program	$ 18,000,000
Fair Housing Initiatives Program:	
Private Enforcement Initiative (PEI)	
• General Component (Multi-year)	$ 7,800,000
• Joint Enforcement Component	$ 1,500,000
Fair Housing Organizations Initiative (FHOI)	
• Establishment of New Organizations Component	$ 400,000
• Continued Development Component	$ 800,000
Education and Outreach Initiative (EOI)	
• Regional, Local and Community-based Component	$ 1,000,000

NOTE: HUD anticipates publishing a separate NOFA before May 1, 1998 that includes funding for Housing Counseling Program and Fair Housing Initiatives Program projects that are national in scope.

The application materials for these programs have been includedin one application because each program's activities complement and support the activities of the other. One of the goals of the Housing Counseling Program is to help tenants and homeowners meet the responsibilities of tenancy and homeownership, respectively. Included in these responsibilities is a need to understand how fair housing laws can expand and create new housing opportunities. Funding through the Fair Housing Initiatives Program (FHIP) can help support this. Similarly, projects that educate the public and enforce fair housing laws under FHIP, could benefit from tenancy and homeownership counseling funded by the Housing Counseling Program.

Applicants who are eligible for, and choose to apply for, both programs will find the application process easier this year, as information on both programs is available in one application, and the duplication associated with applying for these two separate programs has been eliminated. **Eligible applicants are able, as they have been in the past, to apply for funding under just one of these programs.**

Application Parts

This application has four parts. Part I is the Housing Counseling Program. Part II is the Fair Housing Initiatives Program. Part III contains all of the required standard forms and certifications for both programs and an acknowledgement of receipt HUD will send to you upon receiving your application. Part IV is the SuperNOFA general section and both program sections as published in the Federal Register.

Part I: Housing Counseling Program

Part I contains a description of, and the application materials and instructions for, the Housing Counseling Program. Additional information on this program can be found in HUD Handbook 7610.1 (Rev.4) at http://www.HUD.gov. The Housing Counseling Program provides counseling and advice to tenants and homeowners to assist them in improving their housing conditions and meeting the responsibilities of tenancy and homeownership. Eligible applicants are State Housing Finance Agencies, and agencies approved as housing counseling agencies by HUD on or before March 31, 1998.

Private and public nonprofit organizations that provide housing counseling services to clients, directly or through their affiliates or branches, can apply to become a HUD-approved housing counseling agency. If you are interested in applying in the future, please refer to the Question Section at the end of these General Instructions for contact information.

HUD encourages approved agencies to conduct community outreach activities and counseling to increase the awareness of homeownership opportunities and improve access of low- and moderate-income households to sources of mortgage credit. HUD believes that this activity is key to the revitalization and stabilization of low-income and minority neighborhoods. This year, in addition, HUD encourages the counseling of first-time homebuyers through Homebuyer Education and Learning Program (HELP) training sessions, and the counseling of eligible persons 62 years of age and older who are in need of income to use a Home Equity Conversion Mortgage (HECM).

Part II: Fair Housing Initiatives Program (FHIP)

Part II contains a description of, and the application materials and instructions for, the Fair Housing Initiatives Program (FHIP). The regulations governing this program are attached to this application kit. FHIP is designed to assist projects and activities to enforce and enhance compliance with the Fair Housing Act and substantially equivalent State and local fair housing laws.

A variety of organizations are eligible to apply for FHIP, including Fair Housing Enforcement Organizations (FHOs), Qualified Fair Housing Enforcement Organizations (QFHOs), and other organizations identified in the eligibility chart in Part II.

A FHO is a private, tax-exempt nonprofit charitable organization that is currently engaged in complaint intake and/or investigation, testing for fair housing violations, and enforcement of meritorious claims. A QFHO is a FHO with at least two years of experience aggregated over the preceding three-year period. Organizations interested in becoming a FHO should refer to the Question Section at the end of these General Instructions for contact information.

FHIP has three initiatives (encompassing five components). **A separate application must be**

submitted for each component for which funding is requested, if more than one. The Education and Outreach Initiative (EOI) funds projects that are regional, local and community-based in scope to inform the public regarding its rights and obligations under the provisions of the fair housing laws.

The Private Enforcement Initiative (PEI) provides funding to investigate violations and obtain enforcement of rights granted under the fair housing laws. Within PEI there are two components. The General Component provides multi-year funding to private fair housing enforcement organizations that are not currently receiving multi-year PEI funding. The Joint Enforcement Component promotes partnerships between private fair housing enforcement organizations, fair housing assistance program agencies and/or traditional civil rights organizations to investigate systemic housing discrimination in their communities.

The Fair Housing Organizations Initiative (FHOI) funds capacity building and development of new organizations. Through the Establishment of New Organizations Component, funds are available to create new fair housing organizations in underserved areas. Under the Continued Development Component, funds are available to expand the capacity of fair housing and disability advocacy groups to provide fair housing services to persons with disabilities.

Part III: Standard Forms and Certifications

Part III contains all of the forms and certifications for both programs. These are items in addition to those required by the program(s) for which you are applying. Applicants should consult the relevant program part (Part I and/or Part II) for a checklist of all required elements.

If the same applicant organization is eligible and chooses to **apply for both** the Housing Counseling Program and the Fair Housing Initiatives Program (any Initiative/Component) the applicant has two options. The first option is to submit one completed set of all required forms and certifications listed below, as long as original signatures are provided and information is provided on the forms/certifications for both programs, as applicable. This completed set would be submitted with the one application and a copy of the entire set would be submitted for the other application. The second option is to submit a completed set of forms and certifications with original signatures by program.

Required for the Housing Counseling Program and/or the Fair Housing Initiatives Program (FHIP):

- Standard Form (SF)-424, Application for Federal Assistance, and the Application for Federal Assistance Funding Matrix

- Standard Form (SF)-424B, Assurances--Non-Construction Programs
- Form HUD-50070, Certification for a Drug-Free Workplace

- Form HUD-50071, Certification of Payments to Influence Federal Transactions, and Standard Form (SF)-LLL, Disclosure of Lobbying Activities, if applicable.

- Form HUD-2880, Applicant/Recipient Disclosure/Update Report, and additional instructions.

- Certification Regarding Debarment and Suspension

- Certification of Consistency with the EZ/EC Strategic Plan (as applicable) - Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), or Urban Enhanced Enterprise Communities (Enhanced EC), and serve the EZ, EC, or Enhanced EC residents, and are certified to be consistent with the applicable strategic plan.

- Acknowledgement of Application Receipt (optional) - A receipt is provided for you to send with your application if you want HUD to notify you that your application was received.

Required for FHIP only: If you are applying for FHIP, the following items are required in addition to the forms and certification listed above.

- Listing of Current or Pending Grants/Contracts/Other Financial Agreements
- Certification of Consistency with the Consolidated Plan

Part IV: Super Notice of Funding Availability (NOFA)

Part IV contains the portions of the SuperNOFA, as published in the Federal Register on March 31, 1998, relevant to this application: the general section including a listing of HUD State and Area Offices, the Housing Counseling Program section, and the Fair Housing Initiatives Program section. The general section describes the purposes of the SuperNOFA, the application submission requirements, and other general information. The program sections of the SuperNOFA contain important information on eligibility, funding amounts and eligible uses, detailed information on the rating factors and award selection processes to be used, and other information. You should pay close attention to both the general section and the program section(s) as you prepare your application(s).

Scoring

HUD will review, rate and rank each program separately based on the criteria in the SuperNOFA. The maximum points for each program is 102 points. There are five factors that will be used to evaluate and assign (up to 100 points) for each application as follows: Capacity of the Applicant and Relevant Organizational Staff, Needs/Extent of the Problem, Soundness of Approach, Leveraging Resources, and Comprehensiveness and Coordination.

Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), or Urban Enhanced Enterprise Communities (Enhanced EC), and serve the EZ, EC, or Enhanced EC residents. Attached to this application kit is a listing of the EZs, ECs and Enhanced ECs, and contact information. Applicants should, using this listing and HUD's Web site at http://www.HUD.gov, first identify whether their proposed activity/project will be located within the boundaries of an EZ, EC or Enhanced EC, and if so, whether it will serve the residents. If "yes", then the applicant should have the official authorized to sign the Certification of Consistency with the EZ/EC Strategic Plan, sign and date the Certification which would be included in the applicant's submission to HUD.

Assembling Your Application

In recent years, HUD has received record numbers of applications. To help expedite HUD's review process, please assemble your application in the order indicated by the program for which you are applying. A checklist and specific instructions are included under Part I (for a Housing Counseling Program application) and Part II (for a FHIP application).

An eligible organization applying for both programs must still assemble and submit a separate application for each program, however, it has the option of preparing one combined narrative in response to Rating Factor 1: Capacity of the Applicant and Relevant Organizational Staff and one combined narrative in response to Rating Factor 5: Comprehensiveness and Coordination. Because the combined narrative would provide information for both programs, a separate narrative response for these factors for each program is eliminated. Applicants, however, still have the option of preparing and submitting separate narratives for these factors for both programs as in past years.

In addition, if you are applying for both programs, you have the option of submitting one complete set of all required forms and certifications as long as original signatures and information for both programs is provided. A copy of the entire set would be submitted with the second application.

Where to Submit

Applicants should consult the program parts (Part I and Part II) for the specific mailing addresses to send your completed application(s).

Questions

For questions on the **Housing Counseling Program**, local housing counseling agencies and state housing finance agencies should contact the HUD Homeownership Center serving their areas as identified at the end of Part I. For national, regional, and multi-state organizations, please contact William Feingold, Marketing and Outreach Specialist, Marketing and Outreach Division, Office of Single Family, Room 9166, U.S. Department of Housing and Urban Development, Washington, D.C. 20410. The phone number is (202) 708-0317. The hearing impaired may access this number by calling the Federal Information Relay Operator at 1-800-877-8339 (TTY).

For questions on the **Fair Housing Initiatives Program**, contact Ivy L. Davis, Director, FHIP/FHAP Support Division at (202) 708-0800 (this is not a toll-free number), or persons who use a text telephone (TTY) may call the Federal Information Relay Service at 1-800-877-8339. You may also call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209.

Due Date

Completed applications for the Housing Counseling Program must be received no later than 6:00 pm local time on **June 1, 1998** at the appropriate address identified in Part I.

Completed applications for the Fair Housing Initiatives Program (all Initiatives/Components) are due no later than 12:00 midnight, Eastern Standard Time on **June 1, 1998** at the address identified in Part II.

Part I: The Housing Counseling Program

General Information

Background
HUD implements a comprehensive housing counseling program through national, regional, multi-state, housing counseling agencies, State Housing Finance Agencies, and local HUD-approved housing counseling agencies at more than 1,000 counseling sites nationally. Counseling assists homebuyers, homeowners, and tenants to meet their housing needs and resolve their housing problems. To assist the agencies, HUD provides appropriated funds awarded on a competitive basis. Additional information on this program can be found in HUD Handbook 7610.1 (Rev.4) at http://www.HUD.gov.

Eligible Applicants
To compete for HUD housing counseling funds, an applicant must have been approved by HUD as a housing counseling agency on or before March 31, 1998, or be a State Housing Finance Agency.

A local HUD-approved counseling agency that is a member, affiliate, or branch office of a national, regional, or multi-state applicant may apply **EITHER** under the intermediary organization's application **OR** separately from the intermediary organization's application but **not under both. HUD will reject all duplicate applications and disqualify both the local agency and its branches.**

Eligible Activities
Activities include the housing counseling components set forth in HUD Handbook 7610.1, as revised; however, the eligible activities for each agency are governed by the housing counseling plan submitted by that agency to HUD as part of the application for HUD approval. As a minimum requirement, grantees must, with the exception indicated below, provide:

- Pre-purchase counseling to first-time homebuyers

- Delinquency and default counseling to homebuyers, homeowners, and renters

Exception: Applicants who received HUD approval to provide **ONLY** default counseling, Home Equity Conversion Mortgage counseling, pre-purchase counseling, and/or renter counseling may be funded to provide only the kind of counseling for which HUD approved the applicant.

Submitting Your Application
<u>For local housing counseling agencies and state housing finance agencies</u>, AN ORIGINAL AND TWO COPIES of the completed application must be submitted to the respective HUD Homeownership Center having jurisdiction over the locality, area, or state in which the proposed program is located. Send to the attention of the Marketing and Outreach Division Director, and indicate on the envelope, "FY 1998 Counseling Application." A list of Marketing and Outreach Division Directors, HUD Homeownership Center and jurisdictions is at the end of Part I.

<u>For national, regional and multi-state housing agencies</u>, AN ORIGINAL AND TWO COPIES of the completed application must be submitted to the Director, Marketing and Outreach Division, Office of Single Family Housing, Room 9166, U.S. Department of Housing and Urban Development, Washington, D.C. 20410. The envelope should be clearly marked, "FY 1998 Intermediary Application."

Date of Issuance of Grant Awards
HUD will make awards as soon as possible after the deadline for receipt of applications and notify successful applicants. If the grantee has an active HUD grant, awarded prior to this NOFA, with un-invoiced funds, the grantee under this NOFA may NOT commence counseling activity under this 1998 grant until it has provided housing counseling services and invoiced HUD for those services to close out the previous grant. HUD will **NOT** extend the term of any previously-awarded grant.

Funding Limitations
HUD intends the grant amount to cover only a portion of the costs the agency incurs to deliver counseling services. Grantees must have funds from other sources that, in conjunction with the HUD grant, cover the agency's costs.

Application Instructions

I. Presentation and Organization of the Application

A. Each exhibit listed below must be clearly marked, pages must be numbered sequentially, and divider pages with tabs must be inserted in the package to identify and separate each exhibit and its supporting materials. Applications must be submitted on 8.5" X 11" paper of reproducible quality. Applications should be bound in a fashion which facilitates an efficient review of the material such as insertion in a ring binder.

B. Do not use a transmittal letter. The Standard Form 424, Application for Federal Assistance and the Matrix (listed below), serves that purpose.

C. Do not submit unnecessary elaborate brochures or other presentations beyond those sufficient to present a complete and effective response to this Notice of Funding Availability (NOFA). Elaborate art work, expensive paper, and visual or other presentation aids are neither necessary nor desirable.

II. Application Requirements

The items listed below (1-19) represent the required components for a complete submission this year. **You may use this checklist to verify your application is complete prior to submission and in the order specified by the list, however, do not include the checklist with your application.**

Items 1, and 3-9 can be found in Part III of this application kit.

( ) 1. **Standard Form 424, Application for Federal Assistance and Matrix** . PLACE THE SF 424 AND MATRIX AS THE FIRST AND SECOND PAGES OF YOUR APPLICATION followed by the other documents specified below.

Follow these instructions in addition to the instructions on the SF-424:

a. Block 3 — Not applicable
b. Block 4 — The HUD office that receives your application will complete this block.
c. Block 13 — DO NOT complete this block. HUD will enter this information.
d. Block 14a — Enter the Congressional District in which the main office of your agency is located.

e. Block 15 — Complete the Application for Federal Assistance Funding Matrix

f. Block 17 — Applicants **MUST** complete this block.

g. Block 18d — The authorized representative of the applicant's organization **must** sign in Block 18d. ***Make certain the form is completed in accordance with all instructions*.**

( ) 2. Congressional District Information. Indicate on a separate sheet of paper the names, political parties, and telephone numbers of the applicant's Senators and Congressional Representatives.

( ) 3. Standard Form 424B, Assurances--Non-Construction Programs

( ) 4. Drug-Free Workplace Requirements Certification

( ) 5. Form HUD-2880, Applicant/Recipient Disclosure/Update Report

( ) 6. Certification of Payments to Influence Federal Transactions, and Standard Form--LLL (if applicable), Disclosure of Lobbying Activities.

( ) 7. Certification Regarding Debarment and Suspension

( ) 8. Certification of Consistency with the EZ/EC Strategic Plan (as applicable) - Two bonus points will be awarded for eligible activities/projects proposed to be located in federally designated Empowerment Zones (EZ), Enterprise Communities (EC), or Urban Enhanced Enterprise Communities (Enhanced EC), and serve the EZ, EC, or Enhanced EC residents, and are certified to be consistent with the applicable strategic plan.

( ) 9. Acknowledgement of Application Receipt (optional) - A receipt is provided for you to send with your application if you want HUD to notify you that your application was received.

The forms for items 10-13 can be found at the end of this Part (Part I).

( ) 10. Form HUD-9902, Housing Counseling Agency FISCAL YEAR Activity Report, (Rev. 5/95), for fiscal year **October 1, 1996 through September 30, 1997.** If your agency was not approved by HUD for the entire fiscal year as listed above, you must still complete the form indicating the actual timeframe it represents. State Housing Finance Agencies must submit Form HUD-9902 for activities in FY 97.

NOTE: Local agencies and/or national, regional, and multi-state intermediaries, and State Housing Finance Agencies must obtain completed HUD-9902's from every participating branch or affiliate and prepare a summary Form HUD-9902 to submit as part of the application. <u>Branches and affiliates that fail to provide a completed form HUD-9902 may NOT participate in this funding application as a branch or an affiliate</u>!

( ) 11. Computer Equipment Inventory (if applicable)

This inventory and corresponding instructions apply only to applicants that did not receive capacity building funds under a FY 1995, FY 1996, or FY 1997 HUD housing counseling grant. HUD will not provide additional capacity building funds in FY 1998 for those grantees that received FY 1995, FY 1996, or FY 1997 capacity building funds. Agencies that received capacity building funds in FY 1995, FY 1996, or FY 1997 do not need to submit this inventory.

<u>Every applicant</u> must either own computer hardware that meets or exceeds the following specifications, or state in its application that it will use the capacity building portion of its grant to purchase such equipment.

The applicant must also agree to obtain an estimate for this purchase within 30 days of receipt of the grant document, voucher for these funds within 5 working days of receipt of the estimate, and purchase the equipment within 30 working days of receipt of the funds from HUD.

If an agency already owns this equipment, it may use the entire grant for compensation of counseling services. If the agency owns part of the equipment, it must use the capacity building portion of its grant to upgrade or complete its equipment. The remaining funds may be used for reimbursement for counseling services.

The equipment owned by the agency MUST meet the following minimum standards:

HARDWARE

- 486DX2 - 66MHZ - 540 MB Hard Disk
- 16 MB RAM
- 101 Keyboard
- SVGA Color Monitor with at least 1mb of vram
- Surge protector
- FAX modem (at least 28.8 baud)
- HP4+ printer
- Mouse and card

SOFTWARE (for Windows where applicable and always latest version)

- Microsoft Windows (minimum 31)

- A "suite" such as Microsoft Office Professional. As an example, this particular package includes Word 6.0, Excel 5.0, Powerpoint 4.0 and Access 2.0. You may use any "suite" package, a multivender mix is unacceptable.

- ProComm for Windows (communications software)
- Internet Access Service

- Housing counseling case management and tracking software capable of exporting the HUD-9902 data into a database file, such as Data Now

( ) 12. **Budget Worksheet.** Each applicant must complete the Budget Worksheet indicating how it will use the funds requested on the Standard Form-424 Matrix, and how it will use funds on hand. Keep the budget basic, but, using the Worksheet at the end of Part I, segregate the use of funds into the following two components:

a. Compensation for Counseling Services Rendered

b. Capacity Building--Purchase of computer equipment, Fax machine or Telecommunications Device for the Deaf (TDD) (up to $4,000 for local agencies and up to $5,000 for intermediary agencies).

Capacity-building funds are available ONLY to grantees that did NOT receive such funds under a Fiscal Year 1995, 1996, or 1997 counseling grant from HUD. If you received such funds from HUD in FY 1995, 1996, or 1997, do NOT include capacity-building funds in the budget submitted under this NOFA.

( ) 13. **Direct-labor and Hourly-labor rate and Counseling Time Per Client Chart.** As in FY 1997, HUD will **NOT** use "counseling units" to determine payments to grantees. Instead, HUD will use the data each applicant is required to provide on the table at the end of Part I. This information enables the Department to determine the average cost of thecounseling services provided. The following data is requested: (1) direct-labor hourly rate (DLHR), and (2) the average number of hours a counselor spends providing housing counseling to, or on behalf of, a typical client for as long as that client remains an active participant in the applicant's housing counseling program. If you need more space to list counselors, reproduce the form as needed. <u>Intermediaries must also complete this information for the FY 1998 application</u>.

( ) 14A. **National, regional, or multi-state applicants approved by Headquarters, and State Housing Finance Agencies (ONLY)** are required to submit the list, statements or affirmations set forth below:

( ) 1. These applicants must submit a list of the name, address, telephone number, number of years of housing counseling experience, and housing counseling program director's name for each branch or affiliate that has, in writing, indicated to the intermediary, that the branch or affiliate agrees to have the intermediary serve as their funding source for HUD's housing counseling grant program. After HUD awards grants, the intermediary may modify the list by submitting changes to HUD in writing.

( ) 2. The intermediary must certify that each branch or affiliate is unique to their team.

( ) 3. The intermediary must affirm that their branches or affiliates that choose the intermediary as the funding source **WILL NOT** undertake a separate application for funds either as an affiliate of another intermediary or directly as a HUD-approved local counseling agency.

( ) 4. The intermediary must affirm that it has executed a sub-agreement with each of its branches or affiliates that clearly delineates mutual responsibilities for program management, and incorporates appropriate time frames for reporting results to HUD.

( ) 5. The intermediary must provide a statement that sets forth how the intermediary will manage <u>and</u> monitor the housing counseling process, including funding levels and counseling activities for each branch or affiliate.

( ) 6. The intermediary must certify that the quality of services provided by their branches or affiliates will meet or exceed standards for local HUD-approved agencies as set forth in HUD Handbook 7610.1, as revised.

( ) 14B. **Local Counseling Agencies (ONLY).** Local HUD approved agencies may apply, **EITHER** directly to HUD for funding, **OR** as part of a HUD-approved intermediary organization with which they are officially affiliated. If applying for funding as a local agency, these agencies are required to include the list, statements or affirmations set forth below:

( ) 1. Include a certification of the fact that it has not and will not apply for these funds through those intermediaries with which it is affiliated.

( ) 2. Include a list of the names, addresses, telephone numbers, and director of counseling programs' names for all branch offices, if any. If none, so state.

Member, Affiliate, and Branch Offices of Intermediary Organizations A local HUD-approved counseling agency that is a member, affiliate, or branch office of a national, regional, or multi-state applicant may apply, **EITHER** under the intermediary organization's application, **OR** separately from the intermediary organization's application but not under **BOTH. HUD will reject all duplicate applications and disqualify both the local agency and its branches.**

Items 15-19 are the rating factors. Please consult the SuperNOFA in Part IV of this application, in addition to the information provided below, when preparing your responses.

( ) 15. **Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience**.

One Program. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative description for the Housing Counseling Program, or a separate narrative description for the FHIP Component for which you are applying. **Your narrative should not exceed 10 pages.**

Both Programs or Multiple FHIP Components. If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components, you have two options. The first option is to write a combined narrative description so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s). Or, if you are submitting an application for multiple FHIP Components only, you can write a combined narrative describing all Components.

When you submit your separate applications for both programs or multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factor #1. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Each description (within the combined narrative) should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if more than one) in response to this rating factor. **Each narrative should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

( ) a. Describe the knowledge, and recent and relevant experience of the proposed project director and staff (including the day-to-day program manager, consultants and contractors) in planning and managing programs for which funding is being requested. Describe the applicant's readiness and ability to immediately begin the proposed work plan, or for FHIP, on the date specified in the Statement of Work. For any personnel, including subcontractors, not yet hired or selected, describe the qualifications (in terms of required knowledge and experience) to be considered in the selection and how quickly the selection process will be completed.

For each identified employee and consultant/subcontractor to be allocated to the project, identify the titles, and describe the proposed number of staff hours and the roles to be performed.

( ) b. **Past HUD awards.** Describe the applicant's ability to attain measurable progress in the implementation of its most recent HUD funded project(s). Describe the activity(ies) undertaken, achievements and results, and the method of assessing project progress, including information on expenditures. Include in the description any problems or delays encountered during project implementation.

For FHIP, in addition, identify the HUD grant number for each project (if more than one) and include a copy of your most recent Standard Form (SF) 269a, Financial Status Report, for each project. HUD will consider its progress reviews for current grants, closeout assessments on grants closed within 18 months of the NOFA deadline, and any other evidence that documents a grantee's failure to comply with the grant award provisions under past FHIP awards in evaluating this factor.

For the Housing Counseling Program, in addition, submit a copy of the Final Report (which includes the Fiscal Year Activity Report, HUD-9902) for your last HUD grant. HUD will review any documentation of an applicant's failure to comply with the grant award provisions in effect for any past awards. If an applicant was cited as having a negative finding for which corrective action was required by HUD, include a copy of the response to HUD outlining the steps to be taken to correct the finding(s), and describe the steps taken to date.

( ) c. If the applicant **has not received HUD funding** in the past, describe the applicant's ability to attain measurable progress in managing projects, and carrying out grant management responsibilities for programs similar in scope or nature directly relevant to the work activities proposed. Describe the activity(ies) undertaken, achievements and results, and the method of assessing project progress. Include in the description any problems or delays encountered during project implementation.

( ) 16. **Rating Factor 2: Needs/Extent of the Problem**. A detailed but concise description of the housing counseling activities proposed by the applicant in response to the housing needs identified in the applicant's housing counseling plan. If housing market conditions have changed significantly in your area since your plan was approved by HUD, you should describe that in your application and indicate how you plan to address those conditions.

To the extent that the community served by the applicant has documented the need in the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), references to these documents should be included in the response. If the proposed activities are not covered under the scope of the Consolidated Plan and AI, applicants should indicate such and use other sound data sources to identify the level of need for the proposed activity.

In responding to this factor, applicants will be evaluated on the extent to which they document a critical level of need for the proposed activities in the area where activities will be carried out. Examples of other reliable sources of data that might be used to demonstrate need, include, but is not limited to, economic and demographic data relevant to the target area.

<u>Limit this narrative to not more than (two pages</u>) (Length does **NOT** add merit to the description). **HUD will not consider more than the first two pages of a longer submission.**

( ) 17. **Rating Factor 3: Soundness of Approach**. Provide a copy of the current plan under which the agency operates. HUD is loking for:

( ) a. Efficient, effective and feasible work plans that meet the needs articulated in response to Rating Factor 2 in the NOFA, including the extent to which the applicant is providing geographic coverage for target areas as well as persons traditionally underserved;

( ) b. Clarity with regard to the specific tasks to be performed;

( ) c. Proposed tasks that use technically competent methodologies for conducting the work to be performed. HUD will make an evaluation of the applicant's soundness of approach by assessing the extent to which the proposed work plan identifies the types of service to be performed.

( ) d. Relationship between the proposed activities, community needs and purpose of the program funding.

( ) e. Provide a detailed but concise description of the strategies to be used by the applicant to Affirmatively Further Fair Housing. Ideas for such actions are suggested in the NOFA; however, special consideration will be given to particularly innovative strategies and those designed to remedy the effects of past discrimination. The best strategies would state clearly any problem(s) which the AFFH strategy is designed to correct, provide supporting documentation of the problems (e,g,; statistics, findings from an Analysis of Impediments), and show clearly how the planned actions are expected to address these problems.

( ) 18. **Rating Factor 4: Leveraging Resources**. This factor addresses the ability of the applicant to secure community resources which can be combined with HUD's program resources to achieve program purposes. Evidence would consist of copies of documents such as signed and dated letters or funding certifications from the funding source or sources that provide housing counseling funds. <u>HUD will NOT accept statements by the applicant agency</u>; statements must be from the funding source and must show the amount of funds available and the period of time the funds are or will be available for use. Only those sources from which you currently receive funds, or from which you have a written commitment for funding that will commence within the fiscal year October 1, 1997-September 30, 1998, are acceptable. In addition to the award letters, if there are multiple funding sources, please provide a summary list which indicates the name of the source and the amount of funds awarded.

National, regional, and multi-state intermediaries may include sources that provide housing counseling funds to branches or affiliates that fall under the intermediaries' response to this NOFA, if the required evidence is included in the application.

( ) a. <u>Private Sources</u>. Submit copies of signed commitments that the agency has for funding from private (non-governmental) sources.

( ) b. <u>Local Government Sources</u>. Submit copies of signed commitments that the agency has for funding from government sources located within the agency's target area during the current fiscal year.

( ) 19. **Rating Factor 5: Comprehensiveness and Coordination**.

One Program. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative description for the Housing Counseling Program, or a separate narrative description for the FHIP Component for which you are applying. **Your narrative should not exceed 10 pages.**

Both Programs or Multiple FHIP Components. If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components, you have two options. The first option is to write a combined narrative description so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s). Or, if you are submitting an application for multiple FHIP Components only, you can write a combined narrative describing all Components.

When you submit your separate applications for both programs or multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factor #5. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Each description (within the combined narrative) should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if more than one) in response to this rating factor. **Each narrative should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

( ) a. Describe the specific steps your organization took to identify and coordinate its proposed activities with those of other groups or organizations prior to submission. Include in your description how the proposed activities will complement and support all known activities and if funded, the specific steps your organization will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

( ) b. HUD is working on addressing needs in a holistic and comprehensive manner. The Consolidated Planning process (which includes the Analysis of Impediments (AI) to Fair Housing Choice) is comprehensive and inclusive, and the scope of activities it covers is broad enough to have links directly or indirectly to your proposed activities.

( ) i. If your organization is currently active in your community's Consolidated Planning process, identify the topic/issue area(s) in which your organization participates and, where applicable, how the topic/issue area(s) relates to your organization's proposed activities. Describe your organization's level of participation (including active involvement in any committees).

( ) ii. If your organization is **not** currently active, consult your local HUD State or Area Office for information on the Consolidated Planning process for your area, or visit HUD's Website at http://www.HUD.gov. Describe the specific steps your organization will take in the future to become active in your community's process.

( ) c. Describe your organization's linkages or the specific steps your organization will take to develop linkages with other organizations through meetings, information networks, planning processes or other mechanisms to coordinate comprehensive solutions with:

( ) i. Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan/AI; and

( ) ii. Other Federal, State or locally (including private) funded activities, including those proposed or on-going in the community(s) served.

HOUSING COUNSELING GRANT PROGRAM FOR 1998

Budget Worksheet

Complete this worksheet and submit it as part of your application.

Uses of Funds	HUD 1998 Funds	Private Funds	Other Govt Funds	Other Funds	Total Program
1	2	3	4	5	6
Compensation for Counseling Services					
Capacity Building /Computer Equip-ment *					
Total Program Costs					

Column 1 The predetermined uses allowed by HUD.
Column 2 The amount the applicant is requesting from HUD under this NOFA.
Column 3 Funds for FY 98 from private sources the applicant will have available for the uses in column 1.
Column 4 Funds from government sources available for the uses in column 1.
Column 5 Funds from other sources available for the uses in column 1.
Column 6 The total amount of funds required by the applicant to administer its proposed housing counseling program for which the applicant is requesting HUD 1998 funds.

* Attach completed computer inventory (if applicable) supplied as part of this Application Kit.

DIRECT-LABOR HOURLY RATE AND COUNSELING TIME PER CLIENT

Enter names of each bona fide Housing Counselor. Do **NOT** list any other staff.	Direct-Labor Hourly Rate (DLHR)[1]	For HUD use only
Enter **AVERAGE** DLHR[2]		

Enter the **AVERAGE** number of hour(s) a counselor spends providing housing counseling to or on behalf of a typical client. Counseling includes **ALL** activities by the counselor in relation to the client.	___hour(s)	
Indicate whether your average number of hour(s) entry is based on documentation in your files or is an estimate.	[ ] File Documen-tation [ ] Estimate	

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[1] Enter the **DIRECT-LABOR HOURLY RATE** (hourly salary) for each Housing Counselor in dollars and cents. Do **NOT** include overhead, fringe benefits, or other operating expenses.

[2] Simple average of Direct-Labor rates for each Housing Counselor

COMPUTER EQUIPMENT INVENTORY

Complete this inventory only if you did not receive capacity building funds in prior years or if you did receive such funding and need to upgrade or enhance your hardware/software. Place "X" in "Own" or "Don't Own" column. In the "Cost Estimate" column enter firm cost estimates from a local supplier. The cost estimate indicates the amount of your grant that you may spend on these items. The items marked with an "*****" may be a "suite" such as Microsoft Office Processional (a multivender mix is not acceptable). All items represent the minimum acceptable to HUD. An applicant's items may exceed these minimums.

Item	Own	Don't Own	Cost Estimate	For HUD Use Only
486DX2-66MHZ 540 HD				
16 MB Ram				
101 Keyboard				
SVGA Color Monitor with 1mb or more of vram				
Surge Protector				
FAX modem - at least 14.4 v.32 bis				
HP4+ printer				
Mouse & Card				
Windows 3.1				
Word 6.0 *				
Excel 5.0 *				
Powerpoint 4.0*				
Access 2.0 *				
ProComm for Windows				
*****				
Internet Access Service				
Total Cost	XXXXX	XXXXX		XXXXX

*** Case Management and Tracking Software capable of exporting the HUD-9902 data into a database file (dbf) such as "Data Now"! (c)**

Housing Counseling Agency
Fiscal Year Activity Report

Read the instructions on the back of this form.

U.S. Department of Housing and Urban Development
Office of Housing
Federal Housing Commissioner

OMB Approval No. 2502-0261 (exp. 4/30/98)

1. Counseling agency name & address:

☐ Check here if this is a new address

2. **Reporting Year:**
from Oct 1, 199____
to Sep 30, 199____

3. **Number of Clients Counseled this Report Period**		All Counseling Activities	HUD Grant Activities
	1. Homeowners (mortgage paid off)		
	2. Mortgagors (own property covered by mortgage)		
	3. Potential Mortgagors (want to purchase housing)		
	4. Renters (occupy rental property)		
	5. Potential Renters (want to rent housing)		
	6. Homeless		
	7. Other		
	8. Total		
Race/Ethnicity:	a. American Indian / Alaskan Native		
	b. Asian / Pacific Islander		
	c. Black Non-Hispanic		
	d. Hispanic		
	e. White Non-Hispanic		

4. **Results of Counseling**

		All Counseling Activities	HUD Grant Activities
Homeowners	9. Obtained a Home Equity Conversion Mort.(HECM)		
	10. Other		
	11. Total		
Mortgagors	12. Obtained a HECM		
	13. Brought mortgage current		
	14. Forbearance agreement		
	15. Mortgage assigned to HUD		
	16. Executed a deed-in-lieu		
	17. Sold their property		
	18. Mortgage foreclosed		
	19. Rented alternative housing		
	20. Other		
	21.Total		
Potential Mortgagors	22. Purchased housing		
	23. Decided not to purchase		
	24. Other		
	25. Total		
Renters	26. Purchased housing		
	27. Rented alt. housing		
	28. Other		
	29. Total		
Potential Renters	30. Purchased housing		
	31. Rented alt. housing		
	32. Other		
	33. Total		
Homeless	34. Occupied “transitional” housing		
	35. Occupied “emergency shelter”		
	36. Occupied permanent hsg. for handicapped		
	37. Entered public or prvt. section traditional hsg.		
	38. Other		
	39. Total		

5. **HUD Grant Activity - Summary Data**

HUD Grant No. From Block 3, Form HUD-1044	HUD Grant Amount From Block 14, Form HUD-1044	Number of Clients	Amount Invoiced
	Total:		

6. Name, Title, & Signature of Person Authorized to Sign this Report :

x Date :

Instructions for Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report

This **HUD Fiscal Year** Activity Report enables a HUD-approved housing counseling agency to report all of its housing counseling activity for clients with housing needs and problems. Paragraph 1-7A of the HUD Housing Counseling Program Handbook 7610.1 provides the definition of "client," "housing need," and "housing problem."

1. **Counseling Agency Name & Address** - Enter the official name of your agency in the format you submitted to HUD. If the address you enter is a new address, check the box indicating this change.
2. **Enter Report HUD Fiscal Year** - This is an annual report covering the HUD Fiscal Year. Indicate the HUD Fiscal Year covered by the report. Even if your agency was approved by HUD for less than the full year report period, include clients counseling during the full report year.

General

Clients - Please remember that you report **clients** as defined in paragraph 1-7A of HUD's Housing Counseling Program Handbook 7610.1. You are **not** reporting the number of individual persons you counseled.

Examples:

a. A **husband and wife** or a **brother and sister** or **three friends** who are mortgagors under the same note count as **one client**.

b. **Three renting families** who experience the **same problem** with the **same landlord** and come to your agency together for assistance count as **one client**.

Columnar Entries - The report contains two data columns.

a. **All Counseling Activities -** Enter data covering **all** housing counseling activities, including those performed under one or more HUD housing counseling grants.

b. **HUD Grant Activities** - Enter data covering **only** counseling provided under one or more HUD counseling grants during the report period. include this data in the "All Counseling Activities" column.

3. **Clients Counseled This Report Period** - Enter the number of clients to whom you provided counseling during the report period. This might include clients who entered your workload the previous report period but you carried over into and counseled during the current report period.
   Enter the client count in the box that best describes the status of the clients when they first entered your workload.

Homeless - A client reported on this line must meet the definition for "homeless" or "homeless individual" set forth in Section 103., General Definition of Homeless Individual, of the Stewart B. McKinney Homeless Assistance Act (Public Law 100-77).

Racial/Ethnic Categories - Enter number of clients to whom you provided counseling during this period.

a. **White (Non Hispanic)** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

b. **Black (Non Hispanic)** - A person having origins in any of the black racial groups of Africa.

c. **Hispanic** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race.

d **American Indian or Alaskan Native** - A person having origins in any of the original peoples of North America, and who maintains, cultural identification through tribal affiliation or community recognition.

e **Asian or Pacific Islander** - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

Other - Throughout the form, "other" provides a general category into which you place clients who do not fall under any specific category on the form.

4. **Results of Counseling** - You might achieve more than one result for the same client during the report year.
   Example: A mortgagor in default enters into a **forbearance agreement** and later **sells the property.** Report both results on the appropriate lines.
5. **HUD Grant Activity - Summary Data -** Enter summary data from the "HUD Grant Activities" column for each grant under which you provided counseling during the report period. In the "Total" row, enter totals for the "No. of Clients" and the "Amount Invoiced' columns.
6. An authorized staff person must sign and date the report.

HUD Headquarters and Homeownership Centers

HUD HEADQUARTERS - NATIONAL INTERMEDIARY APPLICATIONS

National Intermediaries are to send their applications to: Kitty M. Woodley, Director, Marketing and Outreach Division, Office of Insured Single Family Housing, Department of Housing and Urban Development, 451 7th Street, S. W., Room 9166, Washington, D.C., 20410. Contact: William Feingold - telephone (202) 708-0317 (voice); and the hearing impaired may access this number by calling the Federal Information Relay Operator at 1-800-877-8339 (TTY number).

HUD HOMEOWNERSHIP CENTERS - HOUSING COUNSELING AGENCY AND STATE HOUSING FINANCE AGENCY APPLICATIONS

Housing counseling agencies and state housing finance agencies are to send their applications to:

NOTE: The title of all those listed is: Director, Marketing and Outreach Division, (Philadelphia, Atlanta, Denver, or Santa Ana) Homeownership Center, U.S. Department of Housing and Urban Development. Telephone numbers are not toll-free except as designated as a "888" or "800" number.

PHILADELPHIA HOMEOWNERSHIP CENTER	Office
Mr. Michael Perretta The Wanamaker Building 100 Penn Square East Philadelphia, PA 19107-3380 Contact: Robert Wright (215) 656-0527 e3406	Albany, Baltimore, Boston, Buffalo, Camden, Cleveland, Charleston, Cincinnati, Columbus, Detroit, Flint, Grand Rapids, Hartford, Manchester, New York, Newark Philadelphia, Pittsburgh, Providence, Richmond, District of Columbia

ATLANTA HOMEOWNERSHIP CENTER	Office
Ms. Gayle Knowlson Richard B. Russell Federal Building 75 Spring Street, S.W., Room 572 Atlanta, GA 30303-3308 Contact: Fellece Sawyer (404) 331-1263 e2675	Atlanta, Birmingham, Caribbean, Chicago and Springfield, Columbia, Coral Gables, Greensboro, Indianapolis, Jackson, Jacksonville, Knoxville, Louisville, Memphis, Nashville, Orlando, Tampa

DENVER HOMEOWNERSHIP CENTER	Office
Ms. Sheryl Miller First Interstate Tower North 633 17th Street Denver, CO 80202-3607 Contact: (303) 672-5216	Albuquerque, Denver (Casper, Fargo, Sioux Falls) Dallas, De Moines, Denver, Ft. Worth, Helena, Houston, Kansas City, Little Rock, Lubbock, Milwaukee, Minneapolis, New Orleans, Oklahoma City Omaha, Salt Lake City, San Antonio Shreveport St. Louis Tulsa

SANTA ANA HOMEOWNERSHIP CENTER	Office
James McClanahan, Acting Orange Financial Center Suite 310 721 South Parker Street Orange, California 92868 Contacts: Jerrold Mayer, Chief, x3401 Rhonda J. Rivera, Chief, x3402 1-888-827-5605 (714) 796-1200	Anchorage, Boise, Fresno, Honolulu, Las Vegas and Reno, Los Angeles, Phoenix, Portland, Sacramento, San Diego, San Francisco, Santa Ana, Seattle, Spokane, Tucson

Part II: The Fair Housing Initiatives Program (FHIP)

Application Instructions

Application Submission

- Complete a separate application for each FHIP Initiative and Component for which you are requesting funding.

- Submit an **original and two (2) copies** of each application.
  Place a copy of the SF-424, Application for Federal Assistance, and attached Matrix showing the program(s) and/or FHIP initiative/component on top of the original application.

- Submit applications to:

  FHIP/FHAP Support Division,
  Fair Housing and Equal Opportunity, Room 5234
  451 Seventh Street, S.W., Washington, DC 20410-2000

  On the face of the envelope, show the following items:
  Application in response to RFA Number FR-4340
  FAIR HOUSING INITIATIVES PROGRAM, _____________ INITIATIVE
  Name, address and telephone number including area code of the applicant.

- **All FHIP applications are to be submitted to the above address by June 1, 1998.**

- Number each page of your application, including attachments, sequentially and insert it in the order designated in the Checklist.

- **All applications must be compiled in a fashion to permit copying. Do not submit applications in binders or use tabs. Do not include brochures, manuals, newsletters, video tapes or other presentations.**

- Legibility, clarity and completeness are important and essential.

- Applicants will be limited to 10 pages of narrative responses for each Factors. This does not include forms or documents which are required under each criteria. Brochures, news articles or other unrequested documents included in the application will not be considered. Applicants that exceed the page limit for any factors will not be evaluated on any pages in excess of the limit. Failure to provide narrative responses to the five criteria will result in an application being deemed ineligible. All forms and other documents which are requested under the Selection Criteria and other forms/certifications and which are not included within the page limitation are indicated *in italics*.

ELIGIBILITY CHART					
Initiative/Component	Allocation Amount Available	Applicant Eligibility	Eligible Activities	Project Period	Award Caps
Private Enforcement--General Component (Multi-Year)	$7,800,000	QFHOs and FHOs. (Recipients of multi-year PEI awards based upon applications submitted under RFA 95-1, 96-1 and 97-1 may not apply for multi-year PEI funds made available under this NOFA unless the grant expires by March 31, 1999.	See NOFA in this Kit No more than 5% of funds can be used to conduct education and outreach to promote awareness of project services.	24 months	$350,000
Private Enforcement--Joint Enforcement Projects	$1,500,000	QFHOs and FHOs. Must include detailed letters of commitment from all FHAP agencies and traditional civil rights organizations identified as part of the JEP.	See NOFA in this Kit Note: No more than 5% of funds can be used to conduct education and outreach to promote awareness of project services.	18 months	$300,000
Education and Outreach--Regional, Local and Community-Based	$1,000,000	State or local governments, QFHOs, FHOs, FHAP agencies and Public or private non-profit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices.	See NOFA in this Kit	18 months	$100,000
Fair Housing Organizations--Continued Development of Existing Organizations/ Organizations Serving Persons with Disabilities	$800,000	QFHOs, FHOs and Non-profit groups organizing to build their capacity to provide fair housing enforcement. Disability advocacy groups which are experienced in providing services to persons with a broad range of disabilities and demonstrate actual involvement of persons with disabilities throughout their activities, including on-staff and board levels may apply to carry out activities that will expand their organization's capacity to provide the full-range of fair housing enforcement services to its clientele;	See NOFA in this Kit No more than 5% of funds can be used to conduct education and outreach to promote awareness of project services.	18 months	$200,000*

		OR Fair Housing enforcement organizations may apply to expand their capacity to provide fair housing services to persons with disabilities through the utilization of subcontracts with disability advocacy groups.			
Fair Housing Organizations-Establishment of New Organizations	$400,000	QFHOs	See NOFA in this Kit No more than 5% of funds can be used to conduct education and outreach to promote awareness of project services.	24 to 36 months	$400,000

Qualified Fair Housing Enforcement Organization (QFHO) and Fair Housing Enforcement Organization (FHO) are defined in the program regulation at 24 CFR §125.103.

* Funding under the Fair Housing Organizations Initiative, Continued Development Component may not be used to provide more than 50 percent of the operating budget of a recipient organization for any one year. The NOFA requires each applicant under this component to submit an operating budget for the 18 months for which funding is sought.

CHECKLIST FOR COMPLETENESS OF APPLICATIONS

Use this checklist to ensure that your application includes all required items.

CHECK WHEN INCLUDED	RESPONSE ITEM
	Copy of SF-424 **(Place a copy of the SF-424 and attached matrix on top of application package. This should NOT be the original.)**
	Cover Page
	Checklist
	Statement of Eligibility
	Project Abstract Outlining Project Activities
	FACTOR #1 RESPONSE
	FACTOR #2 RESPONSE
	FACTOR #3 RESPONSE
	PROPOSED STATEMENT OF WORK
	PROPOSED BUDGET, NARRATIVE AND SF 424A
	FACTOR #4 RESPONSE
	FACTOR #5 RESPONSE
	RESPONSES TO ADDITIONAL REQUIREMENTS FOR SPECIFIC INITIATIVE/COMPONENT
APPLICATION FORMS AND CERTIFICATIONS	
	Standard Form 424 Application for Federal Assistance and Matrix
	Standard Form 424B Standard Assurances - Nonconstruction Programs
	HUD-2880 Applicant/Recipient Disclosure/Update Report
	Certification of Payments to Influence Federal Transactions
	OMB SF-LLL Disclosure of Lobbying Activities
	Certification of Drug Free Workplace
	EZ/EC Certification, if applicable
	Certification of Consistency with Consolidated Plan
	Certification Regarding Debarment and Suspension
	Listing of Current or Pending Financial Agreements
	Acknowledgement of Application Receipt

STATEMENT OF ELIGIBILITY

Attach the Completed Statement of Eligibility required for each Initiative/Component for which you are applying. (You may attach additional pages if necessary.)

++

STATEMENT OF ELIGIBILITY

EDUCATION AND OUTREACH INITIATIVE
REGIONAL, LOCAL AND COMMUNITY-BASED PROGRAMS

1) Organizational Status

Is the applicant for this project one of the following eligible applicants:

(A) State or local governments;

(B) Qualified fair housing enforcement organizations (QFHOs);

(C) Fair housing enforcement organizations (FHOs)

(D) Public or private non-profit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices; and

(E) Fair Housing Assistance Program (FHAP) Agencies--State and local agencies funded by the Fair Housing Assistance Program (FHAP).

☐ **YES** ☐ **NO**

STATEMENT OF ELIGIBILITY

PRIVATE ENFORCEMENT INITIATIVE

1) Organizational Status

Is the applicant for this project a private, tax-exempt, nonprofit, charitable organization? (Applicant should have documentation available to support this response and may be asked to provide it to HUD.)

☐ **YES** ☐ **NO**

2) Briefly describe the applicant's experience directly related to each of the following areas of enforcement activities that your organization conducted for at least one year (during the past two year period). It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for one year. The applicant may aggregate its experience in each activity over the two-year period preceding its application to meet the one-year qualification period requirement. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)

a) Number of complaints received and processed, by basis (e.g. race, national origin, disability) and issue (e.g. rental, sales, lending).

b) Description of applicant's testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.

c) Description of investigative experience, apart from testing, conducted by applicant.

d) Summary of complaint referrals for investigation or other enforcement actions.

e) Summary of complaint outcome, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.

STATEMENT OF ELIGIBILITY

FAIR HOUSING ORGANIZATIONS INITIATIVE
ESTABLISHING NEW ORGANIZATIONS COMPONENT

1) Organizational Status

Is the applicant for this project a private, tax-exempt, nonprofit, charitable organization? (Applicant should have documentation available to support this response and may be asked to provide it to HUD.)

☐ **YES** ☐ **NO**

2) Briefly describe the applicant's experience directly related to each of the following areas of enforcement activities that your organization conducted for at least TWO YEARS (during the past three year period). It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for TWO years. The applicant may aggregate its experience in each activity over the three-year period preceding its application to meet the TWO-YEAR qualification period requirement. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)

a) Number of complaints received and processed, by basis (e.g. race, national origin, disability) and issue (e.g. rental, sales, lending).

b) Description of applicant's testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.

c) Description of investigative experience, apart from testing, conducted by applicant.

d) Summary of complaint referrals for investigation or other enforcement actions.

e) Summary of complaint outcome, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.

STATEMENT OF ELIGIBILITY

FAIR HOUSING ORGANIZATIONS INITIATIVE
CONTINUED DEVELOPMENT COMPONENT

1) **Organizational Status**

Is the applicant for this project a private, tax-exempt, nonprofit, charitable organization? (Applicant should have documentation available to support this response and may be asked to provide it to HUD.)

☐ **YES** ☐ **NO**

2) **Is the applicant for this project a Qualified Fair Housing Organization (QFHO) or Fair Housing Organization (FHO)?**

☐ **QFHO** ☐ **FHO** ☐ **OTHER**

If "other" is marked above, go to question 4.

3) **Briefly describe the applicant's experience directly related to each of the following areas of enforcement activities that your organization recently conducted. Responses should include both narrative and quantitative data. (Do not limit this description to FHIP funded enforcement activities.)**

   a) **Number of complaints received and processed, by basis (e.g. race, national origin, disability) and issue (e.g. rental, sales, lending).**

   b) **Description of applicant's testing program, including number of tests conducted (both individual and systemic) and number of tests by basis and issue.**

   c) **Description of investigative experience, apart from testing, conducted by applicant.**

   d) **Summary of complaint referrals for investigation or other enforcement actions.**

   e) **Summary of complaint outcome, including judicial and administrative findings; number of pending complaints; and number of awards and amount to plaintiffs of monetary/non-monetary relief.**

4) **Describe applicant's eligibility as a nonprofit group organizing to build its capacity to provide fair housing enforcement. Description should include such things as protected groups to be served and fair housing enforcement activities to be carried out.**

5) **The applicant can be a disability advocacy group or a fair housing enforcement organization in partnership with a disability advocacy group. For either situation, describe the disability advocacy group's current involvement in assisting persons with disabilities in exercising or protecting their fair housing and/or other civil rights, including activities that the organization conducted for at least the past year. Include both narrative and quantitative data. Description must show experience in providing services to a broad range of disabilities including physical, cognitive and psychiatric/mental disabilities.**

6) **Describe the disability advocacy group's actual involvement of persons with disabilities throughout their activities, including staff and board levels.**

PROJECT ABSTRACT

Provide a brief abstract that summarizes the proposed project. The abstract should not exceed two or three paragraphs in length.

RESPONSES TO FHIP RATING FACTORS

Complete all the information requested in the following five rating factors. HUD will evaluate and rank your application according to these Rating Factors. Therefore, it is very important that you carefully review and respond to each Factor.

Provide a brief response to Rating Factors 1 through 5. Applicants are limited to 10 pages of narrative responses for each of the five rating factors (this does not include forms or documents which are required under each criterion). Any pages in excess of 10 will be removed from the package prior to evaluation. Manuals, brochures, news articles or unrequested documents included in the application will **not** be considered in the evaluation process.

For Factors 1 and 5 applicants have the choice of preparing a single response that is responsive to all applications submitted or an individual response tailored to each application that is submitted. If a single response is prepared, include a copy of the response in all applications submitted. In Factor 5, discuss your involvement in the Consolidated Plan and other community involvement not only as it relates to your proposed activities but with regard to your total involvement in the community.

Failure to provide narrative responses to each of the five Factors will result in the application being deemed ineligible.

All forms and other documents which are requested under the Rating Factors and other Certification and Standard Forms which are not included within the 10 page limitation are indicated in *italics*.

The response to each Factor should be clear, concise and complete. Lengthy responses do not necessarily result in favorable funding determinations.

IMPORTANT NOTE

All activities and materials funded by FHIP must be reasonably accessible to persons with disabilities.

FACTOR #1

Capacity of the Applicant and Relevant Organizational Experience (20 points)

The corresponding rating factor can be found in both program sections of the NOFA in Part IV of this application kit.

One Program. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative description for the Housing Counseling Program, or a separate narrative description for the FHIP Component for which you are applying. **Your narrative should not exceed 10 pages.**

Both Programs or Multiple FHIP Components. If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components, you have two options. The first option is to write a combined narrative description so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s). Or, if you are submitting an application for multiple FHIP Components only, you can write a combined narrative describing all Components.

When you submit your separate applications for both programs or multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factor #1. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Each description (within the combined narrative) should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if more than one) in response to this rating factor. **Each narrative should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

RESPONSE:

A. Capacity of Applicant Staff (10 points)

(1) a. Describe the knowledge, and recent and relevant experience of the proposed project director and staff (including the day-to-day program manager, consultants and contractors) in planning and managing programs for which funding is being requested. Describe the applicant's readiness and ability to immediately begin the proposed work plan, or for FHIP, on the date specified in the Statement of Work. For any personnel, including subcontractors, not yet hired or selected, describe the qualifications (in terms of required knowledge and experience) to be considered in the selection and how quickly the selection process will be completed.

For each identified employee and consultant/subcontractor to be allocated to the project, identify the titles, and describe the proposed number of staff hours and the roles to be performed.

B. Applicant's experience in managing programs (10 points)

(2) a. **Past HUD awards.** Describe the applicant's ability to attain measurable progress in the implementation of its most recent HUD funded project(s). Describe the activity(ies) undertaken, achievements and results, and the method of assessing project progress, including information on expenditures. Include in the description any problems or delays encountered during project implementation.

For FHIP, in addition, identify the HUD grant number for each project (if more than one) and include a copy of your most recent Standard Form (SF) 269a, Financial Status Report, for each project. HUD will consider its progress reviews for current grants, closeout assessments on grants closed within 18 months of the NOFA deadline, and any other evidence that documents a grantee's failure to comply with the grant award provisions under past FHIP awards in evaluating this factor.

For the Housing Counseling Program, in addition, submit a copy of the Final Report (which includes the Fiscal Year Activity Report, HUD-9902) for your last HUD grant. HUD will review any documentation of an applicant's failure to comply with the grant award provisions in effect for any past awards. If an applicant was cited as having a negative finding for which corrective action was required by HUD, include a copy of the response to HUD outlining the steps to be taken to correct the finding(s), and describe the steps taken to date.

b. If the applicant **has not received HUD funding** in the past, describe the applicant's ability to attain measurable progress in managing projects, and carrying out grant management responsibilities for programs similar in scope or nature directly relevant to the work activities proposed. Describe the activity(ies) undertaken, achievements and results, and the method of assessing project progress. Include in the description any problems or delays encountered during project implementation.

FACTOR #2

<u>Needs/Extent of the Problem</u> (20 points)

The corresponding rating factor can be found in the FHIP section of the NOFA in this kit.

RESPONSE:

Submit a Statement of Need that includes the following:

A. Statistics and analysis documenting need and urgency (10 points)

Explain the need for the project activities in the target area, including a focus on the targeted groups of new immigrant and/or other underserved populations.

Document the level of need and the urgency of meeting the need using statistics and analyses contained in a data source(s) that is sound and reliable. Charts, tables, Community 2020 software mapping and other graphic presentations of data may be used to supplement the narrative.

To the extent that your proposed activities are covered under the scope of your community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) you should identify these documents. The Department will review more favorably those applicants who used these documents to identify need, when applicable.

If the need you identify is not a priority in your jurisdiction's Consolidated Plan or does not further a goal/objective of the plan, explain why the activities are needed and why other sources had to be used. Use whatever data source is more applicable to your proposed activities, or if you wish to supplement the information contained in these documents, use other reliable data sources to identify the level of need and the urgency in meeting the need. Types of other data sources include, but are not limited to, HUD reports and analyses, relevant economic and/or demographic data including indices of segregation in areas by race or national origin, government or foundation reports and studies, news articles, and other information which relate to the project activities.

B. Applicability of need to the area where activities will be targeted (10 points)

Explain how the documented need is specific to the area where the project activity will be carried out. Specific attention must be paid to documenting need as it applies to the area where activities will be targeted, rather than the entire locality or State.

If data sources are not available for the specific target area, describe how another source is an appropriate document for identifying the need.

If the target area is an entire locality or State, then documenting need at this level is appropriate.

Explain how specific community or neighborhood needs can be resolved through the activities proposed. Discuss how you took into account existing and planned efforts of government agencies, community-based organizations, faith-based institutions, for-profit firms and other entities to address such needs in the community(ies) to be served, how the proposed program compliments or supplements existing efforts and why additional funds are being requested.

FACTOR #3

<u>Soundness of Approach</u>. (40 points)

The corresponding rating factor can be found in the FHIP section of the NOFA in Part IV of this application kit.

RESPONSE:

This criterion addresses the quality and cost-effectiveness of the applicant's proposed work plan. There must be a clear relationship between the project activities, community needs and the purpose of the program funding for the applicant to receive points for this factor.

A. Referral of enforcement proposals and complaints (15 points)

Applicants must describe the proposed activities that specifically relate to complaints being referred to HUD during the period of performance of the grant and explain how their proposed activities will contribute to referral of enforcement proposals to HUD and the annual outcomes expected. Enforcement proposals means well-developed information which could be considered to be timely, jurisdictional, potential complaints under the Fair Housing Act and which can reasonably be expected to become an enforcement action if an impartial investigation finds evidence supporting the allegations and the case proceeds to a resolution with HUD involvement. Examples include:

(1) Allegations that are supported by evidence that meet the requirements for a filed complaint under the Fair Housing Act, including prima facie evidence, with or without related testing evidence;

(2) Results of testing or audits demonstrating potential housing discrimination;

(3) Well-developed analysis of data including Home Mortgage Disclosure Act (HMDA)/CRA Analysis/Census data, current studies of residential segregation, or other similar documentation supporting allegations of discrimination; and

(4) Referrals of complaints to HUD on behalf of individuals or groups other than the grant recipient.

Applicants must describe the extent that their past activities have resulted in successful enforcement proposals being referred to HUD and the outcome of such referrals.

All PEI and FHOI applications must provide a basis for the specific activities relating to enforcement proposal referrals to HUD and the annual outcomes expected that are described in the Statement of Work.

All EOI applications must provide a basis for the specific activities relating to the referral of individuals with fair housing complaints to HUD, the procedures for filing complaints of discrimination, and outline the projected referrals to HUD and the annual outcomes expected in the proposed Statement of Work.

B. Statement of Work (15 points)

1. Prepare a statement of work--using the format provided, which lists the major objectives activities and attaches a chart that details the specific tasks/deliverables and the timeframes for completion/submission for implementation of the project. The Statement of Work should show a proposed start date no later than October 1, 1998. Both a sample and a blank Statement of Work are attached. ***Be sure to include those specific administrative and project tasks included in the blank Statement of Work format.***

The Statement of Work must show the geographic areas to be served. All specific activities necessary to complete the proposed project must be included in the task listing. Completeness of identification of specific tasks also will be considered in judging the management approach.

Include quantitative data for activities to be done more than once, e.g. testing or educational seminars. Quantities should indicate a minimum number which you propose to perform and match the costs proposed in the budget. Do not use indefinite quantities such as "up to 100 complaints". For quantities regarding tests, which include several tester visits, clarify how you are defining the numbers. For example, "Conduct 100 tests" can mean to conduct 300 tester visits in 100 sandwich tests or to conduct 100 tester visits with 100 testers who request permission to modify a unit to make it accessible. A tester visit is not a test in situations where at least one other person is needed as a control. However, the number of tester visits may vary depending on the circumstances. Please be specific and identify both the number of tests and the proposed number of tester visits proposed for the task.

Proposed Deliverables should be adequate for HUD to assess both the quality and quantity of the work performed under each task. Where lists are included, if names should be confidential, such as names of testers, include a description to show sex, race, national ori2fairgin, location or other descriptive factors needed to assess the task.

The "Delivery by" column in the SOW shows the date by which you intend to submit completed work for each task. Reasonableness of dates for implementation of each proposed activity will be considered in judging the management approach.

2. Describe the immediate benefits of the project and indicators by which the benefits will be measured.

3. Describe the extent to which the project activities will affirmatively further fair housing (AFFH). The applicant can best demonstrate its commitment to affirmatively further fair housing by describing how proposed activities will assist the jurisdiction in overcoming impediments to fair housing choice identified in the jurisdiction's AI (Analysis of Impediments to Fair Housing Choice), which is a component of the jurisdiction's Consolidated Plan, or other planning document that addresses fair housing issues. Additional examples may be obtained from Chapter 5 of the "Fair Housing Planning Guide, Vol. 1" which may be ordered from HUD's Fair Housing Information Clearinghouse by calling (800) 343-3442 (Voice) or (800) 290-1617 (TTY).

4. Special Coordination Requirements

The Additional Requirements at the end of these five Factors for Award include written certifications/documentation requested for specific Initiatives. Please make sure your application includes all applicable documentation pursuant to your proposed activities.

Assessment of the SOW will include

(1) how relevant the SOW is to the needs identified in Factor 2 and how well the SOW activities meet those needs, including the extent to which the applicant is providing geographic coverage, specific protected class focus, as well as persons traditionally underserved. Efforts to increase community awareness in a culturally sensitive manner through education and outreach efforts will also be evaluated;

(ii) Provide clarity with regard to the specific sequential tasks and subtasks to be performed and the feasibility that tasks can be completed within the grant period;

(iii) Describe immediate benefits of the project and indicators by which the benefits will be measured;

(iv) Provide for proposed tasks and sub-tasks that clearly provide technically competent methodologies for conducting the work to be performed;

(v) Describe the extent to which the proposed design and size of project or activity is appropriate to the achievement of program funding purposes set forth in this NOFA;

(vi) Identify specific numbers of quantifiable end products and program improvements the applicant aims to deliver by the end of the award agreement period as a result of the work performed;

and

(vii) Describe the extent to which the project activities will affirmatively further fair housing (AFFH). The applicant can best demonstrate its commitment to affirmatively further fair housing by describing how proposed activities will assist the jurisdiction in overcoming impediments to fair housing choice identified in the jurisdiction's AI (Analysis of Impediments to fair Housing Choice), which is a component of the jurisdiction's Consolidated Plan, or other planning document that addresses fair housing issues. Additional examples may be obtained from Chapter 5 of the "Fair Housing Planning Guide, Vol. 1" which may be ordered from HUD's Fair Housing Information Clearinghouse by calling (800) 343-3442 (Voice) or (800) 290-1617 (TTY).

C. Budget and Financial Controls (10 points)

*1. Prepare the two budget forms following this factor (Budget Information - Non-Construction Programs **and** Budget Narrative Work Plan). These budget forms must show the total cost of the project and indicate other sources of funds that will be used for the project. Your budget must include $3,000 for 18 month projects and $6,000 for multi-year projects for travel costs for training sponsored or approved by the Department. While the costs are based only on estimates, the budget narrative workplan must include information on individual elements of the cost estimates. The estimated cost elements may be based upon information such as quotes obtained from various vendors or they may rely on historical data. Budget requests must be supported by back-up documentation which must be ready for submission if requested subsequent to notification of award.*

Generally, estimated costs for high-cost items, consultants and subcontractors should be supported by bids from at least 3 sources. Where there are travel costs for consultants and subcontractors, the applicant should show that it unsuccessfully searched for local consultants and subcontractors or that the travel costs for out-of- town contractors combined with rates and fees charged do not exceed amounts for rates and fees charged by local consultants and subcontractors.

2. All PEI-JEP application budgets should include any costs related to subcontract(s) with FHAP agencies and traditional civil rights organizations which account for activities related to the subcontractor's role in the project. A separate detailed budget for each subcontract should be included in the application.

(A sample Budget Information - Non-Construction Programs form and a sample Budget Narrative Work Plan are included, as well as blank forms.) Applicants should ensure that the amounts reflected for each budget line item category for both Federal and In-Kind costs are transferred to the appropriate areas of the SF-424-A ***(NOTE: For applicants submitting a multi-year project proposal, a single budget must be prepared which includes the total costs for the budget over the proposed project period; however, the applicant should retain individual yearly budgets for future reference purposes.)***

Check that there is consistency between the Budget and the Statement of Work and among the Budget, the SF 424 and SF 424A.

3. Provide a copy of the most recent financial audit as well as a certification from an Independent Public Accountant or the appropriate government auditor, stating the financial management system employed by the applicant meets the prescribed standards of fund control and accountability required by 24 CFR 84.21 for nonprofits or 24 CFR 85.20 for State and local governments. If any audit in the last three years showed any problems or major financial audit findings, list the problems and describe how the findings were resolved.

Assessment of the Budget will include the following:

(i) The quality, thoroughness and reasonableness of the cost estimates provided;

(ii) The extent to which the program is cost effective in achieving the anticipated results of the proposed activities as well as in achieving significant community impact.

In addition, this subfactor will assess the extent to which the applicant demonstrates capability in handling financial resources with adequate financial control procedures and accounting procedures. Considerations will include findings identified in their most recent audits, internal consistency in the application of numeric quantities, accuracy of mathematical calculations and other available information on financial management capability.

EXPLANATORY DOCUMENTS PROVIDED

- Sample Statement of Work
- *Blank Statement of Work format*
- Sample SF-424A Budget Information-Non-Construction Programs
- *Blank SF-424A Budget Information-Non-Construction Programs form*
- Instructions for the SF-424A
- Sample Budget Narrative Work Plan
- *Blank Budget Narrative Work Plan format*

NOTE: REFER TO THE LIST OF ELIGIBLE AND INELIGIBLE ACTIVITIES IN THE NOFA FOR THE INITIATIVE/COMPONENT FOR WHICH YOU ARE APPLYING IN PREPARING THE STATEMENT OF WORK. ADDRESS NEEDS IDENTIFIED IN FACTOR 2. INSERT MORE LINES AS NECESSARY IN THE SOW FORMAT.

ANYSTATE FAIR HOUSING COUNCIL STATEMENT OF WORK FOR ANYSTATE FAIR HOUSING COUNCIL

The recipient, ANYSTATE FAIR HOUSING COUNCIL, agrees to undertake the following activities in accordance with its 1998 application for funding under the Private Enforcement Initiative for a twenty-four-month project commencing October 1, 1998. The activities will occur statewide. The audits will be in the state's three major metropolitan areas.

- Provide Fair Housing Enforcement training to at least 30 staff, volunteers and board members.

- Conduct Outreach and Education targeted at victims of discrimination with special emphasis on mortgage lending and sales problems.

- Develop and distribute fair housing materials to at least 100 community groups to enable them to more effectively address fair housing issues.

- Conduct a Statewide Fair Housing Summit for at least 75 persons from fair housing related agencies to coordinate activities and resources.

- Recruit and train at least 20 additional testers throughout the state in fair housing, including mortgage lending testing.

- Perform 200 paired tests, conducting at least 400 site visits, for administrative and judicial enforcement based on complaints received and agency-identified targets. Conduct other investigative support to secure information such as property searches, document reviews, canvassing and witness interviews. Where there is evidence of different treatment, refer complainant to HUD, State or local enforcement agency or private attorney.

- Perform systemic testing of mortgage lenders and real estate firms. Identify sites where there may be region-wide discrimination and commence systemic testing. These tests will be included in the total of 200 paired tests for the overall project.

- Refer at least 100 enforcement proposals to HUD. This means well-developed, timely, jurisdictional, potential complaints under the Fair Housing Act.

Press releases and any other product intended to be disseminated to the public must first be reviewed by the GTR for approval and acceptance. Subcontracts for work under this grant must also be approved by the GTR prior to execution.

No recipient of assistance under the Fair Housing Initiatives Program may use any funds provided by the Department for the payment of expenses in connection with litigation against the United States. None of the funds may be used to investigate or prosecute under the Fair Housing Act any otherwise lawful activity engaged in by one or more persons, including the filing or maintaining of a nonfrivolous legal action, that is engaged in solely for the purpose of achieving or preventing action by a government official or entity, or a court of competent jurisdiction.

Recipients of funds under this program must conduct audits in accordance with 24 CFR part 44 or 24 CFR part 45, as appropriate.

Submit two copies of all final products (with diskette, where feasible) to the Fair Housing Information Clearinghouse (FHIC), P.O. Box 9146, McLean, VA 22102, 1-800-343-3442 or TTY 1-800-290-1617.

The recipient will provide the following work products on the dates specified below to the GTR and GTM. Quarterly means within 30 days after the end of every three month period commencing three months after the effective date of the award.

ADMINISTRATIVE TASKS				
TASKS		DELIVERABLES	DELIVERY BY	DELIVERY POINT
1.	Assign to Project: Project Coordinator, Bookkeeper, Secretary	Names of persons assigned and number of hours to be spent on project. Resumes of persons not included in Application.	45 days	GTR/GTM
2.	Recruit Fair Housing Specialist and Tester Coordinator	Copy of announcement; Plan for affirmative recruitment with list of recruitment sources	45 days	GTR/GTM
3.	Hire Fair Housing Specialist and Tester Coordinator	Name, date of hire and Resume of persons hired	90 days	GTR/GTM
4.	Retain consultant to facilitate Fair Housing Summit	Name and resume of consultant; Copy of service agreement	90 days	GTR/GTM
5.	Subcontract for training of attorneys	Copy of draft and final contract(s)	90 days	GTR/GTM
6.	Complete HUD-2880 Disclosure Statement	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report.	When changes occur	GTR/GTM
7.	Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities	Submit SF-269A and Copy of Written Report	Quarterly	GTR/GTM
8.	Complete Annual Report on First Year Activities	Submit Annual Report	395 days	GTR/GTM
9.	Voucher for Payment	Submit payment request to LOCCS	Per Payment Schedule	GTR/GTM
10.	Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements	Submit Listing for Recipient and for any contractors and/or subrecipients	45 days and At end of Grant	GTR/GTM
11.	Prepare and Submit Draft of Final Report	Submit Draft of Report. Report Summary should include: Results from Education and Outreach activities; Number of Complaints Received; Basis of Complaints; Number of Tests Conducted; Number of Complaints Filed with HUD, State or local Fair Housing Agency, Department of Justice or Private Litigator; and Types of Relief/Results.	At end of 23rd month.	GTR/GTM

ADMINISTRATIVE TASKS				
	TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
12.	Complete Final Report and Provide Copies of All Final Products Not Previously Submitted	Submit a copy of the Final Report and All Final Products not previously submitted to GTR; a copy of Final Report and All Final Products to GTM;	At end of 24th month (grantee has up to 90 days after end to submit final report)	GTR/GTM
13.	Submit 2 copies of the Final Report and all Final Products (with diskette, where feasible) to Fair Housing Information Clearinghouse (FHIC).	Copy of FHIC database entry sheet(s) or detailed description of items submitted.	At end of Grant Term	GTR/GTM/FHIC

<u>KEY PERSONNEL</u>

Executive Director - Josephine Right
Project Coordinator - Jose Derecho
Fair Housing Specialist - To be hired
Testing Coordinator - To be hired

PROGRAM TASKS				
	TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
14.	Contact the Fair Housing Information Clearinghouse and/or other information sources to obtain any appropriate materials prior to implementation of project or development of new materials	List of materials requested	90 days	GTR/GTM. Submit one copy of **all final products** to the Fair Housing Information Clearinghouse
15.	Review/refine referral process to refer potential victims to HUD, DOJ, a state or local agency, or a private attorney	Copy of Referral Process. All audit-based enforcement actions should be referred to HUD.	45 days	GTR/GTM

PROGRAM TASKS				
TASKS		DELIVERABLES	DELIVERY BY	DELIVERY POINT
16.	Intake and process complaints, including testing and referral. Refer at least 100 enforcement proposals to HUD. Complete Enforcement Log which details complaints received; dates; the protected basis of these complaints; the issue, test type, and number of tests utilized in the investigation of each allegation; the respondent type and testing results; the time for case processing, including administrative or judicial proceedings; the cost of testing activities and case processing; to whom the case was referred; and resolution/type of relief sought and received.	Submit Enforcement Log	Quarterly	GTR/GTM
17.	Determine fair housing training needed by staff, volunteers and board members and provide training or register for appropriate courses or conferences for at least 30 persons	Training schedule with name, date and place of course and presenting organization; Copy of training agenda and materials; date(s) of training; list of persons trained with name and position	Quarterly	GTR/GTM
18.	Conduct education and outreach to community with emphasis on Fair Lending and Sales	Copy of outreach plan; Copy of materials used; and Dates and places of outreach	90 days	GTR/GTM
19.	Develop fair housing outreach materials for distribution to community groups	Copy of materials and distribution letter	90 days	GTR/GTM
20.	Distribute materials to at least 100 groups	Copy of mailing list	90 days	GTR/GTM
21.	Set date, location for state-wide fair housing summit	Date and location	90 days	GTR/GTM
22.	Develop format and agenda for summit	Copy of draft format, agenda and materials	90 days	GTR/GTM
23.	Publicize summit to secure attendees	Copy of publicity materials and list of places publicized; Copy of registration letter and mailing list	180 days	GTR/GTM
24.	Conduct summit for at least 75 persons and evaluate success	List of attendees with name and organization; Copy of agenda, materials used and evaluation.	270 days	GTR/GTM
25.	Publicize results of summit	Copy of draft report for GTR approval. Copy of final report and distribution list.	270 days	GTR/GTM

PROGRAM TASKS				
	TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
26.	Recruit 20 new testers*	Copy of recruitment plan and materials to be used	90 days and then Quarterly	GTR/GTM
27.	Develop testing methodology for use in training testers and in conducting tests	Copy of testing methodology to include targeting, tester profile development and analysis of results, for GTR approval. Approval is required prior to use in training and conducting tests.	180 days	GTR/GTM
28.	Train 20 new testers for rental and sales tests	Copy of draft training materials for GTR approval, copy of final training materials, dates of training and list of testers trained by sex, race, national origin, location	180 days and then Quarterly	GTR/GTM
29.	Train all testers and new staff for mortgage lending and sales testing	Copy of draft training materials for GTR approval, copy of final training materials, dates of training and list of testers trained by sex, race, national origin, location	180 days and then Quarterly	GTR/GTM
30.	Conduct 200 paired tests, including 40 fair lending or sales tests	Reports of each test and data in enforcement log	Quarterly	GTR/GTM
31.	Conduct additional investigation where appropriate, including: property searches; document reviews; location of offices; canvassing; witness interviews, etc.	Quarterly reports of investigations - combine with report above	Quarterly	GTR/GTM
32.	Evaluate test results and revise tester profiles and/or any other aspects needing change	Copy of evaluation	180 days	GTR/GTM
33.	Conduct tester training refresher course	Copy of agenda, materials used; list of trainees by sex, race, nat'l origin and date of prior training	180 & 540 days	GTR/GTM

*Testers in testing activities funded with FHIP funds must not have prior felony convictions or convictions of crimes involving fraud or perjury, and they must receive training or be experienced in testing procedures and techniques. Testers and the organizations conducting tests, and the employees and agents of these organizations may not:
(1) Have an economic interest in the outcome of the test, without prejudice to the right of any person or entity to recover damages for any cognizable injury;
(2) Be a relative of any party in a case;
(3) Have had any employment or other affiliation, within one year, with the person or organization to be tested; or
(4) Be a licensed competitor of the person or organization to be tested in the listing, rental, sale, or financing of real estate.

INCLUDE **ALL** TASKS SHOWN ON THIS FORM.

STATEMENT OF WORK FOR____________________________

The recipient, , agrees to undertake the following activities in accordance with its 1998 application for funding under the Initiative-- Component for a -month project commencing ,1998 in the geographic area of .

-
-
-
-
-
-
-
-

Press releases and any other product intended to be disseminated to the public must first be reviewed by the GTR for approval and acceptance. Subcontracts for work under this grant must also be approved by the Government Technical Representative (GTR) prior to execution.

No recipient of assistance under the Fair Housing Initiatives Program may use any funds provided by the Department for the payment of expenses in connection with litigation against the United States. None of the funds may be used to investigate or prosecute under the Fair Housing Act any otherwise lawful activity engaged in by one or more persons, including the filing or maintaining of a nonfrivolous legal action, that is engaged in solely for the purpose of achieving or preventing action by a government official or entity, or a court of competent jurisdiction.

Recipients of funds under this program must conduct audits in accordance with 24 CFR Part 44 or 24 CFR Part 45, as appropriate.

Submit two copies of all final products (with diskette, where feasible) to the Fair Housing Information Clearinghouse (FHIC), P.O. Box 9146, McLean, VA 22102, 1-800-343-3442 or TTY 1-800-290-1617.

The recipient will provide the following work products on the dates specified below to the GTR and GTM. Quarterly means within 30 days of the end of every three month period commencing three months after the effective date of the award.

ADMINISTRATIVE TASKS				
TASKS		DELIVERABLES	DELIVERY BY	DELIVERY POINT
1.				GTR/GTM
2.				GTR/GTM
3.				GTR/GTM
4.				GTR/GTM
5.				GTR/GTM
6.	Complete HUD-2880 Disclosure Statements	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report	When changes occur	GTR/GTM
7.	Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities	Submit SF-269A and Copy of Written Report	Quarterly	GTR/GTM
8.	Voucher for Payment	Submit payment request to LOCCS	Per Payment Schedule	GTR/GTM
9.	Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements	Submit Listing for Recipient and any contractors	45 Days and At end of Grant	GTR/GTM
10.	Prepare summary of First Year (24 month grants)	Submit summary of first year accomplishments.	395 days	GTR/GTM

ADMINISTRATIVE TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
11. Prepare and Submit Draft of Final Report	Submit Draft of Report. Report Summary should include objectives, accomplishments and results. Complaint and testing activities should summarize data on complaints received and tests conducted by basis and issue and outcomes including Number of Complaints Filed with HUD, State or local Fair Housing Agency, Department of Justice or PrivateLitigator; and Types of Relief/Results.	One month before end of grant term.	GTR/GTM
12. Complete Final Report and Provide Copies of All Final Products Not Previously Submitted	Submit a copy of the Final Report and All Final Products not previously submitted toGTR and GTM.	Within 90 days after end of grant term.	GTR/GTM
13. Submit 2 copies of Final Report and all Final Program Deliverables produced under the Grant (with diskette, where feasible) to Fair Housing Information Clearinghouse.	Deliverables and database entry sheet(s) toFHIC Copy of FHIC database entry sheet(s) or detailed description of items submitted toGTR and GTM	Within 90 days after end of grant term.	GTR/GTM/FHIC

<u>KEY PERSONNEL</u>

<u>Title</u> <u>Name</u>

PROGRAM TASKS				
TASKS		DELIVERABLES	DELIVERY BY	DELIVERY POINT
14.	Contact the Fair Housing Information Clearinghouse and/or other information sources to obtain any appropriate materials prior to development of new materials	List of materials requested	90 days	GTR/GTM. Submit one copy of **all final products** to the Fair Housing Information Clearinghouse
15.	Review/refine referral process to refer potential victims to HUD, DOJ, a state or local agency, or a private attorney	Copy of Referral Process. All audit-based enforcement actions should be referred to HUD.	45 days	GTR/GTM
16.	Intake and process complaints, including testing and referral. Refer at least ____ enforcement proposals to HUD. Complete Enforcement Log which details complaints received; dates; the protected basis of these complaints; the issue, test type, and number of tests utilized in the investigation of each allegation; the respondent type and testing results; the time for case processing, including administrative or judicial proceedings; the cost of testing activities and case processing; to whom the case was referred; and resolution/type of relief sought and received. (PEI and FHOI PROJECTS ONLY)	Copy of Enforcement Log	Quarterly	GTR/GTM
17.				GTR/GTM
				GTR/GTM
				GTR/GTM
				GTR/GTM

PROGRAM TASKS			
TASKS	DELIVERABLES	DELIVERY BY	DELIVERY POINT
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM
			GTR/GTM

*Testers in testing activities funded withFHIP funds must not have prior felony convictions or convictions of crimes involving fraud or perjury, and they must receive training or be experienced in testing procedures and techniques. Testers and the organizations conducting tests, and the employees and agents of these organizations may not:

(1) Have an economic interest in the outcome of the test, without prejudice to the right of any person or entity to recover damages for any cognizable injury; (2) Be a relative of any party in a case;

(3) Have had any employment or other affiliation, within one year, with the person or organization to be tested; or

(4) Be a licensed competitor of the person or organization to be tested in the listing, rental, sale, or financing of real estate.

Budget Information — Non-Construction Programs
SAMPLE

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. **FHIP**	**14.413**	$	$	$ **130,744**	$ **23,016**	$ **153,760**
2.						
3.						
4.						
5. Totals		$	$	$ **130,744**	$ **23,016**	$ **153,760**

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total
	(1) **FHIP**	(2) **In-Kind**	(3)	(4)	(5)
a. Personnel	$ **62,936**	$ **18,392**	$	$	$ **81,328**
b. Fringe Benefits	**19,291**	**-0-**			**19,291**
c. Travel	**7,020**	**400**		`	**7,420**
d. Equipment	**2,850**	**400**			**3,250**
e. Supplies/Materials	**1,543**	**324**			**1,867**
f. Contractual/consultants	**7,500**	**2,000**			**9,500**
g. Subcontractors	**3,500**	**-0-**			**3,500**
h. Other Direct Costs	**13,770**	**1,500**			**15,270**
i. Total Direct Charges (sum of 6a-6h)	**118,410**	**23,016**			**141,426**
j. Indirect Charges	**12,334**	**-0-**			**12,334**
k. **Totals** (sum of 6i and 6j)	**130,744**	**23,016**			**153,760**
7. Program Income	$	$	$	$	$

SAMPLE

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. FHIP	$ 23,016	$	$	$ 23,016
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)	$ 23,016	$	$	$ 23,016

Section D - Forcasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal **(For FHIP, Projects of 18 months or less are defined as 1-year)**	$ 130,744	$ 49,223	$ 25,000	$ 36,521	$ 20,000
14. Non-Federal	23,016	5,754	5,754	5,754	5,754
15. **Total** (sum of lines 13 and 14)	$ 153,760	$ 54,977	$ 30,754	$ 42,275	$ 25,754

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

	Future Funding Periods (Years)			
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)	$	$	$	$

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges
$118,410	$12,334

23. Remarks

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds Federal (c)	Estimated Unobligated Funds Non-Federal (d)	New or Revised Budget Federal (e)	New or Revised Budget Non-Federal (f)	New or Revised Budget Total (g)
1. **FHIP**	**14.**	$	$	$	$	$
2.						
3.						
4.						
5. Totals		$	$	$	$	$

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity (1) **FHIP**	(2) **In-Kind**	(3)	(4)	Total (5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies/Materials					
f. Contractual/consultants					
g. Subcontractors					
h. Other Direct Costs					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i and 6j)					
7. Program Income	$	$	$	$	$

Instructions for the SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. **FHIP**	$	$	$	$
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)	$	$	$	$

Section D - Forcasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal **(For FHIP, Projects of 18 months or less are defined as 1-year)**	$	$	$	$	$
14. Non-Federal					
15. **Total** (sum of lines 13 and 14)	$	$	$	$	$

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

	Future Funding Periods (Years)			
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)	$	$	$	$

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges

23. Remarks

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

SAMPLE BUDGET NARRATIVE WORK PLAN FORMAT

Name Of Organization: Fair Housing Council of Gotham

Period of Project Budget*: 18 months

*** Budget must reflect costs for entire project period. (PEI budget must be for 24 months, FHOI CDC budget for 18 months, FHOI ENOC budget for 24 to 36 months, EOI budget for 18 months)**

DETAILED DESCRIPTION OF BUDGET					
(1) DIRECT LABOR					
Position or Individual	Estimated Hours	Rate/Hour	Estimated Cost	Federal Cost	In-Kind Cost
Executive Director	364	$30.00	$10,920	$10,920	-0-
Project Director	1092	$20.00	$21,840	$10,920	$10,920
Fair Housing Specialist	2080	$14.95	$31,096	$31,096	-0-
Secretary	2080	$ 8.50	$17,472	$10,000	$ 7,472
TOTAL DIRECT LABOR			$81,328	$62,936	$18,392
(Salaries must be supported by recent pay stubs or city/county/state wage rate charts at budget negotiations)					
(2) FRINGE BENEFITS					
Benefits	Rate	Base	Estimated Cost	Federal Cost	In-Kind Cost
F.I.C.A.	0.0765	$62,936	$ 4,815	$ 4,815	$1,407
Unemployment Insurance*	0.064	$62,936	$ 4,028	$ 4,028	$1,177
Health Insurance**	0.16	$62,936	$10,070	$10,070	$1,747
Worker's Comp.*	0.006	$62,936	$ 378	$ 378	$ 110
TOTAL FRINGE BENEFITS			$19,291	$19,291	$4,441
*Rates shown are for example purposes only. Rates may vary by State **Rates may vary by organization.					

(3) MATERIALS					
Item	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
Software	1 Each	$1,500	$1,500	$1,500	-0-
Pens	12 Boxes	$ 1.50	$ 18	$ 18	-0-
Copy Paper	18 Reams	$ 18.00	$ 324	-0-	$ 324
Letter File Folders	10 Boxes	$ 2.50	$ 25	$ 25	-0-
		TOTAL MATERIALS	$1,867	$1,543	$ 324
(Materials/equipment prices must be supported by vouchers/cash register receipts of same or similar item or lease quotes from vendor at time of budget negotiation)					

(4) TRAVEL					
Transportation					
1) Local Travel	Mileage/Fare	Rate/Mile	Estimated Cost	Federal Cost	In-Kind Cost
a) Private Vehicle	2600	30 cents	$ 780	$ 780	-0-
b) Bus	32	$1.25/fare	$ 40	$ 40	-0-
		Subtotal Local Travel	$ 820	$ 820	-0-
2) Air Travel Destination	Number of Travelers	Roundtrip Fare	Estimated Cost	Federal Cost	In-Kind Cost
Any City, USA (meet with State Officials)	2	$ 400	$ 800	$ 400	$ 400
		Subtotal Air Travel	$ 800	$ 400	$ 400
3) Other--Item	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
HUD Sponsored Training		$3,000	$3,000	$3,000	-0-
Parking	40	$ 5	$ 200	$ 200	-0-
		Subtotal Other Travel	$3,200	$3,200	-0-
Per Diem or Subsistence					
Number of Travellers	Days	Rate/Day	Estimated Cost	Federal Cost	In-Kind Cost
2	3	$100	$ 600	$ 600	-0-
		Subtotal Per Diem/subsistence	$ 600	$ 600	-0-
		TOTAL TRAVEL	$5,420	$5,020	$ 400
(All travel must be grant related and rates should not exceed the Federal rates)					

(5) EQUIPMENT					
Item	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
Teletype (TTY) Machine	1 Each	$ 350	$ 350	$ 350	-0-
Fax Machine	1 Each	$ 400	$ 400	-0-	$ 400
Computer and Printer (18 month lease)	1 Each	$2,500	$ 2,500	$ 2,500	-0-
		TOTAL EQUIPMENT COSTS	$ 3,250	$ 2,850	$ 400
(Lease/purchase of equipment must be supported by three quotes at time of budget negotiation)					

(6) CONSULTANTS					
Type	Days	Rate/Day*	Estimated Cost	Federal Cost	In-Kind Cost
Attorney	10	$325	$ 3,250	$ 3,250	-0-
Trainer	3	$150	$ 450	$ 450	-0-
Sales Testers		$35 x 2 testers x 40 tests	$ 2,800	$ 2,800	-0-
Accountant	12.5	$160	$ 2,000	-0-	$ 2,000
Sign Language Interpreters	10	$100	$ 1,000	$ 1,000	-0-
		TOTAL CONSULTANTS	$ 9,500	$ 7,500	$ 2,000
*Daily Rate cannot exceed $375/day unless waiver is obtained from Grant Officer					

(7) SUBCONTRACTS List individual subcontracts and amounts. Attach a separate budget proposal for each*					
Type	Rate/ Service	Quantity	Estimated Budget	Federal Cost	In-Kind Cost
Spanish Language Brochure	Translation and Printing	10,000 copies	$ 3,500	$ 3,500	-0-
		TOTAL SUBCONTRACTS	$ 3,500	$ 3,500	-0-

***When individual subcontractor fees exceed 10% of the grant amount, an itemized budget is required.** FHOI-CDC applications must include detailed budgets for the subcontractual arrangements they will have with the new organization(s) which the applicant proposes to sponsor.

(8) OTHER DIRECT					
Item	Quantity	Unit Cost	Estimated Budget	Federal Cost	In-Kind Cost
Telephone	18 months	$250/ month	$ 4,500	$ 3,000	$ 1,500
Postage	1,000	.32 cents	$ 320	$ 320	-0-
Rent (lease cost is for 18 months)	500 sq. ft.	$20/sq. ft.	$10,000	$10,000	-0-
Meeting space	3 1-day meetings	$150/day	$ 450	$ 450	-0-
		TOTAL OTHER DIRECT	$15,270	$13,770	$ 1,500

(9) INDIRECT					
Type	Rate	Base	Estimated Cost	Federal Cost	In-Kind Cost
Overhead	15%	Direct Labor + Fringe Benefits ($62,936 + $19,291)	$12,334	$12,334	-0-
		TOTAL INDIRECT	$12,334	$12,334	-0-

*Organizations that have a federally-negotiated indirect rate should use that rate and the appropriate base in this section. In all other instances, organizations should include their current overhead rate, if any, which has been individually tailored to their organization's current operating budget. The rate and base used in this example is for demonstration purposes only and your organization's rate/base may be higher or lower.

TOTAL BUDGET			
	Total Estimated Cost	Total Federal Cost	Total In-Kind Cost
TOTAL COST	$151,760	$128,744	$ 27,457
AMOUNT TO ENTER ON FORM 424, LINE 15a		$128,744	

BUDGET NARRATIVE WORK PLAN FORMAT

Name Of Organization: ____

Period of Project Budget*: __ months

*** Budget must reflect costs for entire project period. (PEI budget must be for 24 months, FHOI CDC budget for 18 months, FHOI ENOC budget for 24 to 36 months, EOI budget for 18 months)**

DETAILED DESCRIPTION OF BUDGET					
(1) DIRECT LABOR					
Position or Individual	Estimated Hours	Rate/Hour	Estimated Cost	Federal Cost	In-Kind Cost
TOTAL DIRECT LABOR					
(Support salaries with pay stubs or city/county/state wage rate charts during budget negotiation.)					
(2) FRINGE BENEFITS					
Benefits	Rate	Base	Estimated Cost	Federal Cost	In-Kind Cost
F.I.C.A.	0.0765				
Unemployment Insurance*					
Health Insurance**					
Worker's Comp.*					
TOTAL FRINGE BENEFITS					
*Rates may vary by State **Rates may vary by organization.					

(3) MATERIALS					
Item	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
TOTAL MATERIALS					
(Materials/equipment prices must be supported by vouchers/cash register receipts of same or similar item or lease quotes from vendor at time of budget negotiation.)					
(4) TRAVEL					
Transportation					
1) Local Travel	Mileage/ Fare	Rate/Mile	Estimated Cost	Federal Cost	In-Kind Cost
a) Private Vehicle		30 cents*			
b)					
c)					
Subtotal Local Travel					
2) Air Travel Destination/Purpose	Number of Travelers	Roundtrip Fare	Estimated Cost	Federal Cost	In-Kind Cost
Subtotal Air Travel					
3) Other--Indicate by Item	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
HUD Sponsored Training ($3,000 for 12 or 18 month projects; $6,000 for 24 month projects)					
Parking					
Subtotal Other Travel					

Per Diem or Subsistence					
Number of Travellers	Days	Rate/Day	Estimated Cost	Federal Cost	In-Kind Cost
Subtotal Per Diem/Subsistence					
TOTAL TRAVEL					

(All travel must be grant related and rates should not exceed the Federal rates)
*Amount shown is federal rate, however if organization's rate is less, that amount should be used)

(5) EQUIPMENT					
Item	Quantity	Unit Cost	Estimated Cost	Federal Cost	In-Kind Cost
TOTAL EQUIPMENT COSTS					

(Lease equipment must be supported by three quotes at time of budget negotiations.)

(6) CONSULTANTS					
Type	Days	Rate/Day*	Estimated Cost	Federal Cost	In-Kind Cost
TOTAL CONSULTANTS					

*Daily Rate cannot exceed $375/day unless waiver is obtained from Grant Officer

(7) SUBCONTRACTS List individual subcontracts and amounts. Attach a separate budget proposal for each*					
Type	Rate/ Service	Quantity	Estimated Budget	Federal Cost	In-Kind Cost
TOTAL SUBCONTRACTS					

*When individual subcontractor fees exceed 10% of the grant amount, an itemized budget must be included in this application. FHOI CDC applications for Fair Housing/Disability Advocacy Joint Partnership Teams must include an itemized budget for the applicant and the subcontractor partner.

(8) OTHER DIRECT					
Item	Quantity	Unit Cost	Estimated Budget	Federal Cost	In-Kind Cost
TOTAL OTHER DIRECT					

(9) INDIRECT					
Type	Rate	Base	Estimated Cost	Federal Cost	In-Kind Cost
		TOTAL INDIRECT			

*Organizations that have a federally-negotiated indirect rate should use that rate and the appropriate base in this section. In all other instances, organizations should include their current overhead rate, if any, which has been individually tailored to their organization's current operating budget. The rate and base used in this example is for demonstration purposes only and your organization's rate/base may be higher or lower.

TOTAL BUDGET			
	Total Estimated Cost	Total Federal Cost	Total In-Kind Cost
TOTAL COST			
AMOUNT TO ENTER ON FORM 424 Matrix			

FACTOR #4

Leveraging Resources. (10 points)

The corresponding rating factor can be found in the FHIP section of the NOFA in Part IV of this application kit.

RESPONSE:

A. Extent to which applicant has secured other resources (5 points)

List estimated monetary contributions and in-kind or donated resources, such as services or equipment, from public or private sources that will be used to carry out proposed project activities and show how the resources are necessary for the purpose(s) of the award. HUD will consider whether the resources are clearly related to and necessary for the proposed activities.

List and describe partnering with other entities to secure additional resources to increase the effectiveness of the proposed activities. Applicants may also partner with other program funding recipients to coordinate the use of resources in the target area.

Describe the efforts that were undertaken to secure support for the project, including unsuccessful efforts and reasons they were unsuccessful.

B. Evidence of firm commitment of resources (5 points)

Identify which resources are firmly committed.

Provide evidence of leveraging/partnerships such as letters of firm commitments, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. Each letter of commitment, memoranda of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.Include copies of pledges or letters of legally binding commitments you have obtained.

Resources that are firmly committed MUST be reflected in the in-kind portion of the budget.

FACTOR #5

Comprehensiveness and Coordination. (10 points)

The corresponding rating factor can be found in the FHIP section of the NOFA in Part IV of this application kit.

One Program. If you are submitting an application for just the Housing Counseling Program **OR just one** Component of the Fair Housing Initiatives Program (FHIP), respond by writing and submitting a separate narrative description for the Housing Counseling Program, or a separate narrative description for the FHIP Component for which you are applying. **Your narrative should not exceed 10 pages.**

Both Programs or Multiple FHIP Components. If you are submitting an application for **both** the Housing Counseling Program **AND/OR** one or more FHIP Components, you have two options. The first option is to write a combined narrative description so it provides complete information for **both** the Housing Counseling Program and the FHIP Component(s). Or, if you are submitting an application for multiple FHIP Components only, you can write a combined narrative describing all Components.

When you submit your separate applications for both programs or multiple FHIP Components, submit the identical combined narrative in its entirety in response to Rating Factor #5. **Your combined narrative must clearly provide all requested information for both programs, or in the case of multiple FHIP Components, for each Component. Each description (within the combined narrative) should not exceed 10 pages.**

The second option is to simply write and submit a separate narrative for the Housing Counseling Program **and** a separate narrative for each FHIP Component (if more than one) in response to this rating factor. **Each narrative should not exceed 10 pages. Please refer to the general instructions at the beginning of this application for additional information on applying for both programs.**

RESPONSE

1. Describe the specific steps your organization took to identify and coordinate its proposed activities with those of other groups or organizations prior to submission. Include in your description how the proposed activities will complement and support all known activities and if funded, the specific steps your organization will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

2. HUD is working on addressing needs in a holistic and comprehensive manner. The Consolidated Planning process (which includes the Analysis of Impediments (AI) to Fair Housing Choice) is comprehensive and inclusive, and the scope of activities it covers is broad enough to have links directly or indirectly to your proposed activities.

    a. If your organization is currently active in your community's Consolidated Planning process, identify the topic/issue area(s) in which your organization participates and, where applicable, how the topic/issue area(s) relates to your organization's proposed activities. Describe your organization's level of participation (including active involvement in any committees).

b. If your organization is **not** currently active, consult your local HUD State or Area Office for information on the Consolidated Planning process for your area, or visit HUD's Website at http://www.HUD.gov. Describe the specific steps your organization will take in the future to become active in your community's process.

3. Describe your organization's linkages or the specific steps your organization will take to develop linkages with other organizations through meetings, information networks, planning processes or other mechanisms to coordinate comprehensive solutions with:

   a. Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan/AI; and

   b. Other Federal, State or locally (including private) funded activities, including those proposed or on-going in the community(s) served.

ADDITIONAL REQUIREMENTS

Please attach the applicable written certifications/documentation requested for the Initiative under which this application is submitted. None of these certifications or documentation count in calculation of the 10-page limitation on your submission for each factor for award.

1. All proposals for testing under the Private Enforcement Initiative and Fair Housing Organizations Initiative must certify that the applicant will not solicit funds from or seek to provide fair housing educational or other services or products for compensation, directly or indirectly, to any person or organization which has been the subject of testing by the applicant during the 12-month period following the test.

2. All Private Enforcement Initiative Joint Enforcement Projects (JEP) applications must be submitted by a QFHO/FHO as the sole recipient, but must include, in response to this factor, detailed letter(s) of commitment from all FHAP agencies and traditional civil rights organizations identified as part of the JEP.

3. Each non-governmental applicant for funding under the Education and Outreach Initiative--Regional, Local and Community-based Component that is located within the jurisdiction of a State or local enforcement agency or agencies administering a fair housing law that has been certified by the Department under 24 CFR part 115 as being a substantially equivalent fair housing law (FHAP agency) must provide, with its application, documentation (such as letters between the two organizations) that it has consulted with the agency or agencies to coordinate activities to be funded under the Education and Outreach Initiative.   (The list of substantially equivalent organizations follows this page.)

4. Each applicant under the Continued Development of Existing Organizations Component of the Fair Housing Organizations Initiative must submit an operating budget that describes the applicant's total planned expenditures from all sources, including the value of in-kind and monetary contributions, in the 18 months for which funding is sought. This operating budget will be used for the purposes of determining the extent of the 50% funding limitation on operating expenses.

Cover Page FY 1998 FHIP Application

Check Initiative/Component (only one box) for which the application is being submitted.

Submit a separate application for each Initiative/Component for which funding is sought.

Applicant Name ____

☐ Private Enforcement Initiative/General Component (Multi-Year)

☐ Private Enforcement Initiative/Joint Enforcement Projects

☐ Education and Outreach Initiative/Regional-Local-Community Based Component

☐ Fair Housing Organizations Initiative/Continued Development Component/Serving Persons with Disabilities

☐ Fair Housing Organizations Initiative/Establishment of New Organizations

If you submit more than one application, you must indicate in the table below all Initiatives/ Components for which you are applying and your preference for award in the event that more than one application submitted is ranked within funding range.

Applicant's Preference for Award

Initiative/Component	Applied (Yes or No)	Rank-Order Preference
Private Enforcement Initiative - General Component* (Multi-year)		
Private Enforcement Initiative - Joint Enforcement Project		
EOI-Regional, Local, Community-based		
FHOI-Continued Development Component Serving Persons with Disabilities		
FHOI-Establishment of New Organizations (Award recipient for this Component can receive 1 additional award.)		

* Current FHIP grant recipients of a PEI Grant from the FY 1995, FY 1996 or FY 1997 FHIP NOFA are not eligible to apply for a FY 1998 PEI General Component Grant.

SUBSTANTIALLY EQUIVALENT
STATE AND LOCAL FAIR HOUSING ENFORCEMENT AGENCIES

EOI R/L/C-B applicants must coordinate with applicable agencies. Revised February 1998

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Connecticut Commission on Human
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Mr. Charles Walker Jr.
Chairman

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FAX: (206) 684-0332

Listing of Current or Pending Grants/Contracts/Other Financial Agreements
(for Fair Housing Initiatives Program only)

Name and Address of Entity or Organization	Type of activity/service to be provided	Dollar Amount of Grant or Contract (Optional)	Dates for Performance of Services

Page no:

Part III: Standard Forms and Certifications

Application for Federal Assistance

OMB Approval No. 0348-0043

	2. Date Submitted	Applicant Identifier
1. **Type of Submission:**	3. Date Received by State	State Application Identifier
Application ☐ Construction ☐ Non-Construction **Pre-application** ☐ Construction ☐ Non-Construction	4. Date Received by Federal Agency	Federal Identifier

5. **Applicant Information**

Legal Name	Organizational Unit
Address (give city, county, State, and zip code):	Name, telephone number, and facsimile number of the person to be contacted on matters involving this application (give area codes)

6. **Employer Identification Number (EIN):** ☐☐ — ☐☐☐☐☐☐☐

7. **Type of Applicant:** (enter appropriate letter in box) ☐

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Nonprofit
O. Public Housing Agency
P. Other (Specify):

8. **Type of Application:**

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify):

9. **Name of Federal Agency:**
U.S. Department of Housing and Urban Development

10. **Catalog of Federal Domestic Assistance Number:** 1 4 — ☐☐☐

Title:

11. **Descriptive Title of Applicant's Project:**

12. **Areas Affected by Project** (cities, counties, States, etc.):

13. **Proposed Project:**

Start Date	Ending Date

14. **Congressional Districts of:**

a. Applicant	b. Project

15. **Estimated Funding:**

See attached Funding Matrix

16. **Is Application Subject to Review by State Executive Order 12372 Process?**

a. **Yes** This pre-application/application was made available to the State Executive Order 12372 Process for review on:

Date:______________________________

b. **No** ☐ Program is not covered by E.O. 12372

or ☐ Program has not been selected by State for review.

17. **Is the Applicant Delinquent on Any Federal Debt?**

☐ Yes If "Yes," explain below or attach an explanation ☐ No

18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

Application for Federal Assistance
Funding Matrix

The applicant must provide a funding matrix as shown below listing each program for which Federal funding is being requested.

Program*	Requested Dollar Amount	Federal Share	State Share	Local	Other

* For FHIPs, show both initiative and component

Instructions for the SF-424

This is a standard form used by applicants as a required facesheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

Item	Entry
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project.
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Not applicable.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding:

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

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

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

Name of Authorized Official:	Title:
Signature: X	Date:

Certification of Payments to Influence Federal Transactions

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

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

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

Name of Authorized Official:	Title:

Signature:	Date:
X	

Previous edition is obsolete

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

1. **Type of Federal Action:**	2. **Status of Federal Action:**	3. **Report Type:**
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year ________ quarter ________ date of last report ______________

4. **Name and Address of Reporting Entity:**	5. **If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:**
☐ Prime ☐ Subawardee Tier ________ , if known: **Congressional District,** if known:	**Congressional District,** if known:
6. **Federal Department/Agency:**	7. **Federal Program Name/Description:** **CFDA Number**, if applicable: ____________
8. **Federal Action Number,** if known:	9. **Award Amount,** if known: $
10a. **Name and Address of Lobbying Registrant** (if individual, last name, first name, MI):	b. **Individuals Performing Services** (including address if different from No. 10a.) (last name, first name, MI):

11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	**Signature:** ____________ **Print Name:** ____________ **Title:** ____________ **Telephone No.:** ____________ **Date:** ____________

Federal Use Only:

Authorized for Local Reproduction
Standard Form-LLL (1/96)

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5.If the organization filing the report in item 4 checks “Subawardee”, then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., “RFP-DE-90-001.”

9.For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Additional Instructions for Completing form HUD-2880

All applicants must complete form HUD-2880, Applicant Disclosure/Update report. However, full completion may not be required. Answer the questions below as they pertain to your proposed project, then prepare the form as instructed.

Question 1. Are other Federal funds involved in the proposed project?

If "No," complete **only** Parts I and II and **sign** the form on page 3.

If "Yes," go to question 2.

Question 2. Is the total amount of HUD, State, or local government funds for this specific project/ activity less than $200,000?

If "Yes," complete **only** Parts I and II and **sign** the form on page 3.

If "No," complete the **entire** form and **sign** the form on page 3.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development
Office of Ethics

OMB Approval No. 2510-0011 (exp. 3/31/98)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information

Indicate whether this is an Initial Report ☐ **or an Update Report** ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)

Social Security Number or Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received	4. HUD Program	5. Amount Requested/Received
		$

Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of $200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted? ☐ **Yes** ☐ **No**

   If Yes, you must complete the remainder of this report.

   If No, you must sign the certification below and answer the next question.

   I hereby certify that this information is true. (Signature) ______________________ Date __________

2. Is this application for a specific housing project that involves other government assistance? ☐ **Yes** ☐ **No**

   If Yes, you must complete the remainder of this report.

   If No, you must sign this certification.

   I hereby certify that this information is true. (Signature) ______________________ Date __________

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________ Date __________

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity ($ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ______________________ Date __________

Part V. Report on Expected Sources and Uses of Funds

Source

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ____ Date ___________

Use

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) ____ Date ___________

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed $10,000 for each violation.

I certify that this information is true and complete.

Signature	Date

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collecton displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions (See Note 1 on last page.)

I. Overview. Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

A. Applicant disclosure (initial) reports: General. All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources.

Applicants subject to Subpart C must make the following disclosures:

Assistance from other government sources in connection with the project,

The financial interests of persons in the project,

The sources of funds to be made available for the project, and

The uses to which the funds are to be put.

B. Update reports: General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

C. Applicant disclosure reports: Specific guidance. The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. Nature of Assistance. The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. Dollar Threshold. The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of $200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) Note: There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

D. Update reports: Specific guidance. During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.

2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.

3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by $250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by $50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:

a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by $250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by $250,000 or by 10 percent of those uses (whichever is lower).

b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by $250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by $250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by $250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by $250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.

2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions1 and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.

2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.

3. State the type of other government assistance (e.g., loan, grant, loan insurance).

4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

(1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and

(2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures refferred to in Section I.D.1.,2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.

2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.

3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).

4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. Part V. Report on Sources and Uses of Funds. This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

General Instructions — sources of funds

Each reportable source of funds must indicate:

a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.

b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.

c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, evevators, exterior masonry, etc.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO
Architect's fee — design
Architect's fee — supervision
Bond premium
Builder's general overhead
Builder's profit
Construction interest
Consultant fee
Contingency Reserve
Cost certification audit fee
FHA examination fee
FHA inspection fee
FHA MIP
Financing fee
FNMA / GNMA fee
General requirements
Insurance
Legal — construction
Legal — organization
Other fees
Purchase price
Supplemental management fund
Taxes
Title and recording
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve
Total land improvement
Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses
Bridge loan interest
Development fee
Operating deficit reserve
Resident initiative fund
Syndication expenses
Working capital reserve

Footnotes:

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated perodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Certification Regarding Debarment and Suspension

U.S. Department of Housing
and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was place when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant	Date

Signature of Authorized Certifying Official	Title

Certification of Consistency with the EZ/EC Strategic Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ), Enterprise Community (EC), or Urban Enhanced Enterprise Community.

(Type or clearly print the following information:)

Applicant Name: ______________________________

Name of the Federal Program to which the applicant is applying: ______________________________

Name of EZ/EC: ______________________________

I further certify that the proposed activities/projects will be located within the EZ/EC and serves EZ/EC residents. (2 points)

Name of the Official Authorized to Certify the EZ/EC: ______________________________

Title: ______________________________

Signature: ______________________________

Date: ____________________

Acknowledgment of Application Receipt

U.S. Department of Housing and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: ______________________________

To Be Completed by HUD

☐ HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐ HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

- ☐ Enclosed
- ☐ Being sent under separate cover

Processor's Name ______________________________

Date of Receipt ______________

Listing of Current or Pending Grants/Contracts/Other Financial Agreements

(for Fair Housing Initiatives Program only)

All applicants are required to provide a listing of any current or pending grants or contracts, or other business or financial relationships or agreements, to provide training, education, and/or self-testing services between the applicant and any entity or organization of entities involved in the sale, rental, advertising or provision of brokerage or lending services for housing. The listing must include the name and address of the entity or organization; a brief description of the services being performed or for which negotiations are pending; the dates for performance of the services; and the amount of the contract or grant (this latter item is optional). This listing must be updated during the grant negotiation period and as provided for in the grant agreement schedule of articles.

A sample listing is provided below.

A blank form is provided for your use also, or you may submit the information in any convenient format.

Sample Format

Listing of Current or Pending Grants/Contracts/Other Financial Agreements

Name and Address of Entity or Organization	Type of activity/service to be provided	Dollar Amount of Grant or Contract (Optional)	Dates for Performance of Services
ABC Rental Co. 1234 Main Street Anytown, USA 00000	Training of rental company staff on fair housing laws, including reasonable accommodation issues.	$ 500.00	December 5-15, 1998
City of Gotham Gotham City Hall - Rm. 9876 Gotham, USA 00000	Provide fair housing outreach training for public as part of CDBG grant program.	$25,000.00	October 1, 1997 - September 30, 1998
Pen & Ink Architects 3333 Lincoln Street Gotham, USA 00000	Provide training to and develop handbook for architects on accessibility guidelines and other applicable laws relating to new construction.	$ 2,000.00	May 31, 1998

Certification of Consistency with the Consolidated Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan. (Type or clearly print the following information:)

Applicant Name: ______________________________

Project Name: ______________________________

Location of the Project: ______________________________

____

____

Name of the Federal Program to which the applicant is applying: ______________________________

Name of Certifying Jurisdiction: ______________________________

Certifying Official of the Jurisdiction Name: ______________________________

Title: ______________________________

Signature: ______________________________

Date: ____________________

Part IV: SuperNOFA Information

The complete text of HUD'sSuperNOFA is available at http://www.hud.gov/nofas.html.