Tenant Opportunity and Supportive Services Applications

TOP
EDSS

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

hud
YOUR COMMUNITY PARTNER

TENANT OPPORTUNITIES PROGRAM

(Application Due: July 31, 1998)

and

ECONOMIC DEVELOPMENT & SUPPORTIVE SERVICES PROGRAM

(Application Due: July 31, 1998)

FISCAL YEAR 1998 APPLICATIONS KIT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
451 SEVENTH STREET, S.W. WASHINGTON, D.C. 20410
April 30,1998

The information in the application is submitted in accordance with the HUD regulatory authority and **OMB Approval No. 2577-0087** for the Tenant Opportunities Program (TOP) and **OMB Approval No. 2577-0211** for the Economic Development and Supportive Services (EDSS) Program. The information will be used to rate applications, determine eligibility and establish grant amounts.
Selection of applications for funding under TOP and EDSS are based on rating factors listed in the Notice of Fund Availability (NOFA), which is published each year to announce the TOP/EDSS funding rounds. The information collected in the application form will only be collected for specific funding competitions.

Public reporting burden per response for the collection of information is estimated to average 13 hours for TOP and 42 hours for EDSS including the time for reviewing instructions, searching existing data sources, and gathering/maintaining/reviewing data. Total public reporting burden for the collection of information is estimated at 14,212 hours for EDSS (350 respondents multiplied by 42 hours per response), and 4550 hours for TOP (350 respondents multiplied by 14 hours per response). Send comments regarding these burden estimates or any other aspect of this collection of information, including suggestions for reducing these burdens, to the Reports Management Officer, Paperwork Reduction Project **(2577-0087 (TOP)) or (2577-0211 (EDSS))**, Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600.

Do not send the application to the above address.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements. However, TOP and EDSS applications do not request the submission of such information.

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

Spring 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 us more effective and to make it easier for people to work with the agency. HUD's reinvention will make HUD 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; economic vitality; and supportive living environments for people of all income levels. The Tenant Opportunity Program (TOP) and Economic Development and Supportive Services (EDSS) Program help make strong communities possible by promoting self-sufficiency among residents of public and Indian housing. TOP funds economic self-sufficiency, organizational development, and mediation training to improve resident self-sufficiency, strengthen resident organizations, and encourage partnerships among the public housing agency and community organizations. EDSS provides funding for business development and employment training, family supportive services, and supportive services for the elderly and persons with disabilities to enable families to move from welfare to work and promote independent living for the elderly and persons with disabilities.

We know that both TOP and EDSS 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 TOP and EDSS strategies, we urge you to use the new SuperNOFA process as an opportunity to create truly holistic, coordinated strategies by combining your self-sufficiency and supportive services activities 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

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A. INTRODUCTION

SuperNOFA Process and Combined Application Kits

This application kit contains the application instructions and formats for the Tenant Opportunities Program (TOP) and the Economic Development and Supportive Services (EDSS) program for Fiscal Year 1998 (FY 1998). Availability of the U.S. Department of Housing and Urban Development's (HUD's) funding for these programs was announced for FY 1998 in the second Notice of Funding Availability for Economic Development and Empowerment Programs (SuperNOFA). The SuperNOFA provides for the consolidation of applications for several of these programs that provide assistance for, or complement, similar activities. These programs include the TOP and EDSS programs.

Both the FY 1998 SuperNOFA process and the consolidated application kits are part of HUD's effort to change its funding process to promote comprehensive, coordinated approaches to housing and community development, and to reduce the administrative and paperwork burden on applicants. In the past, HUD had issued as many as 40 separate NOFAs annually, all with widely varying rules and application requirements. The SuperNOFA process, which combines the announcement of funding for all these programs into three rounds instead of 40, offers a menu of choices from which communities will able to more easily identify the variety of funding options for their jurisdiction. Also, to the extent possible given statutory, regulatory, and program policy distinctions, the SuperNOFA strives to provide one set of rules, standardized application rating factors, and uniform and consolidated application procedures.

TOP and EDSS Application Process and Funding Amounts

The sections of the SuperNOFA pertaining to the TOP and EDSS programs were combined to highlight HUD's parallel restructuring of these complementary programs. This restructuring represents a continuation of HUD's efforts to improve the targeting and management of limited resources for resident self-sufficiency, particularly important in light of welfare reform. The goal of the restructuring is to focus these resources most effectively on "welfare to work" efforts, and to maintain independent living for the elderly and for persons with disabilities. Although the eligible applicants for the two programs are differentConly Public Housing Authorities (PHAs) and Tribes or their Tribally Designated Housing Entities (TDHEs) may apply for EDSS, and only Resident Associations (RAs) and related entities may apply for TOPCthe consolidated application kits highlights the importance HUD places on housing authorities and residents working together to meet the challenge of welfare reform.

Eligible applicants must continue to submit separate applications for either program, as contained in this application kit. For EDSS, a total amount of $47,211,223 is available for this round of funding. Of this, $5 million will be set aside to fund applications from Tribes and TDHEs. Furthermore, for both PHAs and Tribes and TDHEs, 60 percent of total funding will be allocated to Family Economic Development and Supportive Services category grants, and the remaining 40 percent to Elderly and Disabled Supportive Services grants.

For the TOP program, $16,884,530 is available to eligible applicants. There are three grant categories in this year's TOP program. Funding will be distributed between these categories as follows: $10.9 million for Economic Self-Sufficiency Grants, $3.0 million for Organizational Development Grants, and $3.0 million for Mediation Grants.

Potential applicants for these programs should be aware of several common application element. First, where an applicant can apply for funding under more than one program in the SuperNOFA, the applicant need submit only one originally signed Application for Federal Assistance (Standard Form 424) and only one set of original signatures for other required assurances and certifications, accompanied by the checklist contained in each application kit. As long as one set of originally signed documents has been submitted and is on file, copies may be submitted with any other program application.

Second, applicants must be within a jurisdiction that has submitted a Consolidated Plan. The Consolidated Plan rule, published in 1995, combined the planning, application, and reporting requirements for several community development programs to encourage partnerships between HUD, State, local, and Tribal governments, non-profit housing agencies, and the general public. For both the TOP and EDSS programs, up to 2 points out of the total of 102 award points may be awarded to applicants who relate their proposed plan of action to needs addressed in the approved Consolidated Plan (or to fulfill the requirements of a court action).

Third, the SuperNOFA provides for the award of 2 bonus points for eligible activities or projects that will be located in Federally designated Empowerment Zones or Enterprise Communities (EZ/EC) or Urban Enhanced Enterprise Communities (Enhanced EC). These activities and projects must serve EZ/EC residents and must be certified in the application to be consistent with the strategic plan of the EZ/EC. This application kit contains a certification form for the applicant to be considered for these bonus points. A listing of the federally designated EZs, ECs, and Enhanced ECs is available as a supplement to the application kit.

EDSS and TOP Program Requirements

Prospective EDSS and TOP applicants should read both the SuperNOFA requirements and the applications for each program carefully prior to writing a grant application. The SuperNOFA and this kit reflect changes from last year=s TOP and EDSS program and application kit. For example, for EDSS, the threshold requirements an applicant must meet in order for the application to be complete and acceptable for rating and ranking have changed significantly. The ranking factors for EDSS and TOP have changed also.

For the TOP program, there are now three grant categories: Economic Self-Sufficiency Grants, Organizational Development Grants, and Mediation Grants. Each TOP category has a separate threshold requirement, application requirement, maximum, and application rating factors.

The remainder of this application kit contains 4 parts: this instruction, TOP application instructions, the EDSS application instructions, and all blank standard forms, certifications, and suggested chart formats. These kits are designed to help you organize your applications. The SuperNOFA, a list of EZ/ECs, and a list of HUD Field Offices are available as a supplement to the kit. The SuperNOFA contains additional and important details on application and program requirements.

For Further Information

If you have questions about this application kit, or would like more information on TOP or EDSS, please contact your respective HUD Public Housing Field Office or contact the Public and Indian Housing Information and Resource Center at the address below. Also, you may request additional copies of this kit from the HUD SuperNOFA Information Center.

HUD=s Public and Indian Housing Information and Resource Center
P.O. Box 8577
Silver Spring, MD 20907
1-800-955-2232

HUD’s SuperNOFA Information Center
1-800HUD-2209

B. TENANT OPPORTUNITIES PROGRAM

DUE DATE: July 31, 1998

TENANT OPPORTUNITIES PROGRAM
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INTRODUCTION

PART I: SUMMARY OF BASIC PROGRAM REQUIREMENTS

PART II: COMPLETING YOUR APPLICATION

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TENANT OPPORTUNITIES PROGRAM

INTRODUCTION

BACKGROUND

The Tenant Opportunities Program (TOP) is authorized by Section 122 of *the Housing and Community Development Act of 1987* (P. L. 100-242, approved February 5, 1988*). The United States Housing Act of 1937* was amended by adding a new Section 20 (42 U.S.C. Sec.1437r). The purpose of the TOP is to provide training and technical assistance to help residents in their progress toward economic self-sufficiency and personal growth at a community facility or other location that is within easy access of the recipients.

Congress approved funds for TOP in the *VA-HUD Independent Agencies Act of 1998*. (P.L. 105-65, October 27, 1997). In the FY 1998 Super Notice of Funding Availability (SuperNOFA), HUD announced that a total of $16,884,530 is available for awards to qualified TOP applicants.

The SuperNOFA describes both TOP and Economic Development and Supportive Services (EDSS). This reflects a common purpose for EDSS and the **Economic Self-Sufficiency Grant (ESSG)** category of TOP—to provide technical assistance and training assistance for efforts to move families from welfare to work. The goal of EDSS and TOP/Economic Self-Sufficiency Grant is to focus resources on welfare to work for non-elderly family households and on independent living for households with elderly or disabled persons. Eligible applicants for TOP/Economic Self-Sufficiency Grants are resident associations (RAs) and intermediary resident organizations (IROs).

For FY 1998, HUD will allocate TOP to two other categories**:** **Organizational Development Grants (ODG)** and **Mediation Grants (MG).** ODG is available to Site-Based Resident Associations and Intermediary Resident Organizations. The grant's purpose is to help build the capacity of Site-Based RAs to conduct welfare-to-work activities. Organizational Development grants are available to Site-Based Resident Associations or Intermediary Resident Organizations. Mediation Grants are available to qualified IROs to provide training to other RAs on mediation techniques and to provide mediation services.

The SuperNOFA contains information concerning TOP's purpose, applicant eligibility, selection criteria, and application processing, including how to apply, how selections will be made, and how applicants will be notified of results. The SuperNOFA has two parts that are relevant to TOP: (1) a general introduction to application requirements that cut across all programs for which FY 1998 funding is announced, and (2) requirements that are specific to TOP and EDSS. Refer to the supplemental copy of the SuperNOFA which includes general language that pertains to all programs and the Section specific to TOP/EDSS. This application kit is designed especially to be used to apply for a grant under the Tenant Opportunities Program. The kit lays out the application components and requirements. This standardized application format will help applicants organize their proposals. It will enable HUD to review and evaluate the applicant's eligibility, proposed grant activities, costs, and administrative capacity. By following the organization and suggested formats, HUD can give due consideration to all aspects of the proposed activities. This section of the combined TOP/EDSS application kit provides instructions for applying for a TOP grant only. Throughout t6he document, for your convenience, there are cross-references to the SuperNOFA. Those citations refer only to TOP/EDSS sections.

CHANGES FOR FY 1998

For FY 1998, TOP funds will be awarded in three categories:

1. Economic Self-Sufficiency Grants ($10.9 million) for educational, job, business, and life skills to enable residents to move toward self-sufficiency. Eligible applicants are Site-Based RAs or IROs.

2. Organizational Development Grants ($3 million) for assistance to site-based resident organizations that do not yet have the capacity to administer a welfare-to-work program. Eligible applicants are Site-Based RAs and IROs.

3. Mediation Grants ($3 million) for assistance to IROs working with professional mediators to resolve conflicts involving site-based resident organizations. To be eligible, IROs must have at least 3 years experience in providing mediation services and at least 2 years experience training organizations in mediation services. Applicants must define the geographic area in which mediation services will be provided.

Each TOP category has separate threshold requirements, application requirements, maximum grant amounts, and application rating factors.

ORGANIZATION OF THE APPLICATION INSTRUCTIONS

The document includes general instructions for the preparation of an application narrative, charts, and certifications in two basic parts:

Part 1. Basic Program Requirements - This part summarizes the TOP program requirements including: application threshold requirements and selection criteria; maximum grant amounts; applicant and participant eligibility criteria; eligible activities and costs, and the maximum length of time for implementing the grant. For additional copies of the kit, please contact either: (1) HUD's Public and Indian Housing Information and Resource Center, or (2) HUD's website.

HUD's Public and Indian Housing Information and Resource Center

P.O. Box 8577
Silver Spring, MD 20907
1-800-955-2232

HUD's Website
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When requesting an application kit, specify your name, organization name, address (including zip code), and complete telephone number. Local HUD field offices with delegated responsibilities over the pertinent housing authority will provide answers to questions from prospective applicants.

Part 2. Completing Your Application - Cover sheets, instructions for narratives, suggested chart formats, and other submission materials are provided for use in preparing the application. You should refer also to the corresponding sections of the Notice of Funding Availability (SuperNOFA) to ensure that you provide all the information that is needed. Use the cover sheets provided in the kit to separate the sections in your proposals. Use additional sheets as needed when developing sections of your application. As a convenience, the kit contains *sample* materials. Applicants must prepare materials that are specific to their proposed program. Applicants may not copy the sample materials and insert them into the application. Part D of the overall TOP/EDSS contains blank certifications, forms, and charts to be completed and included in the application. Read all instructions carefully to be sure you include all required forms and charts.

APPLICATION SUBMISSION

An original and two copies of your application **must be submitted** on or before 6:00 p.m., local time on July 31, 1998, to the local field office with delegated public or assisted housing responsibilities attention: Director, Office of Public or Assisted Housing. TOP applications may be submitted in any of the following ways:

- Mailed Applications: Applications will be considered timely if postmarked on or before 12:00 midnight on the application due date and received be the designated HUD Office on or within (10) days of the application due date.

- Overnight/Express Mail Delivery: Applications sent be overnight delivery or express mail will be considered timely of received before or on the application due date, or upon submission of documentary evidence that they were placed in transit with the overnight delivery services no later than the specified application due date.
- Hand Carried Applications: Applications that are hand carried to HUD Field Office locations must be delivered to the attention of the Director, Office of Public or Assisted Housing, and received by the Field Office by 6:00pm local time.

If the application is not physically received as specified as stated above, it will not be evaluated. Facsimile and telegraphic applications are not authorized and will not be considered.

OMB APPROVAL

The application kit has been approved by the US Office of Management and Budget. The approval numbers for TOP is OMB No. 2577-0087.

GENERAL TIPS FOR PREPARING THE GRANT APPLICATION

This application kit provides all information needed to prepare a complete grant application. Please use the sheets in Part Two as cover sheets for each of the required tabbed sections. Other additional tips for grant application preparation:

1. Begin the process by requesting pro-bono (no cost) assistance from your Housing Authority. Prepare a Memorandum of Understanding (MOU) with the Housing Authority (HA) to provide assistance should your proposal be approved for TOP funding. Consider using the HA as your TOP grant Contract Administrator (CA). The purpose of the CA is to help TOP grantees solicit proposals from technical assistance and other contractors after the grant is received, not to receive TOP funds for training.

2. Consider using in-kind or pro bono (no-cost) services from Historically Black Colleges or Universities (HBC/U), local colleges or universities, or local community agencies to assist in the preparation of the application. These types of organizations may be suitable as partners with the Site-Based Resident Association to accomplish TOP Work Plan “welfare-to-work” activities, or to serve as Contract Administrator. Such organizations may be a source of funding or in-kind contributions, also.

3. Applicants should not solicit any proposals for application preparation or for a training or technical assistance contract prior to receiving a TOP grant award.

4. Number all pages in your application! Assign a unique number to each page.

5. Follow the required Application Checklist in Part 2 Tab 1 of this kit for organizing and completing your application.

6. Follow all instructions for completing Standard Forms 424, 424B, 2880, 2990, 2991, 2992, 50070, 50071, LLL, and LLL-A. These five forms must be submitted with this application.

7. Make sure the application is a collaborative effort. All participating organizations in the proposed activities should be involved, including Site-Based RAs, IROs, other residents, and supportive service providers.

8. Have more than one person review the application to ensure that all required information and forms are signed and included in the application.

9. Address all Rating Factors specified in the SuperNOFA for the appropriate applicant type (Economic Self-Sufficiency Grant, Organizational Development Grant, Mediation Grant). There are different Rating Factors for each TOP category. Be aware that certain, selected, rating factors pertain only to Intermediary Resident Organizations. Pay close attention to Bonus Point criteria, for location in an EZ/EC.

INFORMATION CONTACTS

If you have questions about this application kit or the program in general, please contact your respective HUD Public and Indian Housing Field Office or HUD's Public and Indian Housing information and Resource Center (PIH-IRC) at 1-800-955-2232.

P A R T I

TOP 1998

BASIC PROGRAM REQUIREMENTS

TOP PROGRAM REQUIREMENTS

THRESHOLD CRITERIA

Local HUD offices will review applications for completeness and to determine whether they meet threshold requirements. Applicants will be given an opportunity to correct technical deficiencies within 14 calendar days of the reciept of a HUD notification of such deficiencies. Examples of curable deficiencies include failure to submit proper certifications or an application with an original signature by an authorized official.

Each applicant must meet several threshold requirements in order for the application to be complete and acceptable for rating and ranking. All threshold requirements are summarized below for the three TOP categories. It is very important, also, that you read the complete description of the Threshold Criteria in the attached SuperNOFA.

There are separate threshold criteria for each TOP category:

- **Economic Self-Sufficiency Grant (ESSG)**

Focus on Residents Affected by Welfare Reform. The application must contain written evidence provided by the housing authority (HA) that at least 51% of the public housing residents to be served by the proposed program are affected by welfare reform, including TANF recipients and SSI recipients affected by the State welfare plan. Elderly or disabled residents who are not otherwise affected by welfare reform may be included in the 51% if they provide services to families affected by welfare reform, such as child care or mentoring.

Partnership between RA and HA. The application must contain a signed Memorandum of Understanding (MOU) between the Resident Association and the Housing Authority that specifies roles, responsibilities, and activities to be undertaken between the two entities.

Accessible Community Facility. The application must evidence that a majority of the proposed activities will be administered at community facilities within easy access of residents and their housing development. Transportation systems must be convenient, reliable, and inexpensive. The community facility must meet structural accessibility requirements of Section 504 of the *Rehabilitation Act* and the *Americans with Disabilities Act.*

Compliance with Current Programs. Applicants must provide a valid certification (using the certification format provided in this kit) that neither they nor their Contract Administrator is in default of a HUD program and that neither is the subject of unresolved HUD Office of the Inspector General findings.

Applicant Non-Profit Status. A Site-Based RA must submit evidence that it is registered with the State as a non-profit corporation. An IRO must be registered with the State as a non-profit corporation and have applied for Section 501(c)(3) status with the U.S. Internal Revenue Service.

Certification of Elections. Site-Based RA applicants must submit certification of the RA board election, signed by the housing authority or an independent third party monitor and duly notarized. (The requirement does not apply to IRO applicants.)

Additional Requirements for IRO applicants. IROs must list the names of the Site-Based RAs to receive training, technical assistance, or coordinated supportive services and provide letters of support from each entity identified in the application.

Compliance with Fair Housing and Civil Rights Laws. All applicants must comply with all Fair Housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR Sec. 5.105(a). If an applicant (1) has been charged with a violation of the *Fair Housing Act*, (2) is the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (3) has received a letter of noncompliance findings under Title VI or Title VII of the *Civil Rights Act of 1965*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, the applicant is not eligible to apply for funding until the applicant resolves such a charge, lawsuit, or letter of findings to HUD's satisfaction.

- **Organizational Development Grant (ODG)**

Certification of Elections. Site-Based RA applicants must submit certification of the RA board election, signed by the housing authority and/or an independent third party monitor and duly notarized. (The requirement is not applicable to IRO applicants.)

Contract Administrator. The applicant must provide evidence that the Site-Based RA will use the services of a qualified Contract Administrator. Troubled HAs are not eligible to be Contract Administrators. (The requirement is not applicable to IRO applicants.)

Additional Requirements for IRO Applicants. IROs must list the names of the RAs to receive training, technical assistance, or coordinated supportive services and provide letters of support from each entity identified in the application.

Compliance with Fair Housing and Civil Rights Laws. All applicants must comply with all Fair Housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR Sec. 5.105(a). If an applicant (1) has been charged with a violation of the *Fair Housing Act*, (2) is the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (3) has received a letter of noncompliance findings under Title VI or Title VII of the *Civil Rights Act of 1965*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, the applicant is not eligible to apply for funding until the applicant resolves such a charge, lawsuit, or letter of findings to HUD's satisfaction.

- **Mediation Grant (MG)**

Written Agreement with Mediator. The applicant must have a written agreement with a professional mediator or mediation organization. The agreement must specify roles and responsibilities of all parties and any compensation to be paid, which must be reasonable. The agreement must specify that the mediator will train IRO staff or volunteers to be capable of providing mediation services independently by the end of the grant term. The agreement must reflect the proposed Work Plan.

Mediation Experience/Referral Agreement. The mediator must provide evidence of at least 3 years experience in providing mediation services and at least 2 years of experience providing mediation training. The application must include at least one referral agreement with a judicial, law enforcement, or social service agency for mediation referral of public housing residents.

Applicant Non-Profit Status. IRO applicants must be registered with the State as a non-profit corporation and have applied for Section 501(c)(3) status with the U.S. Internal Revenue Service.

Compliance with Current Programs. Applicants must provide a valid certification (using the certification format provided in this kit) that neither they nor their Contract Administrator is in default of a HUD program, and that neither is the subject of unresolved HUD Office of the Inspector General findings.

Compliance with Fair Housing and Civil Rights Laws. All applicants must comply with all Fair Housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR Sec. 5.105(a). If an applicant (1) has been charged with a violation of the *Fair Housing Act*, (2) is the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (3) has received a letter of noncompliance findings under Title VI or Title VII of the *Civil Rights Act of 1965*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, the applicant is not eligible to apply for funding until the applicant resolves such a charge, lawsuit, or letter of findings to HUD's satisfaction.

ELIGIBLE PARTICIPANTS

Eligible participants in TOP-funded activities include residents of conventional public housing developments.

GRANT TERM

All funds must be expended within 24 months after grant agreement execution.

Rating Factors

Selection of applicants will be based on the quality of the program and the capabilities of the program's partners. HUD will review the application and assign points according to Rating Factors published in the SuperNOFA. Each of the three TOP categories will be rated differently. Detailed explanations of each rating factor are provided in the SuperNOFA.

- **Economic Self-Sufficiency Grant (ESSG)**

Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points)

(1) Staffing	(7 points)
(a) Experience	(4 points)
(b) Sufficiency	(3 points)
(2) Program Administration and Fiscal Management	(7 points)
(a) Program Administration	(4 points)
(b) Fiscal Management	(3 points)
(3) Applicant/Administrator Track Record/Capability	(6 points)

Factor 2: Need/Extent of the Problem (20 points)

(1) Needs Assessment Document	(18 points)
(2) Level of Priority in Consolidated Plan	(2 points)

Factor 3: Soundness of Approach (40 points)

(1) Viability and Comprehensiveness of the Strategies to Address the Needs of the Residents	(11 points)
(2) Budget Appropriateness/Efficient Use of Grant Funds	(6 points)
(3) Reasonableness of the Timetable	(1 point)
(4) Policy Priorities	(2 points)

(5) Housing Authority-Resident Association Partnership (8 points)

(6) Other Partnerships (4 points)

(7) Resident Involvement (4 points)

(8) Program Assessment (4 points)

Factor 4: Leveraging Resources (10 points)

Factor 5: Comprehensiveness and Coordination (10 points)

(1) Coordination with the Consolidated Plan (2 points)

(2) Coordination with the State Welfare Plan (4 points)

(3) Coordination with Other Activities (4 points)

Bonus Points: Activities located in EZ/EC or serving EZ/EC residents, and consistent with EZ/EC strategic planning. (2 points)

- **Organizational Development Grant (ODG)**

There are no rating factors for ODG. ODG recipients will be selected by lottery.

- **Mediation Grant (MG)**

Factor 1: Capacity of the Applicant/Mediation Partner and Relevant Organizational Experience (20 points)

(1) Staffing (7 points)
(a) Experience (4 points)
(b) Sufficiency (3 points)

(2) Program Administration and Fiscal Management (7 points)
(a) Program Administration (including definition of the Geographic service area) (4 points)
(b) Fiscal Management (3 points)

(3) Applicant/Mediation Partner Track Record/Capability (6 points)

Factor 2: Need/Extent of the Problem (20 points)

(1) A Needs Assessment Document (18 points)

(2) Level of Priority in Consolidated Plan (2 points)

Factor 3: Soundness of Approach (40 points)

(1) Viability and Comprehensiveness of the Strategies to Address the Mediation Needs of Residents (19 points)

(2) Budget Appropriateness/Efficient Use of Grant Funds (6 points)

(3) Reasonableness of the Timetable (2 points)

(4) Other Partnerships (5 points)

(5) Program Assessment (6 points)

(6) Policy Priorities (2 points)

Factor 4: Leveraging Resources (10 points)

Factor 5: Comprehensiveness and Coordination (10 points)

(1) Coordination with the Consolidated Plan (2 points)

(2) Coordination with the State Welfare Plan (1 point)

(3) Coordination with Other Activities (7 points)

Bonus Points: Activities located in EZ/EC or serving EZ/EC residents, and consistent with EZ/EC strategic planning. (2 points)

ELIGIBLE APPLICANTS

Public housing Site-Based Resident Associations—including Resident Councils and Resident Management Corporations—and Intermediary Resident Organizations (IROs) may apply for TOP. IROs include: National Resident Organizations (NROs), Statewide Resident Organizations (SROs), Regional Resident Organizations (RROs), and Jurisdiction-Wide Resident Organizations (JROs) only if there is no incorporated Resident Council in the Housing Authority. Only IROs may apply for Mediation Grants.

MAXIMUM GRANT AMOUNT

- General Rule for Site-Based RAs:

No Site-Based RA may receive grants in excess of $100,000—including funds received by the public housing development under Resident Management (RM) or TOP in FY

1988-1998, and the prorated portion of funds received by IROs on behalf of the Site-Based RA. The $100,000 cumulative maximum applies to RM/TOP funds received for a specific public housing development.

- General Limits for IROs:

  1. An IRO that is a Jurisdiction-Wide Organization may apply for EDSS, ODG, or the Mediation Grant funds at maximum $100,000, and is limited to an application in only one grant category.
  2. All other IROs are subject to a maximum grant of $250,000 in one category and $350,000 in two or more categories.
  3. IROs may not propose to assist Site-Based RAs if the FY 1998 funding request causes a Site-Based RA to exceed its 1988-1998 RM/TOP cumulative maximum of $100,000.

- Jurisdiction Limits: Applicants are subject to limits on the amount of RM/TOP funding made available to non-IRO applicants as follows:

  1. Housing authorities with 1-780 units: Maximum of $750,000
  2. Housing authorities with 781-7,300 units: Maximum of $1.4 million
  3. Housing authorities with 7,301 or more units: Maximum of $2.1 million

- Other Limits

  1. Economic Self-Sufficiency Grant

     a. <u>Basic Grants.</u> Site-Based RAs that have never received an RM or TOP grant may receive up to $100,000 less value of TOP assistance received by the development from an IRO.
     b. <u>Additional Grants</u>. Site-Based RA applicants that have not received a total of $100,000 from RM or TOP between FY 1988 and 1997 may apply in FY 1998—up to $100,000 less past amounts received and FY 1998 Basic Grant funds received.

  2. Organizational Development Grant (Basic Grants only): Up to $40,000 for each Site-Based RA.

ELIGIBLE ACTIVITIES

Each TOP category has a range of eligible activities. A Site-Based Resident Association or Intermediary Resident Organization may provide any combination of the following activities. The division of eligible activities is provided only as a general guideline to assist applicants in developing their applications.

- <u>Economic Self-Sufficiency Grant Applicants</u>.

1. Social Support Needs (such as Self-Sufficiency and Youth Initiatives) including:

   a. Feasibility studies to determine training and social services needs;
   b. Training in management-related trade skills, computer skills, and similar skills;
   c. Management-related employment training and counseling including job search assistance, job development assistance, job placement assistance and follow up assistance;
   d. Coordination of support services including: child care services; educational services remedial education, literacy training, assistance in attaining a GED; vocational training including computer training; health care outreach and referral services; meal services for the elderly or persons with disabilities; personal assistance to maintain hygiene/appearance for the elderly or persons with disabilities; housekeeping assistance for the elderly or persons with disabilities; transportation services; congregate services for the elderly or persons with disabilities: and case management;
   e. Training for programs such as child care, early childhood development, parent involvement, volunteer services, parenting skills, before and after school programs;
   f. Training programs on health, nutrition, safety and substance abuse;
   g. Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops could be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire and Big Brother/Big Sisters, etc.; and
   h. Training in the development of strategies to successfully implement a youth program—for example, assessing the needs and problems of the youth, improving youth initiatives that are currently active, and training youth, housing authority staff, resident management corporations and resident councils on youth initiatives and program activities.

- Resident Management Business Development including:

   a. Training related to resident-owned business development and technical assistance for job training and placement in RMC developments;
   b. Technical assistance and training in resident managed business development through: feasibility and market studies; development of business plans; outreach activities; and innovative financing methods

including revolving loan funds and the development of credit unions; and legal advice in establishing a resident managed business entity.

c. Training residents, as potential employees of an RMC, in skills directly related to the operation, management, maintenance and financial systems of a project;

d. Training residents with respect to fair housing requirements; and

e. Gaining assistance in negotiating management contracts, and designing a long-range planning system.

- <u>Economic Self-Sufficiency or Organizational Development Grant Applicants</u>.

1. Training Board members in community organizing, Board development, and leadership training.

2. Determining the feasibility and training of existing resident groups for resident management, or for a specific resident management project or projects.

3. Assisting in the actual creation of an RMC, such as consulting and legal assistance to incorporate, preparing by-laws and drafting a corporate charter.

4. Developing management capabilities of existing resident organizations.

5. Homeownership Opportunity (Determining feasibility for homeownership by residents, including assessing the feasibility of other housing (including HUD owned or held single or multi-family) affordable for purchase by residents.

- <u>Mediation Grant Applicants</u>.

1. Training programs (including on-the-job training for IRO's) on mediation and communication skills.

2. Training programs on dispute resolution and reconciliation, including training addressing racial, ethnic, and other forms of diversity.

3. Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops could be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire and Big Brother/Big Sisters, etc.

4. Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of the youth, improving youth initiatives that are currently active, and training youth, housing authority staff, resident management corporations and resident councils on youth initiatives and program activities.

- <u>General (all TOP applicants)</u>.

1. <u>Training.</u> Includes required training on HUD regulations and policies governing the operation of low-income public housing including contracting/procurement regulations, financial management, capacity building to develop the necessary skills to assume management responsibilities at the project and property management, or training in accessing other funding resources.

2. <u>Contracting with trainers or other experts</u>. By law, resident grantees must ensure that all training is provided by a qualified public or Indian housing management specialist (Consultant/Trainer), HUD Headquarters or Field/Area Office staff or the local HA. To ensure the successful implementation of the TOP Work Plan activities, the RAs are required to determine the need to contract for outside consulting or training services. The RA and the HA must jointly select and approve the consultant/trainer. Each RA should make maximum use of its HA, non-profits, or other Federal, State or local government resources for technical assistance and training needs. The amount allowed for contracting with an individual consultant for this purpose shall not exceed 30% of the total grant award or $30,000, whichever is less. The amount available for all individual consultants (not including training firms) and contracts shall not exceed 50% of the grant or $50,000 whichever is less. HUD Field Offices will monitor this process to ensure compliance with program and OMB requirements, in particular the requirement for competitive bidding.

3. <u>Stipends.</u> Trainees and TOP program participants of a RA may only receive stipends for participating in or receiving training under the TOP to cover the reasonable costs related to participation in training and other activities in the TOP program, subject to the availability of funds. The stipends should be used for additional costs incurred during the training programs, such as child care and transportation costs. The cost of stipends may not exceed $200 per month per trainee without written HUD authorization.

4. <u>Expenses.</u> Reimbursement of reasonable expenses incurred by Officers and Board members in the performance of their fiduciary duties or training related to the performance of their official duties.

5. <u>Travel</u>. Travel directly related to the successful completion of the required TOP Work Plan. All grantees must adhere to the travel policy established by HUD. The policy sets travel costs at a maximum amount of $5,000 per Site-Based RA (not applicable to IROs) without special HUD approval.

6. Child care. Child care expenses for individual staff, board members, or residents in cases where those who need child care are involved in training-related activities associated with grant activities including welfare-to-work economic development and other self-sufficiency initiatives. No more than two percent of the grant amount may pay for child care expenses.

7. Incorporation. Costs directly related to establishing an RA as a nonprofit corporation or Section 501(c) tax exempt status—except that pre-award costs of incorporating Economic Self-Sufficiency/TOP grantees are not eligible costs.

8. Administrative costs. These costs are necessary for the implementation of grant activities. Administrative costs are not to exceed 25% of the grant unless the grantee is unable to obtain the services of a Contract Administrator without cost in which case administrative costs are not to exceed 30% of the grant. Grantees must maintain documentation on file showing what efforts it has made to obtain the services of a Contract Administrator without a fee. Appropriate administrative costs include, but are not limited to, the following items or activities:

   a. Purchase or lease of telephone, computer, printing, copying, and sundry non-dwelling equipment (such as office supplies, software, and furniture). A grantee must justify the need for this equipment in relationship to implementing its approved grant activities. Every effort must be made to acquire discounted or donated hardware.

   b. Grant contract and financial management, audit. If a grantee is unable to obtain the services of a Contract Administrator or accountant without charge, the cost for a Contract Administrator and or accountant is eligible. The cost for an independent audit should be budgeted separately from this item.

   c.

PART II

TOP 1998

COMPLETING YOUR APPLICATION

PUBLIC HOUSING

TENANT OPPORTUNITIES PROGRAM

APPLICATION FOR FY 1998 FUNDING

Submitted By:____

Contact Person:____

Telephone: (   )____

Partner Agency Name:____

Delivered To: ____
HUD Office (See supplemental Public and Indian Housing Field Office list.)

TOP 1998: TAB 1

TOP APPLICATION CHECKLIST/
TABLE OF CONTENTS
AND
BASIC APPLICATION
INFORMATION

TOP APPLICATION TABLE OF CONTENTS/CHECKLIST

Your application must include the following items. This checklist is provided to help you ensure that your application is complete. Note that not all items are required for each TOP category. Applicants for Economic Self-Sufficiency Grant (ESSG), Organizational Development Grant (ODG), and Mediation Grant (MG) have slightly different application requirements.

❒ **TAB 1: Table of Contents, Transmittal Letter, and Summary Information**

- Table of Contents
- Application for Federal Assistance (Form 424)
- Fact Sheet (including Program Summary)
- List of Resident Associations Participating with the Intermediary Resident Association (Intermediary Resident Organizations only)

❒ **TAB 2: TOP Needs Assessment (ESSG and MG only)**

❒ **TAB 3: TOP Work Plan**

Section I Summary

Section II Coordination

- EZ/EC Certification (Form 2990)
- Certification of Consistency with the Consolidated Plan (Form 2991)

Section III Detailed Description of Program Activities, Objectives, Schedules and Budget

- Chart A: TOP Program Plan Summary (sample)
- Chart B: TOP Program Activity Breakout (sample)
- Chart C: TOP Budget (sample)
- Chart D: Summary Budget Information for HUD Automated Tracking (no sample provided)

Section IV Partnerships

- TOP Program Resources chart (no sample provided)

Section V Resident Involvement

Section VI Program Staffing and Administration

Section VII Activity Location/Community Facilities

Section VIII Program Assessment

Section IX Policy Priorities

❒ **TAB 4: TOP Applicant/Administrator Track Record and Certification**

- TOP Applicant/Administrator Track Record and Certification
- Certification on Disbarment and Suspension (Form 2992)
- TOP Applicant/Administrator Certification
- Chart A, TOP Applicant/Administrator Track Record

❒ **TAB 5: TOP Certifications and Assurances**

- TOP Certification of Consistency and Compliance
- Certification of Resident Council Board Election
- Resolution of Agreement To Comply with HUD Terms and Conditions for Technical Assistance
- Certification Regarding Other RM/TOP Funding Received
- Assurances—Non-Construction Programs (Form 424 B)
- Certification for a Drug-Free Workplace (Form 50070)
- Applicant/Recipient Disclosure/Update Report (Form 2880)
- Disclosure of Lobbying Activities (Forms LLL)
- Disclosure of Lobbying Activities Continuation Sheet (Form LLL-A)
- Disclosure of Lobbying (If applicable) (Form 50081)
- Certification of Payments To Influence Federal Transactions (HUD 50071)

❒ **TAB 6: TOP Memorandum of Understanding and Other Commitment Documents**

- Memorandum of Understanding/Agreement
- Evidence of Applicant Registration With State as a Non-Profit Corporation
- Evidence of IRO Registration With State as a Non-Profit Corporation And Application With IRS for Section 501(c)(3) Status
- Contract Administrator Partnership Agreement
- Statement of use or MOU on Availability of Community Facility

❒ **TAB 7: TOP Threshold and Rating Factor Check List**

TOP Fact Sheet

TYPE OF GRANT(Check One)
( ) Economic Self-Sufficiency Grant
    ( ) Basic Grant
    ( ) Additional Grant
( ) Organizational Development Grant
( ) Mediation Grant

LENGTH OF GRANT
(Maximum 2 years):_______

==

APPLICANT INFORMATION

Name of Applicant:____
Contact Name:_________________________Telephone Number:______________
Street Address:____
City/State/Zip:____
Type of Applicant(check one): ( ) Site-Based Resident Association
( ) Intermediary Resident Organization

==

PHA INFORMATION (Not applicable for Intermediary Organization)

Name of PHA/IHA:____
Contact Person_________________________Telephone Number:______________
Street Address:____
City/State/Zip:____

Name of Development & Project
Number:____________________________________
(Contact your housing authority for the Project Number.)
Number of Units: Family_______ Elderly_______

==

BUDGET INFORMATION

Please list specific budget amounts that are needed for each line item. These budget line items and amounts will be included in the Line of Credit Control System (LOCCS) for drawdown purposes and must match the budget in Tab 3 Section III Chart D.

BUDGET LINE ITEMS

AMOUNT

9810 Employment Readiness Training Contracts ________
9820 Business/Job Training Contracts ________
9830 Job Placement/Retention Contracts ________
9840 Mediation Activities ________
9850 Resident Organization Development Contracts ________
9860 Travel Costs ________
9870 Other Resident Costs (Stipends Reimbursements) ________
9880 Administrative and Other Costs ________

==

ORGANIZATION BOARD INFORMATION

Name of Board Member	Title	Appointment Date	Term

Date of Last Board Election:________________________

Does the organization have block captains? Yes____ No____
Does the organization have an operating committee? Yes____ No____
Is the organization incorporated as a non-profit in the State? Yes____ No____
Is the organization a Section 501(c)(3) corporation or have an application pending (IROs only)? Yes____ No____

==

SUMMARY OF PROGRAM

Please provide a brief summary of the proposed program in this application (100 words or less) including a brief description of key program components. This narrative will be used for used for Congressional notification and will serve as the official program summary.

List of Resident Associations Participating with the Intermediary Resident Organization

(Only Intermediary Resident Organization Applicants Need to Complete and Submit this Chart)

Name of the Resident Association	Contact Person	Address, City & State	Housing Authority

TOP 1998: TAB 2

NEEDS ASSESSMENT

- **Economic Self-Sufficiency Grant**
- **Mediation Grant**

TOP PROGRAM APPLICANT
NEEDS ASSESSMENT

Instructions for completing Needs Assessment for Economic Development Self-Sufficiency Grants are on pages 45-56 of Tab 2.

Intermediate Resident Organizations applying for Economic Self-Sufficiency grant funds **must** provide a separate Needs Assessment report for each development to be assisted.

Organizational Development Grant applicants do not need to complete a needs assessment. However, ODG applicants may find it helpful to complete the following needs assessment.

Mediation Grants applicants **must** complete the Needs Assessment/MG on pages 57 and 58 of Tab 2. The MG needs assessment should focus on mediation needs in the proposed service area, not just for a single public housing development. Mediation needs can address problems among residents, between residents and the housing authority or between residents and individuals or organizations in the broader community.

TOP PROGRAM APPLICANT
NEEDS ASSESSMENT
(Economic Self-Sufficiency Grant Applicants)

Each applicant **must** submit a Needs Assessment report dealing with the proposed recipient population. At a minimum, the report must contain sections containing statistical or survey information on the needs of the recipient population and identify existing resources to help meet the needs. HUD will award up to **18 points** to Economic Self-Sufficiency Grant (ESSG) applicants based on the quality and comprehensiveness of the Needs Assessment/ESSG report. See the SuperNOFA for specific guidance on needs assessment quality and comprehensiveness.

All FY 1998 Economic Self-Sufficiency Grant applicants should complete the forms and respond to all relevant questions on the following pages. A complete set of forms will provide HUD with a comprehensive and succinct presentation of the information required to demonstrate the need for TOP funds. It is not required that every statistic requested under Section A be provided. Nevertheless, the data provided in A must be sufficient to permit: (1) an assessment of the needs of eligible potential participants related to the proposed program goals—i.e., moving residents from welfare to work; and (2) development of and documentary support for a Work Plan that meets these needs. (The data must demonstrate that at least 51% of participating residents will be affected by welfare reform, *or* are elderly or disabled persons providing services to residents affected by welfare reform, such as child care or mentoring.)

NEEDS ASSESSMENT INSTRUCTIONS

In the space provided at the very top of the **Needs Assessment** Chart A, write the name of the development for which the Needs Assessment was prepared. Use the first column in the Needs Assessment Chart A to describe the entire resident population in the public housing development(s) identified in the proposed program. Break out data for TANF/AFDC families in the second column, and for Elderly/Disabled person families on SSI in the third column.

Indicate "***N/A"*** in the answer space for data requested that is not available or not pertinent to the clientele proposed to be served. For example, applicants who propose to serve

TANF/AFDC families only may put "N/A" in all items under the entire column for "Elderly/Disabled on SSI."

No applicant is required to conduct a survey prior to application submission for the sole purpose of responding to this Needs Assessment format. If no survey information is available on a particular topic, write "N/A."

CHART A: TOP NEEDS ASSESSMENT FOR ______________________________ (DEVELOPMENT)

DEMOGRAPHIC STATISTICS SHOWING NEED

	All Residents in Proposed Developments	TANF/AFDC Families (only)	Elderly/Disabled on SSI (only)
Total Number of Households			
Average Household Income			
Number of Children *Preschool 0 - 5*			
Number of *Grade School 6 - 12*			
Number of *Teenagers 13 -17*			
Number of Children *Total*			
Num. & Pct. of Households w/Children	/	/	/
Num. & Pct. HHs with persons over 65	/	/	/
Num. & Pct. HHs w/ disabled persons	/	/	/
Number & % Adults with High School Diploma/GED	/	/	/
High School Dropout Rate/Number	/	/	/
Num. & Pct. Heads of Household Unemployed	/	/	/
Num. & Pct. Heads of Household	/	/	/
Employed Full-Time	/	/	/
Employed Part-Time	/	/	/
TOTAL	/	/	/
Num. & Pct. Households on Welfare (TANF, SSI, etc)	/	/	/
Num. & Pct. Adults in: *Job Training*	/	/	/
Entrepreneurship Training	/	/	/
Community Service Program	/	/	/
Num. & Pct. Households with Non-Citizens Impacted by Welfare Reform	/	/	/
Other Statistical Indicators			

In the space below specify the source(s) of above statistical informati~~on~~ e.g., Census of Population; Housing Authority's Data Systems (based on residents' Form 50058, HUD's Multifamily Tenant Certification System, or other data source). Complete a separate Needs Assessment for each public housing development included in the proposal.

B. Briefly describe the results of any survey of residents in the target development(s) by the PHA, welfare department, or other source or provide other empirical observations (not reflected in the statistics on the previous page) regarding:

1. Resident professional, vocational, and educational skills and interests.

2. Resident training and supportive service needs related to moving from "welfare-to-work" such as counseling, literacy, English language skills, day care, transportation, and accommodation to disabilities.

C. Describe: (1) various employment opportunities in the community which address the range of resident educational levels, skills, and other characteristics profiled in items A and B of this needs assessment; (2) any training programs between one week and 18 months long and supportive service (such as transportation) that would be required for public housing residents and are unique to each opportunity; and (3) the extent to which each opportunity provides a stable livelihood sufficient to support families with children.

D. Key subpopulations.

(1) Based on the profile of the resident population and information on job opportunities, name key segments and service that need of the resident population needing training, economic development or supportive services for family self-sufficiency or independent living for elderly persons or persons with disabilities. Describe the need, briefly.

Source of Data or Justify Estimate:
Population:
Need:

(2) Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

(3) Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

(4) Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

(5) Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

E. Describe how the extent and nature of these needs will be affected by welfare reform. Include in this discussion a brief summary of key provisions your State government's welfare reform plan that are applicable to the population you intend to serve.

F. Specify the number of persons in the following categories, and identify their roles:

1. Residents in the development employed by the Housing Authority.

2. Residents in the development employed by Housing Authority contractors.

3. Resident-owned businesses contracting with the Housing Authority.

Also, indicate the percentage (%) of:

1. Housing Authority employees who are residents.

2. Housing Authority contractors which are resident-owned or who employ more than one Housing Authority resident.

3. Housing Authority contract dollars which go to resident-owned businesses or to businesses which employ more than one Housing Authority resident.

G. Name existing service providers on-site or near the targeted public housing development(s) that currently serve residents and contribute to meeting needs you have identified for the development. Assess the differential between what is provided and the level of need that you have identified over the next 2 years.

1. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which identified needs of Targeted Development(s) are addressed by this Service Provider and type of service:

2. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which identified needs of Targeted Development(s) are addressed by this Service Provider and type of service:

3. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which identified needs of Targeted Development(s) are addressed by this Service Provider and type of service:

4. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which identified needs of Targeted Development(s) are addressed by this Service Provider and type of service:

5. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which identified needs of Targeted Development(s) are addressed by this Service Provider and type of service:

6. Service Provider/Resource

(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which identified needs of Targeted Development(s) are addressed by this Service Provider and type of service:

H. Given the needs and resources identified, and the impact of welfare reform, summarize and prioritize unmet needs for family self-sufficiency or independent living for the elderly and disabled. All TOP applicants must focus on households affected by welfare reform.

Need 1

Need 2

Need 3

Need 4

Need 5

TOP Needs Assessment
(Mediation Grant Applicants)

HUD will award up to 18 points based in the quality and comprehensiveness of the needs assessment document.

1. Describe the geographic boundaries of the proposed mediation services area. Include a list of State, county, and municipal jurisdictions in the service area. Describe the area also in terms of size (e.g., square miles) and neighborhoods or other commonly used names to describe parts of the service area. Include a map if possible.

2. Provide thorough description of the current public housing community as it relates to the need for mediation, for example, describe human relations problems related to illegal gang activity in the community and other crimes; relations among various racial, ethnic and socio-economic groups; and relations between residents, resident leaders and community institutions such as the police, schools, and welfare department, (2) specific information should be provided on the relationship between the HA and the resident groups. Include statistical data with your discussion. Use additional pages as needed; but be concise.

TOP Needs Assessment
(Mediation Grant Applicants)

3. Based on your response to Question 2, identify three problems or issues that would benefit from mediation.

   (a)

   (b)

   (c)

4. How are the problems or issues resolved currently (e.g. lease and grievance, trials)?

   (a)

   (b)

   (c)

4. What resources are currently available to residents in the development or provided by the housing authority to resolve problems (e.g., alternate conflict resolution clinics, peer counselors, informal intervention by community police)? Including the number and type of services, the location of services, and community facilities currently in use. (Exclude the courts and police arrest.)

TOP 1998: TAB 3

TOP WORK PLAN

TOP Work Plan

Applicants must respond to Sections I through VIII below. Use a separate section or page to address Section.

SECTION I. Work Plan Summary

Briefly summarize the proposed program's goals, activities, milestones, and how the levels of need identified in the Needs Assessment would be reduced. For Economic Self-Sufficiency Grants, in referencing how the needs identified in the Needs Assessment would be reduced, applicants must demonstrate and clearly state that at least 51% of the residents to be assisted by the proposed program are affected by welfare reform. Included, in the 51%, can be elderly or disabled residents, not otherwise affected by welfare reform, but who provide services to families affected by welfare reform. (Intermediary Resident Organization applicants must describe briefly how the program objectives and activities will vary by activity site and should reference or cover all sites listed in the List of Site-Based Resident Associations participating in the IRO Application included in Tab 1.)

Program goals and activity milestones should be your desired outcomes and phrased as numerical measures of performance. For Economic Self-Sufficiency Grants, generally, program performance objectives represent significant achievements related to welfare-to-work and other family self-sufficiency or personal independence goals. Economic achievements are preferable as program goals to program activities. For example, for residents affected by Welfare Reform, the number of residents employed or resident businesses started is a preferable goal to the number of residents receiving training or business start-up assistance. An example of a good program goal is: *achieving employment of 100 residents or starting 10 resident businesses*. Milestones for each activity or task should lead in a realistic progression towards overall program goals and objectives.

Geographic Service Area (MG only)

Mediation Grant applicants must define the geographic boundaries of the proposed mediation service area.

SECTION II. Coordination

Describe how the proposed TOP activities will be consistent and coordinated with:

- The appropriate State or local Consolidated Plan. (See Form 2991 at the end of this Tab.)
- An Empowerment Zone or Enterprise Community. If any TOP activities will be located in, or will serve the population of, an Empowerment Zone or Enterprise Community, describe the extent to which the proposed program will be coordinated with the EZ/EC Strategic Plan. (See Form 2990, in Part IV of the overall TOP/EDSS application kit.)
- Housing Authority activities such as the Housing Authority's Section 3 efforts and Family Self-Sufficiency (FSS) programs.

- Other plans and programs.

SECTION III. <u>Detailed Description of Program Activities, Objectives, Schedule, and Budget</u>

<u>General Instructions for Completing Section III</u>. Describe all proposed program goals, milestones and activities - whether paid for by TOP grant funds or other sources. A complete response consists of (1) narratives, which for applications for Economic Self-Sufficiency Grants, should be organized by the six (6) phases described below, and (2) four required charts—A, B, C, and D. The narrative combined with the charts should provide a comprehensive description of how the proposed plan provides training and services to enable the successful transition from welfare to work of non-elderly families **or** the achievement of "independence" for elderly residents or residents with disabilities. (For Economic Self-Sufficiency Grant and Mediation Grant, to obtain maximum points in Rating Factor 3, you must describe how the training and related services will be available on a flexible schedule as needed by targeted residents.) IROs should provide separate narratives and charts for each of the project sites they propose to assist.

For Economic Self-Sufficiency Grant applicants only, program activities should be planned and budgeted in sequence according to the following six (6) phases: (1) start-up; (2) procurement; (3) pre-employment (literacy and life skills) training; (4) economic self-sufficiency (employment, business or Homeownership) training; (5) job placement, and (6) grant closure. A more detailed discussion of these phases is provided below.

For Organizational Development Grant applicants, it is not necessary to follow the six phases in preparing the proposed Work Plan. Yet, because the focus of organizational capacity building under TOP is on welfare-to-work activities, it may be helpful to clearly identify the steps required to build Site-Based RA capacity to deliver welfare-to-work services. The steps may include some of the topics identified in the six phases discussed below.

For Mediation Grant applicants, the Work Plan should reflect the steps involved in setting up and delivering a mediation service program, training in mediation skills, and delivering mediation services. The Work Plan should reflect the problems identified in Section I of the Needs Assessment (Tab 2).

<u>Explanation and Instructions for Charts A, B, C, and D</u>. **Blank formats for the four charts are provided in Part D of this TOP/EDSS Application Kit.** For further guidance in completing Charts A, B and C, refer to sample completed Charts on the following pages.

In *Chart A*, the applicant is required to summarize information for each phase of the proposed program including start and end dates, milestones for successful phase completion, and the role of any partner in assisting the RA and Contract Administrator during this phase.

Chart B breaks down each phase into major activities or tasks, their projected start and end date, and a description of any partner responsible for the activity/task. (**NOTE**:

For each phase in Chart A, a separate Chart B should be completed.)

Chart C is a detailed budget of how TOP grant funds, and funds provided by other partners, will be expended over the grant period. The activities included in the budget should be listed in order of grant phase and starting date. There should be at least one activity in the budget for each grant phase. The costs listed for each line item in all activities must add up to the costs listed under those same line items in the Summary TOP Budget on the last page of the TOP Budget: Chart C.

Chart D is a summary of program expenditures by a standardized series of line items. (A sample chart is not provided, but a blank chart is provided in Part III.)

Special Concerns for "Resident" and "Administrative" Costs in Chart C: Requirement for Narrative

1. When budgeting for the "Resident Costs" and the "Administrative and Other Costs" line items, the applicant must apportion total costs for each line item among the various activities listed in the budget.

2. Include a narrative with Chart C which breaks out total costs for these categories into components (see below) and justifies the need for each cost in relationship to implementing proposed grant activities:

   a) "Resident costs" should be broken out into the following components, as appropriate: stipends for training participants (may not exceed $200 per month per trainee without written HUD authorization); reimbursement of board member costs; travel (limited to $5,000 except for IROs), and child care (limited to 2% of grant).

   b) "Administrative and Other Costs" may involve the following components: "other" costs (explain); computers; telephone system; other equipment; computer software; furniture; utilities; general office costs (printing, copying, etc.); rental or lease of a car/van/bus for residents to attend training; audit cost, and Contract Administrator's fee (if any). See Part One of this Application Kit under "Eligible Costs" for overall restrictions on administrative costs.

Chart D summarizes the proposed budget according to eight (8) budget line items. (See blank format in Part IV of the overall TOP/EDSS application kit.) The line items should total to the same amount as in TOP Budget: Chart C. The line items correspond to the drawdown categories under the Line of Credit Control—Voice Response System for funded grants.

Phasing of TOP Program Activities (Economic Self-Sufficiency Grant applicants only). Program activities and tasks should be grouped in the following phases, and should include the day care, transportation, and other supportive services to be provided during
each phase. Applicants for Organizational Development and Mediation Grants must

complete Tab 3, but are not required to organize the proposed Work Plan by these six phases.

Phase 1. Startup: Most of the work in this category should be resident outreach and recruitment of training program participants, because the applicant must be organized with its partnership in place prior to application submission. This phase may include:

A. Recruitment/Outreach. (Mandatory element). Describe the outreach plan, any resident subgroups to be targeted (such as single parents on welfare without a high school diploma): and methods for recruiting, assessing, and developing individual training plans for each participant. Resident meetings for recruiting participants must be widely publicized and be used to inform all residents how they may be affected by welfare reform including general information, especially for those who may not sign up for TOP funded training, of available resources to assist them in the transition.

Consistent with the needs assessment and your summary of the TOP Program in Section I, you must target recruitment of resident subgroups to achieve the result that at least 51% of those served by TOP-funds be residents affected by welfare reform, or elderly disabled residents who provide services to assisted families and otherwise not affected by welfare reform.

B. Resident Association Organizational Training. Program training for resident leaders conducted by HUD, and leadership or financial training for resident leaders. Any such training must be completed within the first six months after Grant Agreement execution. Because this will tend to preclude the time needed to procure a contract, obtain any needed training through the Housing Authority, Contract Administrator or other pro-bono partner.

C. Continued Eligibility of RA. Maintain periodic democratic elections for the resident organization pursuant to the TOP regulation (24 CFR Part 964), the organization's bylaws, and ongoing communication and outreach to ensure a high level of resident awareness and involvement.

Phase 2. Procure Contracts for TOP Training and Technical Assistance to Residents: In this phase, contracts are procured for Phases 3 through 4, including for program evaluation and audit. This phase should be completed with all contracts in place within the first nine months after Grant Agreement execution. Tasks may include: refining the appraisal of resident training or technical assistance needs based on assessments of participants, developing Requests for Proposals, organizing bid evaluation procedure, advertising the contract or purchase order, selecting contractors, and negotiating contracts.

Phase 3. Welfare-to-Work Job Readiness (Pre-employment) Training
This phase includes:

A. Literacy Training. GED, college (except for vocational degree/certificate programs, which should be listed in Phase IV), or other appropriate verbal/ math skills to enable residents to complete employment training, to qualify for employment and to succeed on the job.

B. Life Skills Training. Mentoring, self help groups, or counseling to help trainees function in the work world, develop self-esteem, overcome substance abuse, win in the family, and get other skills critical for successful transitions from welfare-to-work and for raising youth who can advance themselves.

C. Social Service Coordination. Includes studies to determine social service needs and hiring a service coordinator or caseworker to refer participants to supportive services.

Phase 4. Economic Self-Sufficiency Training: Skills provided should bridge participant skills and interests with job or business opportunities. Include in this phase any:

A. Job Development Assistance and Job Training, for example, housing management or maintenance training for residents to be employed by the housing authority.

B. College Vocational Degree/Certificate Programs, such as nursing or physical therapy, that lead directly to employment opportunities.

C. Resident-Owned Business Development Training, which should provide all types of skills needed to make the enterprise successful.

D. Homeownership training.

Phase 5. Job Placement/Employer Linkage: Technical assistance for job searches, such as classes in resume writing and interviewing skills, is eligible for TOP funding. Also, providing lists of trainees to employers looking for qualified employees in the same field can be justified as "Social Service Coordination." On the other hand, TOP funded contacts by job counselors/ coordinators to employers on behalf of a specific applicant or payments to an employment placement agency are not eligible for TOP funding. However, HUD encourages applicants to find partners such as State/local welfare or economic development departments, local business groups, or non-profits, who will fund a targeted initiative to place TOP trainees in jobs or successfully include TOP trainees in existing placement program.

Job placement efforts can benefit from federal and state incentives for hiring welfare recipients. One strategy would be to line up employer commitments in advance, for example, securing the County Health Department's participation in training design and commitment to hire qualified trainees at the development's on-site Community Health Center before initiating training programs for public housing residents to become medical technicians or nurses.

Phase 6. Grant Program Closure. Activities in this phase include:

A. Job Retention Training. This continues life-skills training -- such as mentoring and other forms of counseling -- from Phase 3 to help program participants address the "unwritten rules" of the daily work world and personal issues that can negatively affect job performance.

B. Program Assessment. The requirements for program evaluation/ assessment are included in Section VII of this Tab 3 TOP Program Implementation Plan.

C. Program Audit. Audits are performed by an independent public accountant (IPA) that is independent of the TOP partnership.

D. Program Closeout.

TOP PROGRAM PLAN SUMMARY

#	PHASE/ACTIVITY	START DATE END DATE	MILESTONES	PARTICIPATING PARTNER ACTIVITY
1.	Startup - Organizational development (community organizing, HUD & financial training); activity center renovation; resident outreach, recruitment and assessment.	11/1/97 - 4/30/98	To marshal resources and recruit 60 residents for welfare-to-work program	Ourtown Comm. Development Corporation training; Housing Authority activity center renovation; Ourtown College outreach & assessment
2.	Procurement of Welfare to Work Training Contracts (Life skills, Job and Business skills training)	1/15/98 - 4/30/98	To design Statement of Work and conduct procurement to obtain superb training, reasonable cost	Contract Administrator (Housing Authority) to take lead under direction of Resident Association
3.	Welfare to Work Readiness Training - literacy training (GED etc) and group or one-on-one life skills (mentoring, family counseling and referrals to support services)	4/30/98- 5/31/00	To provide math, verbal, and personal skills to support training and employment for 60 residents.	Contract for GED training; Ourtown College will provide other literacy; FCS and AAMA to do life skills training/train mentors
4.	Economic Self-Sufficiency Training - (a) Health technician training for 30 residents; (b) Microenterprise and Housing Management training for 30 residents.	10/1/98- 5/31/00	To train 60 participants for full-time employment at family sustaining wages	Procure contract for Resident Nurse/Health Coordinator and Microenterprise/Housing Management Training
5	Job Placement - Not to be paid for with TOP funds. Partners will provide.	5/1/99- 5/31/00	To move 50 trainee graduates to full-time jobs or businesses at sustaining incomes	Ourtown Hospital will employ trained health technicians. PIC to assist with Housing Mgt. business startup
6	Closure - Employment Maintenance Training (continued mentoring and counseling); grant audit; grant closeout, and evaluation.	5/31/00 - 10/31/00	To assist 50 residents retain employment and to evaluate and closeout grant	Will contract for employment maintenance training. Ourtown Community College will conduct evaluation

Overall Goal/Objective: **To enable 50 residents to move from welfare to full-time employment at sustaining incomes.**

TOP ACTIVITY BREAKOUT
for Phase 1: Start-up

#	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED/ROLES
A	Attend HUD training		Resident Association leaders and Housing Authority (Contract Administrator) staff.
B	Community Organizing Training	11/1/97 - 1/1/98	Pro-Bono training of RA Board members and Block Captains by Ourtown Community Development Corporation
C	Financial Management Training	11/1/97 - 1/1/98	Housing Authority, as Contract Administrator, to train RA Board Members and other volunteers who will likely incur or assist in tracking expenditures.
D	Outreach/ Recruitment - Produce, deliver and post brochures and notices. Conduct All Tenant meetings on impact of Welfare Reform, opportunities and requirements of TOP program. Provide information & conduct interviews as appropriate.	11/1/97 - 2/1/98	Resident Association with assistance of Housing Authority
E	Participant Selection and Assessment- Determine interests; literacy, technical and life skills levels, and training needs of participants. Coordinate with Welfare Department to establish individual Training Plans for each participant.	1/97 - 4/1/98	Resident Association with partnership/ assistance of Housing Authority and Ourtown Community College.
F	Activity Center Renovation - No TOP funds involved.	11/1/97 - 4/1/98	Housing Authority to manage and pay for project with modernization funds. Resident Association to participate in designing and selecting services to be housed.

Milestone: To activate resources and recruit 60 residents on TANF for employment related training and placement.

Sample Completed Chart **TOP Budget** *Tab 3, Chart C*

	PHASE/ACTIVITY	BUDGET ITEM	TOP GRANT COST	NON TOP COST	TOTAL COST
1.	Startup- Organizational	TOP Resident Expenses	$1,000		
	Devt.- HUD training,	Administrative and other Costs	$1,000		
	Community Organizing	Contract #1 Purpose			
	and financial training.	Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name: Ourtown CDC		$5,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$2,000	$5,000	$7,000
2	Startup- Outreach,	TOP Resident Expenses	$1,000		
	Marketing and assess-	Administrative and other Costs	$2,000		
	ment.	Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS		$10,000	
		PARTNER 1 Name: Ourtown Comm. College		$20,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$3,000	$30,000	$33,000
3	Procurement -	TOP Resident Expenses			
	Planning, Statement of	Administrative and other Costs	$1,000		
	Work, Competition for	Contract #1 Purpose			
	Three Contracts	Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$1,000	$0	$1,000

#	ACTIVITY	BUDGET ITEM	TOP GRANT COST	NON TOP COST	TOTAL COST
3	Welfare to Work	TOP Resident Expenses	$0		
	Readiness (Pre-employ-	Administrative and other Costs	$2,000		
	ment) Training- Life skills	Contract #1 Purpose			
	Support Groups& 1 on 1	Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS		$20,000	
		PARTNER 1 Name: Family Counseling Service		20,000	
		PARTNER 2 Name: African Amer. Men Assn		20000	
		PARTNER 3 Name:			
		TOTAL COSTS	$2,000	$60,000	$62,000
3	Welfare to Work	TOP Resident Expenses	$2,000		
	Readiness (Pre-Employ	Administrative and other Costs	$2,000		
	ment) Training- Literacy	Contract #1 Purpose: GED Training	$15,000		
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name: Ourtown Community Coll.		$10,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$19,000	$10,000	$29,000
4	Job/Entrepreneurial	TOP Resident Expenses	$4,000		
	Training- Health	Administrative and other Costs	$5,000		
	Technician Training	Contract #1 Purpose: Resident Hlth/Nurse Trng	$22,000		
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$31,000	$0	$31,000

4	Job/Entrepreneurial Training - Housing Mgt/Maintenance	TOP Resident Expenses	$4,000		
		Administrative and other Costs	6000		
		Contract #1 Purpose MicroEnterprise Training	22000		
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name:			
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$32,000	$0	$32,000
5	Job Placement/ Business Startup - No TOP funds Involved	TOP Resident Expenses			
		Administrative and other Costs			
		Contract #1 Purpose			
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS		$5,000	
		PARTNER 1 Name: Ourtown Hospital		$10,000	
		PARTNER 2 Name: Private Industry Council		$20,000	
		PARTNER 3 Name:			
		TOTAL COSTS	$0	$35,000	$35,000
6	Closure- Post Employ-ment Counseling, Final Audit, Evalua-tion, Closeout	TOP Resident Expenses			
		Administrative and other Costs	5000		
		Contract #1 Purpose: Support Group Ldrship	5000		
		Contract #2 Purpose			
		HOUSING AUTHORITY FUNDS			
		PARTNER 1 Name: Ourtown Community Coll		$10,000	
		PARTNER 2 Name:			
		PARTNER 3 Name:			
		TOTAL COSTS	$10,000	$10,000	$20,000

CHART C, CONTINUED: OVERALL TOP BUDGET

BUDGET ITEM	TOP GRANT COST	NON GRANT COST	TOTAL COST
TOP Resident Expenses	$12,000		
Administrative and other Costs	$24,000		
CONTRACT	$64,000		
HOUSING AUTHORITY		$35,000	
PARTNER FUNDS		$115,000	
TOTAL COSTS	$100,000	$150,000	$250,000

<u>SECTION IV. Partnerships.</u> Applicants for **Economic Self-Sufficiency Grants (ESSG)** must address all subjects identified below. Applicants for **Organizational Development Grants (ODG)** need provide only evidence of a Memorandum of Understanding (MOU) or partnership agreement with a Contract Administrator. Applicants for **Mediation Grants (MG)** must provide: (a) a letter of support from Housing Authorities whose Site-Based RAs or public housing developments will be included in the mediation service area; (b) a contract with proposed mediation partner, and (c) documentation of other leveraged resources.

All applicants must document their partnership with the Housing Authority, the Contract Administrator (if different from the Housing Authority), and all other partners who will provide resources as described in the TOP application. At time of application submission, all Site-Based Resident Associations must have selected a competent Contract Administrator to carry out financial management, procurement, reporting to HUD, and other administrative activities on behalf of and under the direction of the Resident Association unless HUD or an Independent Auditor has determined, during the latest fiscal year completed, that the applicant has a financial management system and a procurement system that both meet the requirements of 24 CFR Part 84. In addition, the applicant will want to develop as many partners as possible from the welfare department, colleges, community service agencies, and business organizations to provide additional resources to the welfare-to-work effort.

The Contract Administrator may be the Housing Authority. Troubled housing authorities may not serve as Contract Administrator. If the housing authority is not a suitable Contract Administrator, the Resident Association should obtain the services of a competent and qualified nonprofit, such as a local Community Development Corporation that, like most Housing Authorities, will provide the service pro-bono (no cost). If the applicant must pay for a Contract Administrator's services, the written agreement with the Contract Administrator must stipulate that the applicant is not obligated to pay the administrator compensation for services rendered in advance of the HUD selection <u>and</u> a valid Grant Agreement with HUD. Further, any fee that the applicant must pay for a contract administrator's services must be tracked as an "administrative cost." HUD limits administrative costs to 30% of the grant if the applicant must pay for the Contract Administrator's services. If the administrator's services are pro-bono, only 25% of the grant can be used for administrative costs. (See "TOP Eligible Activities (4) General" in the SuperNOFA.)

The applicant has the option, also, to designate one entity to perform financial management and another entity to carry out procurement and other grant administration functions. Any fee charged by either or both parties must fall within the 30% restriction cited above.

A Contract Administrator or financial management entity other than a Housing Authority must be experienced in performing any function which the Applicant designates it to perform and must have had its work reviewed and found adequate by an independent third party entity. Evidence of such review findings may be an IPA audit, a government monitoring review, or a letter of reference from a previous client who is an official of a unit of government or established non-profit agency. Documentation is preferable if it is strong in addressing the proposed Contract Administrators competency and reliability.

For Intermediary Resident Organizations, describe the applicant's partnership with all the Housing Authorities and Resident Associations for each development you propose to assist.

Partnerships must be documented as follows:

- Applicants must provide evidence of each partner's firm commitment to fulfill its partnership responsibilities as a signed document in Tab 6. For Housing Authorities associated with Site-Based Resident Association applicants, this commitment must be in the form of a Memorandum of Understanding (MOU) with the Resident Association executed by both parties; for Contract Administrators other than Housing Authorities, this should be in the form of a Partnership Agreement. A sample MOU for a Housing Authority that is undertaking the role of a Contract Administrator with respect to procurement and resident organization training (but not for financial management) and a sample Partnership Agreement with a Contract Administrator who is not a Housing Authority, are included in Tab 6 of this application kit. If using either of these documents as models, the applicant must carefully adjust the provisions of the document to match the roles and relationships, which are deemed most appropriate for each party.

  The following information must be included in all MOUs or other commitment documents.

  1. The role and responsibilities of the partner relative to the proposed TOP program.

  2. The amount and type of resources and services that the partner firmly commits to contribute to the grant program, including in-kind contributions of personnel, material, equipment, building or lease and the duration of this commitment of services and resources.

  3. How the partner will coordinate with the applicant and other services or resources to be provided under the program.

  4. The roles, responsibilities, and resources to be provided must be firmly committed without any contingency other than HUD's funding of the TOP application.

  5. For MOUs/MOAs, the conditions upon which the agreement may be terminated by either party or amended. For Partnership Agreements with Contract Administrators, the conditions under which the RA may terminate the agreement based on nonperformance or other concerns.

  6. A signature, dated this year, of an authorized representative of the partner organization and, in the case of an MOU/MOA, of the TOP applicant.

- This section must include a narrative which provides the following information:

    1. The division of responsibilities between the applicant and its partners and how the applicant will coordinate with its partners to ensure program success and fulfillment of all partner commitments (consistent with a detailed description of the TOP program management structure in Section V of the Work Plan). Although the Contract Administrator must have a strong role, the applicant if selected must remain responsible for all grant activities including overseeing the Contract Administrator;

    2. The extent to which the partnership as a whole addresses a broader range of resident needs: the extent to which the addition of the partners provides the ability to meet needs more cost effectively or efficiently than the applicant or its partners could achieve individually without forming the partnership; and

    3. Detailed information on each partner and their contribution(s) to the partnership including the following:

        a. The role and responsibilities of the partner relative to the proposed TOP.

        b. The amount and type of resources and services that the partner firmly commits to contribute to the grant program, including in-kind contributions of personnel, material, equipment, building or lease, the duration of this commitment of services and resources and a description of how resources and/or services committed by the partner is effectively directed to support the proposed grant activities and other resident self-sufficiency efforts.

        c. The exhibit number in Tab 6 for the Memorandum of Understanding, partnership agreement or other documentation of the partner's firm commitment

        d. A description of the partner's expertise related to its role in the proposed program activities and the appropriateness of such expertise in fulfilling its role.

- Complete the Program Resources Chart that describes program resources. (See Part D of the overall TOP/EDSS application kit.) All resources and amounts listed in the charts must match the information for each partner provided in the Section IV narrative. In valuing volunteer time or services in the chart, use the following guidelines:

    1. The value of volunteer time and services shall be computed at a rate of $6.00 per hour except that the value of volunteer time and service involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the TOP activity is located.

2. The value of any donated material equipment, building or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated. The documentation shall be not more than one-year old and shall be taken from the community where the TOP activity is located.

An IRO will receive points under Rating Factor 3(4) by demonstrating the extent to which the HA for each of the project sites the IRO proposes to assist have agreed to support and coordinate their efforts with those of the IRO. **To demonstrate such support, IRO's must include in Tab 6 a letter of support from each HA that owns the project sites to be assisted.**

SECTION V. Resident Involvement. Describe the involvement of affected residents in the planning phase of the program (prior to application submission) and the Resident Association's commitment to provide continued resident involvement in grant implementation (after the grant is received if funded). For a high score in Rating Factor 3(7) Economic Self-Sufficiency applicants must provide information on prior resident involvement. The information must be sufficiently specific and quantifiable to permit HUD verification and the Resident Association's commitment must be in the form of a resolution which, for maximum points, shall include signatures from the resident community. Indicate the Exhibit number in Tab 6 of any such resolution.

An IRO applicant should describe how they would coordinate their activities with the RAs for each site. For higher points on Rating Factor 3(7), describe preliminary preparations already made by each site to take advantage of the proposed assistance, such as the RA for a proposed site having organized itself, selected leadership, and obtained basic training from the HA or community organizations.

SECTION VI. Program Staffing and Administration.

Program Staffing. The application's score in Rating Factor 1 will depend on your response to this section: Include a narrative description of the applicant's and Contract Administrator's proposed staffing (paid or volunteer) in support of the program and proposed coordination among and roles of service providers; a completed Program Staffing Chart (see Part D of the overall TOP/EDSS application kit); an organization chart (HUD is not providing a standard format for this chart); and staff position descriptions, and resumes, as available. Information should include:

1. A narrative explanation of how the staffing plan is structured to accomplish the program's objectives;

2. The names of a Resident Association leader and a Contract Administrator's staff person who will share primary responsibility for effective overall coordination of the program on a day to day basis and what percentage of each person's time (based on a 40 hour work schedule) will be committed to this responsibility.

3. The names of responsible resident leaders and Contract Administrator staff

persons, position descriptions, proposed roles in implementing the TOP program, relevant skills, and percentage of time allocated to the program.

4. A comprehensive description of who, whether applicant, Contract Administrator, contractor, Housing Authority or other designated partner staff, will provide training and related services and how the services will be delivered. (Some or all of this information may have been provided in Sections III or IV of the Work Plan, but must be provided here also to ensure full credit in HUD's scoring of Rating Factor 1.)

Program Administration. Describe the management structure of the proposed TOP program. In order to receive a high score in Rating Factor 2, an applicant must provide a comprehensive description of:

1. The lines of authority and accountability among all components of the proposed program including: (a) how the Resident Association will maintain fundamental authority and responsibility for all grant functions while delegating administrative functions to, and receiving technical assistance and guidance from the Contract Administrator; and (b) oversight exercised by the Resident Association and the Contract Administrator over one another and over the other contractors and partners.

2. Fiscal management structure, including but not limited to budgeting, fiscal controls and accounting. Clearly identify the staff responsible for fiscal management and the processes and timetable for implementation during the proposed grant period.

SECTION VII. Activity Location/Community Facilities. Provide a description of the location of the training or other activities. Describe the location of the facility in relation to the development to be served, the days and hours of operation, how the transportation needs to the facility will be addressed and how the facility will be accessible to persons with disabilities. A majority of program activities must be administered at community facilities in accordance with the following criteria:

1. The facility(s) must be located in or within easy accessibility of the property represented by the RA within 9 months of the grant award. Transportation must be convenient, reliable, and inexpensive.

2. For program participants living in dispersed rural housing, describe transportation access to the community facilities.

3. Describe how the facility(s) will meet structural access requirements under Section 504 of the *Rehabilitation Act* and *the Americans with Disabilities Act.*

4. Provide a use agreement, which may be part of the MOU with the HA if applicable, in Tab 6, that provides evidence of the availability of a community facility for TOP activities.

SECTION VIII. Program Assessment. Provide a plan to monitor TOP activities and evaluate the activities impact. Specify who will perform which assessment activities (e.g., applicant, Contract Administrator, contractor, or other partners). To obtain the maximum rating factor score (ESSG factor 3(8) and MG factor 3(5), the applicant must specify how it will measure its progress toward meeting the goals and objectives of the proposed TOP work plan (performance measures) and evaluate the TOP program's success during the implementation phase s and at the completion of the program. The assessment plan must include performance measures, a staffing plan, identification of automated systems to be used, quality control procedure, data collection procedures, and a timetable. Performance measures must include, at minimum, the work plan objectives described in Section I of this Tab 3. See the SuperNOFA for additional guidance on achieving the maximum score for Factor 3(8).

SECTION IX. Policy Priorities (ESSG and MG only)
In order to receive maximum points under the Rating Factor for Policy Priorities, applicants for Economic Self-Sufficiency Grant (Mediation Grant Rating Factor 3(6)) addresses at least three of the following five Departmental priorities: (a) affirmatively furthering fair housing choice for minorities and the disabled, (b) promoting healthy homes, (c) providing opportunities for self-sufficiency particularly for persons enrolled in welfare to work programs, (d) providing enhanced economic, social, or living environments in Empowerment Zones or Enterprise Communities, and (e) providing educational and job training opportunities through initiatives such as Neighborhood Networks, Campus of Learners, or activities involving Americorps Volunteers.

To the extent that your application addresses policy priority, (a) explain how the proposed TOP activities are consistent with the economic development objectives for low and very low-income residents and will help overcome impediments to fair housing. It is important for proposed economic development activities to be consistent with jurisdiction's or region's Analysis of Impediments in the Consolidated Plan.

TOP 1998: TAB 4

TOP APPLICANT/ADMINISTRATOR TRACK RECORD AND CERTIFICATION

TOP Applicant/Administrator Track Record and Certification

This Tab includes information related to the applicant's and Contract Administrator's past performance. In your proposal include this documentation behind the Tab 4 cover sheet: Applicant/Administrator Track Record, Certification on Disbarment and Suspension (Form 2992), the Applicant/Administrator Track Record chart.

As an aid to HUD's Threshold Review, complete and sign the certification on the following page. Also, complete and sign the Disbarment and Suspension (Form 2992).

To permit HUD to score your application, with respect to Rating Factor 1(c), complete the Applicant/Administrator Track Record chart. A blank format is included in Part D of the TOP/EDSS Application Kit. A sample, completed chart is included in this section. The form is designed to measure the applicant's and Contract Administrator's prior performance in carrying out grant programs designed to assist residents in increasing their self-sufficiency, security, or independence. Relevant program experience includes, but is not limited to:

- Family Investment Center Program
- Youth Apprenticeship Program
- Apprenticeship demonstration in the Construction Trades Program
- Urban Youth Corps Program
- HOPE 1, 2, and 3 Programs
- Section 8 Family Self-Sufficiency
- Public Housing or Section 202/8 Service Coordinator Program
- Public Housing (and Assisted Housing Drug) Elimination Programs
- Youthbuild
- Youth Sports Program
- Tenant Opportunities Program
- Housing Counseling
- HUD Nehemiah Program
- Limited Equity Housing Cooperative Conversions
- Resident services or empowerment programs sponsored by State or Local Governments or private foundations.

If the proposed Contract Administrator is a Housing Authority, provide the HA's most recent PHMAP scores.

If the proposed Contract Administrator is not the Housing Authority, provide evidence that the work performed by the Contract Administrator is similar to the proposed functions for the TOP grant, and that the work has been reviewed and found sufficient by an independent third party over the previous 18 months. Evidence of such review findings may be an IPA audit, a government monitoring review, or a letter of reference from an official of a previous client who is a unit of government or established non-profit agency. Documentation is preferable if it is strong in addressing the proposed Contract Administrator's competency and reliability.

Mediation Grant applicants must document the experience of that the mediator or mediation partner in this Tab 4. The documentation must clearly indicate that the mediation partner has at least 3 years experience in providing mediation services and at least 2 years experience in mediation training.

In addition, in Tab 6, Mediation Grant applicants must include at least one referral agreement with a judicial, law enforcement or social service agency such as the court system or Welfare Department for mediation referral of public residents. The referral agreement must commit the agency to refer public housing resident who are clients of the agency to the applicant for mediation services as appropriate, and must state the circumstances under which it would make such referrals.

Sample Completed Chart *Part II, Tab 4: Chart A*

TOP Applicant/Administrator Track Record

FOR Ourtown Housing Authority (Contract Administrator)

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete
Youth Apprenticeship Program	PA99YAP	100%	75%	To enable 30 resident youth to complete community service.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99DEP 00306095	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments	57%

TOP 1998: TAB 5

TOP CERTIFICATIONS AND ASSURANCES

TOP Certifications and Assurances

Review, complete, and sign all certifications and assurances included in Part D of the overall TOP/EDSS Application Kit (Except for the certification on PHMAP scores which is for EDSS applicants only) and include these certificates behind this Tab. Signatures should be provided by an authorized representative. By signing the certifications included under Part D of the overall TOP/EDSS application kit, the applicant agrees to adhere to statutes, regulations, guidance, and local plans that specify requirements for housing and community development programs.

TOP 1998: TAB 6

MEMORANDUM OF UNDERSTANDING AND OTHER COMMITMENT DOCUMENTS

TOP Commitment Documents

This Tab must include all Memoranda of Understanding or Agreement and other documents evidencing firm commitments to provide resources or assume responsibilities which the applicant has obtained in response to HUD requirements for application threshold eligibility or rating and ranking points under various selection factors. Examples of documents to be included are the Memorandum of Understanding between the Housing Authority and the Site-Based Resident Association or Intermediary Resident Organization; Partnership Agreement between the Resident Association and any Contract Administrator that is not a Housing Authority; any use agreements required for community facilities where grant activities will occur; and a resolution of the Resident Association committing to widely involve development residents in grant implementation.

Included in this Tab are sample documents. **They are sample materials only.** Documents for TOP must reflect the assignment of roles and responsibilities specified in the Work Plan.

Expect for applicants under the Organization Development Grant category who are Site-Based Resident Associations; this Tab must also include evidence that the applicant is incorporated as a non-profit in the State. An IRO must, further provide evidence that it has received or applied for designation by the United States Internal Revenue Service (IRS) as a Section 501(c) non-profit corporation. Evidence of incorporation for all applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of the IRO’s pending or current non-profit status shall be a copy of a recent request for 501(c) status or a copy of the IRS’s designation.

This Tab should include the Tab 6 cover page (the page previous to this one), a Table of Contents which lists each document by sequential Exhibit Number(s), and the commitment or evidentiary documents, ordered and labeled by Exhibit Number. Exhibit 1 should be the Resident Association’s Certificate of Incorporation for Site-Based RAs. Exhibit 2 should be the Memorandum of Understanding with the Housing Authority and Exhibit 3 should be the Partnership Agreement with any Contract Administrator who is not the Housing Authority, if applicable. Any other documents should follow in sequence.

SAMPLE TOP MEMORANDUM OF UNDERSTANDING (MOU)

This Memorandum of Understanding, hereinafter referred to as “MOU,” is made and entered into by and between the _________ Housing Authority, a governmental entity corporation, hereinafter referred to as “HA,” and the Resident Association of __________________________, a resident community organization, hereinafter referred to as “RA.” The parties hereto agree as follows:

I. REPRESENTATIONS

WHEREAS, the RA is applying for Tenant Opportunities Program (TOP) funds from the Department of Housing and Urban Development (HUD) to further it’s objectives in representing the residents of ____.

WHEREAS, the RA agrees to comply with all terms and conditions expressed in HUD’s Notice announcing applications for technical assistance, applicable provisions of 24 CFR 964, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by HA and agreed to in writing by a duly authorized representative of these organizations pertaining to the technical assistance provided.

WHEREAS, the HA is supporting the application of the RA for the TOP grant and agrees to provide technical assistance to the RA in accordance with HUD’s regulations.

WHEREAS, pursuant to the commitment made by the HA, this MOU is executed outlining the type, scope and extent of the services which will be provided by the HA to the RA if the grant is funded. If the grant is not funded, this agreement will be null and void.

Both parties herein fully understand and agree to the following roles and responsibilities:

1. The HA will provide technical assistance in preparing Requests for Proposals to procure professional services, advertising, and/or award of contracts, advertising and selection of the vendor to award the contract, and in drafting the actual contract.

2. The HA will render the technical assistance in compliance with the Procurement Policy, the Procurement Law, and the laws of the State and Local government.

3. The HA will provide on-the-job training and in-kind support to the RA related to the activities of the TOP, if requested by the RA.

4. The HA understands the goals of the RA under the TOP and will make every effort, within the budgetary allowance and solicitation of resources and services from the community, to achieve the goals of the RA.

5. The HA agrees to provide to the RA information on relevant training or seminars in regards to the TOP.

6. The HA agrees to provide transportation to the RA for all meetings pertaining to the TOP.

7. The HA agrees to promote the establishment of any resident businesses established under the TOP.

8. The HA agrees to allow its staff persons to provide technical assistance on any issues pertaining to the TOP.

9. The HA agrees to provide the RA with an office area and access to any necessary office equipment to conduct the affairs related to the TOP.

10. The HA agrees to monitor all RA elections, as required by the regulations provided by HUD.

11. The HA agrees to assist the RA in coordinating and monitoring the work of other contractors and partners who are providing program training and other assistance.

12. The RA agrees to cooperate with the HA in improving the conditions of their community by recruiting residents on a continuous basis in relation to the TOP.

13. The RA agrees to only include public housing residents legally residing in their development(s) in implementing the TOP Activities.

14. The RA agrees to hold fair and frequent elections for the resident organization board members, as stated in HUD's 24 CFR 964.130 (a)(1).

15. The RA has the right to conduct their own elections; however, the RA agrees to allow the HA to monitor the election process and to act as the local arbitrator, if needed, to settle any and all disputes.

16. The RA agrees to develop and adhere to official by-laws.

17. The RA agrees to provide the HA with a copy of its by-laws.

SAMPLE TOP MOU (continued)

18. The RA agrees to maintain a viable resident organization representative of the residents who elected it's officers and Board of Directors, which may include receiving official recognition from the HA and HUD to function as a RA pursuant to the HUD Regulations.

19. The RA agrees to work in a cooperative manner with HA and HUD.

20. The RA agrees to inform residents of their rights and responsibilities to participate in economic development programs under the TOP.

21. The RA Board Members agree to monitor all administrative tasks related to the TOP grant.

22. The RA agrees to inform and recruit public housing residents on a continuous basis, to participate in the TOP activities.

23. The RA Board Members agree to participate in the TOP activities.

24. The RA agrees to maintain financial control by becoming familiar with accrual basis accounting procedures to maintain good financial management along with the financial management firm.

25. The RA agrees to participate in all training provided to enhance the performance to their resident organization; such as Leadership development, Procurement Procedures, Accounting, Computer Skills, Business Management, Marketing, etc.

WITNESS OUR HANDS EFFECTIVE ____________________________________

Resident Association	Housing Authority
RA President	Executive Director

Date Date

SAMPLE TOP CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT

This partnership agreement is made and entered into by and between the Contract Administrator (CA), (e.g., the local housing authority (HA) or other non-profit corporations), hereinafter referred to as "CA," and the Resident Association of ______________________________(housing development), hereinafter referred to as "RA."

WHEREAS, the RA is submitting this proposal for a Tenant Opportunities Program Technical Assistance Grant to further it's objectives in representing the residents of ____.

WHEREAS, the RA agrees to comply with all terms and conditions expressed in HUD's NOFA, applicable provisions of 24 CFR 964, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by the CA and agreed to in writing by a duly authorized representative of the RA pertaining to the technical assistance provided.

WHEREAS, the CA supports the RA's TOP application and agrees to provide technical assistance to the RA in accordance with HUD's regulations.

WHEREAS, pursuant to the commitment made by the CA, this agreement is executed outlining the type, scope and extent of services that the CA will provide to the RA if the grant is funded. If HUD does not fund the grant, this agreement shall be null and void.

Both parties herein fully understand and agree to the following:

Roles and Responsibilities

The CA agrees to oversee the administration of the TOP grant that includes financial management, procurement, completing the semi-annual reports, and ensuring that all grant activities are completed successfully within the grant period. In meeting these commitments, the CA agrees to abide by the provisions of 24 CFR Parts 964, 45, 84 and 85 and OMB Circulars A-87 and A-122.

The CA agrees to operate under the direction of the RA. The RA retains ultimate responsibility for all grant activities, including drawing down funds from HUD, grant expenditures, and reporting to HUD. The CA will have authority to draw down funds and submit reports to HUD only with the written authorization of the RA. All checks and other expenditures in an amount higher than $_________ must be signed and/or approved by the RA or CA.

The CA agrees to conduct an educational needs assessment to determine the skills of each resident selected to participate in the various training programs designed by the RA.

SAMPLE TOP CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

The CA agrees to provide training to board leaders and active members of the RA in the following areas within six months after the RA has executed an agreement with HUD:

- HUD/OMB grant requirements including but not limited to 24 CFR Part 964, 84, and 45 and OMB Circular A-122
- Board development
- Community relations
- Principles of supervision and leadership
- Communications channels and chain of command
- Principles of employee motivation and management
- Evaluation and monitoring procedures
- Management planning for business functions
- Determining support services needs
- Develop a social services provision plan
- Implement the implementation plan

Coordination of Training and Technical Assistance Services

The CA agrees to coordinate the provision of assistance from community organizations, governmental officials and other public services on a variety of related topics and available relevant resources to the residents. Following are suggested resources:

- Elected Officials
- Area Enrichment Programs
- Local Banks - Community Relations Departments
- Chamber of Commerce - Small Business Development Programs
- Community Development Agencies
- Private Industry Council
- Local and State Health and Human Services Agencies & Affiliates
- Local Higher Education and Continuing Education Facilities
- Local Independent School Districts
- Community Social Services Organizations

Technical Assistance may also be provided on a variety of areas including but not limited to: general bookkeeping/record keeping procedures, procurement policies; banking procedures and managing grant funds.

SAMPLE TOP CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

Evaluation

The CA agrees to coordinate, conduct or assist the residents in evaluating the TOP activities based on the methodology in the applicant's proposal to HUD.

Contracted Amount

No funds will be paid to the CA for services rendered prior to HUD selection of the RA for TOP funding or for services rendered prior to the execution of a grant agreement between the RA and HUD. This agreement is conditioned on HUD's selection of the RA for TOP funding.

The contracted amount for all services defined within the context of this contract is based on a ____________ period of time beginning_____________ and ending ____________________, or $__________ for year one of the project, and $_________ for year two of the project with year two beginning __________. The installment payments shall be made in the amount of $_________________to __________________ upon submission of a Payment Voucher (PV) for costs incurred.

Termination

The RA may terminate this agreement within 60 calendar days of written notice to the U.S. Department of Housing and Urban Development and the CA. Termination may be based on non-compliance or non-cooperation by the CA. Termination may only occur when all channels of resolution have been exhausted, including mediation between the two parties. If all avenues have been exhausted, termination will require a two-third majority vote of the Board of Directors of the RA.

WITNESS OUR HANDS EFFECTIVE ______________________________

____________________________	____________________________
Resident Association	Contract Administrator
____________________________	____________________________
RA President	Executive Director

Date	Date

TOP 1998: TAB 7

TOP THRESHOLD AND RATING FACTOR CHECK LIST

THRESHOLD AND RATING FACTOR CHECK LIST

This checklist will be used by the applicant and by HUD to verify that all program threshold requirements have been met and that rating factors have been addressed as well as possible. For your convenience, cross-references to relevant sections of the SuperNOFA for TOP/EDSS are provided (unless otherwise specified).

To indicate that you have provided the required documentation or narrative with your TOP application, place a checkmark in the left column appearing after the description of each threshold or rating factor. Leave the right column blank. HUD will complete its own checklist verification in the right column during the screening process.

THRESHOLD REQUIREMENTS	Applicant Use	HUD Use
■ Economic Self-Sufficiency Grant		
1. Focus on residents affected by Welfare reform. (Provide written evidence that at least 51% of TANF or SSI residents will be affected by welfare reform; or, if not, that the participant is an elderly or disabled resident providing child care or mentoring services.) (Tab 3, Section 1, Tab 2)	______	______
2. Partnerships between RA and HA. (Tab 6)	______	______
a. Signed MOA between RA and HA.	______	______
b. MOU content requirements.	______	______
3. Accessible community facility. (Provide evidence of easy access or reliable transportation.) (Tab 3, Section VII, Tab 6)	______	______
4. Contract Administrator. (RAs must provide evidence of agreement with a CA.) (Tab 3, Section IV Narrative, Tab 6 Partnership or MOU)	______	______
5. Applicant non-profit status.		

(Tab 6)

THRESHOLD REQUIREMENTS (continued)	Applicant Use	HUD Use
a. All applicants. (Provide evidence of Incorporation in the State.) (Tab 6)	______	______
b. Evidence of Section 501(c)(3) status or pending application. (IROs only.) (Tab 6)	______	______
6. Certification of RA board elections. (Tab 5)	______	______
f		
g 7. Compliance with current programs. (Provide certification that applicant and Contract Administrator are not in Default of HUD programs. See Applicant/Administrator Track Record.) (Tab 4)	______	______
8. List (chart) of RAs that will receive training, technical assistance, or coordinated services (IROs only). (Tab 1)	______	______

■ Organizational Development Grants

1. Certification of RA board elections. Contract Administrator. (RAs only. Evidence that CA is a Contract Administrator. (Tab 5)	______	______
2. Contract Administrator (CA). (RAs only provide evidence of agreement with a CA.) (Tab 3-Section IV Narrative, Tab 6-Partnership or MOU)	______	______
3. Compliance with current programs. (Certification that applicant and Contract Administrator are not in default of HUD		

programs. See Applicant/Administrator Track Record.) (Tab 4) ______ ______

THRESHOLD REQUIREMENTS (continued)	**Applicant Use**	**HUD Use**
■ Mediation Grants		
1. Written agreement with mediator. (Tab 6)	______	______
2. Mediator Experience (Tab 4)	______	______
Referral Agreement (Tab 6)	______	______
3. Applicant registration as non-profit with the State (IRO). Applicant's application to IRS for Section 501(c) status. (IRO only). (Tab 6)	______	______
4. Compliance with current programs. (Tab 4)	______	______

RATING FACTORS	Applicant Use	HUD Use
▪ **Economic Self-Sufficiency Grant (ESSG)**		
Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points) (Tab 3-Section IV and Tab 4)		
1. Staffing (7 points)		
a. Experience (4 points)	_____	_____
b. Sufficiency (3 points)	_____	_____
2. Program Administration and Fiscal Management (7 points)		
a. Program Administration (4 points)	_____	_____
b. Fiscal Management (3 points)	_____	_____
3. Applicant/Administrator Track Record/ Capability (6 points)	_____	_____
Factor 2: Need/Extent of the Problem (20 points) (Tab 2 and Tab 3—Section II)		
1. Needs Assessment Document (18 points) (Tab 2)	_____	_____
h 2. Level of Priority in Consolidation Plan i (2 points) (Tab 3, Section II)	_____	_____
Factor 3: Soundness of Approach (40 points) (Tab 3)		
1. Viability and Comprehensiveness of the Strategies to Address the Needs of the Residents (11 points) (Tab 3-Section III)	_____	_____
2. Budget Appropriateness/Efficient Use of Grant Funds (6 points) (Tab 3-Section III)	_____	_____
3. Reasonableness of the Timetable (1 point) (Tab 3-Section III)	_____	_____
4. Policy Priorities (2 points)	_____	_____

(Tab 3-Section IX)

RATING FACTORS (continued)	Applicant Use	HUD Use
5. Housing Authority-Resident Association Partnership (8 points) (Tab 3, Section IV)	_____	_____
6. Other Partnerships (4 points) (Tab 3-Section IV)	_____	_____
7. Resident Involvement (4 points) (Tab 3-Section V)	_____	_____
8. Program Assessment (4 points) (Tab 3-Section VIII)	_____	_____
Factor 4: Leveraging Resources (10 points) (Tab 3-Section IV and Tab 6)	_____	_____
Factor 5: Comprehensiveness and Coordination (10 points) (Tab 3-Section II)		
1. Coordination with the Consolidated Plan (2 points)	_____	_____
2. Coordination with the State Welfare Plan (4 points)	_____	_____
3. Coordination with Other Activities (4 points)	_____	_____
Bonus Points: Coordination with EZ/EC (2 points) (Tab 3-Section IX)	_____	_____

- **Organizational Development Grant (ODG)**

There are no rating factors for ODG. ODG recipients will be selected by lottery.

- **Mediation Grant (MG)**

Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points) (Tab 3-Section IV)

1. Staffing (7 points)
    a. Experience (4 points) ______ ______
    b. Sufficiency (3 points) ______ ______

RATING FACTORS (continued)	**Applicant Use**	**HUD Use**
2. Program Administration and Fiscal Management (13 points)		
a. Program Administration (4 points)	______	______
b. Fiscal Management (3 points)	______	______
c. Applicant/Administrator Track Record/Capability (6 points)	______	______
Factor 2: Need/Extent of the Problem (20 points) (TAB 2 and Tab 3-Section II)		
1. A Needs Assessment Document (18 points) (Tab 2)	______	______
2. Level of Priority in Consolidated Plan (2 points) (Tab 3-Section II)	______	______
Factor 3: Soundness of Approach (40 points) (Tab 3)		
1. Viability and Comprehensiveness of the Strategies to Address the Mediation Needs of Residents (21 points) (Tab 3-Section III)	______	______
2. Budget Appropriateness/Efficient Use of Grant Funds (6 points) (Tab 3-Section III)	______	______
3. Reasonableness of the Timetable (2 points) (Tab 3-Section III)	______	______
4. Other Partnerships (5 points) (Tab 3-Section IV)	______	______
5. Program Assessment (6 points) (Tab 3-Section VIII)	______	______

RATING FACTORS (continued)	Applicant Use	HUD Use
6. Policy Priorities (2 points) (Tab 3-Section IX)	______	______
Factor 4: Leveraging Resources (10 points) (Tab 3-Section IV and Tab 6)	______	______
Factor 5: Comprehensiveness and Coordination (10 points) (Tab 3-Section II)		
1. Coordination with the Consolidated Plan (2 points)	______	______
2. Coordination with the State Welfare Plan (4 points)	______	______
3. Coordination with Other Activities (4 points)	______	______
Bonus Points: Coordination with EZ/EC (2 points) (Tab 3-Section IX)	______	______

C. ECONOMIC DEVELOPMENT & SUPPORTIVE SERVICES

DUE DATE: July 31, 1998

ECONOMIC DEVELOPMENT AND SUPPORTIVE SERVICES
TABLE OF CONTENTS

TAB 3 continued

Section VIII Coordination with State or Tribal Welfare Plan/Community Consolidated Plan/Other Activities

Section IX Policy Priorities

Sample Forms

TAB 4: Budget Appropriateness/Efficient Use of Grant

TAB 5: EDSS Applicant/Administrator Track Record

TAB 6: EDSS Certifications and Assurances

TAB 7: Memorandum of Understanding and Other Commitment Documents

TAB 8: EDSS Threshold Criteria Check List; Rating Factors Check List

EDSS INTRODUCTION

PROGRAM BACKGROUND

Funding for the Economic Development and Supportive Services (EDSS) program is authorized under the Community Planning and Development section of the Fiscal Year 1998 congressional appropriation entitled *An Act Making Appropriations for the Departments of Veteran Affairs and Housing and Urban Development*, and for sundry independent agencies; boards, commissions, corporations, and offices for the fiscal year ending September 30, 1998, and for other purposes, (Pub.L. 105-65, approved October 27, 1997) - (hereafter the 1998 HUD Appropriation)." The purpose of the EDSS program is to provide grants to Public Housing Authorities (PHAs), Tribes, and Tribally Designated Housing Entities (TDHEs) to enable them to establish and implement programs that increase resident self-sufficiency, and support continued independent living for elderly and disabled residents.

HUD's implementation of 1998 congressional EDSS appropriation began with the FY 1998 Notice of Funding Availability (SuperNOFA) which announced that $47.2 million will be made available under the program. The Department is setting aside $5 million of this amount to fund applications from TDHEs, with the remainder available to fund applications from PHAs. Both the amount for Tribes/TDHEs and the amount for PHAs will be allocated as follows: 60% will be allocated to Family Economic Development and Supportive Services category grants; and the remaining 40% will be allocated to Elderly and Disabled Supportive Services category grants.

The sections of this SuperNOFA for TOP and EDSS have been combined to highlight HUD's parallel restructuring of these complementary programs. The restructuring represents a major HUD initiative to improve the targeting and management of limited resources for resident self-sufficiency. The goal is to most effectively focus these resources on "welfare to work" and on independent living for the elderly and persons with disabilities. HUD believes that it is imperative that housing authorities and residents work together to meet the challenge of welfare reform.

In the body of the SuperNOFA is information concerning the SuperNOFA's purpose, applicant eligibility, selection criteria, and application processing, including how to apply, how selections will be made, and how applicants will be notified of results.

This kit should be used to apply for a grant under the Public and Indian Housing EDSS grant program in order for HUD to review and evaluate the applicant's eligibility, proposed grant activities, costs, and administrative capacity for successful grant implementation. **Throughout this application kit, there are detailed cross references to the SuperNOFA - they refer to the TOP/EDSS portion of the SuperNOFA unless otherwise noted.**

ORGANIZATION OF APPLICATION KIT

This Application Kit includes general instructions for preparation of an application and blank forms and worksheets in two basic parts:

Part I. *Basic Program Requirements* - This part provides information on how to develop your application. For additional information, please contact the local HUD Public Housing Division, the Native American Programs Office, or the Public and Indian Housing Information and Resource Center at 1-800-955-2232.

Part II. *Completing Your Application* - Cover sheets, instructions for narratives, charts, and other submission materials are provided for use in preparing your application. Each cover sheet has instructions for the information to be provided. Use each cover sheet as part of the first page for each tabbed section of your application. Use additional sheets as needed when developing sections of your application. Selected *sample* materials are included for your convenience. Applicants may not copy the sample materials and insert them into the application. Blank formats, charts, and certifications are included in a supplement to this kit.

APPLICATION SUBMISSION

An original and two copies of your application must be submitted to the appropriate local HUD Public Housing Division/Office of Native American Programs Office on or before 6:00 p.m., local time, July 31, 1998. If the application is not physically received by the deadline, it will not be evaluated. Facsimile and telegraphic applications are not authorized and shall not be considered. Applications must be addressed to: Director, Office of Public or Assisted Housing or Administrator, Office of Native American Programs.

Mailed applications will be considered timely filed if postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office on or within ten (10) days of the application due date. **Applications sent by overnight delivery or express mail** will be considered timely filed if received before or on the application due date, or upon submission of documentary evidence that they were placed in transit with the overnight delivery service by no later than the specified application due date. For applications submitted to the HUD Field/Area ONAP offices, **hand carried applications** will be accepted during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 p.m. Applications due to HUD Field/Area ONAP offices locations must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the Programs Section of the SuperNOFA. (Please see the listing of the HUD Field/Area ONAP offices in the supplement to this application kit.)

OMB APPROVAL

The application kit has been approved by the U.S. Office of Management and Budget. The approval number for EDSS is 2577-0211.

INFORMATION CONTACTS

If you have questions about this application kit or the program in general, please contact the nearest HUD Public Housing Field Office/Area Office of Native American Programs or the HUD Public and Indian Housing Information and Resource Center at 1-800-955-2232, P.O. Box 8577, Silver Spring, MD 20907. Additional copies of this application kit or the SuperNOFA may be obtained on the HUD website at http://www.hud.gov, or by calling the HUD SuperNOFA Information Center at 1-800-HUD-8929.

GENERAL TIPS FOR GRANT APPLICATION PREPARATION

- Follow the required Application Checklist for organizing your application (follow Tabs, include all required information and forms, number each page).

- Prepare a concise application using simple language to address each TAB as outlined in Part II. Although HUD staff will review your application, imagine that someone from another agency, with no housing, economic development or supportive services program knowledge, will be reading the application.

- Follow instructions for completing Forms 424, 424-B, 2880, 2990, 2991, 2992, 50070, 50071, LLL, and LLL-A. These forms must be submitted with the application.

- Make sure the preparation of the application is a collaborative effort between you and the targeted resident community. Input from the resident community is critical and <u>must</u> be included in the process.

- Make sure to arrange with your partner agency(ies) to have the MOA/MOU and other letters of support signed in ample time to meet the application deadline. Letters in support of an application received <u>after</u> the deadline date <u>will</u> <u>not</u> be accepted.

- Have more than one person read over your application to check that all required information and forms are included in the application (and copies) being submitted. Double check that every applicable TAB is addressed.

- Make sure to address all Rating Factors specified in the SuperNOFA. Pay close attention to Bonus Point criteria for location in an EZ/EC.

PART I

EDSS 1998

BASIC PROGRAM REQUIREMENTS

EDSS BASIC PROGRAM REQUIREMENTS

THRESHOLD REQUIREMENTS *(SuperNOFA, III, (A), Application Selection Process, EDSS)*

HUD Field Offices and Area ONAP offices will conduct a threshold review to determine applicant eligibility and a technical review to rate the application based on the five rating factors. Under the threshold review, the applicant will be rejected from the competition if the applicant is not in compliance with the threshold requirements of the General Section of the SuperNOFA, and if the following additional standards are not met:

1. Focus on Residents Affected by Welfare Reform. The application must contain written evidence from the applicant that at least 51% of residents to be included in the proposed program are affected by the welfare reform legislation. This requirements is not applicable to applications dealing with the elderly or persons with disabilities.

2. Provide evidence that the proposed activities will be administered at community facilities in or within easy accessibility of the specific public or Tribal housing development(s) and meet the structural accessibility requirements of Section 504 of the Rehabilitation Act and the Americans with Disabilities Act.

3. Provide evidence of firm written commitments from non-grant resources and services to support the grant. Commitments must be equal to the amount of grant funds requested.

4. Be in compliance with all the requirements of any HUD grant programs designed to assist resident self-sufficiency in which it is currently participating.

5. HAs designated as “troubled” must provide documentation that a Contract Administrator (or equivalent organization) will be deployed in the administration of this proposed grant.

6. Have a PHMAP score not less than a “C” for either Indicator #6, Financial Management, or Indicator #8, Resident Initiatives, on its most recent PHMAP.

Applicants must comply with the following threshold requirement in the SuperNOFA:

7. PHAs must be in compliance with all Fair Housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). Federally recognized Indian tribes must comply with the Age Discrimination Act of 1975 and the Indian Civil Rights Act. If an applicant: (a) has been charged by the Secretary with a violation of the Fair Housing Act; (b) is the defendant in a Fair Housing Act lawsuit filed by the Department of Justice; or (c) has received a letter of noncompliance findings under Title VI of the Civil Rights Act, Section

504 of the Rehabilitation Act, or Section 109 of the Housing and Community Development Act, the applicant is not eligible to apply for funding under this SuperNOFA until the applicant resolves such charge, lawsuit, or letter of findings to the satisfaction of HUD.

RATING FACTORS (SuperNOFA, III, (B), Factors for Award)

In order to be considered for funding under this program, an Economic Development and Supportive Services application must receive a score of at least 75 points out of the maximum of 100 points. HUD will review and evaluate the application according to the category in which the applicant is applying for. All applications will be placed in an overall nationwide ranking order and funded until all funds are exhausted. In the event that two or more eligible applications receive the same score, and both cannot be funded because of insufficient funds, the application with the highest score in Rating Factor 3 will be selected. If Rating Factor 3 is scored identically for both applications, the scores in Rating Factor 4 will be used for selection.

The application will be rated and scored on the following five ranking factors:

Factor 1: Applicant Capacity and Relevant Organizational Experience

(1) Proposed Program Staffing (7 points)
- (a) Experience (4 points)
- (b) Sufficiency (3 Points)

(2) Program Administration and Fiscal Management (7 points)

(3) Applicant/Administrator Track Record (6 points)

Maximum Points: (20 points)

Factor 2: Need/Extent of Problem

(1) Needs Assessment Document (18 points)

(2) Level of Priority in the Consolidated Plan (2 points)

Maximum Points: (20 points)

Factor 3: Quality of Planning for Self-Sufficiency and Independence (for Family Economic Development and Supportive Services category applications) and Independence for Elderly and Persons with Disabilities (for Elderly and Disabled Supportive Services Category applications).

(1) Viability and comprehensiveness of strategies to address the needs of residents (19 points)

(a) Services (13 points for Family EDSS applicants and 19 points for Elderly/Disabled applicants)

(b) For Family EDSS only, Resident Contracting and Employment (3 points)

(c) For Family EDSS only, Rent Reform and Occupancy Incentives (3 points)

(2) Budget Appropriateness/Efficient Use of Grant (5 points)

(3) Reasonableness of Timetable (2 points for Family EDSS applicants and 4 points for Elderly/Disabled applicants)

(4) Program Assessment (3 points)

(5) Resident and Other Partnerships (9 points for Family EDSS applicants; 7 points for Elderly/Disabled applicants)

(a) Resident Involvement in EDSS Activities (3 points for Family EDSS applicants and 4 points for Elderly/Disabled EDSS applicants)

(b) Other Partnerships (3 points)

(c) For Family EDSS applicants only, Overall Relationship/TOP Coordination (3 points)

(6) Policy Priorities (2 points)

(Maximum points: 40)

Factor 4: Leveraging of Resources **(Maximum points: 10)**

Factor 5: Applicant's program reflects a coordinated, community-based process.

(1) Coordination with the Consolidated Plan or Indian Housing Plan (2 points for Family EDSS applicants; 6 points for Elderly/Disabled EDSS applicants)

(2) For Family EDSS applicants only, coordination with the State or Tribal Welfare Plan (4 points)

(3) Coordination with Other Activities (4 points)

(Maximum Points: 10)

Bonus Points: The applicant will receive two bonus points for eligible activities/projects that are proposed to be located in federally designated Empowerment Zones, Enterprise Communities, or Urban Enhanced Enterprise Communities, that serve the EZ/EC residents, and are certified to be consistent with the strategic plan of the EZ or EC. (Please refer to Tab 3, Section III to determine if you are eligible for these points).

(Maximum points: 2)

GRANT AMOUNT

(see SuperNOFA, I, (C),(2), EDSS , Maximum Grant Awards)

The maximum grant awards are limited as follows:

- For Family Economic Development and Supportive Services category - no more than $250 per unit up to the below listed maximums:

  (1) For PHAs/Tribes/TDHEs with 1 to 780 units, the maximum grant award is **$150,000**.

  (2) For PHAs/Tribes/TDHEs with 781 to 7,300 units, the maximum grant award is **$500,000**.

  (3) For PHAs/Tribes/TDHEs with 7,301 or more units, the maximum grant award is **$1,000,000**.

- For Elderly or Disabled Supportive Services category - no more than $250 per unit up to the below listed maximums:

  (1) For PHAs/Tribes/TDHEs with 1 to 217 units occupied by Elderly residents or persons with disabilities, the maximum grant award is **$54,250**.

  (2) For PHAs/Tribes/TDHEs with 218 to 1,155 units occupied by Elderly residents for persons with disabilities, the maximum grant award is **$200,000**.

  (3) For PHAs/Tribes/TDHEs with 1,156 or more units occupied by Elderly residents or persons with disabilities, the maximum grant award is **$300,000**.

A PHA, Tribe, or TDHE may submit one application under the Family Economic Development and Supportive Services grant category and/or one application under the Elderly and Disabled Supportive Services grant category. **The maximum number of applications that a PHA, Tribe, or TDHE may submit is two**. *If an applicant is applying for both funding categories, then it must submit two <u>separate</u> applications in which the total amount requested must not exceed the maximum grant amount available for its size under the Family Economic Development and Supportive Services category.*

Tribes/TDHEs should use the number of units counted as Formula Current Assisted Stock for Fiscal Year 1998 as defined in 24 CFR 1000.316. Tribes that have not previously received funds from HUD under the 1937 Act should count housing units under management that are owned and operated by the tribe and are identified in the housing inventory as of September 30, 1997.

ELIGIBLE APPLICANTS

(see SuperNOFA, I, (E), (1), EDSS Eligible Applicants)

Funding for this program is limited to Public Housing Authorities and Tribes/TDHEs that have not received a previous EDSS grant.

ELIGIBLE PARTICIPANTS

(see SuperNOFA, I, (F), EDSS Eligible Activities)

Residents of conventional public or Indian housing including persons with disabilities are eligible to participate. A grantee may designate that up to twenty-five percent (25%) of the total number of persons eligible to participate in and/or receive the benefits of a Family EDSS category grant may be recipients of assistance under the Section 8 Program rather than residents of conventional public housing.

ELIGIBLE ACTIVITIES

(see SuperNOFA, I, (F), EDSS Eligible Activities)

Program funds may be used for the provision of economic development activities and supportive services that are appropriate to assist eligible residents to become economically self-sufficient, to live independently, and to prevent premature or unnecessary institutionalization.

Economic development activities means new or expanded activities essential to facilitate economic uplift and provide access to the skills and resources needed for self-development and business development.

For purposes of this program, economic development activities may include, but are not limited to:

- Entrepreneurship training *
- Entrepreneurship development *
- Micro/Loan fund
- Credit union development
- Employment training and counseling *
- Employer linkage and job placement *

Supportive services activities (for non-elderly families) means expanded services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or educational programs. For purposes of this program, supportive services may include, but are not limited to:

- Childcare
- Computer skills training
- Homeownership training and counseling
- Education (such as literacy training, GED training, and trade school assistance)
- Youth mentoring

- Transportation costs
- Personal well-being self-improvement (such as family counseling and avoidance of illegal drugs)
- Supportive health care services
- Employment of or contracting for case managers
- Employment of or contracting for service coordinators
- Other services/resources

Supportive services for the elderly and persons with disabilities means new or significantly expanded services determined to be minimally necessary and essential to enable eligible residents to maintain their independence by avoiding institutionalization. For purposes of this program, supportive services may include:

- Meals
- Assistance with daily activities
- Housekeeping aid
- Transportation services
- Wellness programs, preventive health education, referral to community resources
- Personal Emergency Response Systems
- Congregate services
- Employment of or contracting for service coordinators
- Other services/resources

*****Includes, but is not limited to, Section 3 related training, hiring, and contracting by the HA.

GENERAL COSTS

- Administrative costs up to 15% of the total EDSS grant amount.

- Up to $200 in stipends per participant per month for active trainees and EDSS program participants to cover the reasonable costs related to participation in training and other EDSS activities.

INELIGIBLE COSTS

Ineligible costs include the following:

✠ Payment of wages and/or salaries to participants of receiving supportive services and/or training programs, except that grant funds may be used to hire a resident(s) to coordinate/provide training program activities.

✠ Building materials and construction costs.

✠ Purchase or rental of land or buildings or any improvements to land or buildings.

✠ The hiring of service coordinators under the Elderly/Disabled EDSS grant if the applicant is also applying for an Elderly/Disabled Service Coordinators grant.

ASSEMBLING YOUR APPLICATION

This application kit provides the basic tools needed for preparing a complete grant application. Please use the sheets in Part Two as cover sheets for each of the required tabbed sections.

GRANT TERM

The grant term will be for 24 months for execution of the grant agreement.

PART II

EDSS 1998

COMPLETING YOUR APPLICATION

PUBLIC AND INDIAN HOUSING
ECONOMIC DEVELOPMENT AND SUPPORTIVE SERVICES PROGRAM

APPLICATION FOR FY 1998 FUNDING

Submitted By:____
(PHA/Tribe/TDHE Name)

Contact Person:____

Telephone: (   )____

Delivered To: ____
HUD Office

EDSS 1998 TAB 1

Applicant Table of Contents/Checklist

Form SF-424 [Application for Federal Assistance]

Fact Sheet [Including Program Summary]

PLEASE USE THIS PAGE AS COVER PAGE

TABLE OF CONTENTS/CHECK LIST

Your application is complete when you have the following:

❾ **TAB 1**
Application Checklist/Table of Contents (Use the first page of this form)
SF-424
Fact Sheet (including Program Summary)

❾ **TAB 2**
Needs Assessment

❾ **TAB 3**
Work Plan

____Section I Plan Summary
____Section II Detailed Description of Program Activities, Objectives, Schedule, Budget
____Activity Plan Summary (TAB 3, Chart III-A)
____Activity Breakout (TAB 3, Chart III-B)
____Budget Breakout (TAB 3, Chart III-C)
____Summary Budget Information (TAB 3, Chart III-D)
____Section III Partnerships
____Certification of Consistency with the EZ/EC Strategic Plan (HUD-2990)
____Program Resources (TAB 3, Chart E)
____Section IV Staffing and Program Administration
____Program Staffing (TAB 3, Chart F)
____Section V Activity Location/Community Facilities
____Section VI Program Assessment Plan
____Section VII EDSS/TOP Coordination
____Section VIII Coordination with State or Tribal Welfare Plan/Community Consolidated Plan/Other Activities
____Certification of Consistency with the Consolidated Plan (HUD-2991)
____Section IX Policy Priorities

❾ **TAB 4**
Budget Appropriateness/Efficient Use of Grant

❾ **TAB 5**
Applicant/Administrator Track Record and Certification

_____Certification Regarding Disbarment and Suspension (HUD-2992)
____Applicant/Administrator Track Record Certification
____Applicant/Administrator Track Record Chart

❾ **TAB 6**

Certifications and Assurances

____Assurances for Non-Construction Programs (SF-424B)
____Certification of Consistency and Compliance
____Drug-Free Workplace (HUD-50070)
____Applicant/Recipient Disclosure/Update Report (HUD-2280)
____Certification of Payments to Influence Federal Transactions (HUD-50071)
____Disclosure of Lobbying Activities (Form LLL)
____Disclosure of Lobbying Activities Continuation Sheet (Form LLL-A)
____PHMAP Score

❾ **TAB 7**

____Memorandum of Understanding and Other Commitment Documents
List below:
Exhibit 1:
Exhibit 2:
Exhibit 3:
Exhibit 4:

❾ **TAB 8**

Threshold Criteria Check List (items considered essential for an application to be complete and acceptable for rating and ranking); Rating Factors Check List (items considered for actual rating and ranking)

EDSS FACT SHEET

PHA/Tribe/TDHE Information

Name of PHA/Tribe/TDHE ____

HUD Region:_________ State: ________ HUD Field/Area ONAP office: _________

Contact

Name/Title____

Street Address____

City/State/Zip____

Telephone No. ( )_______________________________________

Fax No. ( )____

Assistance for which the PHA/Tribe/TDHE is applying:

______Family Economic Development and Supportive Services

______Supportive Services for:

The Elderly ________

Persons with Disabilities ________

Budget Information

Please list specific budget amounts for each line item. These budget line items and amounts will be included in the Line of Credit Control System (LOCCS) for drawdown purposes and must match the budget in TAB 3 Chart III-C.

Budget Line Item	**Amount**
4210 Supportive Services	_______
4220 Economic Development Activities	_______
4230 Administrative Costs	_______
4240 Salaries/Stipends	_______
4250 Other Program Costs	_______

Name(s) of public or Tribal housing development(s) targeted for Economic Development and/or Supportive Services Activities (use additional pages if necessary)

EDSS PROGRAM SUMMARY

(This narrative will be used for congressional notification and will serve as the official program summary).

A. Please provide a brief summary of the program proposed in the application (100 words or less) including a brief description of key program components.

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served using the format below. (Applicant may copy this page if additional space is needed.)

Partners	In-Kind/Cash Contribution	# Persons Served
________________________	________________________	__________________
________________________	________________________	__________________
________________________	________________________	__________________
________________________	________________________	__________________
Total __________________	_ ________________________	___________ _______

EDSS 1998 TAB 2

Needs Assessment

NEEDS ASSESSMENT TO BE PROVIDED BY ALL FY-98 EDSS PROGRAM APPLICANTS

Each applicant **must** submit a **Needs Assessment** report dealing with the proposed recipient population. At minimum, the report must contain sections covering statistical or survey information on the needs of the recipient population and identifying existing resources to help meet the needs. HUD will award up to **18 points** to applicants based on the quality and comprehensiveness of the Needs Assessment report.

All FY-98 EDSS Applicants should complete the forms and respond to all relevant questions on the following pages. A complete set of forms will provide HUD with a comprehensive and succinct presentation of the information required to demonstrate the need for EDSS funds.

It is not required that every statistic requested under Chart A be provided. Nevertheless, the data provided in Chart A must be sufficient to permit: 1) an assessment of the needs of eligible potential participants related to the proposed program goals, which for Family EDSS applications must focus on moving residents from welfare to work; and 2) development of and documentary support for a Work Plan that meets these needs. (Family EDSS applications, the data must demonstrate that at least 51% of participating residents ARE TANF recipients or affected recipients of Food Stamps and SSI. Elderly or disabled residents may be included in the 51% if: (1) their Medicaid or Food Stamp benefits are affected by welfare reform, or (2) they provide services such as child care or mentoring to families affected by welfare reform.

General Instructions

Use the first column in **Needs Assessment** Chart (A) to describe the entire resident population in the public housing development(s) identified in the proposed program. Break out data for TANF/AFDC families in the second column, and for Elderly/Disabled persons/families on SSI in the third column.

Indicate "***NA"*** in the answer space for data requested that is not available or not pertinent to the clientele proposed to be served. **For example,** applicants who propose to serve TANF/AFDC families only, may put **"NA"** in all items under the entire column for **"Elderly/Disabled on SSI."** No applicant is required to conduct a survey prior to application submission for the sole purpose of responding to this Needs Assessment format. If no survey information is available on a particular topic, specify the various population subgroups that the program proposes to serve.

EDSS applicants proposing to assist more than one site may provide information for all sites compositely in a single **Needs Assessment** Chart (A) under the column ***"Proposed Developments;"*** however, an EDSS applicant who wants to highlight distinctions between sites related to need, may want to provide a separate **Needs Assessment** for each site.

In the space provided at the very top of the **Needs Assessment**, EDSS applicants who are providing separate needs assessments for each site **must** write the name of the development for which the **Needs Assessment** was prepared. EDSS applicants who are providing information compositely for all sites they propose to assist in a single **Needs Assessment**, should write the word ***"ALL"*** in the space provided.

Chart A: EDSS NEEDS ASSESSMENT FOR ___________________________ DEVELOPMENT(s) PROPOSED FOR ASSISTANCE UNDER EDSS

DEMOGRAPHIC STATISTICS SHOWING NEED:

	All Residents in Proposed Development	TANF/AFDC Families Only	Elderly/Disabled on SSI Only
Total Number of Households			
Average Household Income			
Number of Children ***Preschool 0 - 5***			
Number of ***Grade School 6 - 12***			
Number of ***Teenagers 13 -17***			
Number of Children ***Total***			
Number & Pct. of Households w/Children	/	/	/
Number & Pct. over 65 years	/	/	/
Number & Pct. with Disabilities	/	/	/
Number & Pct. Adults with High School Diploma/GED	/	/	/
High School Dropout Rate/Number			
Number & Pct. Heads of Household Unemployed	/	/	/
Number & Pct. Heads of Household	/	/	/
Employed Full-Time			
Employed Part-Time			
TOTAL			
Number & Pct. Households on Welfare (TANF, SSI, etc)	/	/	/
Number/Pct. Adults in: ***Job Training***	/	/	/
Entrepreneurship Training			
Community Service Program			
Number & Pct. Households with Non-Citizens Impacted by Welfare Reform	/	/	/
Other Statistical Indicators			

In the space below, specify the source(s) of above statistical information--e.g., Census of Population Tract Data; Housing Authority's Data Systems--based on residents' Form 50058, HUD's Multifamily Tenant Certification System or other data source.

B.

Briefly describe the results of any survey of residents in the target development(s) by the PHA/Tribe/TDHE, welfare department, or other source or provide other empirical observations (not reflected in the statistics on the previous page) regarding:

1. Resident professional, vocational, and educational skills and interests.

2. Resident training and supportive service needs related to moving from “welfare-to-work” such as counseling, literacy, English language skills, day care, transportation, and accommodation to disabilities.

(Applicants for the Elderly and Disabled Persons Category need not respond to the questions above, but should provide a brief discussion of any survey information dealing with their residents’ needs. No applicant needs to conduct a survey prior to application submission for the sole purpose of responding to this Needs Assessment format. If no survey information is available on a particular topic, write N/A.)

C.

Describe: (1) various employment opportunities in the community which address the range of resident educational levels, skills, and other characteristics profiled in items A and B of this Needs Assessment; (2) any training programs between 1 week and 18 months long and supportive service (such as transportation) that would be required for public or Tribal housing residents and are unique to each opportunity; and (3) the extent to which each opportunity provides a stable livelihood sufficient to support families with children. (*Applicants for EDSS funds for independent living for the elderly/persons with disabilities do not need to respond to this question.)*

D.

Key Subpopulations

1. Based on the profile of the resident population and information on job opportunities, name key segments of the resident population that need training, economic development, or supportive services for family self-sufficiency or independent living for the elderly/persons with disabilities. Describe the need briefly.

Source of Data or Justify Estimate:
Population:
Need:

2. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

3. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

4. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

5. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:
Population:
Need:

E.

Describe how the extent and nature of these needs will be affected by welfare reform. Include in this discussion a brief summary of key provisions your State or Tribal government's welfare reform plan that are applicable to the population you intend to serve.

F.

Specify the number of persons in the following categories and identify their roles:

1. Residents in the development employed by the Housing Authority/Tribe/TDHE.

2. Residents in the development employed by Housing Authority/Tribe/TDHE contractors.

3. Resident-owned businesses contracting with the Housing Authority/Tribe/TDHE.

   A. Also, indicate the percentage (%) of:

      (1) Housing Authority/Tribe/TDHE employees that are residents.

      (2) Housing Authority/Tribe/TDHE contractors that are resident-owned or who employ more than one Housing Authority/Tribe/TDHE resident.

      (3) Housing Authority/Tribe/TDHE contract dollars that go to resident-owned businesses or to businesses which employ more than one Housing Authority/Tribe/TDHE resident.

G.

Name existing service providers on-site or near the targeted public or Tribal housing development(s) that currently serve residents and contribute to meeting needs you have identified for the development. Assess the differential between what is provided and the level of need which you have identified over the next 2 years.

1. Service Provider/Resource
   (Check one) On-Site____ Not On-Site____
   Eligible Recipients:

   Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

2. Service Provider/Resource
   (Check one) On-Site____ Not On-Site____
   Eligible Recipients:

   Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

3. Service Provider/Resource
   (Check one) On-Site____ Not On-Site____
   Eligible Recipients:

   Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

4. Service Provider/Resource
(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

5. Service Provider/Resource
(Check one) On-Site____ Not On-Site____
Eligible Recipients**:**

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

6. Service Provider/Resource
(Check one) On-Site____ Not On-Site____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

H.

Given the needs and resources identified, and the impact of welfare reform, summarize and prioritize unmet needs for family self-sufficiency or independent living for the elderly and disabled. (Family EDSS Category applications must focus on households affected by welfare reform.)

Need 1

Need 2

Need 3

Need 4

Need 5

EDSS 1998 TAB 3

Work Plan

EDSS WORK PLAN

Applicant should address each item below using a separate page for each section (e.g., Section I, Section II, etc.).

Section I

<u>Plan Summary.</u> Briefly summarize the proposed program, service goals, objectives and activities, and how proposed program would reduce the levels of need identified in the Needs Assessment. In referencing how the needs identified in the Needs Assessment would be reduced, the applicant must demonstrate and clearly state at least 51% of the residents to be assisted by the proposed program are affected by welfare reform. Program or activity objectives are desired outcomes based on numerical measures of performance in achieving program goals. For Family EDSS applications**,** one EDSS program performance objective must be that the program would result in at least the majority of the participants working by the deadline for termination of TANF assistance set by the State. Examples of other performance objectives are: achieving employment of 100 residents, 10 resident businesses starting, or 150 residents completing GED requirements. Generally, results oriented objectives such as the number of residents employed or resident businesses started are far preferable to the number of residents receiving training or business startup assistance**.**

Section II

<u>Detailed Description of Program Activities, Objectives, Schedule, Budget.</u> Include a narrative discussion in this section, to comprehensively describe all program activities - whether paid for by EDSS grant funds, or other sources - and their relationship with each other. The description of each activity must include: objectives, beginning and completion dates, types of services, staff time, and dollar amounts over the 24-month time period. Activities, timetables, and activity milestones should be designed to sequentially and effectively lead towards accomplishment of the overall program objectives described in Section I of the Work Plan. (see SuperNOFA, III, EDSS, Rating Factor 3, (1))

In addition, the applicant must use the chart formats in Part D of this kit to reflect applicant's narrative information (refer to attached chart samples in the back of this Tab for guidance in completion of some charts). Chart III-A provides summary information for each major activity. Chart III-B separates each major activity into specific tasks as appropriate. Chart III-C provides a budget break-out for each activity by major cost categories and funding sources. Chart III-D provides summary budget information by HUD line item.

SPECIAL CONSIDERATIONS FOR FAMILY EDSS PROGRAMS:

A) Special Concerns in Designing Activities for Family Economic Development and Supportive Services Programs.

In order to receive maximum selection points in Rating Factor 3, include each of the following types of activities:

1) Recruitment of Residents to be served. Describe subgroups in the resident population to be targeted and methods to be used to recruit participants. For Family EDSS applicants only, include data from the needs assessment that confirms that 51% or more of residents to be served by this program are TANF recipients or affected recipients of Food Stamps or SSI. Elderly or disabled residents may be included in the 51% if: (1) their Medicaid or Food Stamp benefits are affected by welfare reform, or (2) they will provide services such as child care or mentoring to families affected by welfare reform. Applicants which can not so demonstrate will fail Threshold 1 in this kit and be ineligible for EDSS funding.

2) Case Management and Counseling. Describe counseling for personal development (including, if applicable, mentoring, family counseling) and economic self-sufficiency (including, if applicable, career counseling, housing counseling, referrals to economic development activities, and child care/transportation referrals).

3) Economic Development training - including job training and/or training residents to start and manage their own businesses.

4) Job development/placement or resident business startup assistance. Includes, if applicable, employer linkage, job placement, providing startup capital or contracts for resident owned businesses, and/or assisting residents in establishing credit unions. For points in Selection 3, subfactor (1) (b), the applicant must commit to hire 15% of residents or contract with 15% of resident businesses, consistent with the goals of Section 3. To qualify for these points, the applicant must describe in this section the number of jobs and/or contracts it will provide and include in Tab 7 a letter signed by the Executive Director or a resolution from the HA committing to hire or contract with the specified number of residents. Indicate in this section where this letter can be found.

5) Child Care for parents who are working, looking for work, or enrolled in a training, education, or other support program.

6) Transportation to the extent that work training, supportive services or work placement includes location(s) requiring transportation. Transportation would generally be required to any work or service site located on/outside the development or far away from living units.

7) Rent, Income, and Occupancy Incentives. Describe the degree to which the applicant has implemented or proposes to implement or collaborates with a public or Tribal welfare department to implement incentives designed to promote resident self-sufficiency, including but not limited to: ceiling rents, rent exclusions, rent escrows, occupancy preferences for applicants who work or who are in a self-sufficiency program, stipends, or income disregards. High scores for Selection 3, subfactor (1) (c) will be received if the applicant demonstrates that

the initiative(s) complement other aspects of the Work Plan.

SPECIAL CONSIDERATIONS FOR ELDERLY OR DISABLED SUPPORTIVE SERVICES PROGRAMS

B) An application for elderly and disabled supportive services, for maximum points in Rating Factor 3, subfactor (1) (a) (ii), must be located in a community facility, be available on a 12-hour basis or as needed, and include activities in the following categories:

1) service coordination;

2) health and personal care;

3) congregate services; and

4) transportation.

Section III

Partnerships: Provide documentation of the applicant's partners, including residents of the affected development and their representative Resident Associations (RA) as follows:

a) Provide a narrative in this Section III which includes information and is organized as follows (see SuperNOFA, III, EDSS, Rating Factor 3, (5)):

1) Describe the division of responsibilities between the applicant and its partners and how the applicant will coordinate with its partners to ensure program success and fulfillment of all partner commitments (consistent with the more detailed description of the EDSS program management structure in Section IV(b) of the Work Plan);

2) Describe the extent to which the partnership as a whole addresses a broader range of resident needs: the extent to which the addition of the partners provide the ability to meet needs more cost effectively or efficiently than the applicant or its partners could achieve individually without forming the partnership.

3) If any of the EDSS activities will be located in or serving the population of a federally designated Empowerment Zone , Enterprise Community, or Urban Enhanced Enterprise Community, describe the extent to which its program has been coordinated with the Empowerment Zone or Enterprise Community strategic plan. (see General portion of the SuperNOFA, III, Application Selection Process, (C), (1) Bonus Points) Also complete the Certification of Consistency with the EZ/EC Strategic Plan, in the supplement to this application kit. A list of EZ/EC contacts is listed If none of the EDSS activities will be located in an EZ/EC, state : "NA".

4) Detailed narrative information on each partner and their contribution(s) including:

(i) the roles and responsibilities of the partner relative to the proposed EDSS program. (Partners which the lead applicant has determined will administer EDSS funds should be designated “subgrantee.”)

(ii) the amount and type of resources and services that the partner firmly commits to contribute to the grant program, including in-kind contributions of personnel, space, and equipment. In order to meet Threshold 3 of this kit, the amount of non-EDSS resources committed by all partners must at least equal the EDSS amount requested. At least 25% of the match amount must consist of monetary contributions of funds. In valuing volunteer time or services and donated items, use the following guidelines:

(A) The value of volunteer time and services shall be computed at a rate of $6.00 per hour, except that the value of volunteer time and service involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the EDSS activity is located.

(B) The value of any donated material equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated. The documentation shall be not more than 1 year old and taken from the community where the item or EDSS activity is located.

(iii) The Exhibit number in Tab 7 for the partner’s firm commitment to assume the responsibilities/ provide the resources described here.

(iv) A description of the partner’s expertise related to its role in the proposed program activities and, the appropriateness of such expertise in fulfilling its role.

b) Complete Chart E, in Part D of this kit to describe program resources. Information in the chart must match the narrative.

c) Provide a signed document in Tab 7 evidencing each partner’s firm commitment to fulfill its partnership responsibilities in the form of Memorandum of Understanding/Memorandum of Agreements (MOU/MOAs), use agreement or other legally enforceable document, as appropriate, which matches the information in the narrative and chart in this Tab 3 Section III. For maximum points in Rating Factor 4, documentation of the partnership with project residents and of other key partnerships shall be in the form of a MOU/MOA signed by the lead applicant and the partner that clearly delineates the roles and responsibilities of each partner and the benefits they receive.

The following information must be included in all documents of firm commitment:

1) The role and responsibilities of the partner relative to the proposed EDSS program.

2) The amount and type of resources and services that the partner firmly commits to contribute to the grant program.

3) How the partner will coordinate with the applicant and other services/resources to be provided under the program.

4) An unequivocal statement that the roles, responsibilities, and resources to be assumed or provided are firmly committed without any contingency other than HUD's funding the EDSS application.

5) Length of time that resources would be committed.

6) For MOU/MOAs, the conditions upon which the agreement may be terminated by either party or amended.

7) A signature, dated on or after May 1998, of an authorized representative of the partner and, in the case of an MOU/MOA, of the EDSS applicant.

Section IV

Staffing and Program Administration Provide a description on staffing and program administration. (see SuperNOFA, III, EDSS, Rating Factor 1) Information should detail:

a. Program Staffing. Include a narrative description of the applicant's and Contract Administrator's proposed staffing (paid or volunteer) in support of the program and proposed coordination among service providers; a completed Chart F, which can be found in Part D of this kit; an organization chart; staff position descriptions, and resumes as available. Collectively, these items should identify the following:

1) An explanation of how the staffing plan is structured to accomplish the program objectives;

2) A staff person(s) who will have primary responsibility for effective overall coordination of the program on a day to day basis and what percentage of such person's time will be committed to this responsibility;

3) Names of responsible HA staff and Contractor Administrator staff persons, position descriptions, proposed roles in implementing the EDSS program, relevant skills, and percentage of time allocated to the program;

4) A comprehensive break-out of who, whether applicant, Contractor Administrator, contractor, HA or other designated partner staff, will provide training and related services and how the services will be delivered.

b. Program Administration. Describe the proposed management structure of the proposed EDSS program. In order to receive a high score in Rating Factor 1,

subfactors (2)(a) and (2)(b), an applicant must provide a clear description of the:

1) Project management structure, including the use of a Contractor Administrator, if applicable (applicants designated as "troubled" Housing Agencies by HUD **MUST** appoint/contract with a Contract Administrator). Describe how co-applicants, subgrantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of the proposed program.

2) Fiscal management structure, including but not limited to budgeting, fiscal controls, and accounting. Clearly explain the staff responsible for fiscal management, and the processes and timetable for implementation during the proposed grant period.

Section V

Activity Location/Community Facilities. Provide a description of the location where training and other activities will be held. Describe where the facility is located in relation to the development(s) to be served, the days and hours of operation, how transportation needs to the facility will be addressed, and how the facility will be accessible to persons with disabilities. Also describe whether the facility to be used is currently in operation, if not, which steps will be taken in order to adequately operate. A preponderance of program activities must be administered at community facilities in accordance with the following criteria:

a) The facilities must be located in or within easy access (i.e. walking or direct, convenient, inexpensive, and reliable transport) of the property represented by the HA and must house the grant activity within 9 months of the grant award.

b) For program participants living in dispersed rural housing, provide evidence of transportation access to the community facilities.

c) Describe how the facilities will meet the structural access requirements under Section 504 of the *Rehabilitation Act and the Americans with Disabilities Act.*

Section VI

Program Assessment Plan. Provide your plan to assess the success of the proposed EDSS program both during program implementation and at program completion. At a minimum, the applicant must track the goals and objectives of the proposed Work Plan. HUD will rate more favorably applicants that can track specific, measurable achievements for the use of program funds— e.g., number of residents employed, salary scales of jobs obtained, number of persons leaving welfare, or number of persons receiving certificates in specific career fields such as computers. In order to receive a high score, the application must contain a comprehensive description of the program assessment system, including: staff designated for the program quality controls, performance measures, automated systems for collecting program data, and the timetable for undertaking assessment activities. (see SuperNOFA, III, EDSS, Rating Factor 3, (4))

Section VII

EDSS/TOP Coordination. (For Family Economic Development and Supportive Service applications only). Name any Resident Association or Intermediary Resident Organization that has received Tenant Opportunity Program (TOP) funds or is submitting an application in the FY 98 TOP funding round for any of the developments to be assisted with EDSS funds. For each such award or current application, indicate the development served or to be served, month and year of the grant selection (indicate “FY98” for applications now being submitted), the amount received or applied for, and for funded TOP grants which have not yet been closed out, the amount of grant funds which remain to be expended. State how the proposed EDSS funding and the remaining unexpended or proposed TOP funding will be coordinated and, if applicable, how the EDSS implementation plan will build on TOP program accomplishments from any TOP funds expended to date. For maximum points in Rating Factor 3, subfactor (5)(c), include in TAB 7 an MOU/MOA which describes collaboration between the HA staff and the residents related to implementation of EDSS and TOP activities. To ensure that you will receive these points, please confirm, in this Section VII of your Work Plan, that the MOU/MOA between residents and the HA does include language describing the two parties’ collaboration on both TOP and EDSS. (For previously awarded TOP funds to be expended during the proposed EDSS grant term only, you may also include TOP funded activities in the EDSS implementation plan and all related charts.) (see SuperNOFA, III, EDSS, Rating Factor 3, (5), (c))

Section VIII

Coordination with State or Tribal Welfare Plan/Community Consolidated Plan/Other Activities. For Family EDSS applicants only, summarize the State or Tribal welfare plan, describe how the proposed program is consistent with that plan, and complete the Certification of Consistency with the Consolidated Plan, located in Part D of this application kit. The applicant should demonstrate that they have reviewed their community’s Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice, and has proposed activities that address the priorities, needs, goals, and objectives in those documents; or substantially further fair housing choice in the community. For Tribes/TDHEs, the Indian Housing Plan would be the document to review for this information. To the extent possible, the applicant should also demonstrate, that in carrying out program activities, they will develop linkages with: other HUD-funded program activities proposed or ongoing in the community; or other State, Federal, or locally funded activities proposed or ongoing in the community, which taken as a whole, support and sustain a comprehensive system to address needs. (see SuperNOFA, III, EDSS, Rating Factor 5)

Section IX

Policy Priorities. Applicants should also document the extent to which HUD’s policy priorities are furthered by their proposed EDSS activities. Policy priorities are: (1) Affirmatively furthering fair housing by promoting greater opportunities for housing choice for minorities and the disabled; (2) Promoting healthy homes; (3) Providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs; (4) Providing enhanced economic, social and/or living environments in EZs or ECs; and (5)

Providing educational jobs training opportunities through initiatives such as Neighborhood Networks, Campus of Learners, and linking programs to AmeriCorps activities. To obtain the full two points in this category, at least three of the five priorities must be addressed. (see SuperNOFA, III, EDSS, Rating Factor 3, (6))

Sample Charts for Program Activities, Objectives, Schedule, and Budget

SAMPLE Chart III-A:
EDSS ACTIVITY PLAN SUMMARY

#	PHASE/ACTIVITY	START/END DATE	MILESTONES	PARTICIPATING PARTNERS
I.	Outreach, Recruitment and Assessment	11/1/97 - 3/31/99	To recruit 240 TANF families for employment training and placement.	Resident Assn. Ourtown Comm. College
2.	Rehabilitate Community Center- No EDSS funds to be used	11/1/97 - 3/1/98	To render an abandoned building into a functional focus for welfare-to-work.	Housing Authority only- comp grant funds
3.	Job Readiness and Retention Lifeskills Training- counseling, mentoring and referral to support services.	3/1/98 - 5/31/00	To address pre- and post-employment personal and family growth needs identified by 150 participants.	Family Counseling Services, Ourtown Comm Coll. and Residents Assn.
4.	Literacy Training	3/1/98 - 7/31/99	To provide 120 residents with math and verbal skills needed for successful job or business training.	Ourtown School System, Ourtown Community College
5.	Health Technician Training	5/98 - 11/99 and 8/1/98 to 5/31/00	To train 120 participants for full-time employment at family sustaining wages.	Ourtown Community College, Ourtown Hospital
6.	Entrepreneurship Training - Housing maintenance and management	5/98 - 11/99 and 8/1/98 to 5/31/00	To train 120 participants for full-time self-employment at family sustaining wages.	Private Industry Council (PIC), Dept. of Soc Service\TANF
7.	Job Placement/ Business Startup for trainees	11/1/98 - 5/1/00	To move an estimated 200 trainee graduates to full-time jobs or businesses at sustaining incomes.	PIC, Ourtown Hospital
8.	Transportation	3/1/98 - 5/31/00	To provide transportation needed to offsite training and work opportunities	Dept. of Social Services/ TANF, Ourtown Hospital
9.	Child Care	3/1/98 - 5/31/00	To address preschool (0-5 yrs) and before/after school (6- 12 yrs) child care needs of program participants.	Dept. of Social Services/ TANF, Headstart
10.	Computer Center	3/1/98 - 5/31/00	To use part of the comm- unity center as a computer center for training and other resident uses	Erol's (internet access), Local Industry Inc (com-puters, software)

Overall Program Goal: To enable 200 residents to move from welfare to full-time employment at sustaining incomes.

SAMPLE Chart III-B

EDSS ACTIVITY BREAKOUT FOR ACTIVITY 1

Outreach, Recruitment, and Assessment

#	ACTIVITY/TASK	START/ END DATE	ORGANIZATIONS INVOLVED/ ROLES
A	Publicity/outreach for Welfare-to-Work Program- Production, door-to-door delivery and posting of brochures and other notices of welfare-to-work program opportunities and of upcoming informational meetings.	2 cycles 11/1/97- 1/1/98 11/1/98- 1/1/99	Housing Authority Only
B	All Resident Meetings- Describe impact of welfare reform on resident lives, opportunities, requirements and schedule for EDSS Welfare-to-Work Program.	1/3/98- 1/10/98 1/3/99- 1/10/99	Housing Authority
C	Follow-up Interviews, Resident sign-up and Housing Authority development of list of 240 program participants.	1/11/98- 2/1/98 1/11/99 2/1/99	Housing Authority
D	Assessment- Interview and assess participant interests, skills and training needs	2/98- 3/98 2/99- 3/99	Ourtown Community College, Social Work and Management Departments will assist Housing Authority
E	Establish or coordinate with Welfare Department for individual plans for counseling/ mentoring, literacy training, job or business training, placement, day care, transportation, and any appropriate referrals.	3/98 3/99	Ourtown Community College, Social Work and Management Departments will assist Housing Authority.
F			
G			

Activity Milestone: <u>To recruit 40 TANF families for employment training/placement</u>

SAMPLE CHART III-C EDSS BUDGET

#	ACTIVITY	BUDGET ITEM		EDSS GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
1	Rehab Community Center - No EDSS funds to be used.	**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$70,000	
			Partners:			
		TOTAL COSTS		$0	$70,000	$70,000
2	Outreach, Recruitment and Survey	**EDSS COSTS**	Housing Authority Personnel	$5,000		
			Housing Authority Admin & Other	5,000		
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partners: Ourtown Comm Coll		$35,000	
		TOTAL COSTS		$10,000	$35,000	$45,000
3	Counseling (Family, Substance Abuse and Youth Mentoring)	**EDSS COSTS**	Housing Authority Personnel	10,000		
			Housing Authority Admin & Other	$10,000		
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partners: Family Counseling Serv		$50,000	
			Ourtown State College		$50,000	
		TOTAL COSTS		$20,000	$100,000	$120,000
4	**Literacy Training**	**EDSS COSTS**	**Housing Authority Personnel**	**$10,000**		

			Housing Authority Admin & Other	$10,000		
			Contractor(s)			
			Ourtown Comm Coll Subgrantee	$160,000		
		NON-EDSS COSTS	Housing Authority		$0	
			Partner: Ourtown Comm Coll		$140,000	
		TOTAL COSTS		$180,000	$140,000	$320,000
5	Entrepreneurship Training- Resident Management and Maintenance	EDSS COSTS	Housing Authority Personnel	$20,000		
			Housing Authority Admin & Other	$20,000		
			Contractor(s)	$155,000		
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partner: Dept of Soc Serv/TANF		$80,000	
			Private Industry Council		$80,000	
		TOTAL COSTS		$195,000	$160,000	$355,000
6	Health Technician Certificate Training	EDSS COSTS	Housing Authority Personnel	$15,000		
			Housing Authority Admin & Other	$15,000		
			Contractor(s)			
			Ourtown Comm Coll Subgrantee	$160,000		
		NON-EDSS COSTS	Housing Authority		$0	
			Partner: Ourtown Comm Coll		$160,000	
		TOTAL COSTS		$190,000	$160,000	$350,000
7	Job Placement	EDSS COSTS	Housing Authority Personnel	$2,000		

	(includes employer incentives)		Housing Authority Admin & Othe	$50,000		
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partners: Private Industry Council		$20,000	
			Ourtown Community Church		$20,000	
			Partner: Ourtown Comm Coll			
		TOTAL COSTS		$52,000	$40,000	$92,000
8	Transportation	EDSS COSTS	Housing Authority Personne	$5,000		
			Housing Authority Admin & Othe	$10,000		
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partner: Dept of Soc Serv/TANF		$30,000	
			University Hospital		$30,000	
		TOTAL COSTS		$15,000	$60,000	$75,000
9	Child Care	EDSS COSTS	Housing Authority Personne	$5,000		
			Housing Authority Admin & Othe	$10,000		
			Contractor(s)	$140,000		
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partner: Dept of Soc Serv/TANF		$60,000	
		TOTAL COSTS		$155,000	$60,000	$215,000
10	Computer Center	EDSS COSTS	Housing Authority Personne	$20,000		
			Housing Authority Admin & Othe	$15,000		
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority		$0	
			Partner: Local Industries		$40,000	
		TOTAL COSTS		$35,000	$40,000	$75,000
11	Closeout, Audit and Evaluation	EDSS COSTS	Housing Authority Personne	$3,000		
			Housing Authority Admin & Othe	$5,000		
			Contractor(s)	$5,000		

	Contract #2			
	Ourtown State Univ. Subgrantee	$20,000		
NON-EDSS COSTS	Housing Authority		$0	
	Partner: Ourtown State Univ.		$20,000	
TOTAL COSTS		$33,000	$20,000	$53,000
TOTAL EDSS BUDGET				
	BUDGET ITEM	EDSS GRANT COST	NON EDSS COST	TOTAL COST
EDSS COSTS	Housing Authority Personnel	$95,000		
	Housing Authority Admin & Othe	150,000		
	Contractors	$300,000		
	Subrecipient	$340,000		
NON-EDSS COSTS	Housing Authority		$70,000	
	Partners		$815,000	
TOTAL COSTS		$885,000	$885,000	$1,770,000

EDSS 1998
TAB 4

Budget Appropriateness/Efficient Use of Grant

EDSS BUDGET APPROPRIATENESS/EFFICIENT USE OF GRANT

HUD will award up to 5 points based on the extent to which the proposed program will result in the lowest total cost per dwelling unit in comparison to other applications. Only units under the Annual Contribution Contract (ACC) can be counted. Tribes/TDHEs should use the number of units counted as Formula Current Assisted Stock for Fiscal Year 1998 as defined in 24 CFR 1000.316. Tribes that have not previously received funds from HUD under the 1937 Act should count housing units under management that are owned and operated by the tribe and are identified in the housing inventory as of September 30, 1997. (see SuperNOFA, III, EDSS, Rating Factor 3, (2))

EDSS GRANT AMOUNT REQUESTED	/	#OF DWELLING UNITS TO BE SERVED BY PROGRAM	=	COST PER DWELLING UNIT
___________________	/	___________________	=	___________________

HUD funds will be used to provide (please check one):

Family Economic Development and Supportive Services _______

Supportive Services for:

The Elderly _______

Persons with Disabilities _______

EDSS 1998 TAB 5

Applicant/Administrator Track Record and Certification

EDSS APPLICANT/ADMINISTRATOR TRACK RECORD

This tab includes information related to the applicant's and Contract Administrator's past performance. As an aid to HUD's Threshold Review, complete and sign the Certification on Disbarment and Suspension for Tab 5. To permit HUD to identify the application's eligibility under Threshold 4 (Program Compliance) and Threshold 7 (Compliance with Fair Housing and Civil rights laws), complete and sign the Applicant/Administrator Track Record Certification for Tab 5. Both certifications may be found in Part D of this application kit; the sample chart is located on the following page.

To permit HUD to score your application with respect to the Rating Factor 1, subfactor (3) Applicant/Administrator Track Record, complete the chart in Part D of this kit (refer to attached Tab 5 chart sample) for the applicant's or Contractor Administrator's prior performance in carrying out grant programs designed to assist residents in increasing their self-sufficiency, security, or independence. (Programs in this category include, but are not limited to: the Family Investment Center Program; the Youth Development Initiative under the Family Investment Center Program; the Youth Apprenticeship Program; the Apprenticeship Demonstration in the Construction Trades Program, the Urban Youth Corps Program, the HOPE I, 2, and 3 Programs; the Public Housing or Section 202/8 Service Coordinator Program, the Public Housing Drug Elimination Program, Section 8 Family Self-Sufficiency, Youthbuild, Youth Sports Program, Tenant Opportunities Program, Housing Counseling, HUD Nehemiah Program, Limited Equity Housing Cooperative Conversions, and resident services or empowerment programs sponsored by State or local governments or private foundations.)

Both certifications and the chart should be included in your application behind the Tab 5 cover sheet.

TAB 5 SAMPLE CHART - EDSS APPLICANT/ADMINISTRATOR TRACK RECORD FOR Ourtown Housing Authority (Applicant)

HUD Program	Project Number	% of Term Completed	% Funds Drawn Down	Major Goal #1	% Complete	Major Goal #2	% Complete
Youth Apprenticeship Program	PA99YAP 002033 94	100%	75%	To enable 30 resident youth to complete community service programs.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99DEP 00306095	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments.	57%

EDSS 1998 TAB 6

Certifications and Assurances

Certifications and Assurances

The following certifications and assurances are located in Part D of this application kit. Each one must be completed, signed, and included under TAB 6 in your application.

Assurances for Non-Construction Programs (SF-424B)

Certification of Consistency and Compliance

Drug-Free Workplace (HUD-50070)

Applicant/Recipient Disclosure/Update Report (HUD-2280)

Certification of Payments to Influence Federal Transactions (HUD-50071)

Disclosure of Lobbying Activities (Form LLL)

Disclosure of Lobbying Activities Continuation Sheet (Form LLL-A)

PHMAP Score

EDSS 1998 TAB 7

Memorandum of Understanding
and
Other Commitment Documents

MEMORANDUM OF UNDERSTANDING AND OTHER COMMITMENT DOCUMENTS

This Tab should include all MOU/MOAs and other documents evidencing firm commitments to provide resources or assume responsibilities which the applicant has obtained in response to HUD requirements for application threshold eligibility or rating and ranking points under various Rating Factors. Examples of documents to be included are the MOU/MOAs between the Housing Authority/Tribe/TDHE(s) and the Resident Association, resource commitment letters from other partners, and any use agreements required for community facilities where grant activities will occur. All MOU/MOAs should clearly reflect the scope of activities specified in the Housing Authority/Tribe/TDHE's EDSS application. Applicants proposing to develop a credit union, provide written commitments from banks in this section

This Tab should also include the cover page (the page previous to this one), a table of contents which lists each document by sequential Exhibit Numbers, and then the documents themselves, ordered and labeled by Exhibit Number.

EDSS 1998 TAB 8

Threshold Criteria Check List
Rating Factors Check List

THRESHOLD CHECKLIST

Each applicant MUST address the following threshold requirements in order for the application to be complete and acceptable for rating and ranking. Verify that information is included in the application kit by using a check mark in the space provided for the applicant. Please note that HUD will also verify that information is included appropriately. (see SuperNOFA, III, (A), Application Selection Process, EDSS)

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE ONLY
Each application must:		
1. Focus on Residents Affected by Welfare Reform (TAB 2; TAB 3, Section II)	______	_____
2. Evidence of an Accessible Community Facility (TAB 3, Section V)	______	______
3. Evidence of Leveraging other resources (TAB 3, Section III, (a) (4); TAB 7)	______	______
4. Comply with Current Programs (TAB 5)	______	______
5. For “troubled HAs only, document that a Contract Administrator (or equivalent organization) will administer the grant (TAB 3, Section IV)	______	______
6. Meet PHMAP Score Requirement (TAB 6, PHMAP Score)	______	______
7. Compliance with Fair Housing and Civil Rights Laws (TAB 5)	______	______

RATING FACTORS CHECK LIST

Each applicant will be rated and scored on the following five ranking factors and one bonus factor. Please follow the same instructions for verifying information as Threshold Checklist. (see SuperNOFA, III, (A), EDSS Selection Factors)

RATING FACTORS	APPLICANT ONLY	HUD USE ONLY
	(PAGE #)	
1. Applicant Capacity and Relevant Organizational Experience (TAB 3, Section IV; TAB 5)	____________	
2. Need/Extent of Problem(TAB 2)	____________	
3. Quality of Planning for Self-Sufficiency and Independence (for Family Economic Development and Supportive Services category applications) and Independence for Elderly and Persons with Disabilities (for Elderly and Disabled Supportive Services Category applications). (TAB 2, Chart F; TAB 3, Section II)	____________	
4. Leveraging of Resources (TAB 3, Section III (a)(4); TAB 7)	____________	
5. Applicant's program reflects a coordinated, community-based process. (TAB 3, Sections VII and VIII, certification)	____________	
6. Bonus Points: The applicant will receive two bonus points for eligible activities/projects that are proposed to be located in federally designated Empowerment Zones, Enterprise Communities, or Urban Enhanced Enterprise Communities, serve the EZ/EC residents, and are certified to be consistent with the strategic plan of the EZ or EC. (TAB 3, Section III and certification)	____________	

D. TOP/EDSS CERTIFICATIONS, ASSURANCES, AND BLANK FORMATS

TOP/EDSS Certifications, Assurances, and Blank Formats

Attached are the blank certifications, assurances, and blank formats to be inserted in your application. Unless noted, all certifications, assurances, and blank forms are to be used for both EDSS and TOP.

Application for Federal Assistance (SF-424)

TOP Instructions for Standard Form (SF-424) [TOP only]

EDSS Instructions for Standard Form SF-424 [EDSS only]

Assurances—Non-Construction Programs (SF-424 B)

TOP/EDSS Certification of Consistency and Compliance

Certification for a Drug-Free Workplace (HUD-50070)

Applicant/Recipient Disclosure/Update Report (HUD-2880)

Applicant's Disclosure on Lobbying

Certification of Payments to Influence Federal Transactions (HUD-50071)

Disclosure of Lobbying Activities (SF-LLL)

Disclosure of Lobbying Activities Continuation Sheet (SF-LLL-A)

Certification Regarding Disbarment and Suspension (HUD-2992)

TOP/EDSS Applicant/Administrator Certification

Certification of Consistency with the EZ/EC Strategic Plan (HUD-2990)

Certification of Consistency with the Consolidated Plan (HUD-2991)

PHMAP Score [EDSS only]

Certification of Resident Council Board Election [TOP only]

Certification Regarding Other RM/TOP Funding Received [TOP only]

Resolution of Agreement to Comply with HUD Terms and Conditions for Technical Assistance [TOP only]

TOP/EDSS Tab 3: Chart A Activity/Program Plan Summary

TOP/EDSS Tab 3: Chart B Activity Breakout for Phase/Activity ________

TOP Budget, Tab 3, Chart C [TOP only]

TOP Chart D: TOP Summary Budget Information for HUD Automated Tracking [TOP only]

EDSS Budget, Tab 3, Chart III-C   [EDSS only]

EDSS Tab 3, Chart III-D: EDSS Summary Budget Information for HUD Automated Tracking   [EDSS only]

TOP/EDSS Tab 3, Chart E: Program Resources

TOP/EDSS Tab 3, Chart F: Program Staffing

EDSS/TOP Applicant Administrator Track Record Chart

Acknowledgement of Application Receipt

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
	4. Date Received by Federal Agency	Federal Identifier

Application
- ☐ Construction
- ☐ Non-Construction

Pre-application
- ☐ Construction
- ☐ Non-Construction

5. **Applicant Information**

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

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form **SF-424** (4/92)
Prescribed by OMB Circular A-102

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 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 .

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.)

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

TOP INSTRUCTIONS FOR STANDARD FORM SF-424

Item 1: Mark the box in Item 1 for "Application Non-Construction."

Item 2: The date you submit the application to HUD.

Items 3 and 4 Do not complete these or the requested identifiers (they are for HUD use).

Item 5: Fill in your organization's legal name and business address. Leave blank "Organizational Unit." The contact person should be someone who can be easily reached and who is very familiar with the contents of the proposal. This person is generally an officer of the resident group who is most familiar with the application.

Item 6: The resident applicant's Internal Revenue Service Employer Identification Number (EIN). (If the organization has not obtained an EIN, leave blank.)

Item 7: This should be "N." (Resident groups are nonprofit organizations.)

Item 8: Check the "New" box.

Item 9: Enter "U.S. Department of Housing and Urban Development."

Item 10: Enter 14-853 and "Public Housing Tenant Opportunities Program

Item 11: Enter the name of your program here.

Item 12: List only governmental entities, such as States, cities, towns, townships, counties, etc., not the names of your targeted development.

Item 13: Enter the **proposed (tentative) start and end dates** for your plan. Allow 12 to 16 weeks for money to arrive after application selection. Activities funded under the program must be completed within 24 months from the date a Grant is executed.

Item 14: Do not complete.

Item 15: Under "a", "Federal," enter the amount of money you are requesting. Leave "b" through "f" blank. For "g," enter the amount you are requesting (total amount on budget).

Item 16: Check box (b).

Item 17: If you enter "yes," attach an explanation of why you are delinquent on Federal debt.

Item 18: An authorized officer of the resident organization should sign the form and include a telephone number where he or she can be easily reached.

EDSS INSTRUCTIONS FOR STANDARD FORM SF-424

ITEM 1: Housing Authority applicants should mark the box in Item 1 for “Application: Non-Construction.”

ITEM 2: The date you submitted the application, generally one or two days before the deadline.

ITEMS 3 and 4: Do not complete these, as well as the identifiers that are requested (they are for HUD use).

ITEM 5: Fill in your organization’s legal name and business address. Leave blank “Organization Unit.” The contact person should be someone who can be easily reached and who is very familiar with the contents of the proposal. Perhaps the PHA/Tribe/TDHE Executive Director or other authorized representative.

ITEM 6: The applicant’s Internal Revenue Service Employer Identification Number (EIN). (If the applicant has to obtain an EIN, leave blank)

ITEM 7: This should be “N”. (Indicate “Housing Authority”)

ITEM 8: Check the “New” box.

ITEM 9: Enter “U.S. Department of Housing and Urban Development.”

ITEM 10: Enter “14-863” and enter “Public and Indian Housing Economic Development and Supportive Services Program” after “Title”.

ITEM 11: Enter the name of your program here, as shown in the example in this Section.

ITEM 12: List only governmental entities, such as States, cities, Tribes, towns, townships, counties, etc., not the names of your targeted developments.

ITEM 13: Enter the proposed start and end dates for your plan. The start date must be evident within the first 6 months of the grant term, and the end date must be evident within the last 6 months of the grant term. These dates should also be reflected in the text of your application. Programs funded under the Public and Indian Housing EDSS program must be completed within 36 months from the date a grant is executed.

ITEM 14: Do not complete.

ITEM 15: Under (a), “Federal,” enter the amount of money your are requesting. For (b), (c), (d), (e), and (f), leave blank. For “g,” enter the amount you are requesting (total amount on budget).

ITEM 16: Check box (b). Executive Order 12372 does not apply.

ITEM 17: If you enter “yes,” you must attach an explanation of why you are delinquent on any Federal debt.

ITEM 18: An authorized officer of the housing authority would sign the form and include a telephone number where he or she can be easily reached

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 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 .

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

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

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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).

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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.

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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).

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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

TOP/EDSS CERTIFICATION OF CONSISTENCY AND COMPLIANCE

I CERTIFY that the proposed TOP or EDSS activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Authority.

2. **Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the TOP or EDSS application to address the furtherance of fair housing.

3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.

4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, the *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964,* the *Equal Pay Act*, section 504 of *the Rehabilitation Act of 1973*, the *Age Discrimination Employment Act of 1967*, and the *Age Discrimination Act of 1975.*

5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

6. **Administrative Requirements.** The administrative requirements of 24 CFR part 84 or part 85, as appropriate.

Signed this _______ day of ____________, 1998.

By:____

Applicant Chief Executive Officer or Other Authorized Representative

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:

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 ________

form **HUD-2880** (3/92)
ref. Sec 102, HRA 1989; PL. 101 - 235

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.

APPLICANT'S DISCLOSURE ON LOBBYING ACTIVITIES

Sign the Standard Forms LLL and LLL-A, Disclosure of Lobbying Activities and include them in the application. Section 319 of Public Law 101-121 prohibits recipients of Federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government. A common rule governing the restrictions on lobbying was published as an interim rule on February 26, 1990 (55 FR 6736), and supplemented by a Notice published June 15, 1990 (55 FR 24540). The rule requires applicants for and recipients of assistance exceeding $100,000 to certify that no Federal funds have been or will be spent on lobbying activities in connection with th0e assistance. The rule also requires disclosures from applicants and recipients if non-appropriated funds have been spent or committed for lobbying activities if those activities would be prohibited if paid with appropriated funds. The law provides substantial monetary penalties for failure to file the required certification or disclosure. This does not apply to Indian tribes of TDHEs, tribal organizations, or any other Indian organization with respect to expenditures specifically permitted by other Federal law that are not covered by the definition of person in 24 CFR Part 87.

Attached are certifications and the Standard Forms LLL and LLL-A. Complete and include these forms in the TOP or EDSS application.

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: X	Date:

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:
☐ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:
☐ a. bid/offer/application
b. initial award
c. post-award

3. Report Type:
☐ a. initial filing
b. material change

For Material Change Only:
year __________ quarter __________
date of last report __________________

4. Name and Address of Reporting Entity:
☐ Prime ☐ Subawardee Tier _________ , if known:

Congressional District, if known:

5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:

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.

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:
☐ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:
☐ a. bid/offer/application
b. initial award
c. post-award

3. Report Type:
☐ a. initial filing
b. material change

For Material Change Only:
year __________ quarter __________
date of last report __________

4. Name and Address of Reporting Entity:
☐ Prime ☐ Subawardee Tier _________ , if known:

Congressional District, if known:

5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:

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.

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

TOP/EDSS APPLICANT/ADMINISTRATOR CERTIFICATION

I CERTIFY that my responses to the following three questions are correct:

1. Is there any current HUD declaration of default against the applicant or, if applicable, mediation partner, or Contract Administrator for failure to meet any contractual obligation?
   YES or NO (Please circle one.) (Explain any "YES" response.)

2. Are there any unresolved HUD Office of Inspector General Findings against the applicant, or, if applicable, mediation partner, or Contract Administrator?
   YES or NO (Please circle one.) (Explain any "YES" response.)

3. Are there any unresolved HUD Fair Housing and Equal Opportunity monitoring review findings or HUD Field Office management review findings against the applicant, or, if applicable, mediation partner, or Contract Administrator?
   YES or NO (Please circle one.) (Explain any "YES" response.)

Signed this _______________ day of ___________________, 1998,

by:____

Site-Based RA or IRO Authorized Representative (TOP)

Or

PHA/Tribe/TDHE Executive Director or Authorized Representative

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: ____________________

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: ____________________

PHMAP SCORE
(EDSS only)

Applicant: A PHA applicant cannot have a PHMAP score less than a “C” for either Indicator #6, Financial Management, or Indicator #8, Resident Initiatives, on its most recent PHMAP. Please provide PHA applicant’s score for:

1. Financial Management

2. Resident Initiatives

As an authorized representative of the applicant, I certify that the applicant does not have a PHMAP score less than a "C" for any of the above categories. (see SuperNOFA, III, (A), EDSS,(6), PHMAP Score)

Signed this ___________ day of _________________, 1998

by:____
PHA Executive Director or Other Authorized Representative

TOP Program Only

CERTIFICATION OF RESIDENT COUNCIL BOARD ELECTION

I CERTIFY that____

(name of organization)

located in ____has duly elected

(city & state)

all of the Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations, Part 964.

Date of Resident Council Board Election:

____.

____

(Name and Title of Certifying Housing Authority Official)

____

(Signature) (Date)

____

(Name and Title of Independent Third-Party Monitor)

____

(Signature) (Date)

NOTARY (Signature & Date)

TOP Program Only

CERTIFICATION REGARDING OTHER RM/TOP FUNDING RECEIVED

Please list below any prior year RM/TOP funding (i.e., Mini, Basic, Additional, City-wide or Jurisdiction-wide grant). Also list any funds an IRO has received to assist your organization.

FUNDING SOURCE(S)

NAME OF PROGRAM	NAME OF ORGANIZATION AND AMOUNT	YEAR FUNDED

____
(Resident Organization's Name)

____
(Authorized Official Signature)

TOP Program Only

RESOLUTION OF AGREEMENT TO COMPLY WITH HUD TERMS AND CONDITIONS FOR TECHNICAL ASSISTANCE

WHEREAS, the ____
(name of organization)

is applying for TOP/TAG funds from the Department of Housing and Urban Development (HUD) to further its objectives in representing the residents of the____development.

AND WHEREAS, the undersigned as the governing body of the_______________
____ representing the
(name of organization)

residents of said development have voted to adopt, and do adopt, as evidenced by their signatures affixed hereunder, the following resolution.

RESOLVED, that the____
(name of organization)

agrees to comply with all terms and conditions expressed in HUD's Notice announcing applications for technical assistance, applicable provisions of 24 CFR, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by HUD and agreed to in writing by a duly authorized representative of this organization pertaining to the technical assistance provided by HUD.

Witnessed:

____
(typed name & title)

____
(signature)

____
(typed name & title)

____
(signature)

Tab 3: Chart A

TOP/EDSS ACTIVITY/PROGRAM PLAN SUMMARY

	Phase/Activity	Start/End Date	Milestones	Participating Partner/Activity
1				
2				
3				
4				
5				
6				

Overall Program Objectives:____

____

Tab 3: Chart B:

TOP/EDSS ACTIVITY BREAKOUT

for Phase/Activity____________________

	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED/ROLES
A			
B			
C			
D			
E			
F			

Milestone:____

Tab 3: Chart C

TOP Budget

Activity	Budget Item	TOP Grant Funds	Partner Contribution	Total Resources
	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			
	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			
	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			
	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			

	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			
	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			

Tab 3: Chart C (continued)

	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			
	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			

	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			
	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			

TOP Resident Expenses	
Administrative and Other Cost	
Contract #1 Purpose:	
Contract #2 Purpose:	
HOUSING AUTHORITY FUNDS	
PARTNER 1 Name:	
PARTNER 2 Name:	
PARNTER 3 Name:	
TOTAL COSTS	

TOP Resident Expenses	
Administrative and Other Cost	
Contract #1 Purpose:	
Contract #2 Purpose:	

Tab 3: Chart C (continued)

	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			
	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			
	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			
	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract #1 Purpose:			

	Contract #2 Purpose:			
	HOUSING AUTHORITY FUNDS			
	PARTNER 1 Name:			
	PARTNER 2 Name:			
	PARNTER 3 Name:			
	TOTAL COSTS			

TOP Budget Totals	BUDGET ITEM	**TOP GRANT FUNDS**	**PARNTER GRANT FUNDS**	**TOTAL; RE-SOURCES**
	TOP Resident Expenses			
	Administrative and Other Cost			
	Contract			
	TOTAL HOUSING AUTHORITY FUNDS			
	TOTAL PARNTER FUNDS			
	TOTAL COSTS			

CHART D: TOP SUMMARY BUDGET INFORMATION FOR HUD AUTOMATED TRACKING

List amounts budgeted for each line item. These line items and amounts will be programmed into HUD's Line of Credit Control System (LOCCS) for designating and tracking uses of drawdowns. Line items amounts in Chart D must be consistent with the more detailed budget in Tab 3 Chart C Budget.

==

BUDGET LINE ITEM	AMOUNT
9810 Employment Readiness Training Contracts	________
9820 Business/Job Training Contracts	________
9830 Job Placement/Retention Contracts	________
9840 Mediation Activities	________
9850 Resident Organization Development Contracts	________
9860 Travel Costs	________
9870 Other Resident Costs (Stipends/Reimbursements)	________
9880 Administrative and Other Costs	______

Chart III-C for Tab 3 EDSS BUDGET

#	ACTIVITY	BUDGET ITEM		EDSS GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
1		**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
2		**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
3		**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				

#	ACTIVITY	BUDGET ITEM		EDSS GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
4		**EDSS COSTS**	Housing Authority Personne			
			Housing Authority Admin & Othe			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
5		**EDSS COSTS**	Housing Authority Personne			
			Housing Authority Admin & Othe			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
6		**EDSS COSTS**	Housing Authority Personne			
			Housing Authority Admin & Othe			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				

#	ACTIVITY	BUDGET ITEM		EDSS GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
7		**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
8		**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
9		**EDSS COSTS**	Housing Authority Personnel			
			Housing Authority Admin & Other			
			Contractor(s)			
			Subgrantee.			

		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				

#	ACTIVITY	BUDGET ITEM		EDSS GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
10		EDSS COSTS	Housing Authority Personne			
			Housing Authority Admin & Othe			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			
		TOTAL COSTS				
11		EDSS COSTS	Housing Authority Personne			
			Housing Authority Admin & Othe			
			Contractor(s)			
			Subgrantee.			
		NON-EDSS COSTS	Housing Authority			
			Partners:			

TOTAL COSTS		

TOTAL EDSS BUDGET

	BUDGET ITEM	EDSS G COST
EDSS COSTS	Housing Authority Personne	
	Housing Authority Admin & Othe	
	Contractor(s)	
	Subrecipient(s)	
NON-EDSS COSTS	Housing Authority	
	Partners	
TOTAL COSTS		

Chart III-D, for TAB 3
EDSS SUMMARY BUDGET INFORMATION
FOR HUD AUTOMATED TRACKING

Please list specific budget amounts for each line item. These budget line items and amounts will be programmed into HUD's Line of Credit Control System (LOCCS) for designating and tracking uses of grant drawdowns. Line item amounts in Chart III-D must be consistent with the more detailed budget in Chart III-C.

BUDGET LINE ITEM		AMOUNT
4210	Supportive Services	___________
4220	Economic Development Activities	___________
4230	Administrative Costs	___________
4240	Salaries/Stipends	___________
4250	Other Program Costs	___________

Tab 3: Chart F
Program Staffing

I. APPLICANT/CONTRACT ADMINISTRATOR

Name of Staff	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant

II. CONTRACTOR ROLE

Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program

Tab 3: Chart E

TOP/EDSS Program Resources

Name of Provider/Partner	Activity	Type of Resource	Dollar Value of Resource	Page No. of MOU/MOA	HUD Use Only
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
			$		
Total of Provider/Partner Contributions			$		
Requested TOP Grant Funds			$		
TOTAL PROGRAM RESOURCES			$		

TOP/EDSS Applicant/Administrator Track Record Chart

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete

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 ______________