

# *Local Lead Hazard Awareness Campaign Application*



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



**Local Lead Hazard  
Awareness Campaign  
Grant Program  
1998**

**Application Kit**



**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 and supportive living environments for all people. The Lead-Based Paint Hazard Control program makes strong communities possible by helping to reduce the exposure of young children to lead-based paint hazards in their homes.

We know that the Lead-Based Paint Hazard Control program can have an even greater impact on a community when it works 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 Local Lead Hazard Awareness Campaign we urge you to use the new SuperNOFA process as an opportunity to create truly holistic, coordinated strategies by combining your outreach 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,

A handwritten signature in black ink that reads "Andrew Cuomo".

Andrew Cuomo



## U. S. Department of Housing and Urban Development

Washington, D.C. 20410

### Office of Lead Hazard Control

#### 1998 OFFICE OF LEAD HAZARD CONTROL APPLICATION KIT FOR THE LOCAL LEAD HAZARD AWARENESS CAMPAIGN

OMB CONTROL NO. 2539-0013

Dear Applicant:

Thank you for requesting a Local Lead Hazard Awareness Campaign Grant Program application kit from the Department of Housing and Urban Development. The Department anticipates that up to \$700,000 will be available in FY 98 to fund this new grant program. Funds will be available to conduct public education and outreach at the local level to increase lead hazard awareness to identified target audiences in specific geographical locations. The Department believes that this grant program will be instrumental in giving parents the information they need to prevent their children from being poisoned by lead.

The Application Package portion of this Application Kit (Section I), contains detailed instructions for each component of the application submission, including the necessary forms. Please follow the instructions in the Checklist to ensure that you have met all the requirements for a complete application. Please refer to the NOFA for the application deadline.

Applicants are to submit an application that addresses the major activities and rating factors outlined in the NOFA and this application kit. Before you begin preparing your application submission please read the entire application and NOFA to determine your eligibility and to ensure that the activities you propose clearly meet the program objectives. This application kit is complete in itself. Applicants are advised that this application kit is available on the Internet at: <http://www.hud.gov>.

In accordance with the HUD Reform Act of 1989, HUD cannot provide any information on the relative standing of any application during the selection process. However, prior to submission, you may ask questions about the grant program by calling Doline Hatchett at the Office of Lead Hazard Control at (202) 755-1785 extension 114. This is not a toll-free number.

Applicants are advised that proposals submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act (FOIA).

Please refer to the NOFA for the application deadline.

This solicitation is made pursuant to authority under Title X, the Residential Lead-Based Paint Hazard Reduction Act of 1992, of the Housing and Community Development Act 1992, Public Law 102-550, section 1011 (g) (1).

Thank you for your interest in HUD's Local Lead Hazard Awareness Campaign Grant Program.

Sincerely,

A handwritten signature in black ink, reading "David E. Jacobs". The signature is written in a cursive style with a large, stylized initial "D".

David E. Jacobs, CIH  
Director

## Table of Contents

	<b>Page</b>
Instructions	1
Guidance on Requirement Issues	5
Section I: Application Submission Package	10
Transmittal Letter	12
Applicant Abstract	12
Required Forms	12
Rating Factors and Scoring	14
Responses to Factors for Award	14
Section II: Administrative Provisions	23
Section III: Legislative Authority	24
Section IV: Environmental Requirement	24
1998 Local Lead Hazard Awareness Campaign NOFA	Back of Kit

---

## **Local Lead Hazard Awareness Campaign Grant Program: General Instructions and Guidelines for Applicants**

**General Instructions:** This Application Kit should be used to apply for a Local Lead Hazard Awareness Campaign grant.

**The Notice of Funding Availability (NOFA) can be found at the back of this application package and should be read before preparing the application.**

1. **Purpose:** The purpose of the Local Lead Hazard Awareness Campaign Grant Program is to:
  - a. Conduct public education and outreach at a local level to increase lead-based paint hazard awareness and promote lead poisoning prevention in specific geographical locations;
  - b. Increase lead hazard awareness through education and outreach activities to specific high-risk communities, and other identified audiences such as parents, caretakers, pediatricians, children, pregnant women, building owners, and renovation and maintenance personnel.
  - c. Develop coalitions to establish a workable framework to sustain lead education and outreach programs (beyond the life of the grant).
  - d. Develop and implement the infrastructure needed to implement media strategies to successfully market “The Campaign for A Lead-Safe America,” with assistance from the successful applicant of the National Lead Hazard Awareness Campaign grant.

This NOFA is authorized under Title X, The Residential Lead-Based Hazard Reduction Act of 1992 of the Housing and Community Development Act 1992, Public Law 102-550, Section 1011 (g) (1).

2. **Eligibility:** This is a competitive grant program. The following organizations are eligible to receive funding. Applicants with outstanding findings of civil rights violations are not eligible for funding.
  - a. Non-profit (must submit proof of non-profit status) and for-profit organizations (for-profit firms are eligible; however, they are not allowed to include a fee in the cost proposal i.e., no profit can be made from the project)
  - b. Institutions of higher learning
  - c. State and local government
  - d. Federally recognized Indian Tribes
  - e. Trade and Professional Organizations
  - f. Real Estate Organizations
3. **Eligible Activities:** Grant funds shall be used to develop and implement effective strategies to deliver education and outreach services to increase lead hazard awareness and promote lead poisoning prevention to identified target audiences in specific geographical areas. In addition, the applicant must develop and implement various communication strategies to educate their target audience about the hazards of lead-based paint and what communities can do to protect their families from being poisoned by lead. **Each applicant must define their target audience, which can include for example, the real estate community, parents, teachers, health care workers, daycare providers, the general public and other entities.** Grantees will be encouraged to conduct education and outreach using their affiliate chapters, if applicable, branch members or other outreach arms, to involve a full complement of local organizations/representatives from the community (such as local elected officials, and faith-based community groups). While the application must be submitted by a single entity, the applicant can

propose a partnership of multiple organizations in order to accomplish the objectives of this project. HUD reserves the right, in negotiating the grant agreement, to not approve budget items that, in its judgment, are not necessary for the direct support of program purposes, and to request the grantee reallocate such amounts for other acceptable purposes, or to make a corresponding reduction in the grant award.

**Some suggested activities follow:**

- a. Develop a lead education curriculum to be used in grades K-12 to teach children about the dangers of lead poisoning;
- b. Increase lead hazard awareness by distributing pamphlets, brochures or other materials at community meetings, schools, local events, and information fairs;
- c. Develop and deliver lead poisoning prevention awareness programs to workers living in high-risk communities who may bring lead into their homes due to occupational hazards;
- d. Develop local and nationwide public awareness coalitions;
- e. Develop innovative approaches to educating real estate agents about the importance of disclosing known lead-based paint hazards before they rent or sell property.

**Ineligible Activities**

- a. Purchase of real property.
- b. Purchase of capital equipment having a per unit cost in excess of \$5,000. Funds may be used, however, to lease equipment specifically for the Local Lead Hazard Awareness Campaign Grant program. If leased equipment becomes the property of the grantee as the result of a lease arrangement, it may remain the property of the grantee at the end of the grant period.

4. **Bonus Points:** This NOFA provides for the award of up to **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, and serve the EZ/EC residents and are certified to be consistent with the strategic plan of the EZ/ECs. The application kit contains a certification which must be completed for the applicant to be considered for EZ/EC bonus points. A listing of the federally designated EZs, ECs, Enhanced ECs and Brownfields Showcase Communities are available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.hud.gov>.

5. **Maximum Assistance:** Up to \$700,000 will be available to fund the Local Lead Hazard Awareness Campaign Grant Program. Grants will range between \$20,000 - \$700,000.

6. **Completion of Work:** Applicants have up to 24 months to complete project activities.

7. **Application Deadline:** Please refer to the Notice of Funding Availability (NOFA) published in the Federal Register for the deadline for the receipt of applications. Applications must be submitted complete, and on-time as required in the NOFA. Applications received after the deadline established will be ineligible for consideration.

Submit an original and two copies of your application package to:

U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control  
Attn: Ms. Dolline L. Hatchett  
451 Seventh Street, SW, Room B-133

---

Washington, D.C. 20410

The General Section of the SuperNOFA provides specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery or hand carried).

8. **Final assembly of an Application Package.** Section I (Application Submission Package) provides all the pages, forms, and attachments necessary to apply for an award under this application kit. The applicant should assemble the application package in the order shown in the Checklist and Table of Contents, number each page, and tab each section sequentially. Denote the appropriate page number on the Checklist and Table of Contents sheet that is to be included with the submission.

**Applicants will be limited to 5 pages of narrative responses for each of the Rating Factors for a total of no more than 25 pages (this does not include forms or documents which may be requested under each factor). Applicants that exceed the 5-page limit for each factor will only have the first 5 pages evaluated.**

9. **Deficient Applications.** The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

10. **Late Applications.** Modifications of Applications, and Withdrawals of Applications

a. Any application received at the Office designated in the solicitation after the exact date and time specified for receipt will not be considered.

b. Hand-delivered applications must be received in the designated Office by the application deadline date and time (documentation is the notation on the application wrapper of the time and date received by the designated Office).

c. Facsimiles and electronically transmitted applications are not authorized and are not acceptable.

d. Any modification of an application is subject to the same conditions as in paragraphs (a), (b), and (c) of this provision.

e. Applications may be withdrawn by written notice, facsimile or telegram (including mailgram) received at any time prior to award. Applications may be withdrawn in person by an applicant or their authorized representative, provided their identity is made known and they sign a receipt for the application prior to award.

11. **Further Information.** If you have any questions regarding your application or any other aspect of the grant program, call Dolline L. Hatchett at (202) 755-1785, ext. 114. (This is not a toll-free number).

This page intentionally left blank.

---

## Guidance on Requirements Issues

### Section 102 of the HUD Reform Act Documentation and Public Access Requirements Applicant/Recipient Disclosures

<b>Background and Requirement</b>
-----------------------------------

#### Background

Applications submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act (FOIA) (5 U.S.C. 552 and HUD regulations at 24 CFR part 15). Application materials, including any letters of support, will be made available for public inspection for a five-year period beginning not less than 30 days after the announcement of the awards.

In addition, HUD will publish in the Federal register a notice listing all the recipients of HUD assistance awarded on a competitive basis under this NOFA.

HUD will make available to the public for five years all applicant disclosure reports (HUD Form 2880) submitted in connection with this NOFA.

To assist HUD in determining whether or not to release information contained in an application in the event a FOIA request is received, applicants may identify or otherwise indicate those portions of their applications which they believe should not be disclosed. While an applicant's advice will be considered by HUD in its determination whether to release requested information or not, HUD is required by the FOIA to make an independent evaluation of that information, regardless of the applicant's views. If the applicant believes that confidential treatment is appropriate, the basis for this view should be provided where possible, because general assertions or blanket requests for confidentiality are not particularly helpful to HUD in making determinations concerning release of information under the Act.

It should also be noted that HUD is required to segregate disclosable information from non-disclosable items, so particular care should be taken in the identification of each portion for which confidential treatment is requested. Applicant views concerning confidentiality will be used solely to aid HUD in preparing its response FOIA requests. Please note that the presence or absence of such comments or earmarking regarding confidential information will have no bearing whatsoever on the evaluation of your application submitted under this solicitation, nor will the absence of this earmarking automatically result in greater disclosure.

<b>How should you respond to this requirement?</b>
--

Evaluate the proposal to determine if it contains any material that should be treated as confidential.

---

**Prohibition Against Lobbying Activities****Background and Requirement****Background**

Applicants for funding under this NOFA are subject to the provisions of Section 319 of the Department of Interior and Related Agencies Appropriations Act for FY 1991 (31 U.S.C. 1352, the Byrd Amendment) and the lobbying Disclosure Act of 1995 (P.L 104-65). The Byrd amendment, which is implemented in regulations at 24 CFR 87, prohibits applicants for and recipients and subrecipients of Federal contracts, grants, loans, cooperative agreements, and loan insurance or guarantees from using appropriated funds to attempt to influence Federal Executive or Legislative officers or employees in connection with obtaining such assistance, or with its extension, continuation, renewal, amendment or modification.

In addition, applicants for and recipients and sub-recipients of Federal contracts, grants, loan, cooperative agreements, and loan insurance or guarantees above certain monetary amounts must file either a certification stating that they have not made and will not make any prohibited payments or a statement disclosing any prohibited payments or agreements to make such payments.

**Requirement**

The Lobbying Disclosure Act, which repealed Section 112 of the HUD Reform Act and resulted in the elimination of the regulation at 24 CFR Part 86, requires all persons and entities who lobby covered Executive or Legislative Branch officials to register with the Secretary of the Senate and the Clerk of the House of Representatives and file reports concerning their lobbying activities.

**How should you respond to this requirement?**

If applicable, complete the Disclosure of Lobbying Activities - Form SF-LLL which was included in the application package. If not applicable, please indicate on the Checklist and Submission Table of Contents.

**Drug-Free Workplace Requirements****Background and Requirement**

The applicant must make certifications and agreements to provide a drug-free workplace. If it is later determined that the applicant knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

**How should you respond to this requirement?**

Enclose with the application submission a completed copy of the Certification for a Drug-Free Workplace form.

---

**Procurement Standards****Background and Requirement**

State and local grantees are governed by and should consult 24 CFR 85.36 and 85.37, which implement OMB Circular A-102 and detail the procedures for subcontractors and subgrants by States and local governments. Under 24 CFR 85.36, which pertains to subcontractors, small purchase procedures can be used for contracts up to \$100,000, and require price or rate quotations from several sources (three is acceptable); above that threshold, more formal procedures are required (note that 24 CFR 85.36 treats States differently than local governments). The procedure in 24 CFR 85.37 apply to sub-grants, and are not as restrictive. If States have more restrictive standards for contracts and grants, the State standards may apply. All grantees should consult and become familiar with 24 CFR 85.36 and 85.37 before issuing contracts or sub-grants.

Institutions of higher learning, hospitals and other non-profit organizations are subject to 24 CFR 85.40 through 84.48.

**Debarred and Suspended Applicants Requirement****Background and requirement**

HUD shall not award an assistance instrument to any applicant that is debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549. Prior to award, HUD shall check the General Services Administration's Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs. Any applicant found to be on that list shall be ineligible for an award under this NOFA.

**How should you respond to this requirement?**

Enclose with the application submission a completed copy of the Certification regarding debarred or suspended application form.

**Other Issues  
(No Response Required in Application)****Davis Bacon Act**

The Davis Bacon Act does not apply to this program. However, if grant funds are used in conjunction with any other Federal program in which prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

---

## **Prohibition Against Advance Information on Funding Decisions**

HUD's regulation implementing Section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a) (Reform Act), codified at 24 CFR 4, applies to this funding competition. The requirements of the rule continue to apply until the announcement of the selection of successful applicants.

HUD employees involved in the review of applications and in the making of funding decisions are restrained by 24 CFR 4 from providing advance information to any person (other than authorized employees of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR 4.

Applicants or employees who have ethic-related questions should contact the HUD Office of Ethics (202) 708-3815 (this is not a toll-free number). Any HUD employee who has specific program questions, such as whether particular subject matter can be discussed with persons outside the Department, should contact the appropriate Field Office Counsel or Headquarters Counsel for the program to which the question pertains.

### **Federalism Executive Order**

The General Counsel, as the Designated Official under Section 8 (a) of Executive Order 12612, Federalism, has determined that the policies and procedures contained in this NOFA will not have substantial direct effects on States or their political subdivisions, or the relationship between the federal government and the States, or the distribution of power and responsibilities among the various levels of government. Under this NOFA, grants will be made to educate target audiences about the hazards of lead-based paint and what families can do to protect their children from being poisoned by lead. Because action is not mandatory, the NOFA does not impinge upon the relationships between the Federal Government, and State and local governments, and the notice is not subject to review under the Order.

### **Family Executive Order**

The General Counsel, as the Designated Official under Executive Order 12606, The Family, has determined that this document will likely have a beneficial impact on family formation, maintenance and general well-being. The NOFA, insofar as it will assist in increasing lead poisoning prevention awareness, will aid in the reduction of childhood lead poisoning. Accordingly, since the impact on the family is beneficial, no further review is necessary.

This page intentionally left blank.

**Local Lead Hazard  
Awareness Campaign  
Grant Program  
1998**

**Section I.  
Application Submission Package**

This page intentionally left blank.

---

### **Transmittal Letter**

Prepare a brief letter applying for the grant and signed by the Executive Director/President or authorized official. The transmittal letter should indicate the applicant agency, the amount of the grant requested and the target audience that you are going to reach with the proposed education and outreach activity. Also include the name and telephone number of the individual to contact for further information pertaining to the application.

### **Applicant Abstract**

Prepare a brief (two page maximum) abstract describing:

- your locality
- the proposed education and outreach project to increase lead-based paint hazard awareness

Include the following items, and be specific and concise:

- Define the target audience and detail demographics;
- Describe the scope and magnitude of the proposed education and outreach activity that details objectives and goals and how the applicant plans to reach them.

### **Required Forms**

The applicant must prepare and submit the following forms found in the back of this kit as part of the application submission package: Acknowledgment of Application Receipt, SF 424, SF 424A, SF 424B, HUD 2880, SF LLL, Certification of Payments to Influence Federal Transactions, Certification for a Drug Free Workplace, Certification Regarding Debarred Applicants, EZ/EC Certification, and Certification of No Outstanding Civil Rights Violations.

This page intentionally left blank.

---

### Rating Factors and Scoring

The applications will be rated according to the five technical rating factors totaling 100 points.

1.	Capacity of the Applicant and Relevant Organizational Experience	20 pts.
2.	Need	20 pts.
3.	Soundness of Approach	40 pts.
4.	Leveraging Resources	10 pts.
5.	Comprehensiveness and Coordination	10 pts.
	<b>TOTAL:</b>	<b>100 pts.</b>

### Responses to Factors for Award

Please respond to each of the five Rating Factor items. **Applicants will be limited to 5 pages of narrative responses for each of the Rating Factors for a total of no more than 25 pages (this does not include forms or documents which may be requested under each factor). Applicants that exceed the 5-page limit for each factor will only have the first 5 pages evaluated.**

This NOFA also includes the following specific format requirement:

**Responses must have clearly numbered pages, a complete table of contents, a limited number of appendices, and be typewritten on one (1) side only on 8 1/2" x 11" paper using a 12 point font with not less than 3/4" margins on all sides.**

<b>Requirement Summary</b>
--------------------------------

In this factor, you should:

- Discuss your ability to successfully implement the proposed work
- Describe the skills and experience of your staff and agency
- Describe the participating organizations and the roles they will play

<b>Remember to Discuss</b>
----------------------------

- Discuss your experience in building coalitions and working with large and diverse organizations to include multiple levels of government
- Level of involvement the applicant will have in general oversight of the participating organizations

## **Factor 1 CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL EXPERIENCE (20 points)**

The applicant shall demonstrate that it has the capability to successfully deliver public education and outreach services to increase lead awareness and promote lead poisoning prevention to its identified target audience within the required time frames set forth in the NOFA. The rating of the “applicant” or the “applicant’s organization and staff” for technical merit or threshold compliance, unless otherwise specified, will include any sub-contractors, consultants, subrecipients, and members of consortia which are firmly committed to the project.

### **A. Administrative And Program Management Capacity (15 points)**

This applicant must document the extent to which it has the organizational resources necessary to successfully implement the proposed activities in a timely manner. The applicant must provide a comprehensive description of its administrative organization (including staff who will be responsible for carrying out the campaign), the participating organizations, and the roles each will perform in implementing the Work Plan (including other state and local agencies, consortium associates, subcontractors, sub-recipients, joint venture participants, and others assisting in implementing the project). Describe how other principal components of the applicant agency or other organizations will participate in the campaign and detail the informal or formal arrangements between them and the applicant. Include copies of any memoranda of understanding or agreement, contracts, or letters of commitment. Describe the substantial involvement the applicant will have in the oversight of the participating organizations and general oversight of the grant.

(a) Detail the knowledge and experience of the overall proposed project director and staff, including the day-to-day program manager, consultants and contractors in planning and managing programs for which funding is being requested. Experience will be judged in terms of recent projects accomplished in the last 2-5 years which are similar in scope or nature directly relevant to the work activities proposed. If the applicant has managed large, complex, interdisciplinary projects, the applicant should include information on them in its response. Detail the administrative experience in building coalitions and working with large and diverse organizations to include multiple levels of government.

- Your readiness and ability to immediately begin the proposed work
  - (b) The applicant has sufficient personnel, or will be able to quickly access qualified experts or professionals, to deliver the proposed activities to the identified target audience in a timely and effective fashion, including the readiness and ability of the applicant to immediately begin the proposed work program.
  - (c) Describe the key personnel, their qualifications, their specific project responsibilities, and percentage of their time to be devoted to the project as well as any salary costs to be paid by the grant. Include a clearly identified organizational chart for your proposed Local Lead Hazard Awareness Campaign as an appendix. Include resumes and salary information for key staff as an appendix. If new staff are to be recruited for the campaign, a copy of the job announcement that describes the skills, experience, proposed duties and responsibilities for each new hire should be provided as an appendix.
- Discuss key personnel, their qualifications and percentage of time to be devoted to the work
- Include and organizational chart for your proposed Local Lead Hazard Awareness Campaign
- Describe prior work history relevant to the proposed activity

Detail the administrative experience in building coalitions and working with large and diverse organizations to include multiple levels of government.

#### **B. Institutional Capacity (5 points)**

Describe the applicant's recent experience and the capacity of the organization to initiate and successfully implement lead education and outreach efforts and/or similar environmental, health or housing projects. Describe the prior work histories of agencies, organizations and groups that will work together under this grant, other cooperative efforts and other lead program activities. Indicate any past experience in providing cost-effective and lead hazard awareness and poisoning prevention activities. Indicate how this experience will be used in carrying out the planned comprehensive Local Lead Hazard Awareness Campaign within the allocated periods of time.

<b>Requirement Summary</b>
--------------------------------

- Discuss a critical level of need for the proposed work
- Detail a clear relationship between the proposed work, the need to increase lead hazard awareness to your identified target audience, and the purpose of this program

<b>Remember to Discuss</b>
----------------------------

- The reasons why there is a need to conduct lead education and outreach to your identified target audience
- Other organizations that conduct lead education and outreach programs and how your proposed activity will work with them
- How you will measure the results of the proposed work

## Factor 2 NEED (20 Points)

This factor addresses the extent to which there is a need for funding the proposed program activities to address a documented problem. In responding to this factor, the following must be provided:

Document any other socioeconomic or environmental factors that document a need to establish, continue, or expand lead public education and outreach to applicant's identified target audience.

Document a critical level of need for the proposed activities. The documentation of need may include, but is not limited to, HUD reports and analyses, relevant economic and/or demographic data, government or foundation reports and studies, news articles, and other information which relate to the proposed project activities.

Document the need specific to the area where the project activity will be carried out. Specific attention must be paid to documenting need as it applies to the area where activities will be targeted. If the target area is an entire locality or State, then documenting at that level is appropriate. The applicant must demonstrate how specific community or neighborhood needs can be met through the activities proposed.

Document the extent to which the proposed activities relate to efforts of other entities that are engaged in or have an impact on the project subject matter. Applicants should discuss their knowledge of other related on-going activities and how the proposed activities will compliment and/or enhance the work of other entities. Examples of such activities may be conducting education presentations, distributing informational literature, reaching out to schools, day care centers, churches, merchants, and social service agencies, providing referrals and sponsoring lead screenings of young children.

Document the extent to which the activities to be implemented will provide HUD with measurable results to be achieved with the funds requested. Measurable results should be stated in terms relevant to the purpose of program funds, e.g., implementation of proposed activity having a direct impact on increasing the level of awareness of lead hazard control to applicant's identified target audience, reduction of the number of children being poisoned by lead in the applicant's locality as a result of the proposed activity up to a two year period from the date of award funds.

Applicants must develop a clear relationship between the proposed

activities, the need to increase lead hazard awareness to the identified target audience and the purpose of the program funding in order to receive points for this factor.

<b>Requirement Summary</b>
--------------------------------

- Discuss your Statement of Work
- Discuss how you will conduct a comprehensive, cost-effective, campaign

<b>Remember to Discuss</b>
----------------------------

- Your target audience
- Specific time-phased and measurable activity goals
- Describe key activities with beginning and completion dates
- Discuss cost-effective measures you will use to increase lead hazard awareness
- How you will organize and conduct your campaign
- How you will work with private and public sector organizations to achieve program goals

### Factor 3 SOUNDNESS OF APPROACH (40 points)

This factor addresses the quality and cost-effectiveness of the applicant's proposed Statement of Work.

Discuss in detail the Statement of Work that develops specific time-phased and measurable tasks or activities for carrying out the proposed activity objectives. Describe the overall plan to conduct a comprehensive, cost-effective local lead hazard awareness campaign. Provide a description of key activities with beginning and completion dates (i.e., When will staff be hired? When will work begin? Will you work with private and public sector organizations to deliver products and messages which will increase lead hazard awareness to your identified target audience? Describe the proposed activities that will have an ability to reach and benefit members of the applicant's identified target audience, as well as be replicated in other communities.

The Statement of Work should emphasize and promote qualitative, efficient and cost-effective methods to increase the knowledge and awareness of the public about the dangers of lead poisoning and lead-based paint hazards; increase the number of children benefiting from program activities; and promote the substantive involvement of neighborhood/ community-based organizations in lead hazard awareness campaigns. The Statement of Work should include the following components:

(a) Discuss the overall strategy on how to increase lead hazard awareness and poisoning prevention to the applicant's identified target audience. How will applicant organize for and conduct the local lead hazard awareness campaign?

(b) Describe the immediate benefits of the proposed activity and indicators by which the benefits will be measured. Applicants must describe the methods they will use to determine the effectiveness of their Local Lead Hazard Awareness Campaign.

(c) Describe the proposed community awareness, education and outreach activities to be conducted in support of the applicant's work plan and objectives. Detail who will be responsible for ensuring these activities are implemented? Define

the target audience (parents, real estate brokers/agents, children, etc.)

(d) Detail any involvement by health care providers, non-profit housing corporations, the public school systems or others who be involved in the applicant's campaign.

(e) Describe the proposed involvement of community or neighborhood- based organizations in the performance of activities proposed by the applicant.

(f) Discuss how your Local Lead Hazard Awareness Campaign will work to form coalitions, as well as coordinate with private and public sector organizations to deliver products and messages which will increase lead poisoning prevention awareness. Specifically, the applicant must describe the proposed activities that will reach and benefit members of the public, especially in high risk communities and other identified audiences in Section I.(B) of this program NOFA.

(g) The applicant should describe the extent to which the proposed activities will yield long-term results and innovative strategies or "best practices" that can be readily disseminated to other organizations and State and local governments.

The proposed Statement of Work should clearly describe the specific tasks and subtasks to be performed and how feasibly they can be completed within the grant period;

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

(b) Detail proposed tasks and sub-tasks that clearly provide technically competent methods for conducting the work;

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

HUD will also measure the soundness of the applicant's approach by assessing the following:

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

(b) The extent to which the program is cost effective in achieving the anticipated results of the proposed activities as well as in achieving significant impact; and

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

- Remember to submit a summary of the individual cost elements reflected in the proposed budget
- Detail how those cost elements were derived
- Provide an explanation of the estimate budget cost for each program element or task in the Statement of Work

#### **Budget (0 points)**

The applicant's proposed budget will be evaluated in terms of whether it is reasonable, clearly justified, and consistent with the intended use of the grant funds. Applicants may devote up to 24 months for the planning, execution, and completion of proposed activities. HUD is not required to approve or fund all proposed activities. All budget categories and costs (Standard Form 424A Section B and Budget Sheets) and major tasks should be thoroughly documented and justified. In addition to the completion of the SF-424A Section B, "Budget Information," applicants are requested to submit a summary of the individual cost elements reflected in the proposed budget.

While HUD recognizes that the costs are based on estimates, the summary should include detailed information on how the individual cost elements of the budget proposal are derived. Provide an explanation of the estimated budgeted cost for each program element or tasks included in the overall work plan. Program elements include:

Information such as quotes obtained from various vendors or historical data relied upon. All fringe and indirect cost rates must be supported by audited data which should be submitted for review as an appendix.

Please complete the Detailed Description of the HUD (Federal) Funds Budget Request Form. Cost elements may include: Direct Labor, Fringe Benefits, Travel, Equipment, Materials & Supplies, Consultants, Subcontracts, Other Direct Costs, and Indirect Costs. The narrative justification associated with these budgeted costs should be included as an attachment to the Detailed Description of the HUD (Federal) Funds Budget Request Form (the budget narrative justification is not counted as part of the 5 page limit for the Soundness of Approach rating responses).

The applicant should develop its budget request with the following

items or assumptions included:

Direct labor costs should include all full- and part-time staff required for the period of performance. These costs should be based on FTE or hours/year (e.g. FTE equals 2080 hours per year or local equivalent).

Submit as an attachment to the budget sheets, the negotiated rate agreements for fringe benefits and indirect costs, if applicable.

Any subcontracts, subgrants, or subrecipients receiving greater than 10 percent of the total Federal budget request should provide a similar cost proposal breakout.

### Requirement Summary

- Identify the participation of community and neighborhood organizations
- Include in the appendix copies of memorandum of understanding or agreement or other documentation detailing specific information requested

### Remember to Discuss

- Whether resources will include funding and/or in-kind contributions

### Factor 4 LEVERAGING RESOURCES (10 Points)

This factor addresses the ability of the applicant to secure other resources which can be combined with HUD's program resources to achieve program purposes. In evaluating this factor HUD will consider the extent to which the applicant is partnering with other organizations to secure additional resources, including financial resources, to increase the effectiveness of the proposed program activities. However, a match/in-kind funding is not required for this program. If applicable, resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of the award the applicant is seeking. Resources may be provided by public or private nonprofit organizations, for-profit private organizations, or other entities willing to partner with the applicant. Applicants may also partner with other program funding recipients to coordinate the use of resources in the identified target area.

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

<b>Requirement Summary</b>
--------------------------------

- Detail lead hazard awareness linkages with other programs

<b>Remember to Discuss</b>
----------------------------

- Forums to be used to ensure proposed activity effectively reaches its target audience

## **Factor 5 COMPREHENSIVENESS AND COORDINATION (10 Points)**

This factor addresses the extent to which the applicant's program reflects a coordinated process of identifying needs and building a system to address those needs by using available HUD funding resources and other available resources. In evaluating this factor, HUD will consider:

(1) The extent to which the application demonstrates that proposed activities will reach the identified target audience. This includes discussion of the applicant's analysis of the most appropriate forums, approaches and other factors to ensure that activities reach the broadest spectrum of intended beneficiaries. Additionally, the application should discuss procedures to be used to promote awareness of the services provided by the proposed activity.

(2) The extent to which the application demonstrates that the applicant will develop linkages with:

(a) Other HUD funded program activities proposed or on-going; or

(b) Other proposed or on-going State, Federal, local or privately funded activities which support and sustain a comprehensive system to address the purposes of this grant program.

Documentation of the extent to which policy priorities of the Department are furthered by the proposed activity. Examples of such policy priority areas that may be addressed are: Increasing awareness among real estate agents about the importance of disclosing known lead-based paint hazards before they rent or sell property and increasing awareness to promote healthy homes.

### **Miscellaneous Attachments to Rating Factors**

Attach any miscellaneous items or documents to the application which support or are part of your Local Lead Hazard Awareness Campaign Grant Application. These appendices should be limited to documents and forms that directly pertain to your proposed Local Lead Hazard Awareness Campaign and must be specifically referenced and/or requested in responding to the factors for award. Additional narrative explanation to the Rating Factors is not acceptable. Information, materials, and documents which do not, in HUD's sole opinion, meet these requirements will not be considered in the application review. Note: It is not necessary to submit individual training certificates or licenses.

## Section II. Administrative Provisions

### Obligation of funds

All payments will be made as a grant, or cooperative agreement that is either fixed price or cost reimbursable, except that a one (1) percent final payment shall be withheld and made upon completion of all tasks and the delivery and acceptance of the final report by the Government Technical Representative.

### Increases of awards

After executing the grant agreement and initial obligation of funds, HUD will not increase the grant sum or the total amount to be obligated based upon the original scope of work.

### Deobligation

HUD may deobligate all or partial funds for the grant if proposed activities are not initiated and completed in accordance with the Statement of Work within the required period of performance. The grant agreement will set forth in detail other circumstances under which funds may be deobligated and other sanctions imposed.

Treatment of deobligated funds. HUD may undertake either or both of the following actions:

Readvertise the availability of funds that have been deobligated under this section in a new NOFA; or

Choose additional applications which were submitted in response to this NOFA in accordance with the selection process described in Sections 4 of this NOFA.

### Reports

The grantee shall submit the following types of reports:

Progress Reports. The grantee shall submit quarterly progress reports. These progress reports shall include expenditure reports and a narrative describing important events, milestones, work plan progress, and problems encountered during the period covered. Grantees will be provided the applicable forms and reporting instructions.

Final Report. The grantees shall submit a final report. The final report shall summarize the applicant's plans, execution of the plans, achievements noted, and lessons learned. The report need not be lengthy, but should be of a quality and detail to provide free-standing description to any outside reader of all of the applicant's work and achievement under the grant.

### **Section III. Legislative Authority**

Grants are authorized under Title X, The Residential Lead-Based Paint Hazard Reduction Act of 1992 of the Housing and Community Development Act 1992, Pub. L. 102-550, section 1011 (g) (1).

### **Section IV. Environmental Requirement**

In accordance with 24 CFR 50.19 (b) (9), the assistance provided under this program relates only to the provision of technical assistance and therefore is categorically excluded from the requirements of the National Environmental Policy Act and is not subject to environmental review under the related laws and authorities. This determination is based on the ineligibility of real property acquisition, construction, rehabilitation, conversion, leasing or repair for HUD assistance under this program. In addition to the site above, it is also subject to 24 CFR part 50.19 (b) (2) and (4), the assistance provided under this program relates only to the provision of information services and public services concerned with health and therefore is also categorically excluded from the National Environmental Policy Act.

## CHECKLIST AND SUBMISSION TABLE OF CONTENTS

The following checklist is provided to ensure that you have submitted all of the required items in order for you to receive consideration for funding under this RFGA. Applicants must check off each item that they have included in their submission package and note the corresponding page number where the response is located. Applicants are to include this checklist and submission table of contents with the proposal.

Check Off Page Number

- |                          |  |            |
|--------------------------|--|------------|
| <input type="checkbox"/> | Transmittal Letter   | Cover page |
| <input type="checkbox"/> | Applicant Abstract Summary (limited to a maximum of 2 pages) | p. ____    |

### Application Forms

- |                          |  |         |
|--------------------------|--|---------|
| <input type="checkbox"/> | Standard Form 424 (Application for Federal Assistance) and SF 424A |         |
| <input type="checkbox"/> | Section B (Budget Information/ Non-Construction Programs)          | p. ____ |
| <input type="checkbox"/> | Detailed Description of the Federal Budget Request Form            | p. ____ |
| <input type="checkbox"/> | Standard Form 424B (Assurances/ Non-Construction Programs)         | p. ____ |
| <input type="checkbox"/> | Certifications and Assurances Form                                 | p. ____ |
| <input type="checkbox"/> | Disclosure and Update Report Form (HUD-2880)                       | p. ____ |
| <input type="checkbox"/> | Form SF-LLL Disclosure of Lobbying Activities Required             | p. ____ |
|                          | <input type="checkbox"/> Form SF-LLL Not Required                  |         |
| <input type="checkbox"/> | Drug-Free Certification/ Place of Performance                      | p. ____ |

### Threshold Requirements

- |                          |   |         |
|--------------------------|---|---------|
| <input type="checkbox"/> | Certification of No Outstanding Civil Rights Violations | p. ____ |
|--------------------------|---|---------|

### Rating Factor Response

**Applicants will be limited to 5 pages of narrative responses for each of the Rating Factors for a total of no more than 25 pages (this does not include forms or documents which may be requested under each factor). Applicants that exceed the 5-page limit for each factor will only have the first 5 pages evaluated.**

- |                          |   |         |
|--------------------------|---|---------|
| <input type="checkbox"/> | 1. Capacity of the Applicant and Relevant Organizational Experience | p. ____ |
| <input type="checkbox"/> | 2. Need   | p. ____ |
| <input type="checkbox"/> | 3. Soundness of Approach  | p. ____ |
| <input type="checkbox"/> | 4. Leveraging/ Partnerships   | p. ____ |
| <input type="checkbox"/> | 5. Comprehensiveness and Coordination                               | p. ____ |

# Application for Federal Assistance

OMB Approval No. 0348-0043

	2. Date Submitted	Applicant Identifier
1. Type of Submission: <b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <b>Preapplication</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	3. Date Received by State	State Application Identifier
	4. Date Received by Federal Agency	Federal Identifier

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): <input type="text"/> <input type="text"/> - <input type="text"/>	7. Type of Applicant: (enter appropriate letter in box) <input style="width:30px; height:20px;" type="text"/> 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 Non-profit O Public Housing Agency P. Other (Specify):
8. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es): <input type="text"/> <input type="text"/>  A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify):	9. Name of Federal Agency:

10. Catalog of Federal Domestic Assistance Number:  Title: <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>	11. Descriptive Title of Applicant's Project:
12. Areas Affected by Project (cities, counties, States, etc.):	

13. Proposed Project:	14. Congressional Districts of:	
Start Date	Ending Date	a. Applicant b. Project

15. Estimated Funding:	16. Is Application Subject to Review by State Executive Order 12372 Process? a. <b>Yes</b> This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date: _____ b. <b>No</b> <input type="checkbox"/> Program is not covered by E.O. 12372 <b>or</b> <input type="checkbox"/> Program has not been selected by State for review.																					
<table style="width:100%; border-collapse: collapse;"> <tr><td>a. Federal</td><td>\$</td><td>.00</td></tr> <tr><td>b. Applicant</td><td>\$</td><td>.00</td></tr> <tr><td>c. State</td><td>\$</td><td>.00</td></tr> <tr><td>d. Local</td><td>\$</td><td>.00</td></tr> <tr><td>e. Other</td><td>\$</td><td>.00</td></tr> <tr><td>f. Program Income</td><td>\$</td><td>.00</td></tr> <tr><td>g. Total</td><td>\$</td><td>.00</td></tr> </table>	a. Federal	\$	.00	b. Applicant	\$	.00	c. State	\$	.00	d. Local	\$	.00	e. Other	\$	.00	f. Program Income	\$	.00	g. Total	\$	.00	17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes    If "Yes," explain below or attach an explanation <input type="checkbox"/> No
a. Federal	\$	.00																				
b. Applicant	\$	.00																				
c. State	\$	.00																				
d. Local	\$	.00																				
e. Other	\$	.00																				
f. Program Income	\$	.00																				
g. Total	\$	.00																				

18. To the best of my knowledge and belief, all data in this application/preapplication 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

---

## 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 preapplications 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	Item	Entry
1.	Self-explanatory.		description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Self-explanatory.
14.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
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.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	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
7.	Enter the appropriate letter in the space provided.	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.
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.	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.)
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. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary		

# Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

<b>Section A - Budget Summary</b>						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$
<b>Section B - Budget Categories</b>						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. Totals (sum of 6i and 6j)						
7. Program Income		\$	\$	\$	\$	\$

**Section C - Non-Federal Resources**

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

**Section D - Forecasted Cash Needs**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. <b>Total</b> (sum of lines 13 and 14)	\$	\$	\$	\$	\$

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

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

**Section F - Other Budget Information**

21. Direct Charges	22. Indirect Charges
23. Remarks	

---

## Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 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. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

---

### General Instructions

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

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

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

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

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

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

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

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

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

**Line 5**—Show the totals for all columns used.

### Section B. Budget Categories

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

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

**Line 6j**—Show the amount of indirect cost.

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

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

# 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**

- 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 \_\_\_\_\_
  - Is this application for a specific housing project that involves other government assistance?  **Yes**  **No**  
 If Yes, you must complete the remainder of this report.  
 If No, you must sign this certification.  
 I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_
- If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

**Part III. Other Government Assistance Provided/Requested**

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

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

If there is no other government assistance, you must certify that this information is true.  
 I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Part IV. Interested Parties**

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

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

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

---

**Part V. Report on Expected Sources and Uses of Funds**

---

**Source**

---

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

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

---

**Use**

---

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

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Certification**

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

I certify that this information is true and complete.

Signature	Date
-----------	------

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection 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 questions 1 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 referred 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, elevators, 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 periodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

# Certification 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 Federal agency 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:

Date:

X

# Certification of Payments to Influence Federal Transactions

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

---

Applicant Name

---

Program/Activity Receiving Federal Grant Funding

---

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

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

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

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

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

---

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

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

---

Name of Authorized Official:

Title:

Signature:

Date:

X

# 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 .

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
--	---	--

<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:   <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>   <b>Congressional District, if known:</b>
--	--

<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>   <b>CFDA Number, if applicable:</b> _____
--------------------------------------	---

<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____
--	---

<b>10a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a.) (last name, first name, MI):
--	--

<b>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.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____
---	---

---

## 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 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 Regarding Debarment and Suspension

---

## 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 placed 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

# 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

# Program Certifications

## Certification of No Outstanding Civil Rights Violations

### Number Certification

- C-1 There is no pending civil rights suit against the applicant agency instituted by the U.S. Department of Justice.
- C-2 There is no outstanding finding of noncompliance with civil rights statutes, Executive Orders, or regulations as a result of formal administrative proceedings, unless the applicant is operating under a HUD-approved compliance agreement designed to correct the area of noncompliance, or is currently negotiating such an agreement with the Department.
- C-3 There is no unresolved Secretarial charge of discrimination issued under Section 810(g) of the Fair Housing Act (implementing regulations at 24 CFR 103.400).
- C-4 There has been no adjudication of a civil rights violation in a civil action brought against the Agency by a private individual, unless the agency is operating in compliance with a court order designed to correct the area of noncompliance, or the applicant has discharged any responsibility arising from such litigation.
- C-5 There has been no deferral of the processing of applications from the applicant Agency imposed by HUD under Title VI of the Civil Rights Act of 1964, the Attorney General's Guidelines (28 CFR 50.3), or the HUD Title VI regulations (24 CFR 1.8) and procedures, or under Section 504 of the Rehabilitation Act of 1973 and the HUD Section 504 Regulations (24 CFR 8.57).

---

Signature of Authorized Certifying Official

---

Date

---

Typed or Printed Name of Authorized Certifying Official

---

Title

# 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 \_\_\_\_\_