

ROSS FY 2001 FUNDING

PART III

RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

OVERVIEW

PROGRAM DESCRIPTION

These grants are available to establish and strengthen organizational capacity for site-based resident associations (RAs) that do not have the capacity to administer a welfare to work program, conduct management activities, or implement business development enterprises/ventures.

ELIGIBLE APPLICANTS

- Site-Based Resident Associations (RAs) representing public housing residents (includes RCs, ROs, and RMCs) and City-Wide Resident Organizations (CWROs).
- If an RA is a beneficiary or recipient of a proposed grant activities by a CWRO, then that RA cannot also apply under this category.
- Tribes/TDHEs that partner with tribal RAs and RMCs.
- FY 2000 ROSS applicants may apply for FY 2001 ROSS programs. In FY 2001, HUD will not fund duplicate applications from FY 2000.

ELIGIBLE ACTIVITIES

- Training related to resident-owned business or cooperative development and technical assistance for job training and placement in housing developments;
- Technical assistance and training in resident managed business development through: feasibility and market studies; development of business plans; outreach activities; and innovative financing methods including revolving loan funds and the development of credit unions; and legal advice in establishing a resident-managed business entity or cooperative;
- Establishing and funding revolving loan funds. Revolving loan funds may not be used for acquisition, disposition, or physical development;
- Training residents, as potential employees of an RMC, in skills directly related to the operation, management, maintenance and financial systems of a development;
- Training residents with respect to fair housing requirements;
- Gaining assistance in negotiating management contracts and designing a long-range planning system.

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Eligible Activities (continued)

- Providing social support needs (such as self sufficiency and youth initiatives) including:
- Feasibility studies to determine training and social services needs;
- Training in management-related trade skills, computer skills, and similar skills;
- Management-related employment training and counseling including job search assistance, job development assistance, job placement assistance, and follow up assistance;
- Support services including: child care services; educational services, remedial education, literacy training, ESL instruction, assistance in attaining a GED; vocational training including computer training; health care outreach and referral services; meal services for the elderly or persons with disabilities; personal assistance to maintain hygiene/appearance for the elderly or persons with disabilities; housekeeping assistance for the elderly or persons with disabilities; transportation services; congregate services for the elderly or persons with disabilities; and case management;
- Training for programs such as child care, early childhood development, parent involvement, volunteer services, parenting skills, before and after school programs;
- Training programs on health, nutrition, safety, and substance abuse. Food costs that are directly attributed to the nutrition and health training are eligible grant expenditures. Food costs associated with entertainment are NOT eligible.
- Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops could be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire, and Big Brother/Big Sisters;
- Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities;
- Establishing and operating Neighborhood Networks Centers that use computer technology and telecommunications for job training, after-school youth programs, education, and health activities.

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- Physical improvements to facilities at public housing developments: (1) to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic improvements and repairs to space to conduct community activities; (2) to expand existing community space for proposed ROSS activities; or (3) to make modifications necessary to create accessibility for persons with disabilities. Physical improvements **may not exceed 50%** of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments:
 - Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.
 - The renovation, conversion, or combination of vacant dwelling units in a PHA development to create common areas to accommodate the provision of supportive services.
 - The renovation of existing common areas in a PHA development to accommodate the provision of supportive services.
 - The renovation or repair of facilities located near the premises of one or more PHA developments to accommodate the provision of supportive services.
 - If renovation, conversion, or repair is done off-site, the PHA must provide documentation that it has control of the proposed property for **not less than 2 years** and preferably for **four years or more**. Control can be evidenced through a lease agreement, ownership documentation, or other appropriate documentation.
 - All renovations must meet appropriate accessibility requirements, including Section 504 requirements at 24 CFR Part 8, *Architectural Barriers Act* at 24 CFR Part 40, the *Americans With Disabilities Act*, and the *Fair Housing Act*.

Please note that the cost of preparing your application is **not** an eligible grant expenditure.

APPLICATION SELECTION PROCESS

Applicants for Resident Management and Business Development Grants are required to address application submission requirements, but are not required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of this NOFA.

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HUD will accept for funding until **May 24, 2001** the first five eligible applications from each of the ten federal regions and ONAP. Any funds remaining after making awards to the first five eligible applications from each region and ONAP will be awarded to the next eligible application from each region, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region.

Where physical development activities are proposed, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. If funds are not awarded in one category, funds are transferable to other ROSS categories in this NOFA.

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

APPLICATION CHECKLIST

I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For Applicant: _____

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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COVER MATERIALS (See Part II of this application kit for forms in this tab.)

- Table of Contents _____
- Application Checklist _____
- Application for Federal Assistance (Form SF-424) _____
- Federal Assistance Funding Matrix (Form HUD-424M) _____
- Standard Form for Budget Information— Non-Construction Programs (Form SF-424A) _____
- Assurances—Non-Construction Programs (Form SF-424B) _____
- ROSS Fact Sheet _____
- ROSS Program Summary _____

TAB 1: Threshold Requirements

- Threshold Checklist _____
- RMBD Certification on Residents Affected by Welfare Reform _____

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APPLICATION CHECK LIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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- | | | |
|---|-------|-------|
| <input type="checkbox"/> Memorandum of Understanding (MOU) _____
for Partnership between Applicant and PHA/tribe/TDHE | _____ | _____ |
| <input type="checkbox"/> Accessible Community Facility - Executed _____
Use Agreement | _____ | _____ |
| <input type="checkbox"/> Match Agreements – Not less than _____
25% of grant requested | _____ | _____ |
| <input type="checkbox"/> Certification of Compliance with 24 CFR Part 84 _____
or Contract Administrator Signed Statement (not tribes/TDHEs) | _____ | _____ |
| <input type="checkbox"/> Proof of Applicant Nonprofit Status – Copy of _____
Certification of Incorporation or Good Standing
from the State or Copy of IRS 501 (c) designation (not tribes/TDHEs) | _____ | _____ |
| <input type="checkbox"/> Certification of Resident Council Board Election _____ | _____ | _____ |
| <input type="checkbox"/> List of RAs To Receive Support and Letters of _____
Support from RAs | _____ | _____ |
| <input type="checkbox"/> Physical Improvements (Only for applicants _____
proposing physical improvements)
--A description of the renovation or conversion to be conducted, along with a budget
and timetable for those activities.
--A firm commitment of assistance from one or more sources ensuring that supportive
services will be provided for not less than 2 years following the completion of
renovation, conversion, or repair activities funded under this competition. | _____ | _____ |
| <input type="checkbox"/> Certification of Consistency and Compliance _____
with General SuperNOFA Threshold Requirements | _____ | _____ |

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

APPLICATION CHECK LIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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TAB 2: Program Description and Budget

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Program Activities Description—Narrative | _____ | _____ |
| <input type="checkbox"/> Your Resident Organization and it's History—Narrative | _____ | _____ |
| <input type="checkbox"/> Chart A: RMBD Program Staffing | _____ | _____ |
| <input type="checkbox"/> Resumes or summary of proposed staff's qualifications | _____ | _____ |
| <input type="checkbox"/> Chart B: RMBD Applicant/Administrator Track Record | _____ | _____ |
| <input type="checkbox"/> Chart C: RMBD Summary Budget Line Items | _____ | _____ |
| <input type="checkbox"/> Summary of Proposed Work Plan | _____ | _____ |
| <input type="checkbox"/> Chart D: RMBD Budget Work Plan Summary, Parts I and II | _____ | _____ |

TAB 3: Other Certifications and Assurances(See Part VII of this Application Kit for all forms in this tab.)

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Certification for a Drug-Free Workplace (Form HUD-50070) | _____ | _____ |
| <input type="checkbox"/> Certification of Payments to Influence Federal Transactions (Form HUD-50071), and if applicable, Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A) | _____ | _____ |
| <input type="checkbox"/> Applicant/Recipient Disclosure/Update Report (Form HUD-2880) | _____ | _____ |
| <input type="checkbox"/> Certification Regarding Debarment and Suspension (Form HUD-2992) | _____ | _____ |
| <input type="checkbox"/> Acknowledgment of Application Receipt (Form HUD-2993) | _____ | _____ |

ROSS FY 2001 FUNDING

**RESIDENT MANAGEMENT AND
BUSINESS DEVELOPMENT**

TAB 1

THRESHOLD REQUIREMENTS

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

THRESHOLD CHECKLIST

Applicant: _____

Date: _____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section VI (A) & (B) (1-9) and SuperNOFA, General Section II.) *Note: Items marked with an * do not apply to tribes/TDHEs.*

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE ONLY
1. Certification on Residents Affected by Welfare Reform	_____	_____
2. Memorandum of Understanding (MOU) for Partnership between Applicant and PHA/tribe/TDHE	_____	_____
3. Accessible Community Facility - Executed Use Agreement or MOU	_____	_____
4. Match Agreements	_____	_____
5. *Certification of Compliance with 24 CFR Part 84 or Contract Administrator Signed Statement	_____	_____
6. *Proof of Applicant Nonprofit Status (State or IRS)	_____	_____
7. Certification of Resident Council Board Election	_____	_____
8. List of RAs to Receive Support and Letters of Support From RAs (CWRO applicants only)	_____	_____
9. Physical Improvements--Description, Budget, Timetable, and Firm Commitments for Service Provision (Only for applicants proposing physical improvements)	_____	_____
10. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements	_____	_____

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

THRESHOLD REQUIREMENTS

1. Focus on Residents Affected by Welfare Reform. Your RMBD application must contain the following written certification that at least 51% of residents to be included in your proposed program are affected by welfare reform.

**RMBD CERTIFICATION ON RESIDENTS AFFECTED
BY WELFARE REFORM**

I certify that a total of _____ people reside in the housing developments listed below, which are targeted for activities during the proposed RMBD grant.

This proposed RMBD grant will serve a total of _____ residents. Included in the recipients to be served are residents affected by welfare reform who are:

- (1) Currently eligible to receive, are currently receiving, or shall have received within the preceding 4 years assistance or services funded under Temporary Assistance for Needy Families (TANF), SSI, or Food Stamps.
- (2) Elderly or disabled, otherwise not affected by welfare reform, who will provide services such as child care or mentoring to families affected by welfare reform.

I certify that _____% of the residents to served are affected by welfare reform, as defined above. **At least 51% of residents must be affected by welfare reform for your application to meet the threshold requirement of this NOFA.**

Signed this _____ day of _____, 2001.

By: _____
President of Resident Organization or other Authorized Representative

For: _____
Applicant Name

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

2. Partnership between the Applicant and the Housing Agency/Tribe/TDHE. (1) Your application must contain a signed Memorandum of Understanding (MOU) between the applicant and the PHA/Tribe/TDHE that describes the specific roles, responsibilities, and activities to be undertaken by all parties to the MOU. (2) The MOU, at a minimum, must identify the principle parties (i.e. the name of the PHA and applicant), the terms of the agreement (expectations of terms for each party), and indicate that the agreement pertains to the support of the grant application. This document is the basis for foundation of the relationship between the applicant and PHA. It must be precise and outline the specific duties and objectives to be accomplished under the grant. All MOUs must be finalized, dated, and signed by duly authorized officials of both the applicant and PHA upon submission of the application.

Any matches or funds or in-kind contributions provided by the PHA/Tribe/TDHE to the applicant (i.e. office space, technical assistance) must be documented clearly (including appropriate dollar values) in the signed MOU. If the PHA is providing a community facility for the implementation of grant activities such as training, your MOU must also address all requirements of the Accessible Community Facility threshold requirement of this NOFA. A sample MOU is provided.

SAMPLE RMBD MEMORANDUM OF UNDERSTANDING (MOU) BETWEEN THE APPLICANT AND HOUSING AGENCY

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

I. REPRESENTATIONS

WHEREAS, the RA is applying for Resident Management and Business Development (RMBD) funds from the Department of Housing and Urban Development (HUD) to further its objectives in representing the residents of _____.

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

WHEREAS, the PHA is supporting the application of the RA for the RMBD grant and agrees to provide technical assistance to the RA in accordance with HUD's regulations.

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

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

1. The PHA will provide technical assistance in preparing Requests for Proposals to procure professional services, advertising, and/or award of contracts, advertising and selection of the vendor to award the contract, and in drafting the actual contract.
2. The PHA will render the technical assistance in compliance with the Procurement Policy, the Procurement Law, and the laws of the State and Local government.
3. The PHA will provide on-the-job training and in-kind support to the RA or related to the activities of the RMBD, if requested by the RA.
4. The PHA understands the goals of the RA under the RMBD and will make every effort, within the budgetary allowance and solicitation of resources and services from the community, to achieve the goals of the RA.
5. The PHA agrees to provide to the RA information on relevant training or seminars in regards to RMBD.

SAMPLE RMBD MOU (continued)

6. The PHA agrees to provide transportation to the RA for all meetings pertaining to RMBD.
7. The PHA agrees to promote the establishment of any resident businesses established under RMBD.
8. The PHA agrees to allow its staff persons to provide technical assistance on any issues pertaining to RMBD.
9. The PHA agrees to provide the RA with an office area and access to any necessary office equipment to conduct the affairs related to RMBD.
10. The PHA agrees to monitor all RA elections, as required by the regulations provided by HUD.
11. The PHA agrees to assist the RA in coordinating and monitoring the work of other contractors and partners who are providing program training and other assistance.
12. The RA agrees to cooperate with the PHA in improving the conditions of their community by recruiting residents on a continuous basis in relation to RMBD.
13. The RA agrees to only include conventional public housing residents legally residing in their development(s) for implementation of RMBD Activities.
14. The RA agrees to hold fair and frequent elections for the resident organization board members, as stated in HUD's 24 CFR 964.130 (a)(1).
15. The RA has the right to conduct their own elections; however, the RA agrees to allow the PHA to monitor the election process and to act as the local arbitrator, if needed, to settle any and all disputes.
16. The RA agrees to develop and adhere to official by-laws.
17. The RA agrees to provide the PHA with a copy of its by-laws.
18. The RA agrees to maintain a viable resident organization representative of the residents who elected it's officers and Board of Directors, which may include receiving official recognition from the PHA and HUD to function as a RA pursuant to the HUD Regulations.
19. The RA agrees to work in a cooperative manner with PHA and HUD.

SAMPLE RMBD MOU (continued)

- 20. The RA agrees to inform residents of their rights and responsibilities to participate in economic development programs under RMBD.
- 21. The RA Board Members agree to monitor all administrative tasks related to the RMBD grant.
- 22. The RA agrees to inform and recruit public housing residents on a continuous basis, to participate in the RMBD activities.
- 23. The RA Board Members agree to participate in the RMBD activities.
- 24. The RA agrees to maintain financial control by becoming familiar with accrual basis accounting procedures to maintain good financial management along with the financial management firm.
- 25. The RA agrees to participate in all training provided to enhance the performance to their resident organization; such as Leadership Development, Procurement Procedures, Accounting, Computer Skills, Business Management, Marketing, etc.
- 26. If the PHA provides a community facility for the implementation of grant activities such as training, the PHA has verified that the facility meets the structural accessibility requirements of Section 504 of the *Rehabilitation Act of 1973* and the *Americans with Disabilities Act of 1990*.

WITNESS OUR HANDS EFFECTIVE _____

Resident Association

Housing Authority

RA President

Executive Director

Date

Date

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

3. Accessible Community Facility. You must provide evidence (e.g., an executed use agreement and/or MOU if the facility will be provided by an entity other than your organization) that a majority of your proposed activities will be administered at accessible community facilities within easy transportation access of your property. The facilities must be within walking distance or accessible by direct (i.e. no transfers required), convenient, inexpensive, and reliable transportation. Any community facilities must meet the structural accessibility requirements of Section 504 of the *Rehabilitation Act of 1973* and the *Americans with Disabilities Act of 1990* -- this **must be stated** in your narrative executive use agreement, or MOU.

Provide a description of the location where training and other activities will be held. Describe where the facility is located in relation to the development(s) to be served, the days and hours of operation, how transportation needs to the facility will be addressed, and how the facility will be accessible to persons with disabilities. Also described whether the facility to be used is currently in operation, if not, what steps will be taken to adequately operate the facility. If the PHA/Tribe/TDHE is providing the community facilities for the implementation of grant activities, all accessibility requirements as noted above must be incorporated into the MOU between the applicant and the PHA, or into a separate document. Attach an executed agreement and/or MOU between the applicant and other entity providing community facilities. Failure to provide all details required to document use of an accessible community facility **may result in failure of this threshold.**

4. Match Requirement. You must supplement grant funds with a cash and/or in-kind contribution match of not less than 25% of the grant amount. The match may include; the value of in-kind services, contributions or administrative costs provided to you; funds from Federal sources (but not ROSS funds); funds from any State, local, or tribal Government sources; and funds from private contributions. Any services such as child care or mentoring provided to non-TANF recipients by residents who are elderly or persons with disabilities will **not** be counted toward your match requirement. You may also satisfy the match requirement by establishing the in-kind value of computer and office equipment, software and space used for training in computer technology, educational and employment skills development for self-sufficiency training programs such as Twenty/20 Education Communities (TEC Centers) or Neighborhood Networks. See the NOFA, Section VI (A)(6)(c-d) for guidelines on valuing in-kind contributions.

Your application must demonstrate that the resources and services you will use as match amounts (including resources from your Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit) are firmly committed and will support your proposed grant activities. "Firmly committed" means there must be a letter that specifies the cash and/or in-kind assistance to be provided signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon you receiving a grant award. Attach all separate firm commitments that equal at least 25% of the RMBD grant amount requested.

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

5. Contract Administrator. Unless you are a Tribe/TDHE, you must provide **either** a certification from HUD or an Independent Public Accountant that your financial management system and procurement procedures fully comply with 24 CFR part 84, **or** a signed statement that a Contract Administrator will be used in administering the grant.

Troubled PHAs are not eligible to be a Contract Administrator. In cases where the Contract Administrator is the PHA, the Contract Administrator responsibilities can be incorporated into the MOU between the applicant and the PHA. Please note: If you intend to **pay** for the services of a Contract Administrator, you will be required to procure one through the competitive procurement process, as required by 24 CFR Part 85.36. However, this is not necessary if your intended Contract Administrator will provide services at no cost.

SAMPLE RMBD CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT

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

WHEREAS, the RA is submitting this proposal for a Resident Management and Business Development (RMBD) to further its objectives in representing the residents of _____.

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

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

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

Both parties herein fully understand and agree to the following:

Roles and Responsibilities

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

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

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

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

SAMPLE RMBD CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

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

Coordination of Training and Technical Assistance Services

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

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

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

Evaluation

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

Contracted Amount

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

SAMPLE RMBD CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

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

Termination

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

WITNESS OUR HANDS EFFECTIVE _____

Resident Association

Contract Administrator

RA President

Executive Director

Date

Date

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____ **Date:** _____

- 6. Proof of Applicant Nonprofit Status. You must submit evidence that your organization is registered with the State as a nonprofit corporation at the time of application submission **or** 501 (c) status with the United States Internal Revenue Service. Evidence of State incorporation/registration for all applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of 501(c) status shall be a copy of the IRS 501(c) designation.
- 7. Certification of Resident Council Board Election. You must submit certification of the Resident Organization board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

CERTIFICATION OF RESIDENT COUNCIL BOARD ELECTION

I CERTIFY that _____
(name of organization)

located in _____ has duly elected
(city & state)

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

Date of Last Resident Council Board Election: _____.

(Name and Title of Certifying Housing Agency Official)

(Signature) (Date)

(Name and Title of Independent Third-Party Monitor)

(Signature) (Date)

NOTARY (Signature & Date)

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

8. List of RAs To Receive Support and Letters of Support from Each RA. City Wide Resident Organization (CWRO) applicants **only** must list in their application the names of the RAs that will receive training, technical assistance, and/or coordinated supportive services **and** must submit letters of support from each RA identified in the application. Also acceptable is one statement of support for the CWRO application that is signed by each RA to be served.

9. Physical Improvements. Applicants proposing physical improvements for their RSDM grant must submit a description of the renovation or conversion to be conducted, along with a budget and timetable for those activities. You must also demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided in the renovated facility for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this ROSS competition. Remember, physical improvement costs may not exceed 50% of the total grant amount requested.

FY 2001 Resident Management and Business Development

Applicant: _____

List of Resident Associations Participating with the City-Wide Resident Organization

(Only City-Wide Resident Organization Applicants Need to Complete and Submit this Chart)

Name of the Resident Association	Contact Person	Address, City & State	PHA/Tribe

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

10. General SuperNOFA Threshold Requirements (General Section II.)

Federally recognized Indian tribes must comply with the Age Discrimination Act of 1975 and the Indian Civil Rights Act.

Other applicants must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). If you, the applicant, **(a)** have been charged by the Secretary with a systemic violation of the *Fair Housing Act* alleging ongoing discrimination, **(b)** are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination, or **(c)** have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, section 504 of the *Rehabilitation Act*, or section 109 of the *Housing and Community Development Act*, then you are not eligible to apply for funding under this NOFA until you resolve such charge, lawsuit, or letter of noncompliance findings under section 109 to the satisfaction of HUD. HUD will verify the applicant's compliance with this portion of the General SuperNOFA thresholds. You are **not** required to submit any documentation in your application.

To meet the additional General SuperNOFA Threshold Requirements, you **must** complete the following Certification of Consistency and Compliance with General SuperNOFA Requirements.

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**Certification of Consistency and Compliance with General
SuperNOFA Threshold Requirements**

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

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing. *Section 109 of the Housing and Community Development Act of 1974.*
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Act of 1975*, and section 109 of the *Housing and Community Development Act of 1974*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this _____ day of _____, 2001.

By: _____
President of Resident Organization or Other Authorized Representative

For: _____
Applicant

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RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

TAB 2

PROGRAM DESCRIPTION AND BUDGET

Insert the following items in this tab:

- Program Activities Description--Narrative
- Your Resident Organization and Its History—Narrative
- Chart A: RMBD Program Staffing
- Resumes or Summary of Proposed Staff's Qualifications
- Chart B: Applicant/Administrator Track Record
- Summary of Proposed Work Plan
- Chart C: Summary Budget Line Items
- Chart D: Budget Work Plan Summary

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Applicant Name: _____ Date: _____

APPLICATION SUBMISSION REQUIREMENTS

Instructions: You **must** submit the following narrative information and charts regarding your proposed grant application. You should respond to **all** relevant questions on the following pages. A complete set of responses will provide HUD with a comprehensive and succinct presentation of the information required to demonstrate your need for RMBD funds.

1. Program Activities Description

You must provide a narrative (2-page limit) describing the activities that you will carry out with RMBD grant funds. Include goals, objectives, and program strategies that will result in successful transition of residents from welfare to work and/or enhanced capacity to conduct management activities or implement business development enterprises/ventures.

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Applicant Name: _____ **Date:** _____

2. Your Resident Organization and It's History

You must provide a narrative description (2-page limit) providing information about your RA, CWRO, or Tribe/TDHE, including its history, staff qualifications, and its previous experience. For proposed grant staffing (paid or volunteer), you must include a resume or summary of qualifications for all staff.

Please address the extent to which your organization has the resources necessary to successfully implement your proposed activities in a timely manner.

Also include a completed Chart A: RMBD Program Staffing, and resumes or summary of qualifications for all proposed grant staff.

Collectively, these items should identify the following:

- 1) An explanation of how your staffing plan is structured to accomplish your program objectives;
- 2) A staff person(s) who will have primary responsibility for effective overall coordination of your program on a day to day basis and what percentage of his/her time will be committed to this responsibility;
- 3) Staff persons, proposed roles in implementing the RMBD program, relevant skills, and percentage of time allocated to the program;
- 4) A comprehensive break-out of who will provide training and related services and how the services will be delivered. Indicate who will conduct training: you, the Contract Administrator, a contractor, another partner or expert.
- 5) Your project management structure, including the use of a Contract Administrator. Describe how co-applicants, subgrantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of your proposed program.
- 6) Clearly identify the staff responsible for fiscal management, and the processes and timetable for implementation during your proposed grant period.

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Chart A: RMBD Program Staffing

Applicant Name: _____

I. Applicant (RA or CWRO)				
Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant
II. CONTRACT ADMINISTRATOR				
Contract Administrator to be Solicited	Role in Grant Program	Estimated Cost to Grant Program		
III. CONSULTANT(S)/TRAINERS/SVC. PROVIDERS/OTHER EXPERTS				
Consultants/Trainers to be Solicited	Role in Grant Program	Estimated Cost to Grant Program		

ROSS FY 2001 FUNDING

RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant Name: _____ Date: _____

3. Applicant/Administrator Track Record

Complete the Applicant/Administrator Track Record Chart in this Tab (Chart B). A sample and blank chart are located in this Tab. Include in Chart B your and/or your Contract Administrator's prior performance in successfully carrying out grant programs designed to assist residents in increasing their self-sufficiency, security, or independence.

You must demonstrate your and/or the proposed Contract Administrator's program compliance and successful implementation of any grant programs oriented to resident self-sufficiency, security, or independence. Grants in this category include, but are not limited to:

- Economic Development and Supportive Services Program
- Family Investment Center Program
- Youth Development Initiative under the Family Investment Center Program
- Youth Apprenticeship Program
- Apprenticeship Demonstration in the Construction Trades Program
- Urban Youth Corps Program
- HOPE I Program
- Public Housing or Section 202/8 Service Coordinator Program
- Public Housing Drug Elimination Program
- Section 8 Family Self-Sufficiency
- Youthbuild
- Youth Sports Program
- Tenant Opportunities Program
- Housing Counseling
- HUD Nehemiah Program
- Limited Equity Housing Cooperative Conversions
- Resident services or empowerment programs sponsored by State or local governments or private foundations

- SAMPLE – Chart B: RMBD APPLICANT/ADMINISTRATOR TRACK RECORD**

Applicant: Ourtown Resident Association

HUD PROGRAM	PROJECT NUMBER	% OF TERM COMPLETED	% FUNDS DRAWN DOWN	MAJOR GOAL #1	% COMPLETE	MAJOR GOAL #2	% COMPLETE
Youth Apprenticeship Program	PA99YAP 002033 94	100%	75%	To enable 30 resident youth to complete community service programs.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99DEP 00306095	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments.	57%

Chart B: RMBD Applicant/Administrator Track Record

Applicant: _____

Program	Project No.	% of Term Complete	% of Funds Drawn Down	Major Goal #1	% Complete	Major Goal #2	% Complete

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Applicant Name: _____ Date: _____

4. Work Plan Summary

You must provide a summary of a proposed work plan to carry out proposed grant activities. This work plan must include tasks, budgeted amounts, and dates for accomplishment of all activities during the grant period. You must provide a narrative description of how your program will make substantial progress within the first 6 months after grant execution including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals, and achieving other milestones that are prerequisites for implementation of the program. In addition your narrative must also provide your proposed timetable for all components of your proposed program is reasonable considering the size of the grant and your activities and that you can accomplish your objectives within the 36-month time limit.

Also, complete the following:

- Chart C: Summary Budget Line Items
- Chart D: Budget Workplan Summary, Parts I and II (a sample chart is included in this tab)

Supporting Information in Developing Cost Data for Your Proposed Program

The following information may be useful in developing your proposed grant activities and costs:

- (a) Training on HUD regulations and policies governing the operation of low-income public housing, including contracting/procurement regulations; financial management; capacity building to develop the necessary skills to assume management responsibilities at the project and property management; and training in accessing other funding sources.
- (b) Resident grantees must ensure that all training is provided by a qualified public housing or management specialist (Consultant/Trainer), HUD Headquarters, Field or ONAP staff, or the local PHA. To ensure that successful implementation of the grant Work Plan activities, you are required to determine the need to contract for outside consultant/training services. You and the PHA/Tribe/TDHE must jointly select and approve the consultant/trainer. Your application should make maximum use of your PHA/Tribe/TDHE, non-profit, or other Federal, State, or local government resources for technical assistance and training needs. The amount allowed for hiring an individual consultant for this purpose should not exceed **30% of your total grant amount or \$30,000**, whichever is less. The amount available for **all** consultants and contracts shall not exceed **50% of your grant amount or \$50,000** whichever is less. Where it is necessary to exceed the 50% limitation, you must use performance-based contracting, which requires that fees be paid in exchange for goods and services actually delivered. HUD Field or ONAP Offices will monitor this process to ensure compliance with program and OMB requirements, and particularly the requirement for competitive bidding.
- (c) Trainees and program participants of an RA or CWRO may receive stipends for participating in or receiving training under Resident Management to cover reasonable costs related to participation in training and other activities in your program, subject to the availability of funds. The stipends should be used for additional costs incurred during the training programs, such as child care and transportation costs. The cost of stipends may not exceed \$200 per month per trainee without written HUD Field Office authorization.

- (d) Reimbursement of reasonable expenses incurred by Officers and Board members in the performance of their fiduciary duties and/or training related to the performance of their official duties.
- (e) Travel directly related to the successful completion of your required Work Plan. You must adhere to the travel policy established by HUD Notice 99-24. This policy sets travel costs at a maximum amount of \$5,000 per RA without special HUD approval.
- (f) Child care expenses for individual staff, board members, or residents in cases where those who need child care are involved in training-related activities associated with your grant activities.
- (g) Costs incurred by a RA in applying for a 501(c) tax-exempt status with Internal Revenue Service. Please refer to the Internal Revenue Service (IRS) Publication 557, which describes the requirements for 501(c) tax-exempt organizations and a list of the applicable forms required.
- (h) Administrative costs are necessary for the implementation of your grant activities. Administrative costs are not to exceed 20% of the grant. Appropriate administrative costs include, but are not limited to, reasonable costs or activities such as space and equipment. (See NOFA Section III (C)(5)(h) & (i) for more details on administrative costs.)

Any costs should be included in the budget you prepare in this tab.

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

CHART C RMBD BUDGET LINE ITEM SUMMARY

Applicant Name: _____ **Date:** _____

Please check the following as appropriate for your proposed program.

Resident Management and Business Development

_____	1010	Physical Improvements
_____	1020	Resident Business Development
_____	1021	Develop Business Plan
_____	1022	Conduct Market Analysis
_____	1023	Licensing, Insurance Bonding
_____	1024	Training Related to Resident Owned Business
_____	1025	Establishment of Resident Managed Business Development
_____	1026	Technical Assistance
_____	1030	Resident Organization Development Activities
_____	1031	Organize Community
_____	1032	Operating Procedures
_____	1033	Develop MOU
_____	1034	Develop Plan for Technical Assistance
_____	1035	Consultant Contracts
_____	1036	Self Sufficiency Programs
_____	1040	Resident Management
_____	1041	Conduct Feasibility Study
_____	1042	Secure Training/Skills/Expertise
_____	1043	Develop MOU
_____	1044	Secure T/A to Draft Contract
_____	1045	Negotiate Contract with PHA
_____	1046	Conduct Resident Training/Preparation
_____	1050	Self Sufficiency Program
_____	1051	Employment and Job Readiness
_____	1052	Job Training
_____	1053	Management Related Employment Training
_____	1054	Vocational Training
_____	1055	Technical Assistance
_____	1060	Supportive Services
_____	9100	Travel Costs
_____	9200	Other Resident Costs (Stipends, Reimbursements)
_____	9300	Contract Administrator
_____	9400	Administrative and Other Costs

SAMPLE PARTIAL WORKPLAN

Chart D: RMBD Budget Workplan Summary - Part I

Applicant: Our Resident Organization

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
1010 Physical Improvements TOTAL: \$15,000	Conversion of unused BHA apartments to career readiness classroom.		10,000	06/00-08/00
1020 Resident Business Dev. TOTAL: \$ 36,000				
1021 Develop Business Plan	Training in the development of a business plan through John Henry Comm. College.	10,000	5,000	09/00-11/00
	Development of business plan		5,000	09/00-01/01
1022 Conduct Market Analysis	Conduct marketing analysis of Strange Neighborhood with John Henry Comm. College	20,000	8,000	06/00-10/00
1023 Licensing, Insurance, Bonding	Technical assistance in insurance, licensing, & bonding from Jacobs CDC	5,000	5,000	11/00-12/00
	Research and collect bids on insurance, licensing, & bonding needs.	1,000		12/00-01/00
	Acquire insurance, licensing, & bonding.		10,000	02/00
1024 Training Related to Resident Owned Business				

Chart D: RMBD Budget Workplan Summary - Part I

Applicant: _____

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/ PARTNER FUNDS	ACTIVITY START/END DATES
1010 Physical Improvements TOTAL: \$				
1020 Resident Business Dev. TOTAL: \$				
1021 Develop Business Plan				
1022 Conduct Market Analysis				
1023 Licensing, Insurance, Bonding				
1024 Training Related to Resident Owned Business				
1025 Establishment of Resident Managed Business Dev.				
1026 Technical Assistance				

Chart D: RMBD Budget Workplan Summary – Part I (cont'd)

Applicant: _____

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
1030 Resident Org. Dev. Activities TOTAL: \$				
1031 Organize Community				
1032 Operating Procedures				
1033 Develop MOU				
1034 Develop Plan for Technical Assistance				
1035 Consultant Contracts				
1036 Self Sufficiency Programs				
1040 Resident Management TOTAL: \$				

Chart D: RMBD Budget Workplan Summary - Part I (cont'd)

Applicant: _____

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
1041 Conduct Feasibility Study				
1042 Secure Training/Skills/Expertise				
1043 Develop MOU				
1044 Secure T/A to Draft Contract				
1045 Negotiate Contract with PHA				
1046 Conduct Resident Training/ Preparation				
1050 Self Sufficiency Program TOTAL: \$				

Chart D: RMBD Budget Workplan Summary - Part I (cont'd)

Applicant: _____

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
1051 Employment and Job Readiness				
1052 Job Training				
1053 Management Related Employment Training				
1054 Vocational Training				
1055 Technical Assistance				
1060 Supportive Services TOTAL: \$				
9100 Travel Costs TOTAL: \$				
9200 Other Resident Costs (Stipends, Reimbursements) TOTAL: \$				

Chart D: RMBD Budget Workplan Summary - Part I (cont'd)

Applicant: _____

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/ PARTNER FUNDS	ACTIVITY START/END DATES
9300 Contract Administrator TOTAL: \$				
9400 Admin. and Other Costs TOTAL: \$				

Chart D: RMBD Budget Workplan Summary - Part II

Please insert below the totals for each Summary Budget Line Item to be included in your grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	RMBD GRANT TOTAL
1010 Physical Improvements	\$
1020 Resident Business Development	\$
1030 Resident Organization Development Activities	\$
1040 Resident Management	\$
1050 Self Sufficiency Program	\$
1060 Supportive Services	\$
9100 Travel Costs	\$
9200 Other Resident Costs (Stipends, Reimbursements, etc.)	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
TOTAL of all RMBD Funds Requested	\$

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TAB 3

CERTIFICATIONS AND ASSURANCES

You **must** insert in this tab all signed forms listed below. Completeness of all certifications and assurances is a threshold requirement of the General Section of the SuperNOFA. Blank copies of these forms may be found in Part VII of this application kit.

- ❑ Certification for a Drug-Free Workplace (Form HUD-50070)
- ❑ Certification of Payments to Influence Federal Transactions (Form HUD-50071), and if applicable, Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A)
- ❑ Applicant/Recipient Disclosure/Update Report (Form HUD-2880)
- ❑ Certification Regarding Debarment and Suspension (Form HUD-2992)
- ❑ Acknowledgement of Application Receipt (Form HUD-2993)

