DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

SERVICE COORDINATORS IN
MULTIFAMILY HOUSING

Billing Code 4210-32-C
FUNDING AVAILABILITY FOR SERVICE COORDINATORS IN MULTIFAMILY HOUSING

PROGRAM OVERVIEW

Purpose of the Program. The purpose of this Service Coordinator program is to allow multifamily housing owners to assist elderly individuals and people with disabilities living in HUD-assisted housing and in the surrounding area to obtain needed supportive services from the community, in order to enable them to continue living as independently as possible in their own homes.

Available Funds. Approximately $25 million.

Eligible Applicants. Only owners of eligible developments may apply for and become the recipient of grant funds. Property management companies may administer grant programs but are not eligible applicants. See Section III for more detailed eligibility criteria.


ADDITIONAL INFORMATION

If you are interested in applying for funding under this program, please review carefully the General Section of this SuperNOFA and the following additional information.

I. Application Due Date, Application Kits, Further Information, and Technical Assistance

Application Due Date: Your completed application (an original and two copies) is due on or before 6:00 pm, local time, on July 3, 2002 at the address given below.

See the General Section of this SuperNOFA for specific procedures concerning the form of application submission (e.g., mailing applications by U.S. Postal Service). Only Service Coordinator applications mailed via the United States Postal Service will be accepted.

Addresses for Submitting Applications. Appendix A to this program section contains a list of HUD Field Offices where you must send your application by the deadline. Please address your application to the Director, Multifamily Housing Hub or Program Center in your local HUD Field Office. You should not submit any copies of your application to HUD Headquarters.

For Application Kits. For an application kit, please call the SuperNOFA Information Center at 1–800–HUD–8929. If you have a hearing or speech impairment, please call the Center’s TTY number at 1–800–HUD–2209. When requesting an application kit, please refer to the Multifamily Housing Service Coordinator Program and provide your name, address (including zip code) and telephone number (including area code). An application kit also will be available on the Internet at http://www.hud.gov. For Further Information and Technical Assistance. You may contact your local HUD Field Office staff for questions you have regarding this program section of the SuperNOFA and your application kit. Please contact the Multifamily Housing Resident Initiatives Specialist or Service Coordinator contact person in your local Office. If you are an owner of a Section 515 development, contact the Multifamily HUB or Multifamily Program Center in the HUD Field Office that normally provides asset management to that development. If you have a question that the Field staff are unable to answer, please call Carissa Janis, Housing Project Manager, Office of Housing Assistance and Grants Administration, Department of Housing and Urban Development, 451 Seventh Street, SW., Room 6146, Washington, DC 20410; (202) 708–2866, extension 2487. (This number is not toll free). If you are hearing or speech impaired, you may access this number via TTY by calling the Federal Information Relay Service at 1–800–877–8339.

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD Web site at http://www.hud.gov.

II. Amount Allocated

(A) Available Funding. This NOFA makes available approximately $25 million in Fiscal Year (FY) 2002 funding from the $50 million provided in the Housing for Special Populations account in the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 2002 (Pub.L. 107–73, approved November 26, 2001).

HUD will use the remaining $25 million appropriated this year to provide one-year extensions to expiring Service Coordinator and Congregate Housing Services Program (CHSP) grants.

HUD will first fund Service Coordinator costs in applications selected to receive an Assisted Living Conversion Program (ALCP) grant award. The Department estimates that approximately $2 million will be needed to fund these programs. The actual amount will be based upon demand and the number of applications that meet threshold criteria in both the ALCP and Service Coordinator programs. HUD will set-aside the requested amount of ALCP/Service Coordinator funds prior to conducting the national lottery. Any funds not used for ALCP Service Coordinator programs will revert to the lottery to fund all other eligible applications submitted under this NOFA.

In FY 2001, HUD awarded 218 grants for a total of $25,125,340. One of the 218 grants was awarded to an ALCP grant recipient, for $70,431.

(B) Maximum Grant Award. There is no maximum grant amount. The grant amount you request must be based on the number of frail or at-risk elderly or non-elderly people with disabilities who live in your development. Under normal circumstances, a full-time Service Coordinator should be able to serve about 50–60 frail or at-risk elderly or non-elderly people with disabilities. “Frail elderly” person means an individual 62 years of age or older who is unable to perform at least three activities of daily living (ADLs) as defined by the regulations for HUD’s Section 202 Program (Supportive Housing for the Elderly) at 24 CFR 891.205. An “at-risk elderly” person is an individual 62 years of age or older who is unable to perform one or two ADLs. Your proposed salary must also be supported by evidence of comparable salaries in your area.

(C) Reduction of Requested Grant Amounts. You may be awarded an amount less than requested if:

(1) HUD determines that some elements of your proposed action plan are ineligible for funding;

(2) Insufficient amounts remain under the allocation to fund the full amount you requested, and HUD determines that partial funding is a viable option; or

(3) HUD determines that a reduced grant would prevent duplicative Federal funding.

(D) Alternative Funding for Service Coordinators. Owners may submit requests following instructions in Housing’s Management Agent Handbook 4381.5, REVISION–2, CHANGE–2, Chapter 8. This Handbook provides procedures for requesting funding for a coordinator using residual receipts, the budget-based rent increase process, contract rents adjusted by the Annual Adjustment Factor (AAF) or the Project Rental Assistance Contract (PRAC). Refer to Housing Notice H–01–07 for information on using Section 236 excess income to fund a Service Coordinator. HUD will approve use of Section 8 funds or excess income consistent with current policy.
Field Office staff may approve use of project funds for a Service Coordinator at any time, as long as you have available project funds. You should discuss these alternative funding options with your Field Office staff prior to submitting a grant application.

III. Program Description: Eligible Applicants; Eligible Activities

(A) Program Description. The Service Coordinator Program provides funding for the employment and support of Service Coordinators in insured and assisted housing developments that were designed for the elderly and persons with disabilities and continue to operate as such. Service Coordinators help residents obtain supportive services from the community that are needed to enable independent living and aging in place.

A Service Coordinator is a social service staff person hired or contracted by the development’s owner or management company. The Coordinator is responsible for assuring that elderly residents, especially those who are frail or at risk, and those non-elderly residents with disabilities are linked to the supportive services they need to continue living independently in that development. All services should meet the specific desires and needs of the residents themselves. The Service Coordinator may not require any elderly individual or person with a disability to accept any specific supportive service(s).

You may want to review the Management Agent Handbook 4381.5—GENERAL Section of the SuperNOFA.

(1) You must be an owner of a development assisted under one of the following programs:

(a) Section 202 and 202/8;
(b) Existing Section 8 project-based and moderate rehabilitation developments (includes any multifamily housing development with project-based Section 8);

(2) Developments not designed for the elderly and disabled individuals age in place and live as independently as possible in their current homes. Any reference in this program NOFA or in the application kit to elderly or disabled residents of a development shall be construed to include low-income elderly or disabled families living in the vicinity of such a development.

(B) Eligible Applicants and Developments.

To be eligible for funding, you must meet all of the applicable threshold requirements of Section II(B) of the General Section of the SuperNOFA.

(1) You must be an owner of a development assisted under one of the following programs:

(a) Section 202 and 202/8;
(b) Existing Section 8 project-based and moderate rehabilitation developments (includes any multifamily housing development with project-based Section 8);

(2) Additionally, developments listed in paragraph (1), above, are eligible only if they meet the following criteria:

(a) Have frail or at-risk elderly residents and/or non-elderly residents with disabilities who together total at least 25 percent of the building’s residents.

(b) Were designed for the elderly or persons with disabilities and continue to operate as such. This includes any building within a mixed-use development that was designed for occupancy by elderly persons or persons with disabilities at its inception and continues to operate as such, or consistent with Title VI, subtitle D of the Housing and Community Development Act of 1992 (Pub. L. 102–550, approved October 28, 1992). If not so designed, a development in which the owner gives preferences in tenant selection (with HUD approval) to eligible elderly persons or persons with disabilities, for all units in that development.

(c) Are current in mortgage payments or are current under a workout agreement.

(d) Meet HUD’s Uniform Physical Conditions Standards (codified in 24 CFR part 5, subpart G), based on the most recent physical inspection report and responses thereto, as evidenced by a score of 60 or better or by an approved plan for developments scoring less than 60.

(e) Are in compliance with their regulatory agreement, Housing Assistance Payment (HAP) Contract, and other outstanding directives.

(f) Owners using the AAF rent increase process or who are profit-motivated must provide certification that rental and other income from the development are insufficient to pay for a service coordinator.

(3) If your eligibility status changes during the course of the grant term, making you ineligible to receive a grant (e.g. due to prepayment of mortgage, sale of property, or opting out of a Section 8 Housing Assistance Payment (HAP) contract), HUD has the right to terminate your grant.

(4) If you are applying for an Assisted Living Conversion Program (ALCP) grant, you may apply for new or augmented Service Coordinator costs to serve Assisted Living residents and/or all residents of your development.

(C) Ineligible Applicants and Developments.

(1) Property management companies, area agencies on aging, and other like organizations are not eligible applicants for Service Coordinator funds. Such agents may prepare applications and sign application documents if they provide written authorization from the owner corporation as part of the application. In such cases, the owner corporation must be indicated on all forms and documents as the funding recipient.

(2) Developments not designed for the elderly or disabled or those no longer operating as such.

(3) Section 221(d)(4) developments without project-based Section 8 assistance.

(4) Section 202/811 developments with a PRAC. Owners of Section 202 PRAC developments may obtain funding by requesting an increase in their PRAC payment consistent with Handbook 4381.5—GENERAL Section of the SuperNOFA and separate from their PRAC funding.

The American Homeownership and Economic Opportunity Act of 2000 provides authority for Section 202 PRACs to receive Service Coordinator grants as described in this program NOFA and separate from their PRAC funding. However, PRAC funds are a readily accessible funding source for Service Coordinators in Section 202 PRAC developments. Including the Service Coordinator in the PRAC development’s operating plan also provides a more stable and permanent source of funding. For these reasons, the
Department has chosen to limit funding available through this program NOFA to those eligible housing developments listed in section III.B(2) of this NOFA. There is no statutory authority for service coordinators in Section 811 developments. 

(D) Eligible Activities. 

(1) Service Coordinator Program grant funds may be used to pay for the salary, fringe benefits, and related administrative costs of employing a service coordinator. Administrative costs may include, but are not limited to, purchase of furniture, office equipment and supplies, computer hardware and software, Internet service, training, quality assurance, travel, and utilities. 

You may use grant funds to pay for Quality Assurance (QA) in an amount that does not exceed 10% of the Service Coordinator’s salary. QA is limited to monitoring oversight of the Service Coordinator by a qualified third party, to assure that the position is effectively implemented. A qualified individual must have supervisory work experience and education in social or health care services. On-site housing management staff cannot perform QA and current salaries of in-house staff may not be augmented for this purpose. 

(2) You may use funds to augment a current Service Coordinator program, by increasing the hours of a currently employed Service Coordinator, or hiring an additional Service Coordinator or aide on a part- or full-time basis. 

(3) You may use funds to continue a Service Coordinator program that has previously been funded through other sources. In your application, you must provide evidence that this funding source has already ended or will continue within six months following the application deadline date and that no other funding mechanism is available to continue the program. This applies only to funding sources other than the subsidy awards and grants provided by the Department through program notices beginning in FY 1992. HUD currently provides one-year extensions to these subsidy awards and grants through a separate funding action. 

(4) You may propose reasonable costs associated with setting up a confidential office space for the Service Coordinator. Such expenses must be one-time only administrative start-up costs. Such costs may involve acquisition, leasing, rehabilitation, or conversion of space. HUD Field Office staff must approve both the proposed costs and activity and must perform an environmental assessment on such proposed work prior to grant award. 

(5) You may provide service coordination to low-income elderly or disabled families living in the vicinity of an eligible development. Community residents should come to your housing development to meet with and receive service from the Service Coordinator. 

(E) Ineligible Activities. 

(1) You may not use funds available through this NOFA to replace currently available funding from other sources for a Service Coordinator or for some other staff person who performs service coordinator functions. 

(2) Owners with existing service coordinator subsidy awards or grants may not apply for renewal or extension of those programs under this NOFA. 

(3) Congregate Housing Services Program (CHSP) grantees may not use these funds to meet statutory program match requirements and may not use these funds to replace current CHSP program funds to continue the employment of a service coordinator. 

The cost of application preparation is not eligible. 

(5) Grant funds cannot be used to increase a project’s management fee. 

(6) You cannot hire an additional part of full-time Service Coordinator for the sole purpose of serving low-income elderly or disabled families who live in the vicinity of your development. 

IV. Program Requirements 

In addition to the requirements listed in Section II of the General Section of this SuperNOFA, you must also meet the requirements in Section IV of this program section of the SuperNOFA. These requirements apply to all activities, programs, and functions used to plan, budget, and evaluate the work funded under your program. 

(A) Administrative Costs. HUD has the right to reduce the proposed costs if they appear unreasonable or inappropriate. 

(B) Term of Funded Activities. The grant term is three years. Grants will be renewable subject to the availability of funds. 

(C) Subgrants and Subcontracting. You may directly hire a Service Coordinator or you may contract with a qualified third party to provide this service. 

(D) As a condition of receiving a grant, Section 202 developments with project-based Section 8 must open a Residual Receipts account separate from the Reserve for Replacement account, unless they do not already have such a separate account. 

(E) Forms, Certifications, and Assurances. See the General Section of the SuperNOFA for the applicable forms, certifications, and assurances that you must submit. This includes a certification that you are in compliance with Federal Civil Rights laws, as specified in Section II(H) of the General Section of this SuperNOFA. 

(F) Affirmatively Furthering Fair Housing. You must comply with Section II(D) of the General Section of this SuperNOFA. 

(G) Conducting Business In Accordance With Core Values and Ethical Standards. Entities that are subject to 24 CFR parts 84 and 85 (most nonprofit organizations and State, local and tribal governments or government entities or instrumentalities that receive Federal awards of financial assistance) are required to develop and maintain a written code of conduct (See §§84.42 and 85.36(b)(3)). Consistent with regulations governing specific programs, your code of conduct must prohibit real and apparent conflicts of interest that may arise among employees, officers or agents; prohibit the solicitation and acceptance of gifts or gratuities by your officers, employees, and agents for their personal benefit in excess of minimal value, and outline administrative and disciplinary actions available to remedy violations of such standards. If awarded assistance under this SuperNOFA, you will be required, prior to entering into a grant agreement with HUD, to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees and agents of your organization are aware of your code of conduct. 

V. Application Selection Process 

(A) General. Service Coordinator Program grant funds will not be awarded through a rating and ranking process. Instead, HUD will hold one national lottery for all approvable applications forwarded from Multifamily HUB and Multifamily Program Centers (a list of these offices is found in the Appendix to this notice). 

(B) Threshold Eligibility Review. HUD Multifamily Field Office staff will review applications for completeness and compliance with the eligibility criteria set forth in Section III of this NOFA. Field Office staff will forward application information to Headquarters for entry into the lottery if the application was received by the deadline date, meets all eligibility criteria, proposes reasonable costs for eligible activities, and includes all technical corrections by the designated deadline date. “Reasonable costs” are generally those that are consistent with salaries and administrative costs of similar
programs in the jurisdiction of the HUD Field Office.

(C) Service Coordinators in ALCP projects. The Department will first fund approved Service Coordinator requests in ALCP applications selected to receive an ALCP award. HUD estimates that approximately $2 million will be needed to fund these programs. Any funds not used for ALCP Service Coordinator programs will revert to the national lottery.

(D) The Lottery. HUD staff will use a computer program to randomly select applications. HUD will fully fund as many applications as possible with the given amount of funds. If funds remain after fully funding as many applications as possible, HUD will offer to partially fund the next application chosen in the lottery, in order to use the entire allocation of funds.

VI. Application Submission Requirements

(A) Single Applications. (1) You may submit one application for one or more developments that your corporation owns.

(2) You may submit more than one application to a single Field Office, if you wish to increase your chances of selection in the lottery. Each application must propose a stand-alone program and the development(s) must all be located in the same Field Office jurisdiction.

(3) If you wish to apply on behalf of developments located in different Field Office jurisdictions, you must submit a separate application to each Field Office.

(B) Joint Applications. You may join with one or more other eligible owners to share a Service Coordinator and submit a joint application. In the past, joint applications have been used by small developments who joined together to hire and share a part or full-time Service Coordinator.

(C) There is no maximum grant amount. The grant amount you request must be based on the number of frail or at-risk elderly or non-elderly people with disabilities who live in your development. (See Section II.B of this NOFA for more information.)

(D) Application Submission Requirements for ALCP Applicants. If you are an ALCP applicant and you request new or additional Service Coordinator costs specifically for your proposed Assisted Living Program, you must submit an application containing all required documents and information listed in this NOFA. In addition, you must submit “Federal Assistance Funding Matrix and Certifications” with your ALCP application, which indicates the amount of funds you are requesting to cover Service Coordinator costs. HUD Field Office staff will review both applications simultaneously.

ALCP applicants must submit all the required items in the Service Coordinator application listed in Section VI(E) of this NOFA. You may provide a copy of all standard forms in your Service Coordinator application. If you do not provide either an original or copy of these forms, your Service Coordinator application will be incomplete.

If you currently do not have a Service Coordinator working at the development proposed in your ALCP application and your ALCP application is selected to receive an ALCP award, HUD will fund a Service Coordinator to serve either ALCP residents only or all residents of the development dependent upon your request. If your development currently has a Service Coordinator, you may request additional hours for the Service Coordinator to serve the Assisted Living residents. If you request additional hours, you must specify the number of additional hours per week and provide an explanation based on the anticipated needs of the Assisted Living residents. Provide this explanation in your ALCP application as instructed in the ALCP NOFA.

If you request Service Coordinator funding to serve all residents of your development, your request can be entered into the national lottery if your ALCP application is not selected to receive an award. You will be able to indicate this request in the application materials.

Owners applying for ALCP grants may also submit separate Service Coordinator applications for entry into the lottery for other eligible developments they own and that are not included in their ALCP application.

(E) Your application must contain the items listed in this Section VI(E). These items include the standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding (collectively, referred to as the “standard forms”). The standard forms can be found in Appendix B to the General Section of the SuperNOFA. The remaining application items that are forms (i.e., excluding such items as narratives, letters), referred to as the “non-standard forms” can be found as Appendix B to this program section of the SuperNOFA. The items are as follows:

1. Standard Forms
   (1) Standard Form for Application for Federal Assistance (SF–424) (which includes civil rights/fair housing certification);
   (2) Federal Assistance Funding Matrix and Certifications (HUD–424M);
   (3) Standard Form for Assurances—Non-Construction Programs (SF–424B);
   (4) Drug Free Workplace Certification (HUD–50070);
   (5) Certification of Payments to Influence Federal Transactions (HUD–50071) and if engaged in lobbying, the Disclosure Form Regarding Lobbying (SF–LLL);
   (6) Applicant/Recipient Disclosure/Update Report Form (HUD–2880);
   (7) Certification Regarding Debarment and Suspension (HUD–2992); and
   (8) Acknowledgment of Application Receipt (HUD–2993).

Other Application Items

All applications for funding under the Service Coordinator Program must contain the following documents and information:

(1) Transmittal letter and request, using the designated format provided in both Appendix B to this NOFA and in the application kit.

(2) (If applicable) Lead agency letter format

(3) Evidence of comparable salaries in local area

(4) If quality assurance is included in the proposed budget, a justification and explanation of who will perform this work, what responsibilities are involved, and how often the work will be done.

(5) If you propose to serve low-income elderly or disabled families living in the vicinity of the development(s) included in your application, a narrative description of your plan.

(6) (If applicable) Evidence that prior funding sources for your development’s Service Coordinator program are no longer available or will expire within six months following the application deadline date.

(7) A bank statement showing the current residual receipts or excess income balance in the development’s account.

(8) Service Coordinator Certifications. This includes certifications that you, the applicant, will comply with the following:

(a) The requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, and that you will affirmatively further fair housing; and

(ii) Certification from the economically disadvantaged or very low-income group stating that the financial management system employed by the applicant meets proscribed standards for fund control and accountability required by HUD regulations at 24 CFR parts 84 and 85.

(b) Owners applying on behalf of developments using the AAFF must also provide certification from the auditor that the development’s rental or other income is insufficient to pay the costs of employing a Service Coordinator.

(10) Applicant checklist.

VII. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

VIII. Environmental Requirements

It is anticipated that most activities under this program are categorically excluded from NEPA and related environmental authorities under 24 CFR 50.19(b)(3), (4), (12), or (13). If grant funds will be used to cover the cost of any activities which are not exempted from environmental review requirements—such as acquisition, leasing, construction, or building rehabilitation, HUD will perform an environmental review to the extent required by 24 CFR part 50, prior to grant award.

IX. Authority


Appendix A: HUD Field Office List for Mailing Service Coordinator

Applications

Alabama

Multifamily Housing Program Center, HUD—Birmingham Office, 600 Beacon Parkway West, Rm. 300, Birmingham, AL 35209

Arkansas

Multifamily Housing Program Center, HUD Little Rock Office, 425 West Capitol Avenue #900, Little Rock, AR 72201–3488, OFC Phone: (501) 324–5401, FAX: (501) 324–6142

California

Multifamily Housing Hub, HUD—San Francisco Office, 450 Golden Gate Avenue, PO Box 36003, San Francisco, CA 94102–3448, OFC Phone: (415) 436–6505, FAX: (415) 436–4896

Los Angeles Multifamily Hub, 611 West Sixth Street, Suite 800, Los Angeles, CA 90017, OFC Phone: (213) 894–8000 x 3634, FAX: (213) 894–8255

Colorado

Multifamily Housing Hub, HUD Denver Office, 633 17th Street, 11th Floor, Denver, CO 80202–3607, OFC Phone: (303) 672–5343, FAX: (303) 672–5153

Connecticut

Multifamily Housing Program Center, HUD—Hartford Office, One Corporate Center, 19th Floor, Hartford, CT 06103–3220, OFC Phone: (860) 240–4800 Ext. 3068, FAX: (860) 240–4850

Delaware

Multifamily Housing Hub, HUD Philadelphia Office, The Wanamaker Building, 100 Penn Square, East, Philadelphia, PA 19107–3380, OFC Phone: (215) 656–6069 Ext. 3533, FAX: (215) 656–3427

District of Columbia

Multifamily Housing Program Center, HUD Washington, DC Office, Suite 300, 820 First Street, NE., Washington, DC 20022–4205, OFC Phone: (202) 273–9200, FAX: (202) 275–9212

Florida

Multifamily Housing Hub, HUD—Jacksonville Office, 301 West Bay Street, Suite 2200, Jacksonville, FL 32202–5121, OFC Phone: (904) 232–1777 x2144, FAX: (904) 232–2731

Georgia

Multifamily Housing Hub, HUD—Atlanta Office, Five Points Plaza Building, 40 Marietta Street SW., Atlanta, Georgia 30303–2806, OFC Phone: (404) 331–4976, FAX: (404) 331–4028

Hawaii

Multifamily Housing Program Center, HUD Honolulu Office, 7 Waterfront Plaza, 500 Ala Moana Blvd. #500, Honolulu, HI 96813–4918, OFC Phone: (808) 522–8185 Ext. 244, FAX: (808) 522–8194

Idaho

Multifamily Housing Hub, HUD Seattle Office, 900 First Avenue, Suite 190, MS–0AHM, Seattle, WA 98104–1000, OFC Phone: (206) 220–5228 ext. 3250, FAX: (206) 220–5206

Illinois

Multifamily Housing Hub, HUD—Chicago Office, Ralph Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604–3507, OFC Phone: (312) 353–6236 Ext. 2202, FAX: (312) 586–2729

Indiana

Multifamily Housing Program Center, HUD Indianapolis Office, 151 North Delaware Street, Suite 1200, Indianapolis, IN 46204–2526, OFC Phone: (317) 226–6303, FAX: (317) 226–7308

Iowa

Multifamily Housing Program Center, HUD Des Moines Office, 210 Walnut Street, Room 239, Des Moines, IA 50309–2155, OFC Phone: (515) 284–4736, FAX: (515) 284–4743

Kansas

Multifamily Housing Hub, HUD Kansas City Office, 400 State Avenue, Room 200, Kansas City, KS 66101–2406, OFC Phone: (913) 551–6844, FAX: (913) 551–5469

Kentucky

Multifamily Housing Program Center, HUD—Louisville Office, 601 West Broadway, PO Box 1044, Louisville, KY 40201–1044, OFC Phone: (502) 582–6124, FAX: (502) 582–6547

Louisiana

Multifamily Housing Program Center, HUD New Orleans Office, Hale Boggs Bldg.—501 Magazine Street, 9th Floor, New Orleans, LA 70130–3009, OFC Phone: (504) 589–7236, FAX: (504) 589–6834

Maine

Multifamily Housing Program Center, HUD—Manchester Office, Norris Cotton Federal Bldg., 275 Chestnut Street, Manchester, NH 03101–2487, OFC Phone: (603) 666–7684, FAX: (603) 666–7697

Maryland

Multifamily Housing Hub, HUD Baltimore Office, 5th Floor, 10 South Howard Street, Baltimore, MD 21201–2505, OFC Phone: (410) 962–2520 Ext. 3474, FAX: (410) 962–1849

Massachusetts

Multifamily Housing Hub, HUD—Boston Office, O’Neil Federal Building, 10 Causeway Street, Rm. 375, Boston, MA 02212–1092, OFC Phone: (617) 565–5162, FAX: (617) 565–6657

Michigan

Multifamily Housing Hub, HUD Detroit Office, 477 Michigan Avenue, Detroit, MI 48226–2592, OFC Phone: (313) 226–7900, FAX: (313) 226–5611

Multifamily Housing Program Center, HUD Grand Rapids, Trade Center Building, 50 Louis Street, NW, Grand Rapids, MI
Minnesota
Multifamily Housing Hub, HUD Minneapolis Office, 220 Second Street, South, Minneapolis, MN 55401–2195, OFC Phone: (612) 370–3051 Ext. 0, FAX: (612) 370–3090

Mississippi
Multifamily Housing Program Center, HUD Jackson Office—McCoy Federal Building, 100 W. Capitol Street, Room 910, Jackson, MS 32960–1096, OFC Phone: (601) 965–4738, FAX: (601) 965–4773

Missouri
Multifamily Housing Hub, HUD Kansas City Office, 400 State Avenue, Room 200, Kansas City, KS 66101–2406, OFC Phone: (913) 551–6644, FAX: (913) 551–5469

Montana
Multifamily Housing Hub, HUD Denver Office, 634 17th Street, 14th Floor, Denver, CO 80202–3607, OFC Phone: (303) 672–5343, FAX: (303) 672–5153

Nebraska
Multifamily Housing Program Center, HUD Omaha Office, 10909 Mill Valley Road, Suite 100, Omaha, NE 68154–3955, OFC Phone: (402) 492–3113, FAX: (402) 492–3184

New Hampshire
Multifamily Housing Program Center, HUD Manchester Office, Norris Cotton Federal Bldg., 275 Chestnut Street, Manchester, NH 03101–2487, OFC Phone: (603) 666–7684, FAX: (603) 666–7697

New Jersey
Multifamily Housing Program Center, HUD Newark Office—13th Floor, One Newark Center, Newark, NJ 07102–5200, OFC Phone: (973) 622–7900 Ext. 3400, FAX: (973) 645–2271

New Mexico
Multifamily Housing Hub, HUD Ft. Worth Office, 801 Cherry Street, PO Box 2905, Ft. Worth, TX 76102–2905, OFC Phone: (817) 978–5764, FAX: (817) 978–5520

New York
Multifamily Housing Hub, HUD—New York Office, 26 Federal Plaza—Room 3214, New York, NY 10278–0068, OFC Phone: (212) 264–0777 Ext. 3713, FAX: (212) 264–1277
Multifamily Housing Hub, HUD—Buffalo Office, Lafayette Court, 5th Floor 465 Main Street, Buffalo, NY 14203–1780, OFC Phone: (716) 551–5755 Ext. 5509, FAX: (716) 551–3252

North Carolina
Multifamily Housing Hub, HUD Greensboro Office—Koger Building, 2306 West Meadowview Road, Greensboro, NC 27407, OFC Phone: (336) 547–4034, FAX: (336) 547–4121

North Dakota
Multifamily Housing Hub, HUD Denver Office, 633 17th Street, 14th Floor, Denver, CO 80202–3607, OFC Phone: (303) 672–5343, FAX: (303) 672–5153

Ohio
Multifamily Housing Hub, HUD Columbus Office, 200 North High Street, Columbus, OH 43215–2496, OFC Phone: (614) 469–5737, Ext. 8111, FAX: (614) 469–2432

Oklahoma
Multifamily Housing Program Center, HUD Oklahoma City Office, 525 Vine Street, Suite 700, Cincinnati, OH 45202–3188, OFC Phone: (937) 684–2350, FAX: (937) 684–6224

Oregon
Multifamily Housing Program Center, HUD Portland Office, 909 First Avenue, Suite 190, MS–0AHM, Seattle, WA 98104–1000, OFC Phone: (206) 220–5228 ext. 3250, FAX: (206) 220–5206

Pennsylvania
Multifamily Housing Hub, HUD Philadelphia Office, The Wanamaker Building, 100 Penn Square, East, Philadelphia, PA 19107–3380, OFC Phone: (215) 656–0690 Ext. 3533, FAX: (215) 656–3427

Puerto Rico
Multifamily Housing Program Center, HUD Caribbean Office, 171 Carlos E. Chardon Avenue, San Juan, PR 00918–0903, OFC Phone: (787) 766–5401, FAX: (787) 766–5522

Rhode Island
Multifamily Housing Program Center, HUD Providence Office, 10 Weybosset Street, Sixth Floor, Providence, RI 02903–2306, OFC Phone: (401) 528–5230, FAX: (401) 528–5097

South Carolina
Multifamily Housing Program Center, HUD Columbia Office, 1835 Assembly Street, Columbia, SC 29201–2480, OFC Phone: (803) 765–5162, FAX: (803) 253–3043

South Dakota
Multifamily Housing Hub, HUD Denver Office, 633 17th Street, 14th Floor, Denver, CO 80202–3607, OFC Phone: (303) 672–5343, FAX: (303) 672–5153

Tennessee
Multifamily Housing Program Center, HUD—Knoxville Office, 710 Locust Street, SW, Knoxville, TN 37902–2562, OFC Phone: (423) 545–4111, FAX: (423) 545–4778

Texas
Multifamily Housing Hub, HUD Ft. Worth Office, 801 Cherry Street, PO Box 2905, Ft. Worth, TX 76102–2905, OFC Phone: (817) 978–5764, FAX: (817) 978–5520

Utah
Multifamily Housing Hub, HUD Denver Office, 634 17th Street, 14th Floor, Denver, CO 80202–3607, OFC Phone: (303) 672–5343, FAX: (303) 672–5153

Vermont
Multifamily Housing Program Center, HUD—Manchester Office, Norris Cotton Federal Bldg., 275 Chestnut Street, Manchester, NH 03101–2487, OFC Phone: (603) 666–7684, FAX: (603) 666–7697

Virginia
Multifamily Housing Hub, HUD Richmond Office, 3600 West Broad Street, Richmond, VA 23230–4920, OFC Phone: (804) 278–4500 Ext. 3146, FAX: (804) 278–4613

Washington
Multifamily Housing Hub, HUD Seattle Office, 901 First Avenue, Suite 190, MS–0AHM, Seattle, WA 98104–1000, OFC Phone: (206) 220–5228 ext. 3250, FAX: (206) 220–5206

West Virginia
Multifamily Housing Program Center, HUD—Charleston Office, 405 Capitol Street, Suite 708, Charleston, WV 25301–1795, OFC Phone: (304) 347–7000 Ext. 103, FAX: (304) 347–7050

Wisconsin
Multifamily Housing Program Center, HUD Milwaukee Office, 310 West Wisconsin Avenue, Room 1380, Milwaukee, WI 53203–2280, OFC Phone: (414) 297–3214 Ext. 8662, FAX: (414) 297–3204

Wyoming
Multifamily Housing Hub, HUD Denver Office, 633 17th Street, 14th Floor, Denver, CO 80202–3607, OFC Phone: (303) 672–5343, FAX: (303) 672–5153

Appendix B
The non-standard forms required for the Service Coordinators in Multifamily Housing application follow:

1. Applicant Checklist (Non-ALCP Applicants)
2. Sample Request Letter Format
3. Service Coordinator Certifications
4. Transmittal Letter Format for Designated Lead Agency
5. ALCP Applicant Checklist and ALCP Applicants' Form

BILLING CODE 4210–32–P
APPLICANT CHECKLIST (Non-ALCP Applicants)

Use this checklist to review your package and insure that all materials are properly completed and included. Submit a copy of this form with your request to HUD.

____ (1) Request Letter

____ (2) Lead agency letter format (if appropriate)

____ (3) Evidence of comparable salaries in local area.

____ (4) If quality assurance is included in the proposed budget, a justification and explanation of how this work will be performed.

____ (5) (If applicable) A narrative description of your proposed plan to serve low-income elderly or disabled families living in the vicinity of the development(s) included in your application, of your plan.

____ (6) (If applicable) Evidence that prior funding sources for your development’s Service Coordinator program are no longer available or will expire on or before January 3, 2003.

____ (7) A bank statement with the development's current residual receipts or excess income balance.

____ (8) Service Coordinator Certifications

____ (9)(a) A certification from an independent Public Accountant or the cognizant government auditor stating that the financial management system employed by the applicant meets proscribed standards for fund control and accountability required by the pertinent OMB circular.

____ (9)(b) In the case of developments using the AAF or that are profit-motivated, the certification states that the development does not have sufficient funds from rental/other income to fund the Service Coordinator.

____ (10) Standard Form for Application for Federal Assistance (SF-424)

____ (11) Federal Assistance Funding Matrix and Certifications (HUD-424M)

____ (12) Standard Form for Assurances - Non-Construction Programs (SF-424B)
Attachment 1

(13) Drug Free Workplace Certification (HUD-50070)
(14) Certification of Payments to Influence Federal Transactions (HUD-50071)
(15) Disclosure Form Regarding Lobbying (SF-LLL)
(16) Applicant/Recipient Disclosure/Update Report Form (HUD-2880)
(17) Certification Regarding Debarment and Suspension (HUD-2992)
(18) Acknowledgment of Application Receipt (HUD-2993)
REQUEST LETTER FORMAT

Use the format shown below to request Service Coordinator grant funds. Write this letter on your organization’s letterhead. If you submit a joint application with another owner, you both must submit a separate letter.

Dear ___________________________ 

Director, Multifamily Hub/Program Center  Date

The following is my request for a three-year Service Coordinator grant. I am requesting a total grant amount of $___________.

Owner name and address: _______________________________

DEVELOPMENT INFORMATION (Include relevant information for each development in your application.)

1. Development name and address:

________________________________________________________________________

2. Project Number  Section 8 Number  Development’s Cong. District

3. Project Type - check one:

   ____ 202 or 202/8
   ____ Section 8 (including moderate rehabilitation and Rural Housing Service 515/8)
   ____ Section 221(d)(3) below-market interest rate
   ____ 236 insured or assisted

2-1
4. Project uses which method (check one):
   ___ Budget-based rent increase  ___ AAF increase

5. Total Number of Rental Units ______.

6. Total Number of Residents ______.

7. Estimated Number Frail elderly and non-elderly people with disabilities ______.

8. Estimated Number at-risk elderly ______

9. Are you planning to contract out for a Service Coordinator?  ___ Yes  ___ No

10. Development will share a Service Coordinator with other development(s)?  ___ Yes  ___ No

   If yes, please give name and address of the development(s) and owner(s), if different.

          __________________________

          __________________________

EXPLANATION OF FIRST YEAR COSTS

A. First Year Program Costs

1. Salary Rate

   a. Determine the first year's base salary level, looking at comparable positions
      (modified by number of hours worked).

       Base salary level  $________

   b. Fringe benefits

       % of base salary  ________%          

       Dollar value  $________

   c. First year salary rate  

       $________ + $________ = $________

       base salary  fringe benefits  salary rate

   2-2
2. **Administrative Costs**

- First, determine start-up costs:

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</tbody>
</table>

Total: $________________

- Then estimate annual on-going administrative costs for your program:

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</tbody>
</table>

- Identify total first year on-going administrative cost: $___________

- Sum start-up and on-going costs for year one: $________________

Is quality assurance included as an administrative cost?  ___ Yes  ___ No

If yes, provide justification and explanation of how it will be done.

Do you plan any activity related to setting up confidential office space for the Service Coordinator that would be considered part of start-up administrative costs?  ___ Yes  ___ No

If yes, provide a detailed explanation of your proposed plan.
3. **Total cost**

First year's total costs:

- Annual salary rate $__________ +
- Allowable administrative costs $__________ =
- Total cost $__________.

B. **Costs for Year 2 and 3**

Before determining second year costs, subtract any one-time start-up costs in year one from that year's total expected cost. Use this "adjusted" total year-one cost in the calculations below.

Use a five percent inflation factor to determine costs for years 2 and 3.

Year 1 total cost $________ x 1.05 = total cost year 2 $__________

Year 2 total cost $________ x 1.05 = total cost year 3 $__________

Sum costs for years 1 - 3 = $__________.

*This is my total grant request.*

The total grant request breaks down as follows:

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<thead>
<tr>
<th></th>
<th>SALARY</th>
<th>FRINGE</th>
<th>ADMIN. COSTS</th>
<th>TOTAL</th>
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<tr>
<td>YEAR 1</td>
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<td>YEAR 2</td>
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<td>YEAR 3</td>
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<tr>
<td>TOTAL</td>
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**USE OF RESIDUAL RECEIPTS OR EXCESS INCOME**

When financially possible, developments should use available residual receipts or excess income before receiving grant funds. Owners can use residual receipts or excess income in conjunction
with grant funds. Section 202 developments must maintain a minimum of $500 per unit in their residual receipts account. Indicate amounts of these funds to be used along with grant funds below:

<table>
<thead>
<tr>
<th></th>
<th>RESIDUAL RECEIPTS OR EXCESS INCOME</th>
<th>GRANT FUNDS</th>
<th>TOTAL</th>
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</thead>
<tbody>
<tr>
<td>YEAR 1</td>
<td>$</td>
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<td>YEAR 2</td>
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<tr>
<td>YEAR 3</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>TOTAL</td>
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C. Serving Community Residents

Do you propose to provide service coordination to low-income elderly or disabled families living in the vicinity of the development(s) included in this application? ___ Yes ___ No

If yes, please provide a narrative description of your plan to provide such services to community residents.

Description:

We appreciate your consideration of this request. If there are any questions, your staff may call _____________ at _____________ for further information.

Sincerely,

__________________________  __________________________
Signature                   Typed Name

Chairperson, Owner/borrower corporation
SERVICE COORDINATOR CERTIFICATIONS

1. At least 25 percent (25%) of the residents of the development are frail or at-risk elderly and/or non-elderly people with disabilities at the time of your request to HUD.

2. There is sufficient separate office space available for the Service Coordinator (and aides, if appropriate), including space for confidential meetings and a separate location in which to secure files, without adversely affecting normal activities.

3. You (1) have not been charged with a violation of the Fair Housing Act by the Secretary; (2) are not a defendant in a Fair Housing Act lawsuit filed by the Department of Justice, and (3) have not 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.

If you have resolved a charge, lawsuit, or letter of findings, as described above, you have done so to the satisfaction of the Department.

4. You do not have any outstanding Inspector General Audit findings.

5. Client files shall be kept in a secured location and accessible ONLY to the Service Coordinator, consistent with maintaining confidentiality of information related to any individual per the Privacy Act of 1974.

6. In the event that the Service Coordinator (directly hired or contracted) is not fully trained at the point of hiring, you agree to ensure that the Service Coordinator receives and completes appropriate training and ongoing continuing education requirements, consistent with Housing’s Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8.9.

7. If you are applying on behalf of a Section 202 development, the development has a residual receipts account separate from the reserve for replacement account or you agree to establish one as a condition of receiving this grant.

8. You will not use grant funds to replace currently available funding from other sources that is currently paying for a Service Coordinator or for some other staff person who performs Service Coordinator functions.
SERVICE COORDINATOR CERTIFICATIONS (continued)

9. You agree to submit quarterly payment vouchers and semi-annual performance and financial status reports to your local HUD Field Office, presenting on-going information about your program’s activities.

__________________________________________  ____________________________  ________
Signature                                      Print Name                        Date

Chairperson, Owner/borrower corporation.
TRANSMITTAL LETTER FORMAT FOR DESIGNATED LEAD AGENCY

If more than one owner is proposing to share a Service Coordinator, one agency must designate itself the "lead". This agency must submit a letter following this format on organization letterhead.

Dear

____________________
Director, Multifamily Hub/Program Center

____________________
Date

The __________________ for __________________ is requesting grant funds to hire a Service Coordinator.

Owner Name __________________
Development Name and city)

This request includes ______ developments, which will share a Service Coordinator.

Give #

The developments are:

<table>
<thead>
<tr>
<th>Owner</th>
<th>Development Name and Address</th>
<th>$ Requested</th>
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<tbody>
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</tbody>
</table>

Total: ________

The completed requests from each of these _____ applicants are attached to this letter.

Give #

Sincerely,

____________________
(Signature)

____________________
(Typed Name)
Chairperson, owner/borrower corporation
ALCP APPLICANT CHECKLIST

Use this checklist to review your materials to make sure they are properly completed and included. Submit a completed form with your request to HUD.

____ (1) Request Letter

____ (2) Lead agency letter format (if appropriate)

____ (3) Evidence of comparable salaries in local area.

____ (4) If quality assurance is included in the proposed budget, a justification and explanation of how this work will be performed.

____ (5) If you propose to serve low-income elderly or disabled families living in the vicinity of the development(s) included in your application, a narrative description of your plan.

____ (6) (If applicable) Evidence that prior funding sources for your development’s Service Coordinator program are no longer available or will expire on or before January 3, 2003.

____ (7) A bank statement with the development’s current residual receipts or excess income balance.

____ (8) Service Coordinator Certifications

____ (9)(a) A certification from an independent Public Accountant or the cognizant government auditor stating that the financial management system employed by the applicant meets prescribed standards for fund control and accountability required by the pertinent OMB circular.

____ (9)(b) In the case of developments using the AAF or that are profit-motivated, the certification states that the development does not have sufficient funds from rental/other income to fund the Service Coordinator.

____ (10) Standard Form for Assurances - Non-Construction Programs (SF-424B)

____ (11) ALCP applicants’ form.
Original or copies of the following forms:

____ (12) Standard Form for Application for Federal Assistance (SF-424)
____ (13) Federal Assistance Funding Matrix and Certifications (HUD-424M)
____ (14) Drug Free Workplace Certification (HUD-50070)
____ (15) Disclosure Form Regarding Lobbying (SF-LLL)
____ (16) Applicant/Recipient Disclosure/Update Report Form (HUD-2880)
____ (17) Certification Regarding Debarment and Suspension (HUD-2992)
____ (18) Acknowledgment of Application Receipt (HUD-2993)
ALCP APPLICANTS FORM

Complete this form ONLY if you are applying for both an ALCP grant and a Service Coordinator grant. Complete Part I or II, not both.

I. I currently do not have a Service Coordinator working at the site, ____________________________, included in my ALCP application. (Development Name)

I expect residents to participate in the ALCP and to receive assistance from the Service Coordinator.

I expect non-ALCP development residents to also use the services of the Service Coordinator.

The Service Coordinator will work hours per week.

My first year annual cost is estimated at $__________

and my 3-year grant request is for $__________

If my ALCP application IS NOT selected to receive a grant, please enter my Service Coordinator request in the Service Coordinator national lottery.

Yes____ No____

(*Your request for the number of work hours and the total number of residents to be served, as indicated above, will be entered in the lottery.)

(Continued next page)
ALCP APPLICANTS FORM

II. I currently have a Service Coordinator working at the site, ______________________, included in my ALCP application. (Development Name)

The Service Coordinator currently works ___________

hours per week and serves ___________

residents.

I would like to augment the Service Coordinator’s time or hire another full or part-time Service Coordinator or aide to work with ALCP residents.

My request is to add ___________

hours a week to the Service Coordinator’s time.

I expect to serve ___________

residents in my ALCP.

My first year annual cost is estimated at $ ___________

and my 3-year grant request is for $ ___________

Please remember to include in your ALCP application an explanation of why you are seeking incremental hours for your Service Coordinator Program. What additional responsibilities will the Service Coordinator have in working with ALCP residents. Why are additional hours needed to make your ALCP a success?

If my ALCP application IS NOT selected for an award, I understand that HUD will not fund the incremental hours requested.
Application for Federal Assistance

1. Type of Submission

Application
- Construction
- Non-Construction

Pre-application
- Construction
- Non-Construction

2. Date Submitted (mm/dd/yyyy)

3. Date Received by State (mm/dd/yyyy)

4. Date Received by Federal Agency (mm/dd/yyyy)

5. Applicant Information

Legal Name

Address (give city, county, State, and zip code)

6. Employer Identification Number (EIN) (xx-yyyyyyyy)

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

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

8. Type of Application:

- New
- Continuation
- Revision

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

A. Increase Award
B. Decrease Award
C. Increase Duration
D. Decrease Duration

8. Other (specify)

9. Name of Federal Agency

10. Catalog of Federal Domestic Assistance Number (xx-yyyy)

Title:

11. Descriptive Title of Applicant’s Project

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

13. Proposed Project

Start Date (mm/dd/yyyy) Ending Date (mm/dd/yyyy)

14. Congressional Districts of

a. Applicant
b. Project

15. Estimated Funding

a. Federal $ .00
b. Applicant $ .00
c. State $ .00

d. Local $ .00
e. Other $ .00
f. Program Income $ .00
g. Total $ .00

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

a. Yes
b. No

If Yes, this pre-application/application was made available to the State Executive Order 12372 Process for review on:

Date (mm/dd/yyyy).

If No, Program is not covered by E.O. 12372 or Program has not been selected by State for review.

17. Is the Applicant Delinquent on Any Federal Debt?

- Yes
- No

If Yes, attach an explanation

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

a. Typed Name of Authorized Representative
b. Title
c. Telephone Number (Include Area Code)
d. Signature of Authorized Representative
e. Date Signed (mm/dd/yyyy)

Previous Edition Usable
Authorized for Local Reproduction

form SF-424 (7/97) Prescribed by OMB Circular A-102
Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043, Washington, DC 20503).

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 face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12272 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

<table>
<thead>
<tr>
<th>Item</th>
<th>Entry</th>
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<tbody>
<tr>
<td>1.</td>
<td>Self-explanatory.</td>
</tr>
<tr>
<td>2.</td>
<td>Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).</td>
</tr>
<tr>
<td>3.</td>
<td>State use only (if applicable).</td>
</tr>
<tr>
<td>4.</td>
<td>If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.</td>
</tr>
<tr>
<td>5.</td>
<td>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.</td>
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<tr>
<td>6.</td>
<td>Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.</td>
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<tr>
<td>7.</td>
<td>Enter the appropriate letter in the space provided.</td>
</tr>
<tr>
<td>8.</td>
<td>Check appropriate box and enter appropriate letter(s) in the space(s) provided:</td>
</tr>
<tr>
<td></td>
<td>&quot;New&quot; means a new assistance award.</td>
</tr>
<tr>
<td></td>
<td>&quot;Continuation&quot; means an extension for an additional funding budget period for a project with a projected completion date.</td>
</tr>
<tr>
<td></td>
<td>&quot;Revision&quot; means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</td>
</tr>
<tr>
<td>9.</td>
<td>Name of Federal agency from which assistance is being requested with this application.</td>
</tr>
<tr>
<td>10.</td>
<td>Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.</td>
</tr>
<tr>
<td>11.</td>
<td>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 pre-applications, use a separate sheet to provide a summary description of this project.</td>
</tr>
<tr>
<td>12.</td>
<td>List only the largest political entities affected (e.g., State, counties, cities).</td>
</tr>
<tr>
<td>14.</td>
<td>List the applicant's Congressional District and any District(s) affected by the program or project.</td>
</tr>
<tr>
<td>15.</td>
<td>Use form HUD-4243-M, Funding Matrix. 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.</td>
</tr>
<tr>
<td>16.</td>
<td>Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12272 to determine whether the application is subject to the State intergovernmental review process.</td>
</tr>
<tr>
<td>17.</td>
<td>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.</td>
</tr>
<tr>
<td>18.</td>
<td>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.)</td>
</tr>
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</table>
Federal Assistance Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which Federal funding is being requested, and complete the certifications.

<table>
<thead>
<tr>
<th>Program*</th>
<th>Applicant Share</th>
<th>Federal Share</th>
<th>State Share</th>
<th>Local</th>
<th>Other</th>
<th>Program Income</th>
<th>Total</th>
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* For FHIPS, show both initiative and component

Instructions for the HUD-424-M

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

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance.

Enter the following information:

**Program:** The HUD funding program you are applying under.

** Applicant Share:** Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

**Federal Share:** Enter the amount of HUD funds you are requesting with your application.

**State Share:** Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

**Local Share:** Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

**Other:** Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

**Program Income:** Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

**Total:** Please total all columns and fill in the amounts.
Assurances—Non-Construction Programs

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 1976 (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. § 3670 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.


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; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of


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 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.
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 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;
   (3) 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;
   (4) 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. 3720, 3702)

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<th>Name of Authorized Official</th>
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<td>Signature</td>
<td>Date</td>
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form HUD-5070 (3/96)
ref. Handbooks 7417.1, 7475.13, 7485.1 & 3
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.


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Signature Date (mm/dd/yyyy)

(form HUD 50071 (3/98)
ref. Handbooks 7417.1, 7475.13, 7485.1, & 7485.3)

Previous edition is obsolete
## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure.)

<table>
<thead>
<tr>
<th>1. Type of Federal Action:</th>
<th>2. Status of Federal Action:</th>
<th>3. Report Type:</th>
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<tbody>
<tr>
<td>a. contract</td>
<td>a. bid/offer/application</td>
<td>a. initial filing</td>
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<tr>
<td>b. grant</td>
<td>b. initial award</td>
<td>b. material change</td>
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<td>c. cooperative agreement</td>
<td>c. post-award</td>
<td>For Material Change Only:</td>
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<td>d. loan</td>
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<td>e. loan guarantee</td>
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<td>date of last report ________________</td>
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<td>f. loan insurance</td>
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<tr>
<th>4. Name and Address of Reporting Entity:</th>
<th>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</th>
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<tr>
<td>Prime</td>
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<td>Subawardee</td>
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<td>Tier __________, if known:</td>
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Congressional District, if known:

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<tr>
<th>6. Federal Department/Agency:</th>
<th>7. Federal Program Name/Description:</th>
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<td>CFDA Number, if applicable:</td>
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<th>8. Federal Action Number, if known:</th>
<th>9. Award Amount, if known:</th>
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<tr>
<th>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</th>
<th>11. Signature:</th>
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<td>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</td>
<td>Print Name:</td>
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Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the Tier 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 semi-annually 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.

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<th>Authorized for Local Reproduction</th>
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<td>Standard Form LLL (Rev. 7-97)</td>
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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 an 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 follow-up 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 prefix, e.g., “RFP-02-06-001.”

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 lobbying 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.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.
Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 3/31/2003)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

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

2. Social Security Number or Employer ID Number:

3. HUD Program Name

4. Amount of HUD Assistance Requested/Received

5. State the name and location (street address, City and State) of the project or activity:

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).

   □ Yes □ No

2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of $200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9

   □ Yes □ No

If you answered "No" to either question 1 or 2, Stop! You do not need to complete the remainder of this form. However, you must sign the certification at the end of the report.

Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address

| Type of Assistance | Amount Requested/Provided | Expected Uses of the Funds |

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

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

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).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)

| Social Security No. or Employee ID No. | Type of Participation in Project/Activity | Financial Interest in Project/Activity ($ and %) |

(Note: Use Additional pages if necessary.)

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 disclosures 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: (mm/dd/yyyy)

X

Form HUD-2880 (3/99)
Public reporting burden for this collection of information is estimated to average 2.3 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(b) 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 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 determinations 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 §4.38.

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

Overview.

A. Coverage. You must complete this report if:
(1) You are applying for assistance from HUD for a specific project or activity and you have received, or expect to receive, assistance from HUD in excess of $200,000 during the fiscal year;
(2) You are updating a prior report as discussed below; or
(3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

B. Update reports (filled by "Recipients" of HUD Assistance):

General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial application disclosure reports.

Line-by-Line Instructions.

Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

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.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. 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.
5. 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.; contract, grant, or loan No.). Include prefixes.

Part I. Threshold Determinations - Applicants Only

Part I 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.

If the answer to either questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

Part II. Other Government Assistance and Expected Sources and Uses of Funds.

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance, is defined in note 4 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.
2. State the type of other government assistance (e.g., loan, grant, loan insurance),
3. 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).
4. 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 structural, costs," as roof, elevators, exterior masonry, etc.

B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD and any other source - that have been or are to be, made available for the project or activity. Non-government sources of
funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.
This Part is to be completed by both applicants 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).

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. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
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.

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.

Notes:
1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 61 Fed. Reg. 14448.]
2. 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).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. “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.
5. For the purpose of this form and 24 CFR Part 4, “person” means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.
Certification Regarding Debarment and Suspension

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

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;
   a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;
   b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;
   c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
   d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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

Instructions for Certification (A)

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

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

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

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

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

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

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

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

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

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.
Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

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

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

Instructions for Certification (B)

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

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

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

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

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

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

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

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

9. Except for transactions authorized under paragraph (i) 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

Page 2 of 2

form HUD-2992 (3/98)
Acknowledgment of Application Receipt

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

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

form HUD-2993 (2/99)