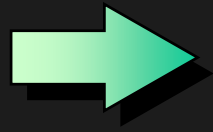


***Section 202/811***  
***Capital Advance Programs***

**Basic Program Requirements**

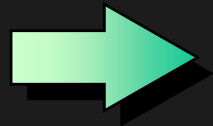
# ***Basic Program Requirement Purpose***



**To expand the supply of supportive housing for the very low-income elderly (202) and for persons with disabilities (811)**

**-202: Elderly, 62 yrs old & over, including frail elderly**

# ***Basic Program Requirement Purpose***



- 811: 18 yrs old & over with one or more of the following:**
  - ^ Chronic Mental Illness**
  - ^ Physical Disability**
  - ^ Developmental Disability**

# ***Basic Program Requirements***

**What Funding Does HUD  
Provide?**

# ***FY 2006 Appropriations***

- **Section 202**
  - **\$742,000,000**
    - **\$641.2 million for new units, amendments and PRAC renewal (subject to 1% rescission)**
    - **\$51.6 million for Service Coordinator & CHSP**
    - **\$24.8 million for ALCP**
    - **\$20 million for Section 202 Demonstration Planning Grant Program**
    - **\$4 million for Section 202 Demonstration for Intergenerational Families Program**
    - **\$400,000 transferred to Working Capital Fund (subject to 1% rescission)**

# ***FY 2006 Appropriations***

- **Section 811**
  - **\$239,000,000**
    - **\$155.3 million for new units, amendments & PRAC renewals (subject to 1% rescission)**
    - **\$83.3 million for tenant-based assistance (under PIH)**
    - **\$400,000 transferred to Working Capital Fund (subject to 1% rescission)**

# ***Section 202/811 Allocations***

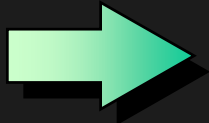
## **» 202**

- **\$443.2 million/4,313 units**

## **» 811**

- **\$90.3 million/927 units**

# ***HUD Funding***



## **Types of funds**

### **-Capital Advance**

- ^ Covers dev./construction costs**
- ^ No repayment required if proj. remains available for eligible program residents for 40 yrs**



# *HUD Funding*

## Types of funds

- Project Rental Assistance
  - ^ Rental assistance that covers difference between proj.'s operating expenses & tenant payments
- Initial term is 3 yrs

# ***Basic Program Requirements***

**Who Can Apply?**

# ***Sponsor (Applicant) Eligibility - Type of Organization***

## **Section 202**

- **Private nonprofit (incl. Faith-Based Orgs)**
- **Nonprofit Consumer Cooperative**
- **IRS tax exemption for ALL Sponsors**
- **Public entity or instrumentality ineligible**

# **Sponsor (Applicant) Eligibility - Type of Organization**

## **Section 811**

- **Nonprofit with IRS tax exemption under 501(c)(3) (incl. Faith-Based Orgs)**
- **Public entity eligible if it has 501(c)(3)**

# ***Prohibited Relationships***

- **Conflicts/Identities of Interest are prohibited**
  - **Apply to Sponsor/Owner & their Board Members & Officers**
  - **Development Team Members**

# ***Prohibited Relationships***

- **Limited exceptions for Sponsor**
- **Sponsor must sign HUD-92041, Sponsor's Conflict of Interest Resolution**
- **Refer to Sec. 891.130 of 202/811 regs**

# ***Basic Program Requirements***

**What types of Structures  
are Eligible?**

# ***Eligible Structure Types***

## **Section 202**

### **Independent Apartment units**

- **Efficiencies & 1 Bedrooms for residents only**
- **Up to a 2-Bedroom limited to a res. manager, if proposed**
- **Group Homes are ineligible**



# ***Eligible Structure Types***

## **Section 811**

- **Independent Living Projects (ILPs) containing indiv. apt. units**
  - **Any size unit, except 3 Bedrms & larger limited to families NOT unrelated individuals**

# ***Eligible Structure Types (Sec. 811 Only)***

- . **Condominium units**
  - Same as ILP units
  - Cannot purchase separate unit for resident manager
- . **Group Home**
  - 1 Bedrm unit for res. mgr. permitted
  - 2 GHs cannot be located next to each other

# ***Basic Program Requirements***

## **Ineligible Activities**

# ***Ineligible Activities***

## ***Sections 202 and 811***

- **Nursing homes, infirmaries and medical facilities**
- **Transitional housing**
- **Mobile Homes**
- **Intermediate care facilities**
- **Assisted living facilities**
- **Community centers**
- **Headquarters for organizations for the elderly or persons with disabilities**

## ***Ineligible Activities Section 202 and 811 (con't)***

- **Refinancing of Sponsor-owned facilities without rehabilitation**
- **Housing that you currently own or lease that has been occupied by elderly persons (202); and under 811, for persons with disabilities for longer than one year prior to the application deadline date**

# ***Ineligible Activities Section 202 and 811 (con't)***

- **Non-housekeeping accommodations (e.g., central dining but without private kitchens and/or bathrooms in the residential units). Apply to Section 202 projects and Section 811 ILP's**
- **Supportive Services (Section 811)**
- **Sheltered workshops and centers for persons with disabilities (Section 811)**

# ***Basic Program Requirements***

## **Supportive Services**

# *Supportive Services*

- **Acceptance of Services cannot be a condition of occupancy.**
- **Funding:**
  - **202: PRAC up to \$15 per unit per month & for svc coordinator in project serving primarily frail elderly.**
  - **811: from outside sources.**



# ***Changes Applicable to both 202 and 811***

- **Field Offices will use the Grant Interface Management System (GIMS) to review and process applications.**
- **HQs Grants Mgmt Office will provide training**
- **Eliminated 2530 clearance and Form HUD-2530, Previous Participation Certification at the NOFA stage.**

# *Changes Applicable to both 202 and 811*

- **No Forms or Appendices published with the NOFA**
  - Forms obtainable from Grants.gov download
  - Appendices from HUD's "FundsAvail" website (ie, HUD Ofc Listing, Choosing a Safe Site & Supp Guide, SHPO/THPO Letter)

# *Changes Applicable to both 202 and 811*

- **If waiver of E-filing is granted:**
  - An O + 4 copies must be RECEIVED IN LOCAL HUD OFFICE by 11:59:59 PM on the deadline date
  - Any mail delivery service is acceptable, including hand delivery by applicant
  - 15-day grace period from the postmarked date is **NO LONGER ALLOWED**

# ***Changes Applicable to Both 202 and 811***

- **Term of PRAC Budget Authority is 3 years**
- **Separate allocation for Wash, DC has been reinstated**
- **Expanded definition of non-responsive apps to include:**
  - **Submission of paper apps if waiver of e-filing not requested and/or granted**

# *Changes Applicable to Both 202 and 811*

- **Non-responsive applications (cont'd):**
  - **Substantially deficient appls**
  - **Request assistance for an ineligible activity**
  - **Ineligible Sponsor(s)**
    - **Explained the purpose of HUD's review of the organizational docs in Exh. 2**

## *Changes Applicable to Both 202 and 811*

- Sponsor submits either letter to SHPO/THPO w/statement that no response rec'd OR letter from SHPO/THPO (under Exhibit 4(d)(ix))
- Clarified Asbestos reporting requirement:
  - Require Asbestos Survey rather than Asbestos Report

# ***Changes Applicable to Both 202 and 811***

- **Asbestos (cont'd):**
  - If no pre-1978 structures on site or pre-1978 structures on site that recently had only 4 or fewer units of SF hsg. incl. appurtenant structures, need statement to that effect
  - If pre-1978 structures on site other than a site that recently had only 4 or fewer units of SF hsg. incl. appurtenant structures, need a comprehensive bldg. asbestos survey

## ***Changes Applicable to Both 202 and 811***

- **Added new Exh. On Sponsor's plans to incorporate Sec. 3 requirements (EO for Low & Very Low Income Persons ) (202: Exh. 3(k); 811: Exh. 3(m))**
  - **Optional, but needed to get up to 2 pts.**



# ***Changes Applicable to Both 202 and 811***

- **Mixed-Finance Applications for Add'l Units:**
  - No longer a rating factor and is now curable
  - Sponsor must demonstrate ability to proceed with 202/811 proj. w/o add'l units in case mixed-finance proposal is not approved
  - Clarified that add'l units must be for the elderly for 202 proposals

## ***Changes Applicable to Both 202 and 811***

- **Sponsors must include copy of letter sent to SPOC with SF-424, Appl. for Federal Assistance & that letter to SPOC must be dated no later than appl. deadline date**
- **Clarified that excessive amenities include bedroom sizes that exceed Handbook limitations**

## ***Changes Applicable to Both 202 and 811***

- **Clarified that for sites involving a partial release of security, Sponsor must have evidence of site control (ie, option/purchase agreement, etc) along with approval of partial release**
- **Clarified that Title Policy or other similar evidence on site must be current**

# ***Changes Applicable to Both 202 and 811***

- **Sponsors must submit list of all FY05 & prior years 202/811 projects they are a party to**
- **Added Form HUD-2994-A, You Are Our Client Grant Applicant Survey**
- **FY06 Funds must be obligated by 9/30/09 and fully disbursed by 9/30/14**

# *Changes Applicable to Both 202 and 811*

- **Changes Tied to Rating Factors:**
  - **RF 1: Reduced by 2 pts**
    - Sub RF 1.a., Sponsor's experience, reduced from 15 pts to 13 pts
    - Sub RF 1.d., Need for Amendment Funds for Previously Funded Projects (-3 to -5 pts), sliding scale to deduct 3 pts if amendment need equals 25% or less of original cap. adv. amt; 4 pts if between 26% and 50%; & 5 pts over 50%

# ***Changes Applicable to Both 202 and 811***

- **Changes Tied to Rating Factors (con't):**
  - **RF 3: Increased by 2 pts**
    - **New Sub RF 3(I), Plans to Meet Sec. 3 Requirements, 2 pts**
      - **1 Pt: Plans for Training & Employment Opportunities of Low & Very Low Income Persons in Project Area**
      - **1 Pt: Plans for Awarding Substantial Contracts to Persons Residing in Project Area**

# *Changes Applicable to Both 202 and 811*

- **Changes Tied to Rating Factors (con't):**
  - **RF 4: Leveraging Resources (5Pts)**
    - **Sliding scale based on dollar value of written firm commitments:**
      - 0 PT: 5% or less of cap adv amt
      - 1 Pt: Between 6% & 10%
      - 2 Pts: Between 11% and 15 %
      - 3 Pts: Between 16% and 20%
      - 4 Pts: Between 21% & 25%
      - 5 Pts: Over 25%

## ***Changes Applicable to Both 202 and 811***

- **The Program Outcome Logic Model (Form HUD-96010) that can be downloaded from grants.gov will be displayed as a drop down list and the Sponsor will select the items that reflect the activities and outcomes they plan to undertake and achieve**



## *Changes Applicable to 202*

- **202 allocations for metro and nonmetro areas reflect 6/2003 OMB definitions**

## *Changes Applicable to 811*

- For site identified applications, location must include street address or block or lot number(s)

# ***Section 202/811 Capital Advance Program***

## **NOFA Process**

# ***Application***

- **No Application Kit**
- **Download application, instructions, forms & copies of Gen. Sec. & Program NOFA from:**
- **[www.Grants.gov](http://www.Grants.gov)/Apply**
  - **Need Funding Opportunity No. or CFDA No.**
- **[www.Grants.gov](http://www.Grants.gov)/FIND**

# *Application*

- [www.hud.gov/offices/adm/grants/fundsavail.cfm](http://www.hud.gov/offices/adm/grants/fundsavail.cfm)
- OR
- Order from NOFA Information Center at:
- (800) HUD-8929 OR
- (800) HUD-2209 TTY

# *Application*

- **READ, READ & READ AGAIN**
- **General Section of the SuperNOFA**
- **Program NOFA**

# *Application*

- **Download Tech. Support Asst.:**
  - **Call Grants.gov Customer Service**
  - **(800) 518-GRANTS, or**
  - **E-mail to [support@grants.gov](mailto:support@grants.gov)**

***Section 202/811 Capital  
Advance Program***

**FY 2006 NOFA**



# ***Application Submission Deadline***

- **Section 811:  
May 26, 2006**
- **Section 202:  
June 2, 2006**

# *Methods of Submission*

## *Electronic Submission*

- Must submit electronically (unless waiver approved for a paper copy)
- Must first register using 5 steps below:
  - 1. Obtain a DUNS No. (if not yet obtained): D & B (866)705-5711
  - 2. Register w/Central Contractor Registry: (888) 227-2423 or email at <http://www.ccr.gov>
    - Need TIN or EIN

# ***Methods of Submission***

## ***Electronic Submission***

- **Registration Steps (cont'd)**
  - **Designate an E-Business POC:**
    - > **E-Business POC sets up M-PIN**
    - > **E-Business POC designates AOR**
  - **Takes 1-3 days to complete**
  - **Expires annually/must update to remain active**

# ***Methods of Submission***

## ***Electronic Submission***

- **Registration Steps (cont'd)**
- **3. AORs register with Credential Provider:**
  - **To obtain User Name/Password**
  - **AOR User Name/Password serve as electronic signatures**
  - **<https://apply.grants.gov/OrcRegister>**

# *Methods of Submission*

## *Electronic Submission*

- Registration Steps (cont'd)
- 4. AORs register w/Grants.gov
  - To obtain account
  - Allows AOR to e-file for Sponsor
  - <https://apply.grants.gov/Grants.govRegister>

# *Methods of Submission*

## *Electronic Submission*

- **Registration Steps (cont'd)**
- **5. E-Business POC approves AOR**
  - Grants.gov notifies E-Business POC when AOR registers with Grants.gov
- **Register early; can take 10 days**
- **Get confirmation**

# *Methods of Submission*

## *Electronic Submission*

- Appl. must be rec'd & validated electronically by Grants.gov by 11:59:59PM ET on deadline date – NO EXCEPTIONS
- Before being validated, will get confirmation of appl. receipt
- Validation process takes 24-48 hours

# ***Methods of Submission***

## ***Electronic Submission***

- **Suggest downloading appl. To your computer hard drive & work off-line**
- **First complete SF-424, Appl. For Fed. Assistance, as it is designed to trigger a function that carries common data to other PureEdge forms**



# *Methods of Submission*

## *Electronic Submission*

- **E-Submission of Narratives, 3<sup>rd</sup> Party Letters, & Certs use:**
  - MS Word 9.0 & earlier
  - MS Excel 2000
  - PDF/Adobe Reader 6.0 & earlier
  - Graphic images (eg, Computer Aided Design files) must be attached using the Attachment form downloaded from [Grants.gov](http://Grants.gov)

# ***Methods of Submission***

## ***Electronic Submission***

- **E-Submission of 3<sup>rd</sup> Party Letters, Certs, & Other Docs Requiring a Signature:**
  - **Faxing Method Recommended:**
    - **Must use HUD-96011, Facsimile Transmittal, as the cover page (as downloaded from Grants.gov)**
    - **Fax to (800) HUD-1010**

# ***Methods of Submission***

## ***Electronic Submission***

### **– Faxing Method:**

- Label by Exh. No. & fax each doc. separately with downloaded version of HUD-96011 (save to hard drive & xerox copies if needed)**
- Fax attachments only (DO NOT fax entire application)**
- Save fax confirmation receipt**
- Late faxes will not be considered**

# ***Methods of Submission***

## ***Electronic Submission***

- **Scanned Method:**
- **Not recommended unless faxing method not feasible**
- **Scan & save as separate e-file**
- **Label by Exhibit No. & include page nos.**

# *Methods of Submission*

## *Electronic Submission*

- Download appl. From Grants.gov ONLY once
- See instructions in Gen. Sec. of SuperNOFA
- Go to [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted) for step-by-step instructions
- Best to submit during ofc hrs of Customer Support, 7am-9pm M-F

# ***Methods of Submission***

## ***Paper Applications***

- **May submit paper copy of appl. if a waiver is submitted to and approved by the Asst. Sec. for Housing**
- **Mail by US Postal Service is recommended, but any mail delivery service may be used**
- **Hand delivered copies permitted**

# *Methods of Submission*

## *Paper Applications*

- **Must be received in HUD Ofc by 11:59:59 on:**
  - **May 26, 2006 for 811**
  - **June 2, 2006 for 202**
  - **There is no longer a 15-day grace period from the postmarked date**

# ***Methods of Submission Paper Copies if a Waiver is Approved***

- **Must submit an Original & 4 copies**
- **No fax transmissions of appls.**
- **If waiver approved, approval letter will provide mailing instructions**
- **Will fax response letter if you provide a fax number**
- **Label the header of doc. with Sponsor's name/DUNS No. and Exhibit No.**



# ***Proof of Timely Submission***

- **Electronic Submission:**
  - **Automatically recorded by Grants.gov**
    - **Electronic time stamp is generated when appl. is successfully rec'd & validated**
    - **Applicant will receive acknowledgement of receipt and tracking no. from Grants.gov**
    - **Receipt will be sent to email address on SF-424**
    - **Print and save confirmation receipt, incl. Fax confirmations**

# ***Review of Applications***

- **Schedule**
  - **Application Deadline Dates:**
    - **811 – May 26, 2006**
    - **202 – June 2, 2006**
  - **HUD Office will send you an Acknowledgment Letter**

# *Review of Applications (cont'd)*

- HUD screens each application for completeness and issues Curable Deficiency Letters by:
  - June 26, 2006 – 811
  - July 3, 2006 - 202

# ***Review of Applications (cont'd)***

## **– Curable Deficiency letter**

- **Missing or incomplete Exhibits that do not affect rating**
- **14 calendar days to respond**
- **Will Fax if Fax number provided in Exhibit 1**

# ***List of Curable Deficiencies***

***(Exhibits identified by an asterisk (\*) must be dated on or before the application deadline date.)***

## **Exhibits**

- 1. Form 92015-CA or 92016- CA \***  
**(Application form)**
- 2.a Articles of Incorporation\***
- 2.b By-laws\***
- 2.c IRS tax exemption ruling\***

# ***Curable Deficiencies*** ***(cont'd)***

- 4.c(iii) Mx-Fi Proposals for Add'l Units**
- 4.d(i) Evidence of site control**
- 4.d(ii) Evidence site is free of limitations, restrictions, reverts**
- 4.d(iv) Compliance with URA notification requirement**

# ***Curable Deficiencies (cont'd)***

- 4.d(vii) Phase I Environmental Site Assessment**
- 4.d(viii) Asbestos Statement/Survey**
- 4.d(ix) Letter to/from SHPO/THPO**

# ***Curable Deficiencies (cont'd)***

- 4.d(x) Seek Alternate Site (811 Only)**
- 4.d(xi) Exception to Proj. Size Limit (811 Only)**
- 4.e(ii) Steps underaken to identify site (811 Only)**
- 4.e(iv) Status of sale of site (811 Only)**



# ***Curable Deficiencies (cont'd)***

- 4.e(v) Whether site involves relocation (811 Only)**
- 5. Supportive Services Plan (811 Only)**
- 7. Relocation**

# ***Curable Deficiencies (cont'd)***

- 8.a Standard Form 424, Appl.  
for Fed. Asst.  
> with SPOC Letter, if required\***
  
- 8.b Standard Form 424 Supplement,  
Survey on Ensuring Equal  
Opportunity for Applicants**

# ***Curable Deficiencies (cont'd)***

**8.c SF-LLL, Disclosure of Lobbying Activities (if applicable)**

**8.d Form HUD-2880, Appl/Recipient Disclosure/Update Report**

**8.e Form HUD-2991, Cert. of Consistency with Consolidated Plan**

# ***Curable Deficiencies (cont'd)***

- 8.f Form HUD-92041, Conflict of Interest Resolution**
- 8.g Form HUD-92042, Resolution for Commitment to Project\***
- 8.i Form HUD-92043, Supp. Services Certification (811 Only)**