

Assisted Living Conversion and Service Coordinator Programs Application

Assisted Living Conversion Program
Service Coordinators in Multifamily Housing



2001

U.S. Department of Housing and Urban Development
Mel Martinez, Secretary





U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

WASHINGTON, D.C. 20410-0001

February 26, 2001

THE SECRETARY

To Our Partners in Housing and Community Development:

I am pleased to issue the 2001 Super Notice of Funding Availability (SuperNOFA) for the Department of Housing and Urban Development's competitive grant programs. Housing and community revitalization are at the heart of HUD's mission, and President Bush and I are committed to make our mission a success.

HUD's 2001 SuperNOFA is a comprehensive list of about \$2.75 billion in program funds available from the Department. These funding opportunities cover a wide variety of grant programs: community and economic development; affordable housing for rental or ownership; supportive housing and services; and programs to help the homeless return to the mainstream of our society.

The SuperNOFA helps local communities and non-profit or faith-based groups identify HUD programs that can best meet their local needs, and use a comprehensive approach when they apply for funds. It can help you with a wide variety of local issues, including affordable housing for low-income persons; supportive housing and services for the elderly and persons with disabilities, including persons with HIV/AIDS; assistance for homeless persons and families, to help them move from emergency shelters to transitional and even permanent housing; economic development opportunities that also create jobs for lower-income persons; and programs to help low-income individuals and families become self-sufficient.

Many, many families and communities need the assistance that HUD – working in partnership with you – can provide.

- The number of families who live in sub-standard housing or pay 50 percent or more of their wages for monthly rent is far too high, but at the same time, the nation's inventory of affordable housing is shrinking;
- while over \$10 billion has been spent on homeless programs over the last ten years, too many Americans still live on the streets with no opportunity to share in or contribute to our great nation's bounty; and
- despite record high levels of homeownership, African American and Hispanic American homeownership rates remain below 50 percent. That is not acceptable.

I am committed to working with you to help those who need affordable housing to rent or buy, get homeless individuals and families the help they need, and revitalize the communities and neighborhood that have yet to benefit from the last ten years of economic growth. This SuperNOFA is one way to help us reach our common goal.

Sincerely,

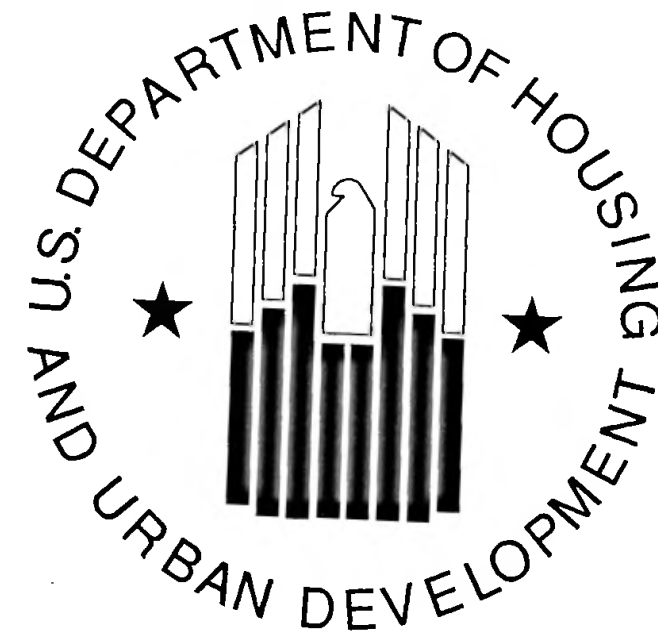
Mel Martinez
Mel Martinez

**Fiscal Year 2001
Assisted Living Conversion Program
Application Kit**

&

**Service Coordinator Program
Application Kit**

APPLICATION DUE DATE: June 21, 2001



*U. S. Department of Housing and Urban Development
Office of Housing
Office of Multifamily Housing Programs*

INTRODUCTION TO THE ALCP AND SERVICE COORDINATOR APPLICATION KIT

This application kit contains instructions and materials for the Assisted Living Conversion Program and the Service Coordinator Program for Fiscal Year 2001. The kit is designed to guide you through the application process and ensure that your application addresses all program requirements.

This kit is divided into three Sections:

- Section I: The Assisted Living Conversion Program for Eligible Multifamily Projects Application
- Section II: The Service Coordinator Program Application
- Section III: General Section
 - General Section of the SuperNOFA
 - ALCP Program NOFA
 - Service Coordinator Program NOFA
 - Standard Forms

The General Section of the SuperNOFA provides the applicant with general application procedures and requirements. Specific program forms and additional procedures and requirements are found in the ALCP and Service Coordinator program NOFAs. The standard forms section provides those standard forms that may be applicable to the programs in this kit.

You may apply for either program for which you are eligible. If you apply for any program under the Department's SuperNOFA, you need only submit one original signed SF424 and one set of original signatures for other standard forms and certifications; as long as you submit copies of these documents in any additional application you submit. Your application should identify the program for which you submitted the original signature for these standard forms and certifications.

If there is a discrepancy between the information provided in this kit and the information published in the SuperNOFA, the SuperNOFA prevails.

The application deadline date for the Assisted Living Conversion Program and the Service Coordinator Program is June 21, 2001.

The public reporting burden for this collection of information for the Assisted Living Conversion Program (ALCP) and the Multifamily Housing Service Coordinator Program as estimated to average 80 hours per response for ALCP applicants and 40 hours per response for Service Coordinator applicants, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information and preparing the application package for submission to HUD. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reduce this burden, to the Reports Management Officer, Paperwork Reduction Project, in the Office of Information Technology, US. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments, please refer to OMB Approval No. 2502-0542 for the Assisted Living Conversion Program and No. 2502-0447 for the Service Coordinator Program. HUD may not conduct and sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

The information submitted in response to the Notice of Funding Availability for the Assisted Living Conversion Program and Service Coordinator Program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Public Law 101-235, approved December 15, 1989, 42 U.S.C. 3545).

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

**SECTION I
FISCAL YEAR 2001
ASSISTED LIVING CONVERSION PROGRAM FOR
ELIGIBLE MULTIFAMILY PROJECTS
APPLICATION**

General Program Requirements, Forms and Certifications

APPLICATION KIT
ASSISTED LIVING CONVERSION PROGRAM

INTRODUCTION: This constitutes the Application Kit to apply for a grant under the Assisted Living Conversion Program (ALCP). You **MUST** contact the HUD Multifamily Hub Office with jurisdiction over your development to obtain information about the submission of applications relevant to that Office. (NOTE: A list of the HUD Multifamily Hub Offices is attached as Appendix A for you to use in determining the appropriate HUD Multifamily Hub Office to which you should submit your application.)

You must submit an original and four (4) copies of your application in response to a Federal Register Notice of Funding Availability (NOFA) to the HUD Multifamily Hub Office. Do not send the application to the HUD Multifamily Program Center with which you routinely interact. You must submit your application either by hand, delivery service or certified mail, by the deadline date and time set forth in the NOFA. **Applications by facsimile will not be accepted.**

CONTENTS OF APPLICATION KIT: The ALCP Application Kit consists of six parts with a total of ten Exhibits. Included with the ten Exhibits are prescribed forms, certifications and resolutions. The components of the Application Kit are:

- Part I - Application Summary, Eligibility and Community Involvement
(Exhibits 1, 2 and 3)
- Part II - Evidence of Need for ALF Units
(Exhibit 4)
- Part III - Conversion and Retrofit Activities
(Exhibits 5, 6 and 7)
- Part IV - Supportive Services Plan
(Exhibit 8)
- Part V - Project Resources
(Exhibit 9)
- Part VI - General Application Requirements, Certifications and Resolutions
(Exhibit 10)

All of the required application exhibits are specifically identified in the NOFA.

GENERAL INSTRUCTIONS FOR PREPARING APPLICATION: The application must be submitted using the attached Application Kit format and **MUST BE INDEXED AND TABBED ACCORDINGLY.** The Kit includes:

1. The Table of Contents which identifies the order in which the application is to be assembled. It also serves as the application checklist by providing you with a space for identifying the submission page for the exhibit or portion of the exhibit.
2. The Rating Factors which identify how your application will be rated.
3. The Application Contents identified by the Part of the application and the relevant exhibits. Parts I through V include exhibits related to the rating criteria. Part VI includes all the necessary forms and certifications.
4. Appendices
 - A. List of local HUD Offices
5. The Application Evaluation for you to provide HUD with comments and suggestions about the Application Kit.
6. The Acknowledgment of Application Receipt you will receive with an indication of the date that HUD received your application and whether or not your application will receive further consideration.

Before preparing your application, you should carefully review the requirements of the NOFA. Note: Section 1001 of Title 18 of the United States Code (Criminal Code and Criminal Procedure, 72 Stat. 967 shall apply to all information supplied in the application submission). (18 U.S.C. 1001, among other things, provides that whoever knowingly and willfully makes or uses a document or writing containing any false, fictitious, fraudulent statement or entry, in any matter within the jurisdiction of any department or agency of the United States, shall be fined not more than \$10,000 or imprisoned for not more than five years, or both.)

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PART I - APPLICATION SUMMARY, ELIGIBILITY AND COMMUNITY INVOLVEMENT	_____
EXHIBIT 1: Application Summary and Your Legal Status:	
(a) Articles of Incorporation (or other organizational documents), or self-certification	_____
(b) By-laws, or self-certification	_____
EXHIBIT 2: Description of your community ties and established linkages:	
(a) Ties/links to the community at large and to the minority and elderly population	_____
(b) Efforts to involve elderly persons	_____
(i) in the development of the application	_____
(ii) in the development of the ALF operating philosophy	_____
(iii) in the review of the application	_____
(iv) your intent to involve elderly persons in the operation of the project.	_____
Also demonstrate that the application was made available to residents of the project	

(in their language(s))
AND that you requested and considered comments from them (in their language(s)). Applicants of converted commercial facilities should indicate the application will be made available to the residents of the project in their language(s) and will request and consider comments in their language(s).

- (c) Involvement in the community's Consolidated Planning process including:
 - (i) Agency that organizes/administers the process
 - (ii) Consolidated Plan issue areas in which you participate
 - (iii) Level of your participation in the process
- OR
- Specific steps you will take to become active in the process
- (d) Linkages with other related activities, programs or projects

EXHIBIT 3: Evidence of your project being in occupancy for at least five years as of the date of the application to HUD (Not required by nonprofit applicants of unused and underutilized commercial facilities)

PART II - EVIDENCE OF NEED FOR ALF UNITS

EXHIBIT 4:

A market analysis of the need for the proposed ALF units, including information from the project and the housing market:

- (a) Evidence of need for ALF by current residents (Not required by nonprofit applicants of unused and underutilized commercial facilities)
 - (i) Description of demographic characteristics of current elderly residents
 - (ii) Description of services currently available to residents
- (b) Evidence of need for ALF by very low income elderly and disabled households in market area
- (c) Description of local alternate care and services
- (d) Description of how Analysis of Impediments to Fair Housing Choice was used in documenting need

PART III - CONVERSION AND RETROFIT ACTIVITIES

EXHIBIT 5: A Description of the Physical ALF Conversion

- (a) Description of how the physical conversion will be carried out, including time-table and relocation planning
- (b) Narrative including number of units being converted, design features, community and office space, storage, dining/kitchen facility and staff space and physical relationship to rest of project; and, how design will facilitate service delivery and changing needs of residents
- (c) Original plans for all units and spaces involved in conversion
- (d) Description of accessibility features
- (e) Architectural sketches of conversion including:

EXHIBIT 5 (CONT'D)

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- (i) All doors being widened _____
- (ii) Kitchen/bathroom reconfiguration _____
- (iii) Bedroom/living/dining area modification, if needed _____
- (iv) Reconfigured common space _____
- (v) Added/reconfigured office/storage space _____
- (vi) Monitoring stations _____
- (vii) Kitchen and dining facility _____
- (f) Budget for all costs of items in (g) above _____
- (g) Firm Commitment Letters for non-HUD funding _____
- (h) Description of relocation: (not applicable to applicants of commercial properties)
 - (i) Cost of temporary relocation payments/related services _____
 - (ii) Staff organization to carry out relocation _____
 - (iii) Identification of tenants that will be temporarily relocated _____

EXHIBIT 6: Description of any retrofit/renovation to be done with third party funds with firm commitment letters _____

EXHIBIT 7: Evidence of permissive zoning _____

PART IV - SUPPORTIVE SERVICES PLAN

EXHIBIT 8: Supportive Services Plan, including:

- (a) A description of the supportive services needed by residents of the ALF units _____

EXHIBIT 8 (CONT'D)

Page

- (b) A description of how the supportive services will be provided; the service coordination role and how it will be funded; and how services will meet needs of residents _____
- (c) A description of the ALF operation:
 - (i) general operating procedures _____
 - (ii) ALF philosophy _____
 - (iii) what the service coordination role will be and whether existing, augmented or new _____
 - (iv) ALF staff training plans _____
 - (v) relationship of ALF to daily operations of the project _____
- (d) Individual monthly rate for board and supportive services of ALF and estimate of total annual cost _____
- (e) Identification of funding sources for the board and supportive services _____
- (f) Support/commitment letters from each source identified in (e) above _____
- (g) Support letter from each governmental agency which will license the ALF _____
- (h) Description of your experience in arranging/delivering services _____

PART V - PROJECT RESOURCES

EXHIBIT 9: A description of your project's resources, including: ((a) and (b) not applicable to applicants of unused and underutilized commercial properties)

- (a) Copy of most recent R4R account statement and analysis _____
- (b) Copy of most recent Residual Receipts Account statement _____

- (c) Your annual financial statement or date sent to REAC; if commercial property, annual financial statement or annual report

PART VI - GENERAL APPLICATION REQUIREMENTS, CERTIFICATIONS AND RESOLUTIONS

EXHIBIT 10: FORMS, CERTIFICATIONS AND RESOLUTIONS:

- (a) Standard Form 424 _____
- (b) Standard Form 424D, Assurances, Construction Programs _____
- (c) Standard Form 424M, Federal Assistance Funding Matrix _____
- (d) Drug-Free Workplace (HUD-50070) _____
- (e) Certification of Payments to Influence Federal Transactions (HUD-50071), and Disclosure of Lobbying Activities (Standard Form LLL), if applicable _____
- (f) Applicant/Recipient Disclosure/Update Report (HUD-2880) _____
- (g) Certification Regarding Debarment and Suspension (HUD-2992) _____
- (h) Certification of Consistency with the Consolidated Plan (HUD-2991) _____
- (i) Executive Order 12372 Certification _____
- (j) Certification of Residual Receipts Account _____
- (k) Owner's Conflict of Interest Resolution _____
- (l) Certification for ALF _____
- (m) Owner's Combined Certifications _____

RATING FACTORS

Below are the Rating Factors and the corresponding application Exhibits that will be reviewed to determine the ratings:

1. CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL STAFF
(Exhibit References: Exhibits 5(a), 8(h), and 2(d))

In rating this factor, HUD will consider the extent to which the application demonstrates your ability to carry out a successful conversion of the project and the plan to deliver the supportive services on a long-term basis, considering the following: **(15 points)**

- (a) The practicality of your plan and timetable to carry out the physical conversion of the development to the ALF. **(7 points)**
- (b) Your past experience in providing or arranging for supportive services either on or off site for those who are frail. (If you are applying to convert an unused or underutilized commercial facility to assisted living and you do not own or operate a project with frail elderly residents, you must provide information on any past experience in providing or arranging supportive services for those who are frail.) **(8 points)**

Examples are: Meals delivered to apartment of resident or in a congregate setting **(1 point)**, arranging for or providing personal care **(2 points)**, providing 24-hour staffing **(1 point)**, providing or making available on-site preventive health care **(2 points)**, and other supportive services **(1 point)**.

2. NEED/EXTENT OF THE PROBLEM
(Exhibit References: Exhibits 4(a) through (d), 2(c), and 9(a) through (c))

In determining the extent to which the conversion is needed by the categories of elderly persons and persons with disabilities that the ALF is intended to serve (very low income elderly persons and people with disabilities who have limitations in three or more activities of daily living), HUD will consider the evidence in your application of the current needs among project residents (not applicable to applications proposing to convert unused or underutilized commercial facilities) and the needs of potential residents in the housing market area including economic and demographic information on very-low income frail elderly and people with disabilities and information on current assisted living resources in the market area. In addition, HUD will consider your inability to fund the repairs or conversion activities from existing financial resources by examining

project financial information or the organizations financial information for unused and underutilized commercial facilities. HUD will also view more favorably those applications which establish a connection between the proposed ALF and the Community's Analysis of Impediments to Fair Housing Choice (AI) or other planning document that analyzes fair housing issues and is prepared by a local planning or similar organization. In evaluating this factor, HUD will consider the following: (25 points)

- (a) The need for assisted living among the elderly and disabled residents of the project taking into consideration those currently in need and the depth of future needs given aging in place. (Not applicable to applications to covert unused or underutilized commercial facilities to assisted living). (10 points)
- (b) The need for assisted living among very-low income elderly persons and people with disabilities in the housing market area. (5 points (15 points for applications to convert unused or underutilized commercial facilities to assisted living))
- (c) Insufficient funding for any needed conversion work, as evidenced by the project's financial statements and specifically the lack of excess reserve for replacement dollars (R4R) and residual receipts; for unused and underutilized commercial facilities, by the organization's annual financial statement or annual report. (10 points)

If reserves and residual receipts are less than 10% of the total funds needed (10 points); if reserves and residual receipts are 10-50% of need (5 points); and if reserves and residual receipts are 51% or more of the total funds needed (0 points).

For commercial properties, if the organization's available working capital exceeds 10 percent of the total conversion (5 points), if the working capital is less than 10 percent of the total conversion (10 points).

3. SOUNDNESS OF APPROACH

(Exhibit References: Exhibits 5(b) through (e) and (h), 7, and 8(a) through (e) and (g) and (h))

This factor addresses the quality and effectiveness of your proposal in addressing the proposed conversion, effectiveness of service coordination and management

planning and the meals and supportive services which the ALF intends to provide. There must be a relationship between the proposed activities, the project's and the community's needs and purposes of the program funding for your application to receive points for this factor.

In evaluating this factor, HUD will consider the following: (25 points)

- (a) The extent to which the proposed ALF design will meet the special physical needs of the frail elderly or persons with disabilities expected to be served at reasonable cost. (7 points)

(ALF design meets needs - 7 points) (ALF design partially meets needs - 3 points) (ALF design does not meet needs - 0 points)
- (b) The extent to which the ALF's proposed management and operational plan ensures that the provision of both meals and supportive services will be accomplished over time. (7 points)

(ALF design/management plan meets needs of management operations - 7 points; ALF design/management plan partially meets needs of management operations - 3 points; ALF design/management plan does not meet needs of management operations - 0 points)
- (c) The extent to which the proposed supportive services meet the needs of the anticipated frail elderly and disabled residents. (5 points)

(services meet needs - 5 points; partially meet needs - 3 points; does not meet needs - 0 points)
- (d) The extent to which the service coordination function is addressed and explained as onsite and sufficient, onsite and augmented or new, and addresses the ongoing procurement of needed services for the residents of the ALF. (5 points)

(fully addressed and explained - 5 points; partially addressed and explained - 3 points; not addressed and explained - 0 points)
- (e) The extent to which there is an operating philosophy which promotes the autonomy and independence of the frail elderly persons it is intended to serve. (1 point)

(operating philosophy addressed - 1 point; not addressed - 0 points)

4. **LEVERAGING RESOURCES**

(Exhibit References: 5(f) and (g), and 8(f))

In determining your ability to secure other community resources which can be combined with HUD's grant funds to achieve program purposes, HUD will consider: **(30 points)**

- (a) The extent to which there are commitments for the funding needed for the meals and the supportive services planned for the ALF and that the total cost of the estimated budget of the ALF is covered. **(25 points)**

(90% or more commitment for the total budget with no more than 10% general support - **25 points**; 80 - 89.9% or more commitment for the total budget with no more than 20% general support - **17 points**; 65 - 79.9% commitment with no more than 35% general support - **12 points**; 40 - 64.9% firm commitment for the total budget with no more than 60% general commitment - **7 points**; less than 40% firm commitment for the total budget with no more than 60% general support - **0 points**)

- (b) The extent of local organizations' support which is firmly committed to providing at least 50 percent of the total cost of ALF conversion. **(3 points)**

(support is 50% or more - **3 points**; support is 20 - 49.9% - **2 points**; support is under 20% - **0 points**)

- (c) The extent of local organizational support which is firmly committed to providing funds for additional repair or retrofit necessary for the project NOT specifically directed to activities eligible under this NOFA. **(2 points)**

(support exists - **2 points**; support does not exist - **0 points**)

5. **COMPREHENSIVENESS AND COORDINATION**

(Exhibit References: Exhibits 2(a) through (d))

In determining the extent to which you have evidenced general support for conversion by participating in your community's Consolidated Planning process, involving the residents in the planning (not applicable to applications proposing to convert unused or underutilized commercial facilities) and are working toward addressing the need in a holistic and comprehensive manner through linkages with other activities in the community, HUD will consider: **(5 points)**

- (a) The involvement of project residents (including minority residents) or their representatives, in the development of the ALCP application, and your intent to involve residents, in the development and operation

of the project and in relocation planning. (If you are applying to convert an unused or underutilized commercial facility to assisted living, provide information on the involvement of elderly persons in the development of the ALCP application, and your intent to involve residents, in the development and operation of the project) **(3 points) (minus one (-1) point if not addressed)**

- (b) The extent to which you demonstrated that you have been actively involved or, if not currently active, the steps you will take to become actively involved in the community's Consolidated Planning/AI processes to identify and address a need/problem that is related in whole or part, directly or indirectly, to the proposed project. **(1 point)**
- (c) The extent to which you developed linkages with the community at large and the elderly and minority communities in particular and with other activities, programs or projects related to the proposed project to coordinate your activities so solutions are holistic and comprehensive. **(1 point)**

PART I

ELIGIBILITY AND COMMUNITY
INVOLVEMENT

**Multifamily Housing
Assisted Living Conversion Program
APPLICATION SUMMARY SHEET**

U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

Owner (Funds Recipient) Name _____

Address _____

City _____ State _____ Zip _____

Phone (Include Area Code) _____

Grant Contact Person (Name) _____

Phone (Include Area Code) _____

E-mail address _____

List the specific development(s) targeted for assistance under this grant. Use additional sheets as needed.

Development Name _____

Address _____

City _____ State _____ Zip _____

FHA/Project Number _____ Sec.8 Number _____

Project Type (e.g., 236) _____ No. of Units _____

Location (Urban, suburban, or rural) _____

Number of Residents _____ Estimated number of frail elderly _____

Estimated number of non-elderly people with disabilities _____

Estimated number of at-risk elderly _____

Are you applying for a Service Coordinator Grant? _____ Yes _____ No

Will this development share a service coordinator with other developments? _____ Yes _____ No

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

Senators 1. _____ 2. _____

Congressional Representative(s) Name(s) 1. _____ District(s) 1. _____

2. _____ 2. _____

EXHIBIT 1 (Cont'd)

Application Summary and Evidence of your legal status - Provide evidence that you are a private nonprofit or nonprofit consumer cooperative and have the legal ability to operate an ALF program, including the following:

- (a) Articles of Incorporation, constitution, or other organizational documents, or self-certification thereof, if there has been no change in the Articles since they were originally filed with HUD
- (b) By-laws, or self-certification thereof, if there has been no change in the Articles since they were originally filed with HUD

EXHIBIT 2 - Description of your community ties and established linkages:

- (a) Describe your ties/links to the community at large and to the minority and elderly communities in particular.
- (b) A description of your efforts to involve elderly persons, including minority elderly persons and persons with disabilities in:
 - (i) The development of the application;
 - (ii) The development of the ALF operating philosophy;
 - (iii) The review of the application prior to submission to HUD; and
 - (iv) Your intent to involve elderly persons in the operation of the project.

Also demonstrate that you made the application available to the residents of the project (in their language(s)) AND requested and considered comments from them (in their language(s)). Applicants of converted commercial facilities should indicate that the application will be made available to the residents of the project in their language(s) and will request and consider comments from them in their language(s).

- (c) A description of your involvement in your community's Consolidated Planning and Analysis of Impediments to Fair Housing (AI) processes, including:
 - (i) An identification of the lead/facilitating agency(ies) that organizes/administers the processes;
 - (ii) A listing of the Consolidated Plan/AI issue areas in which you participate;
 - (iii) The level of your participation in the processes, including active involvement with any neighborhood-based organizations, associations, or any committees that support programs and activities that enhance projects or the lives of residents of the projects, such as the one proposed;

EXHIBIT 2 (CONT'D)

OR

If you are not currently active, describe the specific steps you will take to become active in the Consolidated Planning and AI processes.

- (d) A description of the linkages that you have developed with other related activities, programs or projects in order that the development of the project provides a comprehensive and holistic solution to the needs of the target population.

EXHIBIT 3 - Evidence of your project being in occupancy for at least five years as of the date of the application to HUD. This evidence must be submitted by all applicants. (Not applicable for applicants of unused and underutilized commercial facilities)

PART II

EVIDENCE OF NEED FOR ALF UNITS

EXHIBIT 4 - A market analysis of the need for the proposed ALF units, including information from both the project and the housing market

- (a) Evidence of need for the ALF by current project residents: (Not applicable for applicant of an unused or underutilized commercial facility)
 - (i) A description of the demographic characteristics of the elderly residents currently living in the project, including the current number of residents, distribution of residents by age and sex, an estimate of the number of residents with frailties/limitations in activities of daily living and an estimate of the number of residents in need of assisted living services. (Not applicable to applicants of a commercial facility)
 - (ii) A description of the services which are currently available to the residents and/or provided on or off-site and what services are lacking. (Not applicable to applicants of a commercial facility)
- (b) Evidence of the need for ALF units by very low income elderly and disabled households in the market area; a description of the trend in elderly and disabled population and household change; data on the demographic characteristics of the very low income elderly in need of assisted living services (age, race, sex, household size and tenure) and extent of residents with frailty/limitations in existing federally-assisted housing for the elderly (HUD and Rural Housing Services): And an estimate of the very low income elderly and disabled in need of assisted living taking into consideration any available State or local data.
- (c) A description of the extent, types and availability and cost of alternate care and services locally, such as: home health care, adult day care, housekeeping services, meals programs, visiting nurses, on-call transportation services, health care and providers of supportive services who address the needs of the local low income population.

EXHIBIT 4 (CONT'D)

- (d) A description of how information in the community's Analysis of Impediments to Fair Housing Choice was used in documenting the need for the ALF (covering items (a) and (b) above)

PART III

CONVERSION AND RETROFIT ACTIVITIES

EXHIBIT 5 - A description of the physical ALF conversion

- (a) Describe how you propose to carry out the physical conversion, including a timetable and a discussion of relocation planning.
- (b) Include a short narrative which states the number of units being converted, special design features, community and office space/storage, dining and kitchen facility and staff space and the physical relationship to the rest of the project. Describe how the design will facilitate the delivery of services in an economical fashion and accommodate the changing needs of the residents over at least the next 10 years.
- (c) Provide a copy of the original plans for all units and other areas of the development which will be included in the conversion. (Applicants converting an unused or underutilized commercial facility to assisted living, provide a copy of the original plans of the facility).
- (d) Describe how the conversion will address accessibility; such as, doorways being at least 32 inches wide and kitchens and bathrooms meeting the specifications of the Uniform Federal Accessibility Standards.
- (e) Provide architectural sketches of the conversion to a scale of 1/4 inch to one foot (1/4" = 1'-0") that indicate the following:
 - (i) All doors being widened;
 - (ii) Typical kitchen and bathroom reconfiguration: show all wheelchair clearances, wall reinforcing, grab bars and elevations of counters and work surfaces;
 - (iii) Bedroom/living/dining area modification, if needed;
 - (iv) Any reconfigured common space;
 - (v) Added/reconfigured office and storage space;
 - (vi) Monitoring stations; and

EXHIBIT 5 (CONT'D)

(vii) The kitchen and dining facility.

All architectural modifications must meet section 504 and ADA requirements, as appropriate.

- (f) Provide a budget showing at least estimated costs for materials, supplies, fixtures and labor for each of the items in (e) (i) through (vii) above.
- (g) Include firm commitment letters with specific dollar amounts from appropriate organization(s) for conversion needs (within the scope of the ALF conversion NOFA) which will be supported by non-HUD funding.
- (h) A description of any relocation of current tenants as a result of the conversion activities. (Not applicable to commercial property applicants).
 - (i) provide the estimated cost of temporary relocation payments and other related services.
 - (ii) Identify the staff organization that will carry out the relocation activities; and
 - (iii) Identify all tenants that will have to be temporarily moved to another unit within the development OR from the development during the conversion period.

NOTE: If any of the relocation costs will be funded from sources other than the ALCP grant, you must provide evidence of a firm commitment of these funds. When evaluating applications, HUD will consider the total cost of proposals (i.e., cost of conversion, temporary relocation, service coordinator and other project costs).

EXHIBIT 6 - A description of any retrofit or renovation which will be done at the project (with third party funds) that is separate and distinct from the ALF conversion. Attach firm commitment letters from third party organizations in specific dollar amounts which will cover the cost of any work outside the scope of the ALF NOFA.

EXHIBIT 7 - Evidence of permissive zoning, showing that the modifications to include the ALF into the project as proposed are permissible under applicable zoning ordinances or regulations, or a statement of the proposed action required to make the proposed project permissible and the basis of your belief that the proposed action will be completed successfully within six months of the date of grant award by HUD. (e.g., a summary of the results of any requests for rezoning and/or the procedures for obtaining special or conditional use permits on land in similar zoning classifications and the time required for such rezoning, or preliminary indications of acceptability from zoning bodies, etc.)

PART IV
SUPPORTIVE SERVICES PLAN

EXHIBIT 8 - Supportive Services Plan

You must submit a copy of the SSP to each appropriate State or local service funding organization well in advance of the application deadline, for appropriate review. The State or local funding organization(s) must return the SSP to you with appropriate comments and indication of funding commitment, which you must include with this application.

You must also submit a copy of your application to the appropriate organization(s) which license ALFs in your jurisdiction. The licensing agency(ies) must approve your plan, and must also certify that the ALF and the proposed supportive services in your SSP are consistent with local statute and regulations and well designed to serve the needs of the frail elderly and people with disabilities who will reside in the ALF portion of your project.

- (a) Describe the supportive services needed for the frail elderly the ALF is expected to serve. This must include: (i) meals and such other supportive services required locally or by the State, and (ii) such optional services or care to be offered on an "as needed" basis.

Examples of both mandatory and optional services (which will vary from state to state) are: two meals and two snacks or three meals daily; 24-hour protective oversight; personal care; housekeeping services; personal counseling and transportation.

- (b) Describe how you will provide the supportive services to those who are frail and have disabilities (i.e., on or off-site or combination of the two), including an explanation of how the service coordination role will facilitate the adequate provision of such services to ALF residents and how it will be funded, and how the services will meet the identified needs of the residents.
- (c) Describe how the operation of your ALF will work, including:
 - (i) general operating procedures;
 - (ii) ALF philosophy and how it will promote the autonomy and independence of the frail elderly and persons with disabilities;

EXHIBIT 8 (CONT'D)

- (iii) what the service coordination function will do and the extent to which it is existing, augmented or new;
 - (iv) ALF staff training plans;
 - (v) the degree to which and how the ALF will relate to the day-to-day operations of the rest of the project.
- (d) The monthly individual rate for board and supportive services for the ALF listing the total fee and components of the total fee for the items required by State or local licensing AND list the appropriate rate for any optional services you plan to offer ALF residents. Provide an estimate of the total annual costs of the required board and supportive services you expect to provide and an estimate of the amount of optional services you expect to provide.
- (e) List who will pay for the board and supportive services, e.g., \$___ for meals by sponsor, \$___ for housekeeping services by city government; \$___ for personal care by State Department of Health; \$___ for ___ by State ___ program; \$___ in fees by tenants; and, \$___ by ___.

The amounts and commitments from both tenants and/or providers must equal the estimated amounts necessary to cover the monthly rates for the number of people expected to be served. If you include tenant fees in the proposal, list and show any proposed scaling mechanism. All amounts committed/collected must equal the annualized cost of the monthly rates calculated by the expected percentage of units filled.

- (f) Provide a support/commitment letter from **EACH** listed proposed funding source in (e) above, for the planned meals and supportive services. The letter must cover the total planned annual commitment (and multiyear amount total, if different), length of time for the commitment, and the amounts payable for each service covered by the provider/paying organization.

EXHIBIT 8 (CONT'D)

- (g) Provide a support letter from **EACH** governmental agency(ies) which provides licensing for ALFs in that jurisdiction.
- (h) Describe your relevant experience in arranging for and/or delivering supportive services to frail residents. The description should include any supportive services facilities owned/operated; your past or current involvement in any project-based programs that demonstrates your management capabilities. Include data on the facilities and specific meals and/or supportive services provided on a regular basis, the racial/ethnic composition of the populations served, if available, and information and testimonials from residents or community leaders on the quality of the services.

NOTE: If a request for funding under the Service Coordinators in Multifamily Housing NOFA for the ALF and/or the whole project (Section 202 projects with PRAC are not eligible for such funding because PRAC funds can cover the cost of service coordination) is included as part of this application, the Form HUD-424M, indicating the dollars requested must be attached as Exhibit 10(c). Do **NOT** attach the entire service coordinator application.

PART V
PROJECT RESOURCES

EXHIBIT 9 - A description of your project's resources. (Not applicable to commercial properties.)

- (a) Provide a copy of the most recent project Repair and Replacement (R4R) account statement, and an R4R analysis showing plans for its use over the next five years, and any approvals received from the HUD field office to date.
- (b) Provide a copy of the most recent Residual Receipts Account statement. Indicate any approvals for the use of such receipts from the field office for over \$500/unit.
- (c) Provide your annual financial statement (AFS). If your FY 2001 AFS was due to REAC more than 120 days BEFORE the due date for this application, in the interest of reducing work burden, only include the date that it was sent to REAC. If the AFS was due to REAC 120 days or less from the due date of this application, you MUST include a paper copy. For commercial properties, the most recent statement or annual report.

PART VI

GENERAL APPLICATION REQUIREMENTS, FORMS,
CERTIFICATIONS AND RESOLUTIONS

EXHIBIT 10: Forms, Certifications and Resolutions

- (a) Standard Form 424, Application for Federal Assistance
- (b) Standard Form 424D, Assurances, Construction Programs
- (c) HUD Form 424M, Federal Assistance Funding Matrix
- (d) Form HUD-50070, Drug-Free Workplace
- (e) Form HUD-50071, Certification of Payments to Influence Federal Transactions and Standard Form LLL, Disclosure of Lobbying Activities (24 CFR 87). If you have made or agreed to make any payment using funds other than Federally appropriated funds for lobbying activity, as described in 24 CFR 87, your submission must also include SF-LLL, Disclosure of Lobbying Activities.
- (f) Form HUD-2880, Applicant/Recipient Disclosure/Update Report, including Social Security and Employee Identification Numbers - A disclosure of assistance from other government sources received in connection with the project.
- (g) Form HUD-2992, Certification Regarding Debarment and Suspension, (24 CFR 24.510)
- (h) Certification of Consistency with the Consolidated Plan (Plan), (HUD-2991) for the jurisdiction in which the proposed ALF will be located.
- (i) Executive Order 12372 - A certification that you have submitted a copy of your applications, if required, to the State agency single point of contact) for State review in accordance with Executive Order 12372.
- (j) Certification of Residual Receipts Account - If you do not have an existing residual receipts account, you must submit a statement that you agree to set up one as soon as there is surplus cash available, as a condition of getting the ALF grant award.

EXHIBIT 10 (CONT'D)

- (k) Owner's Conflict of Interest Resolution
- (l) Certification for ALF - A certification that you agree to apply for an ALF license with due diligence and in a timely fashion (and that the conversion will NOT be a nursing home or an intermediate care facility).
- (m) Owner's Combined Certifications

EXHIBIT I

**Multifamily Housing
Assisted Living Conversion Program
APPLICATION SUMMARY SHEET**

U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

Owner (Funds Recipient) Name _____

Address _____

City _____ State _____ Zip _____

Phone (Include Area Code) _____

Grant Contact Person (Name) _____

Phone (Include Area Code) _____

E-mail address _____

List the specific development(s) targeted for assistance under this grant. Use additional sheets as needed.

Development Name _____

Address _____

City _____ State _____ Zip _____

FHA/Project Number _____ Sec.8 Number _____

Project Type (e.g., 236) _____ No. of Units _____

Location (Urban, suburban, or rural) _____

Number of Residents _____ Estimated number of frail elderly _____

Estimated number of non-elderly people with disabilities _____

Estimated number of at-risk elderly _____

Are you applying for a Service Coordinator Grant? _____ Yes _____ No

Will this development share a service coordinator with other developments? _____ Yes _____ No

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

Senators 1. _____ 2. _____

Congressional Representative(s) Name(s) 1. _____ District(s) 1. _____

2. _____ 2. _____

EXECUTIVE ORDER 12372
CERTIFICATION

(Name of Owner)

certifies that:

____ (1) this application for a grant under the Assisted Living Conversion Program was submitted to the State of _____ on _____ for review,

or

____ (2) it contacted the State and a determination was made that the State review was not required.

Enclosed is a copy of the SF-424 which was sent with the application submitted to the State.

(Signature of Authorized Official/Date)

Enclosure

**Certification of Residual
Receipts Account**

(Name of Owner/Borrower)

certifies that:

____ (1) it has an existing residual receipts account;

OR

____ (2) it will set up a residual receipts account as soon as there is surplus cash available, as a condition of receiving an ALCP grant.

(Signature of Authorized Official/Date)

OWNER'S CONFLICT OF INTEREST RESOLUTION

TO: The Secretary of Housing and Urban Development

SUBJECT: Assisted Living Conversion Program (ALCP) for Eligible
Multifamily Housing Projects - Application for Grant

Owner:

Project Location:

WHEREAS, Section 202b of the Housing Act of 1959, as amended, authorizes the making of grants to owners of eligible multifamily housing projects designated for the elderly for conversion (in whole or in part) into assisted living facilities for elderly persons.

WHEREAS, HUD has implemented this statutory requirement by promulgating a regulation providing that the owner may not be controlled by or under the direction of persons or firms seeking to derive profit or gain therefrom. The regulation also prohibits any officer or director of the owner from having any financial interest in any contract in connection with the rendition of services, the provision of goods or supplies, procurement of furnishings or equipment, construction of the project, procurement of the site or any other matters whatsoever, except with respect to management or supportive services contracts entered into by the owner with its nonprofit affiliate.

WHEREAS, HUD has determined that assurance of compliance with this prohibition can best be obtained by requiring that all officers and directors of the owner corporation, if different, certify that they do not have and will not have during their term of office, any prohibited financial interest.

WHEREAS, because of the time constraints imposed under the application process and difficulties in meeting these deadlines caused by such factors as large boards and unavailability of officers and directors of the board, some owners have been unable or experienced hardship in obtaining all of the required certifications for submission with the applications for fund reservation.

WHEREAS, HUD is willing to defer submission of the required owners Conflict of Interest and Disclosure Certifications until no later than 45 days after receipt by the owner of an approval letter for funding for a grant under the Assisted Living Conversion Program (ALCP) if such certifications are provided by all the owner's officers and directors listed below, who are duly qualified and sitting in these capacities from the date of submission of the owner's ALCP application.

[LIST THE NAME, TITLE, AND THE BEGINNING AND ENDING DATES OF THE TERM OF ALL OFFICERS AND DIRECTORS]

NOW, THEREFORE, in order to induce HUD to forego requiring submission of the Conflict of Interest and Disclosure Certifications until after ALCP conversion projects have been selected and funds granted, it is hereby resolved and agreed by the Boards of Directors of the owner:

1. That both entities will submit updated Incumbency Certificates, in a form prescribed by HUD, showing all changes in incumbency for submission with the Owner's Application for the ALCP grant.

2. That no officer or director of the owner has or will be permitted to have any prohibited interest which would prevent him or her from signing the required Conflict of Interest and Disclosure Certification.

3. That the grant will be subject to cancellation by HUD if the officers or directors of the owner fail to submit Conflict of Interest and Disclosure Certifications duly executed.

4. That no HUD ALCP grant will be expended on account of any contract or arrangement where a conflict of interest is determined to exist, and the owner shall be responsible for the payment of any and all obligations involving its officers and directors.

5. That should any contract or arrangement entered into by the Owner be determined by HUD to involve a conflict of interest, involving either the owner's officers or directors, the owner will exercise its best efforts to promptly cancel or terminate such contract or arrangement at HUD's request.

Adopted and approved by the Board of Trustees of the owner on the _____ date of _____.

Authorized Signature

EXHIBIT 10(1)

CERTIFICATION FOR ALF

(Name of Owner)

certifies:

_____ (1) That it agrees to apply for an ALF license with due diligence and in a timely fashion;

AND

_____ (2) the conversion of some or all of the units in the following project will not result in a nursing home or intermediate care facility.

(Name of Project/Project Number)

(Project Address)

(Signature of Authorized Official/Date)

OWNER'S COMBINED CERTIFICATION

The Owner, to the best of its knowledge and belief hereby assures and certifies that it will comply with the following:

(i) CERTIFICATION IN CONNECTION WITH THE DEVELOPMENT AND OPERATION OF AN ALF

The requirements of the Fair Housing Act, Title VI of the Civil Rights Act, the Age Discrimination Act of 1975, section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and the implementing regulations at 24 CFR Part 135, the affirmative fair housing marketing requirements of 24 CFR part 200, subpart M and the implementing regulations at 24 CFR part 108, and other applicable regulations at 24 CFR part 108, and other applicable Federal, State and local laws prohibiting discrimination and promoting equal opportunity including affirmatively furthering fair housing.

(ii) CERTIFICATION OF COMPLIANCE WITH SECTION 232 OF THE NATIONAL HOUSING ACT AND ACCESSIBILITY REQUIREMENTS

The requirements of section 232 of the National Housing Act, as applicable, the Uniform Federal Accessibility Standards (24 CFR 40.7), Section 504 of the Rehabilitation Act of 1973 and HUD's implementing regulations at 24 CFR part 8, and the design and construction requirements of the Fair Housing Act and HUD's implementing regulations at 24 CFR part 100, and the Americans with Disabilities Act of 1990, for all portions of the development physically affected by the subject proposal.

(iii) DAVIS-BACON

The Davis-Bacon Requirements and the Contract Work Hours and Safety Standards Act in any ALCP conversion grant in which the total cost of the physical conversion to an ALF (and including any additional renovation work undertaken at the same time) is \$500,000 or more (this includes ALCP grant funds loaned or granted in support of the conversion or other renovation for the project associated with this grant), AND in which the ALF portion of the project is 12 units or more.

(iv) TRUTH AND ACCURACY

The information provided to HUD in its application under the Assisted Living Conversion Program for Projects is true and accurate, to the best of its knowledge.

Signature of Authorized
Certifying Official

Title

Applicant Organization

Date

WARNING

HUD will prosecute false claims and statements. (Convictions may result in criminal and/or civil penalties (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729 /FS3802)).

SECTION II
FISCAL YEAR 2001
SERVICE COORDINATOR PROGRAM
APPLICATION

General Program Requirements, Forms and Certifications

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Attachments:

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
6. Applicant Data Input Sheet
7. Standard Form for Application for Federal Assistance (SF-424)
8. Federal Assistance Funding Matrix and Certifications (HUD-424M)
9. Standard Form for Assurances - Non-Construction Programs (SF-424B)
10. Drug Free Workplace Certification (HUD-50070)
11. Certification of Payments to Influence Federal Transactions (HUD-50071)
12. Disclosure Form Regarding Lobbying (SF-LLL)
13. Applicant/Recipient Disclosure/Update Report Form (HUD-2880)
14. Certification Regarding Debarment and Suspension (HUD-2992)
15. Acknowledgment of Application Receipt (HUD-2993)
16. Fiscal Year 2001 Service Coordinator Notice of Funding Availability with Field Office List

👉 Before You Start - Please Take Note 👈

- 📖 Be sure to read the entire application kit carefully and thoroughly.
- ? If you have any questions about any part of this application, do not make assumptions or guesses. Contact HUD Field staff for assistance.
- 🏠 The owner corporation is the only eligible applicant and recipient of Service Coordinator funds. Property management companies and other agents may prepare applications, but may not receive funds. (Section III.A)
- 🏠 Section 202 with Project Rental Assistance Contracts (PRAC) and Section 811 developments are not eligible for funding. (Section III.B)
- 🏠 Only developments designed for the elderly or people with disabilities and continuing to operate as such are eligible for funding. Developments designed for primary residence by families are not eligible. (Section III.B)
- 🏠 There is no minimum unit number to be eligible for funding. (Section III.B)
- 🏠 You may request funds to augment the time of a current Service Coordinator or hire an additional Service Coordinator or aide. (Section III.C)
- 🏠 You may request funding to continue a Service Coordinator program paid through other resources, if those resources are no longer available or will discontinue on or before December 21, 2001. (Section III.C(3)).
- 🏠 As part of your program, you may provide service coordination to low-income elderly or disabled families living in the vicinity of an eligible development. (Section III.C(5)).
- ✍ When preparing your application, please number all pages and clearly identify all components of your application package.
- # The Standard Form 424 requests the Catalogue of Federal Domestic Assistance (CFDA) number for this program. The number is 14.191.

I. INTRODUCTION

This application package contains instructions and materials for Service Coordinator grants for multifamily assisted housing developments for the elderly and people with disabilities. Applicants will submit requests to their local Field Office. Field staff will review applications and will forward to HUD Headquarters funding request information, for those applications that meet threshold criteria, for entry into a national lottery. HUD will make three-year grants through this process and will award approximately \$24.2 million. All grants are renewable in the future, subject to the availability of funds.

II. APPLICATION SUBMISSION

A. Deadline Date

The Application deadline date is June 21, 2001. Applicants must submit applications to their local Field office as directed in the Service Coordinator Notice of Funding Availability (NOFA) and in this application package.

B. Number of Copies

You must submit **one original application and two copies** to the appropriate Field Office.

C. Number of Applications

1. You may submit one application for one or more developments that your corporation owns.
Or -
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.

D. Applications with Multiple Developments and Joint Applications

1. *Multiple Development Applications:* You may propose to hire a Service Coordinator who will be shared among eligible developments that your corporation owns. You need submit only one transmittal letter and set of other

required attachments. In your letter, be sure to list all developments that will share the coordinator and provide all pertinent development information..

2. **Joint Applications:** You may join with one or more owners to share a Service Coordinator and so submit a joint application. In the past, joint applications have been used by small developments who joined together to hire a Service Coordinator.

One entity must act as the "lead applicant" and submit a transmittal letter covering all requests, which must be transmitted to HUD TOGETHER (see sample letter format, Attachment 4). This insures that all multiple requests are reviewed together.

The applicants must show the grant amount, and residual receipts/excess income, if appropriate, for EACH development. HUD will not award funds to one owner or a third party organization (e.g., a management agent) to be parceled out to the other owner.

E. Maximum Grant Amount

There is no maximum grant amount. The grant amount you request must be consistent with the staffing guidelines provided in Section V of this application kit and your proposed salary must be supported by evidence of comparable salaries in your area.

F. Applicant Checklist

Indicate on the Applicant Checklist (Attachment 1) that you have included all required material and information in your application request. Include this checklist as part of your application package.

G. Addresses for Application Submission

Send your application to the local HUD Field Office that serves the jurisdiction in which the development proposed for funding is located. Address your application to the Director, Multifamily Housing Hub or Program Center. See list of Field Offices in the Appendix to the NOFA. Do not send any copies of applications to HUD Headquarters.

- ✉ **Mailed Applications** will be considered timely filed if postmarked on or before **midnight** on June 21, 2001, and received by the local HUD Field Office on or within **ten (10) days** of that date.

- ➔ **Applications Sent by Overnight/Express Mail Delivery** Overnight or Express Mail items will be considered timely filed if received by the local HUD Field Office on or before June 21, 2001, or upon submission of documentary evidence that they were placed in transit with the overnight delivery service by no later than the above deadline date.

- ✎ **Hand Carried Applications:** Hand carried applications will be accepted at the local HUD Field office during normal business hours before June 21, 2001. On June 21, 2001, HUD will accept applications until Ⓛ 6:00 PM, local time.

Any application received after the stated deadlines will not be considered for funding.

H. Technical Assistance ☎ ☒

Field Office staff may provide limited technical assistance to owners to assist them in completing their applications. Staff can provide guidance on and examples of eligibility criteria, reasonable costs, comparable salaries, similar programs, and elements included on required forms. See the Appendix to the NOFA for a list of Field Offices.

You also may email questions to servcoor@hud.gov. Your message may be forwarded to your local HUD Field Office contact person, so be sure to include your city and state in your message so we can respond promptly.

I. For Application Kits and NOFAs

You may obtain additional copies of this application kit by calling 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/grants>.

J. Funding Priority

Owners having available residual receipts, excess income, or Section 8 funds (through your Housing Assistance Payment [HAP] contract) that are sufficient to cover the costs of employing a Service Coordinator **must** use these resources rather than receive a grant. You will find procedures for applying for and using these funds in Housing's *Management Agent Handbook* 4381.5, Revision-2, Change-2, Chapter 8, and Notice 99-28 "Calculating and Retaining Section 236 Excess Income", Section II.C(3). Field Office staff will approve such requests consistent with current Section 8 and housing management policy. To the extent possible, HUD wants Service Coordinators to become permanent members of the management team and so this budget-based approach to funding a Service Coordinator is a preferable long-term approach.

III. ELIGIBILITY CRITERIA

A. Eligible and Ineligible Applicants

Only owners of eligible multifamily assisted housing developments listed in Section III.A.1, below, may request Service Coordinator funding. The owner entity must be the official applicant.

Property management companies, area agencies on aging, and other like organizations are not eligible applicants for Service Coordinator funds. However, such agents may prepare applications and sign application documents. To do so, **the application must include evidence that the owner has given authority for the agent to apply for the funds and to sign the application documents on behalf of the owner corporation.** A letter from the owner corporation stating this authority is acceptable evidence. In such cases, the owner corporation **must** be indicated on all forms and documents as the official funding recipient.

1. 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 and must be owners of developments assisted under the following programs:
 - (a) Section 202 and 202/8,
 - (b) existing Section 8 project-based and moderate rehabilitation developments (including Rural Housing Service (RHS) Section 515/8 and Section 221(d)(4)),
 - (c) Section 221(d)(3) below-market interest rate, and 236 developments that are insured or assisted.
2. 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.

B. Eligible and Ineligible Developments

Eligible developments

Additionally, developments listed in paragraph A.1, above, are eligible only if they meet the following criteria:

1. 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.

2. Are 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. 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.
3. You have completed Final Closing on the development.
4. Are current in mortgage payments or are current under a workout agreement.
5. 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 an approved plan for developments scoring less than 60.
6. Are in compliance with their regulatory agreement, HAP Contract, and other outstanding directives.
7. Section 202 developments must have a residual receipts account separate from the Repair and Replacement account, or agree to establish this account. This requirement does not apply to Sections 8, 221(d)(3) below-market interest rate, or 236 developments.
8. Owners using the Annual Adjustment Factor (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. This certification should be part of the required certification from the independent Public Accountant or the cognizant government auditor. The auditor must validate that the financial management system employed by the applicant meets proscribed standards for fund control and accountability, required by the pertinent OMB circular.

In addition, to meet the above requirement, the auditor should also certify that "in the case of a profit-motivated corporation, the development's and other income is insufficient to pay the costs of employing a Service Coordinator. You may submit relevant sections of your Annual Financial Statement if they clearly demonstrate the cash flow and expenses, and indicate certification by the auditor.

Minimum Unit Number: There is no minimum unit number eligibility criterion. This means, for example, an owner of a 20-unit development may submit an application for a Service Coordinator to serve only those 20 units. However, this development still must meet all eligibility criteria and the owner must carefully conform to the hiring guidelines presented in Section V, below, in proposing salary and number of work hours.

Ineligible developments include those that are:

1. For primary residence by families (i.e. not designed for the elderly or disabled or no longer operating as such).
2. Financed through Section 221(d)(4) and without project-based Section 8.
3. Section 202 or 811 with a Project Rental Assistance Contract (PRAC). Owners of Section 202 PRAC developments may obtain funding by requesting an increase in their PRAC payment consistent with Handbook 4381.5 Revision-2, Change-2, Chapter 8. There is no statutory authority for Service Coordinators in Section 811 developments.

C. Eligible and Ineligible Activities

Eligible Activities

1. Service Coordinator Program grant funds may be used to pay for the salary, fringe benefits, and related administrative costs for employing a Service Coordinator. Administrative costs may include, but are not limited to the following: purchase of furniture, office equipment and supplies, computer hardware and software, Internet service, training, quality assurance, travel, and utilities.
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 discontinue by December 21, 2001 (i. e. 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 provided by the Department through program Notices beginning in FY 1992. HUD will provide one-year extensions to these subsidy awards 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 may 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. Any reference in the NOFA or 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.

Ineligible Activities

1. You may not use funds available through the Service Coordinator 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 may not apply for renewal or extension of those programs.
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.
4. 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 or 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. SERVICE COORDINATION

A. General

A Service Coordinator is a social service staff person hired by the development owner or management company. The coordinator is responsible for linking elderly residents, especially

those who are frail or at-risk, or non-elderly residents with disabilities to the supportive services they need to continue living independently.

Service coordination means the activity of linking a resident to needed supportive services or medical services which may be provided by private practitioners or agencies in the general community. Additionally, the term may cover case management, both formal and informal, in which the Service Coordinator assesses service needs; determines eligibility for public services, and makes resource allocation decisions.

B. Who Does Service Coordination

Service coordination may be performed by:

- an on-site or off-site staff person hired by the development owner or management agent, or shared among these employers;
- an on-site or off-site staff person hired by a third party agency, and contracted to the development owner or management agent, or
- a staff person hired by a third party agency, who provides case management and services coordination for a development resident in concert with the distribution of that agency or another agency's funding.

C. Indications of Existing Service Coordination

If Service Coordination is currently in-place and paid for by HUD or resources other than HUD's, the costs CANNOT be shifted to these grant funds. These services may often be performed by staff with job titles other than "Service Coordinator" or be performed on a part-time basis by other staff. None of this activity's cost, regardless of who performs the service, may be transferred to this grant program.

The following may be indicators of existing coordination arrangements:

- Supplemental Security Income (SSI) and/or Medicaid payments going directly to the development's management for rent and service costs;
- the management of the development coordinates the services (and possibly their payment);
- third party staff persons are placed on the premises without charge to the current HUD budget for the development, and
- any combination of the above.

Case managers, social workers, or Service Coordinators may provide these services. These staff may be employed by a development owner or management company, or a state/local government agency. Not all developments for people with disabilities have a Service Coordinator in place or can provide this service for their residents. Therefore, each application must be individually evaluated to determine whether it may qualify for funding under this program, regardless of the population served.

D. Functions of a Service Coordinator

The major functions of the Service Coordinator are:

1. Provides general case management (including intake) and referral services to all residents needing such assistance.
2. May provide formal case management (i.e., evaluation of health, psychological and social needs, development of an individually tailored case plan for services and periodic reassessment of the resident's situation and needs) for a resident when such service is not available through the general community. (This will probably occur in rural areas.)
3. There may be times when there will be difficulty in linking up residents with a community assessment agency in a timely manner. Therefore, the development may want to consider setting up a Professional Assessment Committee (PAC) to work with the Service Coordinator to perform initial assessments. (See the guidance in the CHSP regulations at 24 CFR 700.135 or 1944.258.) A PAC member shall NOT be paid for his/her services as a PAC member with grant funds..
4. Establishes linkages with all agencies and service providers in the community; shops around to determine/develop the best "deals" in service pricing, to assure individualized, flexible, and creative services for the involved resident(s).
5. Sets up a directory of providers for use by both development staff and residents.
6. Refers and links the residents of the development to service providers in the general community. Examples are: Case management, personal assistance, homemaker, meals-on-wheels, transportation, counseling, occasional visiting nurse, preventive health screening/wellness and legal advocacy.
7. Educates residents on service availability, application procedures, client rights, etc. and provides advocacy as appropriate.

8. Monitors the ongoing provision of services from community agencies and keeps the case management and provider agency current with the progress of the individual. Manages the provision of supportive services where appropriate.
9. Helps the residents build informal support networks with other residents, family and friends.
10. May set up volunteer support programs with service organizations in the community.
11. May provide training to the development's residents in the obligations of tenancy or coordinate such training.
12. May educate other staff on the management team on issues related to aging in place and Service Coordination, to help them to better work with and assist the residents.
13. May develop case plans in coordination with community assessment services or with a PAC.
14. Work and consult with tenant organizations and resident management corporations, where appropriate.

Grant funds may NOT be used to allow the Service Coordinator to act as a recreational or activities director, provide supportive services directly, or assist with other administrative work normally associated with the development. However, an owner may propose to increase the time of a part-time coordinator to perform other duties in the development, **if these duties are paid for by other resources.**

E. Basic Qualifications of Service Coordinators/Aides

1. *Service Coordinator Qualification Guidelines*

- a) A Bachelor of Social Work or degree in Gerontology, Psychology or Counseling is preferable; a college degree is fully acceptable. However, individuals without a degree, but with appropriate work experience may be hired. Such situations must not be rejected out of hand.

Supervisory experience may be necessary in some team situations. If there are "aides" in a development, they will usually work under the direction of the coordinator. The Service Coordinator may supervise an additional professional and/or nonprofessional or paraprofessional "aide".

- b) Training in the aging process, elder services, disability services, eligibility for and procedures of Federal and applicable State entitlement programs, legal liability issues relating to providing Service Coordination, drug and alcohol use and abuse by the elderly, and mental health issues.

This requirement is not a prerequisite for hiring. The owner must certify and put in the project files, that the training requirements, if not met at the point of hiring, will be satisfied within one year. See Housing's *Management Agent Handbook 4381.5 Revision-2, Change-2, Chapter 8.*

- c) Two to three years experience in social service delivery with senior citizens and people with disabilities. Some supervisory or management experience may be desirable.
- d) Demonstrated working knowledge of supportive services and other resources for senior citizens and non-elderly people with disabilities in the area served by the development.
- e) Demonstrated ability to advocate, organize, problem-solve and provide results for the elderly and disabled served.

2. *Aides Working with a Service Coordinator*

- a) It is desirable, but not required, that aides have a college degree. They should, however, have appropriate experience in working with the elderly and/or people with disabilities.
- b) Options for structuring an "aide" situation:
 - Set up an internship or work study program with local colleges and universities to assist in carrying out some of the functions noted under Section IV.D above.
 - Use local college and university programs to provide planning guidance to development staff or provide program evaluation/assessment functions.

NOTE: Demonstrated experience is appropriate as a substitute for the education requirements listed in this Section.

V. STAFFING CONSIDERATIONS

A. Contracting Out

The Service Coordinator functions may be contracted out by the owner if the contract is with a single individual or with a third party agency that commits the time of a single individual to do the necessary work. Such individual should meet the qualification guidelines stated previously in Paragraph IV.E.

B. Sharing a Coordinator

Owners of eligible developments may combine efforts to hire a part-time or full-time Service Coordinator. Sharing is especially encouraged for smaller buildings. Owners may join together to share a Service Coordinator and may submit a combined application as described below.

C. Guidelines for Work Time

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. However, the population of most developments will contain a significant number of residents who are not frail, at-risk, or disabled. Thus, the determination of whether or not a Service Coordinator is full time should be related to the number of people in the development who are frail, at-risk, or disabled, with less consideration given to the other residents of the development. These other individuals will probably need little or no support from a coordinator.

The requirement that 25 percent of the residents must be frail or at-risk elderly, and/or non-elderly people with disabilities means, for example, that in a 50-unit development, at least 13 residents must be frail, at-risk, or disabled.

Example 1: In a 50-unit development, 13 residents are frail and 15-20 others are at-risk. The development probably could justify a 1/2 time coordinator.

Example 2: In a 75-unit development, 20 residents are frail and 15-20 others are at-risk. This development could probably justify at least a 3/4 time Service Coordinator.

Example 3: In a 110-unit development, 40 residents are frail and 40 others are at-risk. This development probably could justify a full-time coordinator and possibly a part-time aide.

Example 4: Three developments of 20, 20 and 51 units (91 units, total) join forces. Among them, they have 10 frail residents and 15 others that are at-risk. These developments probably could justify at least a 3/4 time coordinator (after making allowances for travel time between sites).

Example 5: In a 80-unit development there are no frail individuals, but about 40 who are at-risk. This development could probably justify a 3/4 to full-time coordinator.

Example 6: In a 150 unit development, 45 residents are frail and another 60 are at-risk. This development could probably justify at least one full-time and an additional part-time Service Coordinator.

All above examples are guidelines which must be adapted by Field Offices to local situations. Non-elderly people with disabilities would factor the same in the above examples as either frail or at-risk elderly.

D. Quality Assurance

Management must assure that the Service Coordinator function is effectively implemented. Therefore, quality assurance is an allowable administrative expense and HUD strongly encourages you to include this practice in your program. A development may propose a cost of 8-10 percent of the Service Coordinator salary to provide limited monitoring oversight of the Service Coordinator by a qualified third party. You must provide a written justification along with the budget.

In-house staff and management may NOT perform this function and their salaries may not be augmented for this purpose. Supervisors or other personnel hired to perform quality assurance should have appropriate experience and background to perform this function. Once you hire or contract for quality assurance oversight, you must provide your local HUD Field Office with documentation indicating this individual's qualifications.

VI. FRAILTY CONSIDERATIONS

While a Service Coordinator may serve any resident of a development who needs assistance, priority must be given to frail or at-risk elderly or non-elderly people with disabilities.

Frailty is defined as being deficient in at least three Activities of Daily Living (ADL) (see below). An at-risk person will be deficient in 1-2 ADLs. The **MINIMUM** requirements necessary to qualify for an ADL deficiency are as follows:

- A. *EATING:* May need assistance with cooking, preparing or serving food, but must be able to feed self;
- B. *DRESSING:* Must be able to dress self, but may need occasional assistance.

- C. *BATHING*: May need assistance in getting in and out of the shower or tub, but must be able to wash self;
- D. *GROOMING*: May need assistance in washing hair, but must be able to take care of personal appearance;
- E. *TRANSFERRING*: May need assistance in getting in and out of bed and chairs, walking, going outdoors, using the toilet; and,
- F. *HOME MANAGEMENT ACTIVITIES*: May need assistance in doing housework or laundry or getting to and from one location to another, for activities such as going to the doctor or shopping, but must be mobile. The mobility requirement does not exclude persons in wheelchairs or those requiring mobility devices.

Each of the ADLs noted above includes a requirement that a person must be able to perform at a specified minimum level (e.g., to satisfy the eating ADL, the person must be able to feed him/herself). The determination of whether a person meets this minimal level of performance must include consideration of those services being performed by a spouse, relatives or other attendants to be provided by the individual.

Take for example, a person who requires assistance with cooking, preparing, or serving food plus needs assistance in feeding him/herself. That individual meets the minimum performance level and thus satisfies the eating ADL if a spouse, relative or attendant provides assistance with feeding the person. Should such assistance become unavailable at any time, the owner is not obligated to provide individualized services beyond those offered to the resident population in general.

The ADL analysis is NOT used for a determination of eligibility for occupancy, or for determination of whom the Service Coordinator will assist. Rather, the owner must estimate the number of frail or at-risk elderly and/or non-elderly people with disabilities in the development and certify that this number is at least 25 percent of the total number of residents. This certification is needed to receive Service Coordinator grant funding.

VII. DETERMINING PROGRAM COSTS

A. Determining Total Grant Amount

1. **Reasonable costs** are generally those that are consistent with salaries and administrative costs of similar programs in your Field office's jurisdiction. Use the staffing guidelines in Section V, above, to determine the appropriate number of work hours for your proposed program. Gather data from programs near you to

compare your estimates with the salaries and administrative costs of currently operating programs. Field staff can provide you with contacts at local program sites.

2. Year 1: Set total cost for year 1:

allowable administrative costs	\$ _____	+
annual salary rate	\$ _____	=
total cost/year	\$ _____	
3. Years 2 and 3: The estimates for years two and three may be based on an annual inflation factor of up to five percent. Any one-time, first-year start-up costs must be subtracted from year one before calculating the years two and three estimates.
4. Total grant amount: Add projected amounts calculated in paragraphs 1 and 2, above. Subtract any available residual receipts or excess income from this amount to determine the three-year grant amount to request.

B. Use of Residual Receipts or Excess Income

If your development has residual receipts or excess income, these funds must be used prior to use of grant funds. You must include any of these available funds in your request, listed first and by year of use.

Section 202/8 developments must use any residual receipts amount that exceeds \$500 per unit, as long as this amount is not allocated for other development expenses. You must submit a copy of the residual receipts account statement to the Field office for verification. If the development does not have a residual receipts account or has insufficient funds to use for this program, so state.

See the Request Letter Format (Attachment 2) for further step-by-step instructions. The example below illustrates (1) how to determine total program cost and (2) how owners may combine grant funds and residual receipts/excess income to fund a Service Coordinator program:

Example 1: The following represents the salary, fringe benefits, and administrative costs for the position. The salary, fringe benefits, and administrative costs for the first year are \$33,750.

	<u>Salary</u>	<u>Fringe</u>	<u>Admin. Costs</u>	<u>Total</u>
Year 1:	\$25,000	\$ 6,250	\$2,500	\$33,750
Year 2:	\$26,250	\$ 6,563	\$ 525	\$33,338
Year 3:	\$27,563	\$ 6,891	\$ 551	\$35,005
TOTAL:	\$78,813	\$19,704	\$3,576	\$102,093

Example 2: Assume development has \$55,000 in available residual receipts; this amount will be applied prior to the grant funds as follows.

	<u>Residual Receipts</u>	<u>Grant Funds</u>	<u>Total</u>
Year 1:	\$33,750	\$0	\$33,750
Year 2:	\$21,250	\$12,088	\$33,338
Year 3:	\$0	\$35,005	\$35,005
TOTAL:	\$55,000	\$47,093	\$102,093

The applicant would then request HUD approval to use \$40,000 in residual receipts and \$41,538 in grant funds.

VIII. FUNDING PROCESS

HUD will award Service Coordinator grant funds through a lottery process. HUD Headquarters staff will hold one national lottery. A computer program will randomly select applications for this lottery and will continue the process until available funds are exhausted.

Multifamily Field office staff will review applications for completeness and compliance with threshold criteria. Certain deficiencies may be cured after submission, subject to NOFA Section VII. Field staff will forward funding information to Headquarters for entry into the lottery if the

applications were received by the deadline date; meet all eligibility criteria; propose reasonable costs for eligible activities, and include all technical application revisions by the designated deadline date.

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 \$5 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 these 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 the Service Coordinator NOFA.

IX. ASSISTED LIVING CONVERSION PROGRAM APPLICANTS' INFORMATION

A. General

Owners applying for an ALCP grant may also apply for Service Coordinator funding through the Service Coordinator NOFA. Owners may apply if they meet the following conditions:

1. Do not currently have a Service Coordinator program. If your development does not have a program, you can apply for funds to serve ALCP residents and/or the other non-assisted living residents in the development.
2. Have a Service Coordinator program, but need additional hours or staff to serve the assisted living residents.
3. In either case described above, you do not have available residual receipts or Section 8 funds to cover the cost of a new or augmented Service Coordinator program.

You can indicate in your application whether or not you want your request entered into the national lottery if your ALCP application is not selected to receive an award.

B. Amount to Request

Please follow the guidelines in Section V.C "Guidelines for Work Time" of this application kit to determine the appropriate numbers of work hours to propose. Your salary, fringe benefits, and administrative costs must also be comparable to other program costs in your area, as noted in Section II.E of this application kit.

In your ALCP application, you must submit a description of how the new or additional Service Coordinator hours will support your proposed assisted living program. To do this, follow the instruction provided in Section VI(B)(8)(b) of the ALCP NOFA.

C. Application Requirements

You must submit all required components of this Service Coordinator application package. However, you will also submit the following seven forms as part of your ALCP application. Therefore, you may submit copies of these forms in your Service Coordinator application. HUD only needs one form with an original signature, but we do need a copy of the form to make each application complete:

- Standard Form for Application for Federal Assistance (SF-424)
- Federal Assistance Funding Matrix and Certifications (HUD-424M)
- Drug Free Workplace Certification (HUD-50070)
- Disclosure Form Regarding Lobbying (SF-LLL)
- Applicant/Recipient Disclosure/Update Report Form (HUD-2880)
- Certification Regarding Debarment and Suspension (HUD-2992)
- Acknowledgment of Application Receipt (HUD-2993)

Also be sure to complete the "ALCP Applicants' Form" (Attachment 5). This is where you will indicate your preference for Service Coordinator funding.

YOU HAVE REACHED THE END OF THE TEXT PORTION OF THE APPLICATION KIT.

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 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 December 21, 2001.
- ____ (7) A bank statement with the development's current residual receipts or excess income balance.
- ____ (8) Applicant Data Input Form
- ____ (9) Service Coordinator Certifications
- ____ (10)(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.
- ____ (10)(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.
- ____ (11) Standard Form for Application for Federal Assistance (SF-424)
- ____ (12) Federal Assistance Funding Matrix and Certifications (HUD-424M)

- ____ (13) Standard Form for Assurances - Non-Construction Programs (SF-424B)
- ____ (14) Drug Free Workplace Certification (HUD-50070)
- ____ (15) Certification of Payments to Influence Federal Transactions (HUD-50071)
- ____ (16) Disclosure Form Regarding Lobbying (SF-LLL)
- ____ (17) Applicant/Recipient Disclosure/Update Report Form (HUD-2880)
- ____ (18) Certification Regarding Debarment and Suspension (HUD-2992)
- ____ (19) 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 _____ Date _____
Director, Multifamily Hub/Program Center

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

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. Administrative Costs

• First, determine start-up costs:

Item _____ \$ _____

Item _____ \$ _____

Total: \$ _____

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

Item _____ \$ _____

Item _____ \$ _____

Item _____ \$ _____

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:

	SALARY	FRINGE	ADMIN. COSTS	TOTAL
YEAR 1	\$	\$	\$	\$
YEAR 2	\$	\$	\$	\$
YEAR 3	\$	\$	\$	\$
TOTAL	\$	\$	\$	\$

USE OF RESIDUAL RECEIPTS OR EXCESS INCOME

Developments with budget-based rents must use available residual receipts before receiving grant funds. Similarly, developments using the AAF must use available excess income before they receive new 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:

	RESIDUAL RECEIPTS OR EXCESS INCOME	GRANT FUNDS	TOTAL
YEAR 1	\$	\$	\$
YEAR 2	\$	\$	\$
YEAR 3	\$	\$	\$
TOTAL	\$	\$	\$

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, you have a residual receipts account separate from the reserve for replacement account or you agree to establish one to receive 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.

TRANSMITTAL LETTER FORMAT FOR DESIGNATED LEAD AGENCY

SERVICE COORDINATOR CERTIFICATIONS (continued)

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.

- 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.

Dear _____
Director, Multifamily Hub/Program Center _____ Date

The _____ for _____ is requesting grant
Owner Name Development Name and city)
funds to hire a Service Coordinator.

This request includes _____ developments, which will share a Service Coordinator.
Give #

The developments are:

<u>Owner</u>	<u>Development Name and Address</u>	<u>\$ Requested</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Total: _____

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

Sincerely,

(Signature)

(Typed Name)

Signature Print Name Date

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 December 21, 2001.
- ____ (7) A bank statement with the development's current residual receipts or excess income balance.
- ____ (8) Applicant Data Input Form
- ____ (9) Service Coordinator Certifications
- ____ (10)(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.
- ____ (10)(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.
- ____ (11) Standard Form for Assurances - Non-Construction Programs (SF-424B)
- ____ (12) ALCP applicants' form.

Original or copies of the following forms:

- ____ (13) Standard Form for Application for Federal Assistance (SF-424)
- ____ (14) Federal Assistance Funding Matrix and Certifications (HUD-424M)
- ____ (15) Drug Free Workplace Certification (HUD-50070)
- ____ (16) Disclosure Form Regarding Lobbying (SF-LLL)
- ____ (17) Applicant/Recipient Disclosure/Update Report Form (HUD-2880)
- ____ (18) Certification Regarding Debarment and Suspension (HUD-2992)
- ____ (19) 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.

**Multifamily Housing Service Coordinator Program
 Applicant Data Input Sheet**

Owner (Funds Recipient)

Name _____

Address _____

City _____ State _____ Zip _____

Phone (Include Area Code) _____

Grant Contact Person (Name) _____

Phone (Include Area Code) _____

e-mail address _____

List the specific development(s) targeted for assistance under this grant.
 Use additional sheets as needed.

Development Name _____

Address _____

City _____ State _____ Zip _____

FHA/Project Number _____ Sec.8 Number _____ No. of Units _____

Project Type (e.g., 202, 221(d)(3), 236, or Sec. 8) _____

Location (Urban, suburban, or rural) _____

Senators 1. _____ 2. _____

Congressional Representative Name _____ District _____

Funds Requested	
A. Grant Funds	\$ _____
B. Residual Receipts	\$ _____
C. Total 3-Year Program Costs (Sum of A + B)	\$ _____

SECTION III
GENERAL SECTION OF THE SUPERNOFA
AND
PROGRAM NOFAs



Federal Register

Monday,
February 26, 2001

Part II

Department of Housing and Urban Development

Super Notice of Funding Availability
(SuperNOFA) for HUD's Housing,
Community Development and
Empowerment Programs and Section 8
Housing Voucher Assistance for Fiscal
Year 2001; Notice

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4630-N-01]

Super Notice of Funding Availability (SuperNOFA) for HUD's Housing, Community Development and Empowerment Programs and Section 8 Housing Voucher Assistance for Fiscal Year 2001

AGENCY: Office of the Secretary, HUD.

ACTION: Super Notice of Funding Availability (SuperNOFA) for HUD Grant Programs.

SUMMARY: This Fiscal Year 2001 Super Notice of Funding Availability (SuperNOFA) announces the availability of approximately \$2.75 billion in HUD program funds covering 45 grant categories within programs operated and administered by HUD offices and Section 8 housing voucher assistance.

The General Section of this SuperNOFA provides the application procedures and requirements that are applicable to all the programs in this SuperNOFA. The Programs Section of this SuperNOFA provides a description of the specific programs for which funding is made available and describes any additional procedures and requirements that are applicable to a specific program. Please be sure you read both the General Section and the Program Section of this SuperNOFA to ensure you respond to all the requirements for funding.

APPLICATION DUE DATES: *The information in this APPLICATION DUE DATES section applies to all programs that are part of this SuperNOFA.* You, the applicant, must submit a completed application to HUD no later than the application due date established for the program for which you are seeking funding. HUD will not accept for review and evaluation any applications sent by facsimile (fax).

ADDRESSES AND APPLICATION SUBMISSION PROCEDURES: *Addresses.* You, the applicant, must submit a complete application to the location identified in the Programs Section of this SuperNOFA. When submitting your application, please refer to the name of the program for which you are seeking funding.

For Applications to HUD Headquarters. If your application is due to HUD Headquarters, you must send the application to the following address: Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410 (see the Program Chart or Programs Section for Room

location and additional information regarding the addresses for application submission). Please make sure that you note the room number. The correct room number is very important to ensure that your application is not misdirected.

For Applications to HUD Field Offices. If your application is required to be submitted to a HUD Field Office, please see the Programs Section for the exact office location for submission of your application.

Applications Submission Procedures. Mailed Applications. Your application will be considered timely filed if your application is postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office on or within ten (10) days of the application due date.

Applications Sent by Overnight/Express Mail Delivery. If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date.

Hand Carried Applications. Hand-carried to HUD Headquarters. If your application is required to be submitted to HUD Headquarters, and you arrange for the application to be hand carried, hand carried applications delivered before and on the application due date must be brought to the specified location at HUD Headquarters and room number between the hours of 8:45 am to 5:15 pm, Eastern time. Applications hand carried on the application due date will be accepted in the South Lobby of the HUD Headquarters Building at the above address from 5:15 pm until 12:00 midnight, Eastern time. This deadline date is firm. Please make appropriate arrangements to arrive at the HUD Headquarters Building before 12:00 midnight, Eastern time, on the application due date.

Hand-carried to HUD Field Office. If your application is required to be submitted to a HUD Field Office, your application must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the Programs Section of the SuperNOFA. A hand carried application will be accepted at the specified HUD Field Office during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 pm, local time. (Appendix A-1 to this General Section of the SuperNOFA lists the HUD Field Offices. Please call to find out the hours of operation.) Please be

sure to arrive at the HUD Field Office with adequate time to submit the application before the 6:00 pm deadline on the application due date.

Copies of Applications to HUD Offices. The Programs Section of this SuperNOFA may specify that to facilitate the processing and review of your application, a copy of the application also must be sent to an additional HUD location (for example, a copy to the HUD Field Office if the original application is to be submitted to HUD Headquarters, or a copy to HUD Headquarters, if the original application is to be submitted to a HUD Field Office). Please follow the directions of the Programs Section to ensure that you submit your application to the proper location. For some programs, HUD requests additional copies in order to expeditiously review your application, and to ensure that all reviewers receive complete applications to review. HUD appreciates your assistance in providing the copies. Please note that for those applications for which copies are to be submitted to the Field Offices and HUD Headquarters, timeliness of submission will be based on the time your application is received at HUD Headquarters.

FOR APPLICATION KITS, FURTHER INFORMATION AND TECHNICAL ASSISTANCE: The information in this section is applicable to all programs that are part of this SuperNOFA. This section describes how you may obtain application kits, further information about the SuperNOFA and technical assistance. A guidebook to HUD programs, titled "Connecting with Communities: A User's Guide to the HUD Programs and the 2001 SuperNOFA process" is available from the SuperNOFA Information Center and the HUD website at www.hud.gov/ grants. This guidebook provides a brief description of all of HUD's programs, a description of the SuperNOFA programs, and eligible applicants for these programs, and examples of how programs can work in combination to serve local community needs. The main sources for obtaining this information are:

The SuperNOFA Information Center, which you may reach by calling 1-800-HUD-8929 or the Center's TTY number at 1-800-HUD-2209; and

HUD's web site on the Internet at <http://www.hud.gov/grants>.

For Application Kits and SuperNOFA User Guide. HUD is pleased to provide you with the FY 2001 application kits and/or a guidebook to all HUD programs that are part of this SuperNOFA. For some announcements of funding

availability in this SuperNOFA, the process for applying for funds is so simple no application kit is required. Where this is the case, the program section for that funding will note that there is no application kit. The application kits are designed to guide you through the application process and ensure that your application addresses all requirements for the program funding you are seeking. *Please note that if there is a discrepancy between information provided in the application kit and the information provided in the published SuperNOFA, the information in the published SuperNOFA prevails.* Therefore, please be sure to review your application submission against the requirements in the SuperNOFA.

You may request general information and application kits from the SuperNOFA Information Center. When requesting an application kit from the SuperNOFA Information Center, please refer to the name of the program of the application kit you are interested in receiving. Please be sure to provide your name, address (including zip code), and telephone number (including area code). To ensure sufficient time to prepare your application, requests for application kits can be made immediately following publication of the SuperNOFA. The SuperNOFA Information Center opens for business simultaneously with the publication of the SuperNOFA.

The SuperNOFA Information Center (1-800-HUD-8929) can provide you with assistance, application kits, and guidance in determining which HUD Office(s) should receive a copy of your application. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. Additionally, you can obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov/grants>.

Consolidated Application Submissions. If you, the applicant, would like to apply for funding under more than one program in this SuperNOFA, you need only submit one originally signed SF-424 and one set of original signatures for the other standard assurances and certifications, accompanied by the matrix that is provided in each application kit. As long as you submit one originally signed set of these documents with an application, you need only submit copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications.

Additionally, the Programs Section may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA.

For Further Information. For answers to your questions about this SuperNOFA, you have several options. You may call, during business hours, the SuperNOFA Information Center at 1-800-HUD-8929, or you may contact the HUD Office or Processing Center serving your area at the telephone number listed in the application kit for the program in which you are interested. If you are a person with a hearing or speech impairment you may call the Center's TTY number at 1-800-HUD-2209. You may also obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov/grants>.

For Technical Assistance. Before the application due date, HUD staff will be available to provide you with general guidance and technical assistance about this SuperNOFA. HUD staff, however, are not permitted to assist in preparing your application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD.

Satellite Broadcasts. HUD will hold information broadcasts via satellite for potential applicants to learn more about the programs in this SuperNOFA and preparation of the applications. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov/grants>.

For Federal Grant Information. The Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107) directs each Federal agency to develop and implement a plan that, among other things, streamlines and simplifies the application, administrative and reporting procedures for Federal financial assistance programs administered by the agency. This law also requires the Director of the Office of Management and Budget (OMB) to direct, coordinate, and assist Federal agencies in establishing: (1) a common application and reporting system; and (2) an interagency process for addressing ways to streamline and simplify Federal financial assistance application and administrative procedures and reporting requirements for program applicants.

This law also requires OMB to consult with the grantee community as it works with the Federal agencies to develop

and implement the course of action that would be undertaken by the Federal agencies to establish an electronic site for accessing grant information and applications. Over the last few months, OMB has been conducting outreach sessions informing you of the goals of this new law and seeking your input as the Federal agencies work together to achieve implementation.

HUD has been an active member in the Federal agency working groups and has established a common website where you can find information about all the grant programs within HUD. You can access this site from our homepage at www.hud.gov/grants and checking our grant program inventory. This site will be linked with other Federal agencies as the grants common website develops. If you are interested in finding out more about the "Federal Commons" and the work being done by other agencies, please visit the Inter-Agency Electronic Grants Committee (IAEGC) website at www.fedcommons.gov.

INTRODUCTION TO THE FY 2001 SUPERNOFA
HUD'S FY 2001 SuperNOFA Process Background

This year marks the fourth year that HUD is issuing a SuperNOFA for almost all of its competitive grant programs, and additional programs have been added as noted below. The SuperNOFA approach, in which the great majority of HUD's competitive funds are announced in one document, is designed to simplify the application process, bring consistency and uniformity to the application and selection process, and accelerate the availability of funding. Equally important, the SuperNOFA approach is designed to increase the ability of applicants to consider and apply for funding under a wide variety of HUD programs. The SuperNOFA provides a "menu" of HUD competitive programs. From this menu, communities will be made aware of funding available for their jurisdictions. Nonprofits, public housing agencies, local and State governments, tribal governments and tribally designated housing entities, veterans service organizations, faith-based organizations and others will be able to identify the programs for which they are eligible for funding.

The most creative and novel element of the SuperNOFA is that it places heavy emphasis on the coordination of activities assisted by HUD funds to provide (1) greater flexibility and responsiveness by potential grantees in meeting local housing and community development needs, and (2) greater

flexibility for eligible applicants to determine what HUD program resources best fit the community's needs. The SuperNOFA's promotion of coordination and comprehensive planning of HUD assistance reduces duplication in the delivery of services by organizations and communities, and allows for delivery of a wider more integrated array of services, thereby resulting in more efficient use of HUD funds to more effectively serve a greater number of those most in need of HUD assistance.

Changes Made in the SuperNOFA Process for FY 2001

The FY 2001 SuperNOFA includes more grant assistance funding than in previous years and therefore further increases the ability of applicants to consider and apply for funding under a wide variety of HUD programs. Funding availability announcements that are being added to the Fiscal Year 2001 SuperNOFA are the following:

- Assisted Living Conversion Program (ALCP) for Eligible Multifamily Projects
- Community Development Block Grants for Indian Tribes and Alaska Native Villages
- Early Doctoral Research Program
- Doctoral Research Program
- HUD Urban Scholars Fellowship Program (a post doctoral program)
- Family Self-Sufficiency (FSS) Program Coordinators Program
- Healthy Homes Demonstration and Education Program (replacing the Healthy Homes Initiative Program of Fiscal Year 2000)
- Healthy Homes Research Program (replacing the program for Research to Improve the Evaluation and Control of Residential Lead-Based Paint)
- Indian Housing Drug Elimination Program
- Service Coordinators in Multifamily Housing

With respect to the program NOFA for the Community Development Block Grants for Indian Tribes and Alaska Native Villages (ICDBG), a rule that amends the regulations for this program was published on January 17, 2001 (66

FR 4578) and takes effect on April 16, 2001.

Funding availability announcements that were part of the Fiscal Year 2000 SuperNOFA but for which there will be no funding availability announcements in FY 2001 are the following:

- Public Housing Drug Elimination Technical Assistance for Safety and Security
- Outreach and Assistance Training Grants

Organization of the SuperNOFA

The SuperNOFA is divided into two major sections. The General Section of the SuperNOFA describes the procedures and requirements applicable to all applications. The Programs Section of the SuperNOFA describes each program that is part of this SuperNOFA. For each program, the Programs Section describes the eligible applicants, eligible activities, factors for award, and any additional requirements or limitations that apply to the program.

Please read carefully both the General Section and the Programs Section of the SuperNOFA for the program(s) for which you are applying. Your careful reading will ensure that you apply for program funding for which your organization is eligible to receive funds and that you fulfill all the requirements for that program(s).

As part of the simplification of this funding process, and to avoid duplication of effort, the SuperNOFA provides for consolidated applications for several of the programs that are part of this SuperNOFA. HUD programs that provide assistance for, or complement, similar activities (for example, the Continuum of Care programs and CPD Technical Assistance programs) have a consolidated application that reduces the administrative and paperwork burden applicants would otherwise encounter in submitting a separate application for each program. The Program Chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants.

As we did in last year's SuperNOFA, HUD is providing copies of the application forms in this publication. The standard forms, certifications and assurances applicable to all programs, or the great majority of programs, in the SuperNOFA follow the General Section as Appendix B. The forms and any additional certifications and assurances that are unique to the individual program will follow that program section of the SuperNOFA.

The specific statutory and regulatory requirements of the programs that are part of this SuperNOFA continue to apply to each program. The SuperNOFA will identify, where necessary, the statutory requirements and differences applicable to the specific programs. Please pay careful attention to the individual program requirements that are identified for each program. Note that not all applicants are eligible to receive assistance under all programs identified in this SuperNOFA.

THE PROGRAMS OF THIS SUPERNOFA AND THE AMOUNT OF FUNDS ALLOCATED

The programs that are part of this SuperNOFA are identified in the chart below. The approximate available funds for each program are based on appropriated funds, and for some programs, the available funding includes funds already recaptured. In the event (1) HUD recaptures funds (either for programs for which funding already reflects recaptured funds or other programs for which funding does not reflect recaptured funds), or (2) other funds become available for any program, HUD reserves the right to increase the available funding amount for a program by the additional amounts that become available.

The chart also includes the application due date for each program, the OMB approval number for the information collection requirements contained in the specific program, and the Catalog of Federal Domestic Assistance (CFDA) number.

BILLING CODE 4210-32-P

HUD FY 2001 SUPERNOFA FUNDING

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
HOUSING AND COMMUNITY DEVELOPMENT			
Community Development Technical Assistance (TA)	Up to \$21.18		
Community Housing Development Organization (CHDO) TA CFDA No. 14.239 OMB Approval No.:2506-0166	Up to \$7.6 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOME TA CFDA No. 14.239 OMB Approval No.:2506-0166	Up to \$8 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
McKinney-Vento Act Homeless Assistance Programs TA CFDA No. 14.235 OMB Approval No.:2506-0166	Up to \$3 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOPWA TA CFDA No. 14.241 OMB Approval No.:2506-0133	Up to \$2.580 million	May 22, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Offices
Community Development Block Grant Assistance	Up to \$71.3 million		
Community Development Block Grants for Indian Tribes and Alaska Native Villages CFDA No. 14.862 OMB Approval No.: 2577-0191	Up to \$71.3 million	May 23, 2001	HUD Area ONAP Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
UNIVERSITY AND COLLEGE PARTNERSHIPS			
University and College Programs	\$ 27.5 million		
Community Outreach Partnership Centers (COPC) CFDA No.: 14511 OMB Approval No.: 2528-0180	\$8 million	June 1, 2001	HUD Headquarters Room 7251
Historically Black Colleges and Universities (HBCUs) Program CFDA No.: 14.237 OMB Approval No.: 2506-0122	\$10 million	June 1, 2001	HUD Headquarters Room 7251 and one copy to local HUD Field Office
Hispanic-Serving Institutions Assisting Communities (HSIAC) Program CFDA No.: 14.514 OMB Approval No.: 2528-0198	\$6.5 million	June 1, 2001	HUD Headquarters Room 7251
Alaska Native/Native Hawaiian Institutions Assisting Communities Program (AN/NHIAC) CFDA No.: 14.515 OMB Approval No.: 2528-0206	\$3 million	June 1, 2001	HUD Headquarters Room 7251
FAIR HOUSING OUTREACH, ENFORCEMENT AND HOUSING COUNSELING			
Fair Housing and Housing Counseling Programs	\$34.05 million		
Fair Housing – Private Enforcement Initiative (PEI) CFDA No.: 14.410 OMB Approval No.: 2539-0033	\$10.5 million	May 2, 2001	HUD Headquarters Room 5224
Fair Housing – Education and Outreach Initiative (EOI) CFDA No.: 14.409 OMB Approval No.: 2539-0033	\$3.9 million	May 2, 2001	HUD Headquarters Room 5224

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Fair Housing Organizations Initiative (FHOI) CFDA No.: 14.413 OMB Approval No.: 2539-0033	\$2.1 million	May 2, 2001	HUD Headquarters Room 5224
Housing Counseling – Local Housing Counseling Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$6.6 million	May 3, 2001	Appropriate HUD Homeownership Center (HOC)
Housing Counseling – National, Regional, and Multi-State Intermediaries CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$9.95 million	May 3, 2001	HUD Headquarters Room 9166
Housing Counseling – State Housing Finance Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$1 million	May 3, 2001	Appropriate HUD Homeownership Center (HOC)
HEALTHY HOMES AND LEAD HAZARD CONTROL			
Healthy Homes and Lead Hazard Control Programs	\$66 million		
Lead-Based Paint Hazard Control Program CFDA No.: 14.901 OMB Approval No.: 2539-0015	\$59 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206
Healthy Homes Research CFDA No.: 14.901 OMB Approval No.: 2539-0010	\$1.5 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Healthy Homes Demonstration and Education Program CFDA No.: 14.900 OMB Approval No.: 2539-0015	\$5.5 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206
PUBLIC AND INDIAN HOUSING REVITALIZATION AND DEMOLITION			
Revitalization and Demolition Programs	\$565 million		
HOPE VI Revitalization Grants CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$490 million	June 22, 2001	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
HOPE VI Demolition Grants CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$75 million	July 10, 2001	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING			
Drug Elimination Programs	\$49.15 million		
Public Housing Drug Elimination - Technical Assistance (DETAP) CFDA No.: 14.854 OMB Control No.: 2577-0124	\$900,000	July 27, 2001	HUD Headquarters Room 4206 and one copy to appropriate local HUD Field Office or Area ONAP Office
Indian Housing Drug Elimination Program CFDA No.: 14.854 OMB Control No.: 2577-0124	\$12 million	April 24, 2001	IHDE-IRC P.O. Box 14970 Silver Spring, MD

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Drug Elimination New Approach Anti-Drug Program (Formerly Safe Neighborhood Grant) CFDA No.: 14.854 OMB Control No.: 2577-0124	\$20 million	June 19, 2001	Appropriate Multifamily Hub or Program Center or Area ONAP Office
Drug Elimination Grants for Multifamily Low Income Housing CFDA No.: 14.193 OMB Approval No.: 2502-0476	\$16.25 million	May 23, 2001	Appropriate Multifamily Hub or Program Center
ECONOMIC DEVELOPMENT AND EMPOWERMENT			
Economic and Empowerment Programs	\$187.6 million		
Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$10.7 million	July 6, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Brownfields Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$25 million	May 22, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Self-Help Homeownership Opportunity Program (SHOP) CFDA No.: 14.247 OMB Approval No.: N/A	\$20 million	May 29, 2001	HUD Headquarters Room 7251
Youthbuild CFDA No.: 14.243 OMB Approval No.: 2506-0142	\$52.9 million	May 30, 2001	HUD Headquarters Room 7255 and one copy to appropriate local HUD Field Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
ROSS for Resident Management and Business Development CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$6 million	May 24, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Capacity Building and Conflict Resolution CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$5 million	May 24, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Resident Service Delivery Models CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$24 million	June 26, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Service Coordinator Renewals CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$20 million	June 28, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rural Housing and Economic Development Program CFDA No.: 14.250 OMB Approval No.: 2506-0169	\$24 million	April 6, 2001	HUD Headquarters Room 7255

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
TARGETED HOUSING, HOMELESS AND SECTION 8 VOUCHER ASSISTANCE			
Targeted Housing and Homeless Assistance Programs	\$1591.8 million		
Continuum of Care Homeless Assistance - Supportive Housing CFDA No.: 14.235 - Shelter Plus Care CFDA No.: 14.238 - Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) CFDA No.: 14.249 OMB Approval No.: 2506-0112	\$850 million	May 31, 2001	HUD Headquarters Room 7270 and one copy to appropriate local HUD Field Offices
Housing Opportunities for Persons with AIDS CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$25.5 million	April 24, 2001 (for renewals) June 13, 2001 (new requests)	HUD Headquarters Room 7251 and two copies to appropriate local HUD Field Office
Section 202 Supportive Housing for the Elderly CFDA No.: 14.157 OMB Approval No.: 2502-0267	\$495.9 million	May 25, 2001	Appropriate local HUD Multifamily HUB or Multifamily Program Center
Section 811 Supportive Housing for Persons with Disabilities CFDA No.: 14.181 OMB Approval No.: 2502-0462	\$121.2 million	May 25, 2001	Appropriate local HUD Multifamily Hub or Multifamily Program Center
Assisted Living Conversion Program for Eligible Multifamily Projects CFDA No.: 14.314 OMB Approval No.: 2502-0542	\$75 million	June 21, 2001	Appropriate Multifamily Hub Office
Service Coordinators in Multifamily Housing CFDA No.: 14.191 OMB Approval No.: 2577-0198	\$24.2	June 21, 2001	Appropriate local HUD Multifamily Hub Office or Multifamily Program Center
Section 8 Housing Vouchers for Persons with Disabilities	\$139.1 million		

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Mainstream Housing Opportunities for Persons with Disabilities CFDA No.: 14.857 OMB Approval No.: 2577-0169	\$54.1 million	July 20, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Assistance for Non-Elderly Persons with Disabilities Related to Certain Types of Section 8 Project-Based Developments and Sections 202, 221(d) and 236 Developments CFDA No.: 14.857 OMB Approval No.: 2506-0169	\$20 million	June 15, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Assistance for Non-Elderly Persons with Disabilities in Support of Designated Housing Plans CFDA No.: 14.857 OMB Approval No.: 2577-0169	\$20 million	May 16, 2001 (for submittal of Designated Housing Plans only) July 24, 2001 (for submittal of entire application)	Special Applications Ctr, Room 2401 77 West Jackson Blvd, Chicago, IL Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Certificate Housing Choice Voucher Family Self-Sufficiency (FSS) Program Coordinators CFDA No.: 14.855 & 14.857 OMB Approval No.: 2577-0198	\$45 million	April 25, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
<i>OTHER EDUCATIONAL PROGRAMS</i>			
Doctoral Education Programs	Up to 1.3 million		
Early Doctoral Student Research Grant Program CFDA No.: 14.517 OMB Approval No.: Pending	\$150,000	April 26, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850
Doctoral Dissertation Research Grant Program CFDA No.: 14.516 OMB Approval No.: 2528-0213	\$600,000	April 26, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850
HUD Urban Scholars Fellowship Program CFDA No.: 14.518 OMB Approval No.: 2528-0214	\$550,000	June 5, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850

Paperwork Reduction Act Statement.

The information collection requirements in this SuperNOFA have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). The chart shown above provides the OMB approval number for each program that is part of this SuperNOFA. Where the chart notes that an OMB number is pending, this means that HUD has submitted the information to OMB to obtain an approval number and HUD's request for the number is pending. As soon as HUD receives the approval number, the number will be published in the Federal Register and provided to the SuperNOFA Information Center. Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

GENERAL SECTION OF THE SUPERNOFA**I. Authority; Purposes of the FY 2001 SuperNOFA; Funding Amount; Eligible Applicants and Eligible Activities**

(A) *Authority.* HUD's authority for making funding under this SuperNOFA is the Fiscal Year 2001 Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 2001 (Pub.L. 106-377, approved October 27, 2000) (FY 2001 HUD Appropriations Act). Generally, the authority is not repeated in the individual program sections of this SuperNOFA. The authority provision of the program sections identify additional laws and regulations that authorize the requirements listed for the funding competitions that make up this SuperNOFA.

(B) *Purposes.* The purposes of this SuperNOFA are to:

(1) *Make funding available to empower communities and residents.* The funding made available by this SuperNOFA will assist community leaders and residents, particularly low- and moderate-income residents, in using HUD funds to develop viable communities and provide decent housing for all citizens, without discrimination.

(2) *Simplify the application process for funding under HUD programs.* For the majority of funding that is part of this year's SuperNOFA, the SuperNOFA continues to provide a single, uniform set of rating factors and submission requirements. This year's SuperNOFA also allows, as did last year's, for you, the applicant, to apply for more than

one program with a single application. This year's SuperNOFA also includes funding for the Housing Choice Voucher Program that is available on a first come, first serve basis.

(3) *Promote comprehensive approaches to housing and community development.* Through the SuperNOFA process, HUD encourages you, the applicant, to focus on the interrelationships that exist in a community and in HUD's funding programs, and to build community-wide efforts that coordinate the resources of multiple applicants and programs. To successfully address community needs and solve community problems, and to take advantage of existing resources, HUD encourages members of a community to join together and pool all available resources in a common, coordinated effort. By making all of HUD's competitive funding available in one document, HUD allows you, the applicant, to be able to relate the activities proposed for funding under this SuperNOFA to the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice.

(C) *Funding Available.* As noted in the Introduction Section to the SuperNOFA, the HUD programs that are part of this SuperNOFA are allocated amounts based on appropriated funds. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding amounts by the amount of funds recaptured.

(D) *Restrictions on the Use of HUD Funds in Support of the Sale of Tobacco Products.* Section 211 of the FY 2001 HUD Appropriations Act requires that funds appropriated to HUD may not be used to construct, operate, or otherwise benefit a facility or facilities with a designated portion of that facility which sells or intends to sell predominantly cigarettes or other tobacco products. The Act defines the predominant sale of cigarettes or other tobacco products to mean sales representing more than 35 percent of the annual total in-store, non-fuel sales.

(E) *Eligible Applicants and Eligible Activities.* The Programs Section of the SuperNOFA describes the eligible applicants and eligible activities for each program.

II. Requirements and Procedures Applicable to All Programs

Except as may be modified in the Programs Section of this SuperNOFA, or as noted within the specific provisions of this Section II, the requirements, procedures and principles listed below apply to all programs that are part of this SuperNOFA. Please be sure to read the Programs Section of the SuperNOFA

for additional requirements or information.

(A) *Statutory Requirements.* To be eligible for funding under this SuperNOFA, you, the applicant, must meet all statutory and regulatory requirements applicable to the program or programs for which you are seeking funding. If you need copies of the program regulations, they are available from the SuperNOFA Information Center or through the Internet at the HUD web site located at <http://www.hud.gov>. Among the reasons that HUD may find an application ineligible to receive further funding consideration is if the activities or projects proposed in the application are not eligible activities and projects. In addition (with the exception of the Section 202 and Section 811 programs) HUD may eliminate the ineligible activities from funding consideration and reduce the grant amount accordingly.

(B) *Threshold Requirements.* (1) *Compliance with Fair Housing and Civil Rights Laws.* With the exception of Federally recognized Indian tribes and their instrumentalities, all applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a). If you are a Federally recognized Indian tribe, you must comply with the nondiscrimination provisions enumerated at 24 CFR 1000.12.

If you, the applicant—

(a) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(b) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(c) Have received a letter of noncompliance findings under Title VI, Section 504, or Section 109,—

HUD will not rate and rank your application under this SuperNOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(2) *Other Threshold Requirements.* The program section for the funding for which you are applying may specify other threshold requirements.

Additional threshold requirements may be identified in the discussion of "eligibility" requirements in the program section.

(C) *Additional Nondiscrimination Requirements.* You, the applicant and your subrecipients, must comply with the Americans with Disabilities Act of 1990 (42 U.S.C. 1201 *et seq.*), and Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 *et seq.*).

(D) *Affirmatively Furthering Fair Housing.* Unless otherwise specified in the Programs Section of this SuperNOFA, if you are a successful applicant, you will have a duty to affirmatively further fair housing. Again, except as may be provided otherwise in the Programs Section of this SuperNOFA, you, the applicant, should include in your application or work plan the specific steps that you will take to:

(1) Address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, you, the applicant, have a duty to carry out the specific activities provided in your responses to the SuperNOFA rating factors that address affirmatively furthering fair housing. Please see the Programs Section of this SuperNOFA for further information.

(E) *Economic Opportunities for Low and Very Low-Income Persons (Section 3).* Certain programs in this SuperNOFA require recipients of assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements subpart E of this part. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing and (2) business concerns which provide economic opportunities to low- and very low-income persons. As noted in the Programs Section of this SuperNOFA, Section 3 is applicable to the following programs:

- Community Development Block Grant Program for Indian Tribes and Alaska Native Villages;
- Historically Black Colleges and Universities (HBCU);

- Hispanic-Serving Institutions Assisting Communities (HSLAC);
 - Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC)
 - Lead-Based Paint Hazard Control;
 - Healthy Homes Demonstration and Education Program;
 - Healthy Homes Research Program;
 - HOPE VI Public Housing Revitalization and Demolition;
 - Indian Housing Drug Elimination Program;
 - Public Housing Drug Elimination Program—New Approach Anti-Drug Program
 - Resident Opportunities and Self-Sufficiency Program
 - Economic Development Initiative (EDI);
 - Brownfields Economic Development Initiative (BEDI);
 - Self-Help Homeownership Opportunity Program (SHOP);
 - Youthbuild Program;
 - Continuum of Care Homeless Assistance Programs;
 - Housing Opportunities for Persons with AIDS (HOPWA);
 - Section 202 Supportive Housing for the Elderly Program;
 - Assisted Living Conversion Program;
 - Section 811 Supportive Housing for Persons with Disabilities Program;
- (F) *Relocation.* Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by Federal relocation statute and regulations. Specifically, this type of move is covered by the acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and the implementing governmentwide regulation at 49 CFR part 24. The relocation requirements of the URA and the governmentwide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of acquisition, rehabilitation or demolition for an activity undertaken with HUD assistance.

(G) *Forms, Certifications and Assurances.* You, the applicant, are required to submit signed copies of the standard forms, certifications, and assurances listed in this section, unless the requirements in the Programs

Section specify otherwise. Also, the Programs Section may specify additional forms, certifications, assurances or other information that may be required for a particular program in this SuperNOFA.

As part of HUD's continuing efforts to improve the SuperNOFA process, several of the required standard forms have been simplified this year. The standard forms, certifications, and assurances are as follows:

- Standard Form for Application for Federal Assistance (SF-424) (which includes civil rights/fair housing certification);
- Federal Assistance Funding Matrix and Certifications, HUD-424M;
- Standard Form for Budget Information—Non-Construction Programs (SF-424A) or
- Standard Form for Budget Information—Construction Programs (SF-424C), as applicable;
- Standard Form for Assurances—Non-Construction Programs (SF-424B) or
- Standard Form for Assurances—Construction Programs (SF-424D), as applicable; Drug-Free Workplace Certification (HUD-50070);
- Certification of Payments to Influence Federal Transaction (HUD-50071) and if engaged in lobbying, the Disclosure Form Regarding Lobbying (SF-LLL); (Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are not required to submit this certification. Tribes and TDHEs established under State law are required to submit this certification.)
- Applicant/Recipient Disclosure/Update Report (HUD-2880);
- Certification Regarding Debarment and Suspension (HUD-2992). This is the certification required by 24 CFR 24.510. (The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status, and a certification is required.);
- Certification of Consistency with EZ/EC Strategic Plan (HUD-2990);
- Certification of Consistency with the Consolidated Plan (HUD-2991) if applicable;
- Acknowledgment of Application Receipt (HUD-2993);
- Client Comments and Suggestions (HUD 2994)

Copies of these standard forms follow this General Section of the SuperNOFA. Copies of forms that are particular to an

individual program, follow the funding information for that program.

Also included in the Appendix B to the General Section is the Funding Application for the Section 8 Housing Choice Voucher Program (HUD 52515). Note that Forms SF-424A and SF-424C ask for information which is similar to the same information that is required by form HUD 4123-Cost Summary which is listed as a required form under the ICDBG program section of this SuperNOFA and which is a required application for that program. Also note that there are assurances separate from SF-424B and 424D for the ICDBG program which are specific to that program.

(H) *OMB Circulars and Governmentwide Regulations Applicable to Grant Programs.* Certain OMB circulars also apply to programs in this SuperNOFA. The policies, guidance, and requirements of: OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments); OMB Circular A-21 (Cost Principles for Education Institutions) OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations); OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations); and the regulations in 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally recognized Indian tribal governments)—may apply to the award, acceptance and use of assistance under the programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 2001 HUD Appropriations Act, other Federal statutes or the provisions of this SuperNOFA. Compliance with additional OMB Circulars or governmentwide regulations may be specified for a particular program in the Programs Section of the SuperNOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 20503, telephone (202) 395-7332 (this is not a toll free number) or from the website at <http://whitehouse.gov/wh/eop/omb/html/circulars>.

(I) *Environmental Requirements.* If you become a grantee under one of the programs in this SuperNOFA that assist physical development activities or property acquisition, you are generally prohibited from acquiring, rehabilitating, converting, leasing,

repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) HUD has completed an environmental review in accordance with 24 CFR part 50; or

(2) For programs subject to 24 CFR part 58, HUD has approved a grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review.

You, the applicant, should consult the Programs Section of the SuperNOFA for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Sections 202 or 811 Programs, please note the environmental review requirements for these programs.

(J) *Conflicts of Interest.* If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA, you are subject to 18 U.S.C. 208, the Federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for this SuperNOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this SuperNOFA. All individuals involved in rating and ranking this SuperNOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information if applicable: how the selection or non-selection of any applicant under this SuperNOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208; or how the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this SuperNOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202-708-3815 and ask to speak to one of HUD's attorneys in this division.

(K) *Accessible Technology.* The Rehabilitation Act Amendments of 1998 apply to all electronic information technology (EIT) used by a grantee for

transmitting, receiving, using, or storing information to carry out the responsibilities of any federal grant awarded. It includes, but is not limited to, computers (hardware, software, wordprocessing, email and web pages) facsimile machines, copiers and telephones. Recipients of HUD funds when developing, procuring, maintaining or using EIT must ensure that the EIT allows (1) employees with disabilities to have access to and use information and data that is comparable to the access and use of data by employees who do not have disabilities; and (2) members of the public with disabilities seeking information or service from a grantee must have access to and use of information and data and comparable to the access and use of data by members of the public who do not have disabilities. If these standards impose on a funding recipient, they may provide an alternative means to allow the individual to use the information and data. However, no grantee will be required to provide information services to a person with disabilities at any location other than the location at which the information services is generally provided.

III. Application Selection Process

(A) *Rating Panels.* To review and rate your applications, HUD may establish panels. These panels may include persons not currently employed by HUD. HUD may include these non-HUD employees to obtain certain expertise and outside points of view, including views from other Federal agencies.

(1) *Rating.* HUD will evaluate and rate all applications for funding that meet the threshold requirements and rating factors for award described in this SuperNOFA. The rating of you, as the "applicant," or of your organization, "the applicant's organization and staff," for technical merit or threshold compliance will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

(2) *Ranking.* HUD will rank applicants within each program (or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care section of this SuperNOFA). HUD will rank applicants only against other applicants that applied for the same program funding. Where there are set-asides within a program competition, you, the applicant, will compete against only those applicants in the same set-aside competition.

(B) *Threshold Requirements.* HUD will review your application to determine whether it meets all of the threshold requirements described in

Section II(B), above. Only if your application meets all of the threshold requirements will it be eligible to be rated and ranked.

(C) *Factors For Award Used To Evaluate and Rate Applications.* For each program that is part of this SuperNOFA, the points awarded for the rating factors total 100. Depending upon the program for which you the applicant seek funding, the program may provide for up to four bonus points as provided in paragraphs (1) and (2) of this Section III(C).

(1) *Bonus Points.* The SuperNOFA provides for the award of up to two bonus points for eligible activities/projects that the applicant proposes to be located in federally designated Empowerment Zones (EZs), Enterprise Communities (ECs), Urban Enhanced Enterprise Communities (EECs), or Strategic Planning Communities and serve the residents of these federally designated areas, and are certified to be consistent with the strategic plan of these federally designated areas. (For ease of reference in the SuperNOFA, these federally designated areas are collectively referred to as "EZs/ECs" and residents of these federally designated areas as EZ/EC residents.)¹ The individual funding announcement will indicate if the bonus points are available for that funding. The application kit contains a certification which must be completed for the applicant to be considered for EZ/EC bonus points. A list of EZs, ECs, EECs and Strategic Planning Communities is attached to this General Section of the SuperNOFA as Appendix A-2 and is also available from the SuperNOFA Information Center, through the HUD web site at <http://www.hud.gov/grants>.

In the BEDI competition, two bonus points are available for federally designated Brownfields Show Case Communities. (Please see BEDI section of this SuperNOFA for additional information). A listing of the federally designated EZs, ECs, and Enhanced ECs and Brownfields Showcase Communities is available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.hud.gov/grants>.

¹ In December 1994, 72 urban areas and 33 rural communities were designated as Empowerment Zones or Enterprise Communities. These designated areas receive more than \$1.5 billion in performance grants and more than \$2.5 billion in tax incentives. The Taxpayers Relief Act of 1997 established a second round of designations for 15 new Empowerment Zones. Round II designees were announced in December 1998. Strategic Planning Communities are HUD designations that ranked competitively in the Round II competition but were not selected for EZ designation.

(2) *Court-Ordered Consideration.* For any application submitted by the City of Dallas, Texas, for funds under this SuperNOFA for which the City of Dallas is eligible to apply, HUD will consider the extent to which the strategies or plans in the city's application or applications will be used to eradicate the vestiges of racial segregation in the Dallas Housing Authority's low income housing programs. The City of Dallas should address the effect, if any, that vestiges of racial segregation in Dallas Housing Authority's low income housing programs have on potential participants in the programs covered by this NOFA, and identify proposed actions for remedying those vestiges. HUD may add up to 2 points to the score based on this consideration. This special consideration results from an order of the U.S. District Court for the Northern District of Texas, Dallas, Division. (This Section III(C)(2) is limited to applications submitted by the City of Dallas.)

(3) *The Five Standard Rating Factors.* The majority of programs in this SuperNOFA use the five rating factors described below. Additional details about the five rating factors listed below, and the maximum points for each factor, are provided in the Programs Section of the SuperNOFA. You, the applicant, should carefully read the factors for award as described in the Programs Section of the SuperNOFA. HUD has established these five factors as the basic factors for award in every program that is part of this SuperNOFA. For a specific HUD program, however, HUD may have modified these factors to take into account specific program needs, or statutory or regulatory limitations imposed on a program. The standard factors for award, except as modified in the program area section are:

Factor 1: Capacity of the Applicant and Relevant Organizational Staff
Factor 2: Need/Extent of the Problem
Factor 3: Soundness of Approach
Factor 4: Leveraging Resources
Factor 5: Comprehensiveness and Coordination

The Continuum of Care Homeless Assistance Programs have only two factors that receive points: Need and Continuum of Care.

(D) *Negotiation.* After HUD has rated and ranked all applications and has made selections, HUD may require, depending upon the program, that all winners participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or

a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

(E) *Adjustments to Funding.*

(1) HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of the funds and to ensure that the purposes of a specific program are met.

(2) HUD will not fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements; which does not meet the requirements of this SuperNOFA or which may be duplicative of other funded programs or activities from previous years' awards or other selected applicants. Only the eligible portions of your application (including non-duplicative portions) may be funded.

(3) If funds remain after funding the highest ranking applications, HUD may fund all or part of the next highest ranking application in a given program. If you, the applicant, turn down the award offer, HUD will make the same determination for the next highest ranking application. If funds remain after all selections have been made, remaining funds may be available for other competitions for each program where there is a balance of funds.

(4) In the event HUD commits an error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of this SuperNOFA, HUD may select that applicant when sufficient funds become available.

(F) *Performance and Compliance Actions of Grantees.* HUD will measure and address the performance and compliance actions of grantees in accordance with the applicable standards and sanctions of their respective programs.

IV. Application Submission Requirements

As discussed in the Introduction Section of this SuperNOFA, part of the simplification of this funding process is to reduce the duplication of effort that has been required of applicants in the past. Before the SuperNOFA process, many of HUD's applicants were required to complete and submit similar applications for HUD funded programs. As the Program Chart above shows, the FY 2001 SuperNOFA provides, as did the previous SuperNOFAs, for consolidated applications for several of

the programs for which funding is available under this SuperNOFA.

V. Corrections to Deficient Applications

After the application due date, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you, however, to clarify an item in your application or to correct technical deficiencies. You should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of your response to any rating factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may, however, contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. Examples of curable (correctable) technical deficiencies include your failure to submit the proper certifications or your failure to submit an application that contains an original signature by an authorized official. In each case, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. You must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. (If the due date falls on a Saturday, Sunday, or Federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or Federal holiday.) If your deficiency is not corrected within this time period, HUD will reject your application as incomplete, and it will not be considered for funding. (Note that the Sections 202 and 811 Programs provide for appeal of rejection of an application on technical deficiency. Please see the Programs Sections for these programs for additional information and instructions.)

VI. Promoting Comprehensive Approaches to Housing and Community Development

(A) *General.* HUD believes the best approach for addressing community problems is through a community-based process that provides a comprehensive response to identified needs. This Section VI of the General Section of the SuperNOFA describes important initiatives that applicants should be aware of.

(B) *Linking Program Activities With AmeriCorps.* You are encouraged to link your proposed activities with

AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000, or visit the AmeriCorps website at www.cns.gov/ameriCorps.

(C) *Linking Program Activities with USDA.* In this year's SuperNOFA, HUD is working with the Department of Agriculture (USDA) to provide technical assistance to public housing authorities to develop a natural resource stewardship program to enhance the natural environment through activities such as tree planting, creating green spaces in areas devoid of vegetation and protecting areas from erosion and storm water runoff. Further information about this initiative can be found on the U.S. Forest Service website at www.fs.us/research/rvur/urban/urbanforest.html.

(D) *Encouraging Visitability in New Construction and Substantial Rehabilitation Activities.* In addition to applicable accessible design and construction requirements, you are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means at least one entrance at grade (no steps), approached by an accessible route such as a sidewalk; the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the Uniform Federal Accessibility Standards (UFAS) are available from the SuperNOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-877-8399 (Federal Information Relay Service).

(E) *Encouraging Universal Design.* Universal design is the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design. The intent of universal design is to simplify life for everyone by making products, communications and the built

environment more usable by as many people as possible at little or no extra cost. Universal design benefits people of all ages and abilities. In addition to any applicable required accessibility features under section 504 of the Rehabilitation Act of 1973 or the design and construction requirements of the Fair Housing Act, the Department encourages applicants to incorporate the principles of universal design when developing housing, community facilities, electronic communication mechanisms, or when communicating with community residents at public meetings or events.

(F) *Developing Healthy Homes.* HUD's Healthy Homes Initiative is one of the initiatives developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities (to the extent eligible under specific programs) that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to, the following: educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others; incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, proper ventilation and moisture control to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can trigger asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323, and information is also available at the following website—www.hud.gov:80/health/safehome.html.

(G) *Participation in PATH.* If you are applying for funds that may be utilized for construction or rehabilitation, HUD encourages participation in Partnership for Advancing Technology in Housing (PATH). PATH's goal is to achieve dramatic improvement in the quality of American housing by the year 2010. PATH encourages leaders from the home building, product manufacturing, insurance and financial industries and representatives from federal agencies dealing with housing issues to work together to spur housing design and construction innovations. PATH has a

FY 2001 budget of \$10 million. PATH will provide technical support in design and cost analysis of advanced technologies to be incorporated in project construction.

Applicants should see www.pathnet.org on the Internet for more information, the list of technologies, latest PATH Newsletter, results from field demonstrations and PATH projects. Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices by: reducing costs; improving durability; increasing energy efficiency; improving disaster resistance; and reducing environmental impact.

HUD's objective is to select projects funded under this SuperNOFA which demonstrate high potential opportunities for application of PATH technologies. HUD will provide technical assistance in the form of architectural, engineering and financial analysis to incorporate the specific technologies appropriate to the type of construction and climate. More information about PATH is available at the following website—www.pathnet.org/about/about.html.

(H) *Bridging the Digital Divide.* Bridging the Digital Divide is an initiative whose objective is to provide access to computers to low and moderate income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. HUD encourages applicants to incorporate education and job training opportunities through initiatives such as HUD's Neighborhood Networks and Twenty/20 Education communities in their programs.

(1) *Neighborhood Networks.* The Neighborhood Networks Initiative enhances the self-sufficiency, employability and economic self-reliance of low-income families and the elderly living in HUD insured and HUD assisted properties by providing them with on-site access to computer and training resources.

(2) *The Twenty/20 Education Communities Initiative.* This initiative (formerly known as Campus of Learners) is designed to transform public housing into safe and livable communities where families undertake training in new telecommunication and computer technology and partake in educational opportunities and job training initiatives.

(I) *Bridging the Gap Initiative.* Bridging the Gap is a HUD initiative aimed at expanding economic and skills building opportunities offered through registered apprenticeship programs in

HUD assisted construction related and maintenance activities. Apprenticeship programs have a long history of providing structured, highly competent, safe and comprehensive occupational training which produces highly qualified journey level workers. Through this initiative, HUD seeks to encourage and promote the use of apprenticeship programs in programs sponsored with HUD funds and to ensure the beneficiaries of such apprenticeship programs are HUD's client community of public housing and low-and moderate-income residents of our nation's communities.

VII. Findings and Certifications

(A) *Environmental Impact.* A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations at 24 CFR part 50 that implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332). The Finding of No Significant Impact is available for public inspection during regular business hours in the Office of the General Counsel, Regulations Division, Room 10276, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410-0500.

(B) *Executive Order 13132, Federalism.* Executive Order 13132 (entitled "Federalism") prohibits, to the extent practicable and permitted by law, an agency from promulgating policies that have federalism implications and either impose substantial direct compliance costs on State and local governments and are not required by statute, or preempt State law, unless the relevant requirements of section 6 of the Executive Order are met. This SuperNOFA does not have federalism implications and does not impose substantial direct compliance costs on State and local governments or preempt State law within the meaning of the Executive Order.

(C) *Prohibition Against Lobbying Activities.* You, the applicant, are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that you will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, you

must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but tribes and TDHEs established under State law are not excluded from the statute's coverage.

(D) *Section 102 of the HUD Reform Act; Documentation and Public Access Requirements.* Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 apply to assistance awarded under this SuperNOFA as follows:

(1) *Documentation and public access requirements.* HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 5-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations in 24 CFR part 15.

(2) *Disclosures.* HUD will make available to the public for 5 years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (update information also reported on Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 years. All reports—both applicant disclosures and updates—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 5.

(3) *Publication of Recipients of HUD Funding.* HUD's regulations at 24 CFR

4.7 provide that HUD will publish a notice in the Federal Register to notify the public of all decisions made by the Department to provide:

(i) Assistance subject to section 102(a) of the HUD Reform Act; or

(ii) Assistance that is provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

(E) Section 103 HUD Reform Act. HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, subpart B, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD

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

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or

Headquarters counsel for the program to which the question pertains.

VIII. The FY 2001 SuperNOFA Process and Future HUD Funding Processes

Each year, HUD strives to improve its SuperNOFA. The FY 2001 SuperNOFA was revised based on comments received during the FY 2000 funding process. HUD continues to welcome comments and feedback from applicants and other members of the public on how HUD may further improve its competitive funding process.

The description of programs for which funding is available under this SuperNOFA follows this General Section and its appendices.

Dated: February 15, 2001.

Mel Martinez,
Secretary.

APPENDIX A-1.—LIST OF HUD FIELD OFFICES

Jurisdiction	Office	Address and phone numbers	
NEW ENGLAND	Boston, MA	HUD—Boston Office, O'Neil Federal Building, 10 Causeway Street, Rm. 375, Boston, MA 02222-1092, OFC PHONE (617) 565-5236	
	Hartford, CT	HUD—Hartford Office, One Corporate Center, Hartford, CT 06103-3220, OFC PHONE (860) 240-4844	
	Manchester, NH	HUD—Manchester Office, Norris Cotton Federal Bldg., 275 Chestnut Street, Manchester, NH 03101-2487, OFC PHONE (603) 666-7510	
	Providence, RI	HUD—Providence Office, 10 Weybosset Street, Sixth Floor, Providence, RI 02903-2808, OFC PHONE (401) 528-5352	
	Bangor, ME	HUD—Bangor Office, 202 Harlow Street—Chase Bldg., Suite 101, Bangor, ME 04401-4925, OFC PHONE (207) 945-0468	
	Burlington, VT	HUD—Burlington Office, Room 237—Federal Building, 11 Elmwood Avenue, PO Box 879, Burlington, VT 05401-0879, OFC PHONE (802) 951-6290	
	NY/NEW JERSEY	New York, NY	HUD—New York Office, 26 Federal Plaza—Suite 3541, New York, NY 10278-0068, OFC PHONE (212) 264-4377
Buffalo, NY		HUD—Buffalo Office, Lafayette Court, 5th Floor, 465 Main Street, Buffalo, NY 14203-1780, OFC PHONE (716) 551-5755	
Camden, NJ		HUD—Camden Office, 2nd Floor—Hudson Bldg., 800 Hudson Square, Camden, NJ 08102-1156, OFC PHONE (856) 757-5088	
Newark, NJ		HUD—Newark Office—13th Floor, One Newark Center, Newark, NJ 07102-5260, OFC PHONE (973) 622-7619	
Albany, NY		HUD—Albany Office, 52 Corporate Circle, Albany, NY 12203-5121, OFC PHONE (518) 464-4200	
MID-ATLANTIC		Philadelphia, PA	HUD Philadelphia Office, The Wanamaker Building, 100 Penn Square, East, Philadelphia, PA 19107-3380, OFC PHONE (215) 656-0600
	Baltimore, MD	HUD Baltimore Office, 5th Floor, 10 South Howard Street, Baltimore, MD 21201-2505, OFC PHONE (410) 962-2520	
	Pittsburgh, PA	HUD Pittsburgh Office, 339 Sixth Avenue—Sixth Floor, Pittsburgh, PA 15222-2515, OFC PHONE (412) 644-5945	
	Washington, DC	(Office Temporarily covered), HUD Washington, DC Office, Suite 300, 820 First Street, NE., Washington, DC 20002-4205, OFC PHONE (202) 275-9200	
	Richmond, VA	HUD Richmond Office, 3600 West Broad Street, Richmond, VA 23230-4920, OFC PHONE (804) 278-4500	
	Charleston, WV	HUD—Charleston Office, 405 Capitol Street, Suite 708, Charleston, WV 25301-1795, OFC PHONE (304) 347-7036	
	Wilmington, DE	HUD—Delaware State Office, One Rodney Square, 920 King Street, Suite 404, Wilmington, DE 19801, OFC PHONE (302) 573-6300	
	SOUTHEAST/CARRIBEAN	Atlanta, GA	HUD—Atlanta Office, 40 Marietta Street—Five Points Plaza, Atlanta, GA 30303-2806, OFC PHONE (404) 331-4111
		Birmingham, AL	HUD—Birmingham Office, Medical Forum Building, 950 22nd St., North, Suite 900, Birmingham, AL 35203-5301, OFC PHONE (205) 731-2630
Louisville, KY		HUD—Louisville Office, 601 West Broadway, PO Box 1044, Louisville, KY 40201-1044, OFC PHONE (502) 582-5251	

APPENDIX A-1.—LIST OF HUD FIELD OFFICES—Continued

Jurisdiction	Office	Address and phone numbers
	Jackson, MS	HUD—Jackson Office, McCoy Federal Building, 100 W. Capitol Street, Room 910, Jackson, MS 39289-1096, OFC PHONE (601) 965-4700
	Memphis, TN	HUD—Memphis Office, 200 Jefferson Avenue, Suite 1200, Memphis, TN 38103-2335, OFC PHONE (901) 544-3403
	Nashville, TN	HUD—Nashville Office, 235 Cumberland Bend Drive, Suite 200, Nashville, TN 37228-1803, OFC PHONE (615) 736-5213
	Jacksonville, FL	HUD—Jacksonville Office, 301 West Bay Street, Suite 2200, Jacksonville, FL 32202-5121, OFC PHONE (904) 232-2627
	Miami, FL	HUD—Florida State Office, 909 SE First Avenue, Miami, FL 33131, OFC PHONE (305) 536-5676
	Greensboro, NC	HUD—Greensboro Office, Koger Building, 2306 West Meadowview Road, Greensboro, NC 27407-3707, OFC PHONE (336) 547-4001, 4002, 4003
	San Juan, PR	HUD—Caribbean Office, 171 Carlos E. Chardon Avenue, San Juan, PR 00918-0903, OFC PHONE (787) 766-5201
	Columbia, SC	HUD—Columbia Office, 1835 Assembly Street, Columbia, SC 29201-2430, OFC PHONE (803) 765-5592
	Knoxville, TN	HUD—Knoxville Office, 710 Locust Street, SW, Knoxville, TN 37902-2526, OFC PHONE (423) 545-4384
	Orlando, FL	HUD—Orlando Office, 3751 Maguire Boulevard, Room 270, Orlando, FL 32803-3032, OFC PHONE (407) 648-6441
	Tampa, FL	HUD—Tampa Office, 500, Zack St., #402, Tampa, FL 33602-3945, OFC PHONE (813) 228-2431
MIDWEST	Chicago, IL	HUD—Chicago Office, Ralph Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604-3507, OFC PHONE (312) 353-5680
	Detroit, MI	HUD—Detroit Office, 477 Michigan Avenue, Detroit, MI 48226-2592, OFC PHONE (313) 226-7900
	Indianapolis, IN	HUD—Indianapolis Office, 151 North Delaware Street, Suite 1200, Indianapolis, IN 46204-2526, OFC PHONE (317) 226-7034
	Grand Rapids, MI	HUD—Grand Rapids Office, Trade Center Building, 50 Louis Street, N.W., Grand Rapids, MI 49503-2648, OFC PHONE (616) 456-2125
	Minneapolis, MN	HUD—Minneapolis Office, 220 Second Street, South, Minneapolis, MN 55401-2195, OFC PHONE (612) 370-3000
	Cincinnati, OH	HUD—Cincinnati Office, 525 Vine Street, Suite 700, Cincinnati, OH 45202-3188, OFC PHONE (513) 684-2967
	Cleveland, OH	HUD—Cleveland Office, 1350 Euclid Avenue, Suite 500, Cleveland, OH 44115-1815, OFC PHONE (216) 522-4058
	Columbus, OH	(Office Temporarily Covered), HUD—Columbus Office, 200 North High Street, Columbus, OH 43215-2499, OFC PHONE (614) 469-2540
	Milwaukee, WI	HUD—Milwaukee Office, 310 West Wisconsin Avenue, Room 1380, Milwaukee, WI 53203-2289, OFC PHONE (414) 297-3214
	Flint, MI	HUD—Flint Office, 1101 S. Saginaw Street, North Building, Flint, MI 48502-1953, OFC PHONE (810) 766-5082
SOUTHWEST	Springfield, IL	HUD—Springfield Office, 320 West Washington, 7th Floor, Springfield, IL 62707, OFC PHONE (217) 492-4120
	Fort Worth, TX	HUD—Fort Worth Office, 801 Cherry Street, PO Box 2905, Ft. Worth, TX 76113-2905, OFC PHONE (817) 978-5965
	Dallas, TX	HUD—Dallas Office, 525 Griffin Street, Room 860, Dallas, TX 75202-5007, OFC PHONE (214) 767-8300
	Albuquerque, NM	HUD—Albuquerque Office, 625 Silver Avenue SW, Suite 100, Albuquerque, NM 87102-3185, OFC PHONE (505) 346-6463
	Houston, TX	HUD—Houston Office, 2211 Norfolk, #200, Houston, TX 77098-4096, OFC PHONE (713) 313-2274
	Lubbock, TX	HUD—Lubbock Office, 1205 Texas Avenue, Rm. 511, Lubbock, TX 79401-4093, OFC PHONE (806) 472-7265
	San Antonio, TX	HUD—San Antonio Office, 800 Dolorosa, San Antonio, TX 78207-4563, OFC PHONE (210) 475-6806
	Little Rock, AR	HUD—Little Rock Office, 425 West Capitol Avenue #900, Little Rock, AR 72201-3488, OFC PHONE (501) 324-5401
	New Orleans, LA	HUD—New Orleans Office, Hale Boggs Bldg.—501 Magazine Street, 9th Floor, New Orleans, LA 70130-3099, OFC PHONE (504) 589-7201
	Shreveport, LA	HUD—Shreveport Office, 401 Edwards Street, Rm. 1510, Shreveport, LA 71101-3289, OFC PHONE (318) 676-3440
Oklahoma City, OK	HUD—Oklahoma City Office, 500 W. Main Street, Suite 400, Oklahoma City, OK 73102-2233, OFC PHONE (405) 553-7500	
	Tulsa, OK	HUD Tulsa Office, 50 East 15th Street Tulsa, OK 74119-4030, OFC PHONE (918) 581-7496

APPENDIX A-1.—LIST OF HUD FIELD OFFICES—Continued

Jurisdiction	Office	Address and phone numbers
GREAT PLAINS	Kansas City, KS	HUD—Kansas City Office, 400 State Avenue, Room 200, Kansas City, KS 66101-2406, OFC PHONE (913) 551-5462
	Omaha, NE	HUD—Omaha Office, 10909 Mill Valley Road, Suite 100, Omaha, NE 68154-3955, OFC PHONE (402) 492-3103
	St. Louis, MO	HUD—St. Louis Office, 1222 Spruce Street #3207, St. Louis, MO 63103-2836, OFC PHONE (314) 539-6560
	Des Moines, IA	HUD—Des Moines Office, 210 Walnut Street, Room 239, Des Moines, IA 50309-2155, OFC PHONE (515) 284-4573
ROCKY MOUNTAINS	Denver, CO	HUD—Denver Office, 633 17th Street, 14th Floor, Denver, CO 80202-3607, OFC PHONE (303) 672-5440
	Salt Lake City, UT	HUD—Salt Lake City Office, 257 East, 200 South, Rm. 550, Salt Lake City, UT 84111-2048, OFC PHONE (801) 524-6071
	Helena, MT	HUD—Helena Office, 7 West Sixth Avenue, Power Block Building, Helena, MT 59601, OFC PHONE (406) 449-5048
	Sioux Falls, SD	HUD—Sioux Falls Office, 2400 West 49th Street, Rm. 1-201, Sioux Falls, SD 57105-6558, OFC PHONE (605) 330-4223
	Fargo, ND	HUD—Fargo Office, 657 2nd Avenue North, Room 366, Fargo, ND 58108, OFC PHONE (701) 239-5040
	Casper, WY	HUD—Wyoming Office, 150 East B Street, Room 1010, Casper, WY 82601-1969, OFC PHONE (307) 261-6250
	San Francisco, CA	HUD—San Francisco Office, 450 Golden Gate Avenue, Box 36003, San Francisco, CA 94102-3448, OFC PHONE (415) 436-6532
PACIFIC/HAWAII	Honolulu, HI	HUD—Honolulu Office, 7 Waterfront Plaza, #500 Ala Moana Blvd. #500, Honolulu, HI 96813-4918, OFC PHONE (808) 522-8175
	Los Angeles, CA	HUD—Los Angeles Office, 611 W. Sixth Street, Suite 800, Los Angeles, CA 90017, OFC PHONE (213) 894-8007
	Sacramento, CA	HUD—Sacramento Office, 925 L Street, Sacramento, CA 95814, OFC PHONE (916) 498-5220
	Reno, NV	HUD—Reno Office, 3702 S. Virginia Street, Suite G-2, Reno, NV 89502-6581, OFC PHONE (775) 784-5383
	San Diego, CA	HUD—San Diego Office, Symphony Towers, 750 B Street, Suite 1600, San Diego, CA 92101-8131, OFC PHONE (619) 557-5310
	Las Vegas, NV	HUD—Las Vegas Office, 333 N. Rancho Drive-Atrium Bldg., Suite 700, Las Vegas, NV 89106-3714, OFC PHONE (702) 388-6208/6500
	Phoenix, AZ	HUD—Phoenix Office, 400 North Fifth Street, Suite 1600, Phoenix, AZ 85004-2361, OFC PHONE (602) 379-4434
	Santa Ana, CA	HUD—Santa Ana Office, 1600 N. Broadway, Suite 100, Santa Ana, CA 92706-3927, OFC PHONE (714) 796-5577
	Tucson, AZ	HUD—Tucson Office, 33 North Stone Avenue #700, Tucson, AZ 85701-1467, OFC PHONE (520) 670-6000
	Fresno, CA	HUD—Fresno Office, 2135 Fresno Street, Suite 100, Fresno, CA 93721-1718, OFC PHONE (559) 487-5032
NORTHWEST/ALASKA	Seattle, WA	HUD—Seattle Office, 909 First Avenue, Suite 200, Seattle, WA 98104-1000, OFC PHONE (206) 220-5101
	Portland, OR	HUD—Portland Office, 400 SW 6th Avenue #700, Portland, OR 97204-1632, OFC PHONE (503) 326-2561
	Anchorage, AK	HUD—Anchorage Office, 949 East 36th Avenue, Suite 401, Anchorage, AK 99508-4399, OFC PHONE (907) 271-4170
	Boise, ID	HUD—Boise Office, Suite 220, Plaza IV, 800 Park Boulevard, Boise, Idaho 83712-7743, OFC PHONE (208) 334-1990
	Spokane, WA	HUD—Spokane Office, US Courthouse Bldg., 920 W. Riverside, Suite 588, Spokane, WA 99201-1010, OFC PHONE (509) 353-0682

Appendix A-2—List of EZs, ECs, Urban Enhanced Enterprise Communities, Strategic Planning Communities

AK, Anchorage

Ms. Linda Yarbrough, Municipality of Anchorage, Department of Community Planning and Development, P.O. Box 196650, Anchorage, AK 99501, 907-343-4303 (Phone), 907-343-4220 (Fax)

Terrence Booth, Metlakatla Indian Enterprise Community, Metlakatla, AK 99926, 907-886-4441 (Phone), 907-886-7997 (Fax)

AL, Anniston

David Umling, Chambers County Enterprise Community, Anniston, AL 36202, 256-237-6741 (Phone), 256-237-6763 (Fax)

AL, Birmingham

Mr. Keith Strother, City of Birmingham, 710 N. 20th St. City Hall, Third Floor, Birmingham, AL 35203, 205-254-2870 (Phone), 205-254-7741 (Fax)

AL, Epes

John Zippert, Greene and Sumter Enterprise Community, Epes, AL 35460, 205-652-9676 (Phone), 205-652-9678 (Fax)

AR, Blytheville

Sam Scruggs, Mississippi County Enterprise Community, Blytheville, AR 72316, 870-532-2348 (Phone), 870-532-2625 (Fax)

AR, Forrest City

Robert Cole, Eastern Arkansas Enterprise Community, Forrest City, AR 72335, 870-630-2005 (Phone), 870-630-2035 (Fax)

AR, Little Rock

Mr. Henry L. McHenry, County of Pulaski, Enterprise Community Alliance, Inc., 3805 W. 12th St. Suite 205, Little Rock, AR

72204, 501-379-1543 (Phone), 501-379-1571 (Fax)

AZ, Douglas

Art Macias, Jr., Arizona Border Region Enterprise Community, Douglas, AZ 85607, 520-364-7501 (Phone), 520-364-7507 (Fax)

AZ, Nogales

Laura Ornelas, Arizona Border Region Enterprise Community, Nogales, AZ 85621, 520-287-6571 (Phone), 520-287-9159 (Fax)

AZ, Phoenix

Steve Capobres, Arizona Border Region Enterprise Community, Phoenix, AZ 85012-1920, 602-280-1365 (Phone), 602-280-1470 (Fax)

Ms. Jennifer Harper, City of Phoenix, Department of Neighborhood Services, 200 W. Washington St. Fourth Floor, Phoenix, AZ 85003-1611, 602-262-4730 (Phone), 602-534-1555 (Fax)

AZ, San Luis

Frank Carrillo, Arizona Border Region Enterprise Community, San Luis, AZ 85349, 520-627-2027 (Phone), 520-627-3879 (Fax)

AZ, Window Rock

Anthony Perry, Four Corners Enterprise Communities (Navajo Nation, Window Rock, AZ 86515, 520 871-6504 (Phone), 520-871-7381 (Fax)

CA, El Centro

Ken Hollis, Imperial County Enterprise Community, El Centro, CA 92243, 760-337-7814 (Phone), 760-337-8907 (Fax)

CA, Fresno

Becki Mendibles Central California Enterprise Community, Fresno, CA 93727, 559-452-0881 (Phone), 559-452-8038 (Fax)

CA, Indio

John Thurman, Desert Communities Empowerment Zone, Indio, CA 92201, 760-863-8225 (Phone), 760-863-7049 (Fax)

CA, Los Angeles

Ms. Alicia DeCastro, City of Los Angeles, Department of Community Development, 215 W. Sixth St., Third Floor, Los Angeles, CA 90014, 213-485-1023 (Phone), 213-847-0890 (Fax)

Mr. Robert Perez, City of Los Angeles, Department of Community Development, 215 W. Sixth St., Third Floor, Los Angeles, CA 90014, 213-485-8161 (Phone), 213-847-0890 (Fax)

CA, Oakland

Mr. Mahlon Harmon, One Stop Capital Shop, 519 17th St. Sixth Floor, Oakland, CA 94612-2032, 510-238-2353 (Phone), 510-238-7999 (Fax)

CA, San Diego

Ms. Bonnie Contreras, City of San Diego, Division of Economic Development, 1200 Third Ave. Suite 1300, San Diego, CA

92101-3863, 619-236-6846 (Phone), 619-533-6515 (Fax)

CA, San Francisco

Ms. Anna Yee, City of San Francisco, Enterprise Community Program, 25 Van Ness Ave. Suite 700, San Francisco, CA 94102, 415-252-3130 (Phone), 415-252-3110 (Fax)

CA, Santa Ana

Ms. Shawna Lahey, City of Santa Ana, Community Development Agency, P.O. Box 1988, Santa Ana, CA 92702, 714-647-5372 (Phone), 714-647-6580 (Fax)

CA, Watsonville

Anna Espinoza, Watsonville/City of Santa Cruz Enterprise Community, Watsonville, CA 95076, 831-763-4033 (Phone), 831-761-0736 (Fax)

CO, Denver

Mr. Ernest Hughes, City and County of Denver, Community Planning and Development Agency, 216 16th St. Suite 1400, Denver, CO 80202, 720-913-1547 (Phone), 720-913-1800 (Fax)

CT, Bridgeport

Ms. Janice B. Willis, City of Bridgeport, Office of Central Grants, 999 Broad St. City Hall Annex Chase Bldg., Bridgeport, CT 06604, 203-332-5662 (Phone), 203-332-3060 (Fax)

CT, New Haven

Ms. Diana E. Edmonds, City of New Haven, Office of Business Development, 200 Orange St. Fifth Floor, New Haven, CT 06510, 203-946-7727 (Phone), 203-946-8049 (Fax)

Ms. Sherri Killins, Empower New Haven, Inc., 59 Elm St. Fourth Floor, Suite 410, New Haven, CT 06510, 203-776-2777 (Phone), 203-776-0537 (Fax)

DC, Washington

Ms. Judy Brown, Enterprise Community Programs, Office of Economic Development EZ/EC Urban Task Force, 801 N. Capitol St., Sixth Floor, Washington, DC 20002, 202-442-7205 (Phone), 202-442-7090 (Fax)

DE, Wilmington

Ms. Edwina Bell-Mitchell, Wilmington Enterprise Community/New Castle County, 800 French St. Louis L. Redding Bldg., Ninth Floor, Wilmington, DE 19801, 302-571-4472 (Phone), 302-571-4326 (Fax)

FL, Marianna

Bill Stanton, Jackson County Enterprise Community, Marianna, FL 32447, 850-526-4005 (Phone), 850-526-4008 (Fax)

FL, Miami

Mr. Bryan K. Finnie, Miami-Dade Empowerment Trust, Inc., 140 W. Flagler St., Suite 1107, Miami, FL 33130, 305-372-7620 (Phone), 305-372-7629 (Fax)

FL, Naples

Barbara Cacchione, Empowerment Alliance of Southwest Florida EC, Naples, FL 34103, 941-649-5000 (Phone), 941-649-5337 (Fax)

FL, Tampa

Ms. Jeanette LaRussa-Fenton, City of Tampa, Department of Business and Community Services, 2105 N. Nebraska Ave. Ybor Service Center, Tampa, FL 33602-2529, 813-274-7966 (Phone), 813-274-7927 (Fax)

GA, Albany

Ms. Julie Duke, City of Albany, Office of the City Manager, P.O. Box 447, Albany, GA 31702, 229-431-3234 (Phone), 229-431-3223 (Fax)

GA, Atlanta

Ms. Charisse Richardson, Atlanta Empowerment Zone Corp., 675 Ponce De Leon Ave., N.E. City Hall East, Second Floor, Atlanta, GA 30308, 404-853-7610 (Phone), 404-853-7315 (Fax)

GA, Augusta

Hilda Alexander, CSRA Enterprise Community, Augusta, GA 30904, 706-667-4179 (Phone), 706-737-1459 (Fax)

GA, Cordele

Robert Cooke, Southwest Georgia United Empowerment Zone, Cordele, GA 31010, 912-273-9111 (Phone), 912-276-0450 (Fax)

Bambi Hayes, Southwest Georgia United Empowerment Zone, Cordele, GA 31010, 912-273-9111 (Phone), 912-276-0450 (Fax)

HI, Kaunakakai

Stacy Crivello, Molokai Enterprise Community, Kaunakakai, HI 96748, 808-553-5123 (Phone), 808-553-3735 (Fax)

Karen M. Holt, Molokai Enterprise Community, Kaunakakai, HI 96748, 808-553-3244 (Phone), 808-553-3370 (Fax)

IL, Chicago

Mr. Wallace Goode, City of Chicago, 20 N. Clark St., 28th Floor, Chicago, IL 60602-5086, 312-744-9623 (Phone), 312-744-9696 (Fax)

IL, E. St. Louis

Mr. Ralph Muhammed, East St. Louis Enterprise Community, 301 River Park Dr., Third Floor, E. St. Louis, IL 62201, 618-482-6642 (Phone), 618-482-6788 (Fax)

IL, Springfield

Ms. Cleatia Bowen, City of Springfield, Office of Economic Development, 231 S. Sixth St., Springfield, IL 62701, 217-789-2377 (Phone), 217-789-2380 (Fax)

IL, Ullin

Donna Raynalds, Southernmost Illinois Delta Empowerment Zone, Ullin, IL 62992, 618-634-9471 (Phone), 618-634-9452 (Fax)

- IN, Austin**
Donald Campbell, Town of Austin Enterprise Community, Austin, IN 47102, 812-794-2877 (Phone), 812-794-2859 (Fax)
Charlotte Mathis, Town of Austin Enterprise Community, Austin, IN 47102, 812-794-9446 (Phone), 812-794-8765 (Fax)
- IN, East Chicago**
Mr. John D. Artis, City of East Chicago, Department of Redevelopment and Housing Authority, P.O. Box 498, East Chicago, IN 46312-0498, 219-397-9974 (Phone), 219-397-4249 (Fax)
- IN, Gary**
Ms. Venus Cobb, City of Gary, Empowerment Zone Office, 840 Broadway First Floor, Gary, IN 46404, 219-886-9047 (Phone), 219-886-9051 (Fax)
- IN, Hammond**
Ms. Rocharda Moore-Harris, City of Hammond, Department of Planning, 649 Conkey St., Hammond, IN 46324, 219-853-6371 (Phone), 219-853-6334 (Fax)
- IN, Indianapolis**
Ms. Renia Colbert, City of Indianapolis, Division of Community Development and Financial Services, 200 E. Washington St., City County Bldg., Suite 1841, Indianapolis, IN 46204, 317-327-5869 (Phone), 317-327-5908 (Fax)
- KS, Leoti**
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Elmer Ridder, Wichita County Enterprise Community, Leoti, KS 67861, 316-375-2731 (Phone), 316-375-4350 (Fax)
- KY, Bowling Green**
Lisa Ryan, City of Bowling Green Enterprise Community, Bowling Green, KY 42102-0430, 270-393-3658 (Phone), 502-393-3698 (Fax)
- KY, London**
Jerry Rickett, Kentucky Highlands Empowerment Zone, London, KY 40743, 606-864-5175 (Phone), 606-864-5194 (Fax)
- KY, Louisville**
Mr. Walter Munday, City of Louisville, Empowerment Zone Community, 200 S. Seventh St., Louisville, KY 40202, 502-574-2682 (Phone), 502-574-4227 (Fax)
- KY, Whitley City**
Bruce Murphy, McCreary County Enterprise Community, Whitley City, KY 42653, 606-376-2413 (Phone), 606-376-9499 (Fax)
- LA, Ferriday**
Chip Rogers, Macon Ridge Enterprise Community, Ferriday, LA 71334, 318-757-3033 (Phone), 318-757-4212 (Fax)
- LA, Monroe**
Mr. Eric Loewe, Ouachita Enterprise Community, P.O. Box 4268, Monroe, LA 71211, 318-329-4031 (Phone), 318-329-4034 (Fax)
- LA, New Orleans**
Ms. Thelma H. French, City of New Orleans, Office of Federal and State Programs, 1300 Perdido St., Room 2E04, New Orleans, LA 70112, 504-565-6445 (Phone), 504-565-6423 (Fax)
- LA, Tallulah**
Moses Jr. Williams, Northeast Louisiana Delta Enterprise Community, Tallulah, LA 71282, 318-574-0995 (Phone), 318-574-3132 (Fax)
- MA, Lowell**
Ms. Kathy Muldoon, City of Lowell, Department of Planning and Development, 50 Arcand Dr., City Hall, JFK Civic Center Bldg., Lowell, MA 01852, 978-446-7150 (Phone), 978-446-7014 (Fax)
- MA, Roxbury**
Mr. Reginald Nunnally, Boston Empowerment Zone, Boston Business Assistance Center, 20 Hampdon St., Roxbury, MA 02119, 617-445-3413 (Phone), 617-445-5675 (Fax)
- MA, Springfield**
Mr. Miguel Rivas, City of Springfield, Department of Community Development, 36 Court St., City Hall, Room 313, Springfield, MA 01103, 413-750-2240 (Phone), 413-787-8027 (Fax)
- MD, Baltimore**
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- ME, Lewiston**
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- MI, Detroit**
Ms. Denise Gray, Detroit Empowerment Zone Development Corp., One Ford Place, Suite 1F, Detroit, MI 48202, 313-872-8050 (Phone), 313-872-8002 (Fax)
- MI, Flint**
Ms. Nancy Jurkiewicz, City of Flint, Flint Area Enterprise Community, 805 Welch Blvd., Flint, MI 48504, 810-341-1499 (Phone), 810-766-7351 (Fax)
- MI, Harrison**
Edward Kerr, Clare County Enterprise Community, Harrison, MI 48625-0439, 517-539-7805 (Phone), 517-539-2791 (Fax)
- MI, Muskegon**
Ms. Cathy Brubaker-Clarke, City of Muskegon, Department of Community and Economic Development, P.O. Box 536, Muskegon, MI 49443-0536, 231-724-6702 (Phone), 231-724-6790 (Fax)
- MI, Scottville**
Mary L. Trucks, Lake County Enterprise Community, Scottville, MI 49454, 616-757-3785 (Phone), 616-757-9669 (Fax)
- MN, Minneapolis**
Ms. Kim W. Havey, Minneapolis Empowerment Zone, 350 S. Fifth St., City Hall, Room 200, Minneapolis, MN 55415, 612-673-5415 (Phone), 612-673-3724 (Fax)
- MN, St. Paul**
Mr. Jeremy Lenz, City of St. Paul, Department of Planning and Economic Development, 25 W. Fourth St., 1200 City Hall Annex, St. Paul, MN 55102, 651-266-6603 (Phone), 651-228-3341 (Fax)
- MO, East Prairie**
Martha Ellen Black, City of East Prairie Enterprise Community, East Prairie, MO 63845, 573-649-3731 (Phone), 573-649-5028 (Fax)
- MO, Kansas City**
Ms. Marlene Nagel, Mid-American Regional Council (MARC), 600 Broadway 300 Rivergate Center, Kansas City, MO 64105-1554, 816-474-4240 (Phone), 816-421-7758 (Fax)
- MO, St. Louis**
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- MS, Itta Bena**
Arthur Peyton, Mid-Delta Empowerment Zone, Itta Bena, MS 38941, 662-254-9957 (Phone), 662-254-9941 (Fax)
- MS, Jackson**
Mr. Roosevelt T. Sanders, Jackson Urban Enterprise Community Council, Inc., P.O. Box 10353, Jackson, MS 39289, 601-949-7879 (Phone), 601-981-2407 (Fax)
- MS, Sardis**
Stuart Guernsey, North Delta Enterprise Community, Sardis, MS 38666, 662-487-1968 (Phone), 662-487-0088 (Fax)
- MT, Poplar**
Mark Sansaver, Fort Peck Assiniboine and Sioux Tribe EC, Poplar, MT 59255, 406-768-3155 (Phone), 406-768-3581 (Fax)
- NC, Charlotte**
Mr. Franklin McCrary, Jr., City of Charlotte, Department of Neighborhood Development, 600 E. Trade St., Charlotte, NC 28202, 704-336-5577 (Phone), 704-336-2527 (Fax)
- NC, Lumberton**
Cynthia Johnson, Robeson County Enterprise Community, Lumberton, NC 28358, 910-618-0722 (Phone), 910-618-1504 (Fax)
- NC, Rocky Mount**
Terri Anderson, Halifax/Edgecombe/Wilson Enterprise Community, Rocky Mount, NC 27802, 252-972-1609 (Phone), 252-972-1590 (Fax)
- ND, Cando**
Joanne Rodenbiker, Center of North America REAP Zone, Cando, ND 58324, 701-968-3314 (Phone), 701-968-1747 (Fax)
- ND, Dickenson**
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- ND, Finley**
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- NE, Omaha**
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- NH, Manchester**
Mr. William J. Jabjiniak, City of Manchester, Department of Planning and Community Development, One City Hall Plaza, Manchester, NH 03101, 603-624-6505 (Phone), 603-624-6529 (Fax)
- NJ, Bridgeton**
Mr. Gerard Velasquez, Cumberland Empowerment Zone Corp., 50 E. Broad St., Bridgeton, NJ 08302, 856-459-1700 (Phone), 856-459-4099 (Fax)
- NJ, Camden**
Mr. Richard H. Cumming, Jr., Camden Empowerment Zone Corp., 817 Carpenter St., Hudson Square Complex, Camden, NJ 08102, 856-365-0300 (Phone), 856-365-1058 (Fax)
- NJ, Newark**
Ms. Angela Corbo, City of Newark, Department of Administration, 920 Broad St., City Hall, Room B-16, Newark, NJ 07102, 973-733-4331 (Phone), 973-733-3769 (Fax)
- NM, Albuquerque**
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- NM, Penasco**
Ron Martinez, La Jicarita Enterprise Community, Penasco, NM 87553, 800-458-7323 (Phone), 505-587-1687 (Fax)
- NV, Las Vegas**
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- NY, Bronx**
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- NY, Buffalo**
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- NY, Ferndale**
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- NY, New York**
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Mr. George Glatter, City of New York, Department of Business Services, 110 William St., Third Floor, New York, NY 10038, 212-513-6442 (Phone), 212-618-8987 (Fax)
Mr. James Ilako, New York EZ Corp., 633 Third Ave. 32nd Floor, New York, NY 10017, 212-803-3235 (Phone), 212-803-3294 (Fax)
Mr. Marion Phillips, III, New York Empowerment Zone Corp., 633 Third Ave. 32nd Floor, New York, NY 10017, 212-803-3240 (Phone), 212-803-3294 (Fax)
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- NY, Newburgh**
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- NY, Owego**
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- NY, Rochester**
Mr. Philip Banks, City of Rochester, Department of Economic Development, 30 Church St., Room 005A, Rochester, NY 14614, 716-428-6965 (Phone), 716-428-6042 (Fax)
- NY, Schenectady**
Mr. Anthony Tozzi, City of Schenectady, Department of Development, Jay St., Schenectady, NY 12305, 518-382-5054 (Phone), 518-382-5275 (Fax)
- OH, Akron**
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- OH, Cincinnati**
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- OH, Cleveland**
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- OH, Columbus**
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- OH, Portsmouth**
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- OK, Ada**
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- OK, Hugo**
Bob Yandell, Southeast Oklahoma EC, Hugo, OK 74743, 580-326-3351 (Phone), 580-326-2305 (Fax)
- OK, Oklahoma City**
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- OR, Cave Junction**
Tena Marrington, Illinois Valley Community Response Team, Cave Junction, OR 97523, 541-592-2838 (Phone), 541-592-4106 (Fax)
- OR, Portland**
Ms. Regena S. Warren, County of Multnomah, 421 S.W. Sixth Ave. Suite 200, Portland, OR 97204, 503-988-3020 (Phone), 503-988-3710 (Fax)
- OR, Wolf Creek**
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- PA, Harrisburg**
Ms. Terri Martini, City of Harrisburg, Department of Building and Housing Development, Ten N. Second St., MLK City Government Center, Suite 206, Harrisburg, PA 17101-1681, 717-255-6408 (Phone), 717-255-6421 (Fax)
- PA, Lock Haven**
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- PA, Philadelphia**
Ms. Eva Gladstein, City of Philadelphia, 1515 Arch St., I Pkwy. Ninth Floor, Philadelphia, PA 19103, 215-683-0462 (Phone), 215-683-0493 (Fax)
- PA, Pittsburgh**
Ms. Joan Blaustein, City of Pittsburgh, Department of Planning, 200 Ross St., Fourth Floor, Pittsburgh, PA 15219, 412-255-2206 (Phone), 412-255-2838 (Fax)
- PA, Uniontown**
Joanne Hunt, Fayette Enterprise Community, Uniontown, PA 15401, 724-437-7913 (Phone), 724-437-7315 (Fax)

RI, Providence

Ms. Kim Santos Rose, The Providence Plan,
56 Pine St., Suite 3B, Providence, RI 02903,
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(Fax)

SC, Allendale

Manuel, Tammy "Lynn" Futch, Allendale
County ALIVE Enterprise Community,
Allendale, SC 29810, 803-584-3600
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Henry Lafite, Allendale County ALIVE
Enterprise Community, Allendale, SC
29810, 803-584-7117 (Phone), 803-584-
0700 (Fax)

SC, Charleston

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Department of Housing and Community
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Charleston, SC 29401, 843-973-7285
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SC, Columbia

Mr. Milton Smalls, Sumter/Columbia
Empowerment Zone, Department of
Community Service, 1225 Laurel St.,
Columbia, SC 29201, 803-733-8314
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SC, Kingstree

John H. Whittleton, Williamsburg/Lake City
Enterprise Community, Kingstree, SC
29558, 843-354-9070 (Phone), 843-354-
3252 (Fax)

SC, Sumter

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Box 1449, Sumter, SC 29151-1449, 803-
436-2577 (Phone), 803-436-2615 (Fax)

SD, Kyle

Head Herb Wounded, Oglala Sioux-Pine
Ridge Empowerment Zone, Kyle, SD
57752, 605-455-1570 (Phone), 605-455-
1571 (Fax)

SD, Yale

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2991 (Phone), 605-599-2992 (Fax)

TN, Huntsville

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37756, 423-663-3280 (Phone), 423-663-
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TN, Knoxville

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TN, Memphis

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545-4610 (Phone), 901-545-3519 (Fax)

TN, Nashville

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and Housing Agency, Department of
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TN, Rutledge

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Lindy Turner, Clinch-Powell Enterprise
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TX, El Paso

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TX 79901, 915-351-1680 (Phone), 915-
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TX, Houston

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TX, Mercedes

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Valley Empowerment Zone, Mercedes, TX
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TX, San Antonio

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Department of Housing and Community
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TX, Uvalde

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TX, Waco

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UT, Blanding

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Community, Blanding, UT 84511, 435-
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UT, Ogden

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Department of Neighborhood
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Suite 211, Ogden, UT 84401, 801-629-
8943 (Phone), 801-629-8902 (Fax)

VA, Nassawadox

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Enterprise Community, Nassawadox, VA
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7530 (Fax)

VA, Norfolk

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Empowerment 2010, 201 Granby St., Suite

100A, Norfolk, VA 23510, 757-624-8650
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VT, Burlington

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Office of Community and Economic
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7171 (Phone), 802-865-7024 (Fax)

WA, Colville

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WA, Seattle

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WA, Sunnyside

Mike Gregory, Lower Yakima County
Enterprise Community, Sunnyside, WA
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7462 (Fax)

WA, Tacoma

Dr. Shirl E. Gilbert, III, Tacoma Urban
League, 2550 S. Yakima Ave., Tacoma, WA
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4818 (Fax)

Ms. Cynthia Spry, Tacoma/Pierce County
Chamber of Commerce, P.O. Box 1933,
Tacoma, WA 98401-1933, 253-627-2175
(Phone), 253-597-7305 (Fax)

WI, Lac du Flambeau

Karlene Zajicek, Northwoods Nijjii
Enterprise Community, Lac du Flambeau,
WI 54135, 715-588-3303 (Phone), 715-
588-9408 (Fax)

WI, Milwaukee

Mr. Glen Mattison, City of Milwaukee,
Community Block Grant Administration,
200 E. Wells St., City Hall, Room 606,
Milwaukee, WI 53202, 414-286-3760
(Phone), 414-286-5003 (Fax)

WV, Charleston

Ben Newhouse, Upper Kanawha Valley
Enterprise Community, Charleston, WV
25301, 304-340-7060 (Phone), 304-343-
3774 (Fax)

WV, Clay

Jerry Sizemore, Central Appalachia
Enterprise Community, Clay, WV 25043,
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WV, Huntington

Ms. Cathy Burns, Huntington WV/Ironton
OH Empowerment Zone Inc., P.O. Box
1659, Huntington, WV 25717, 304-696-
5533 (Phone), 304-696-4465 (Fax)

WV, Wilcoe

Dr. Clif Moore, McDowell County Enterprise
Community, Wilcoe, WV 24895, 304-448-
2118 (Phone), 304-448-3287 (Fax)

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

ASSISTED LIVING CONVERSION PROGRAM (ALCP) FOR ELIGIBLE MULTIFAMILY HOUSING PROJECTS

Billing Code 4210-32-C

FUNDING AVAILABILITY FOR THE ASSISTED LIVING CONVERSION PROGRAM (ALCP) FOR ELIGIBLE MULTIFAMILY HOUSING PROJECTS

Program Overview

Purpose of the Program. The purpose of this program is to provide grants for the conversion of some or all of the dwelling units in an eligible project into assisted living facilities (ALFs) for frail elderly persons.

Available Funds. Approximately \$75 million for conversion of eligible multifamily projects to ALFs. \$50 million under Fiscal Year 2001 Appropriation Act and \$25 million in carryover funds).

Eligible Applicants. Only nonprofit project owners of eligible developments (as described in Section III of this NOFA) may apply for and become the recipient of a grant.

Application Due Dates. June 21, 2001 for applications to convert eligible multifamily development to ALFs.

February 26, 2001 through June 21, 2001 for applications from nonprofit owners to convert unused or underutilized commercial properties to ALFs. (See additional information on application due dates in "Application Due Date" of Section I below.)

Match. None required.

Additional Information

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

Application Due Date. If you are an eligible project owner applying to convert your eligible multifamily assisted housing development to an ALF, your completed application (one original and four copies) is due on or before 6:00 pm, local time, on June 21, 2001, at the address shown below. If you are a nonprofit organization applying to convert an unused or underutilized commercial property to an ALF, your completed application (one original and four copies) will be accepted on or before 6:00 pm, local time, beginning on February 26, 2001, and ending on June 21, 2001, at the address shown below.

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

Addresses for Submitting Applications. The official place for receipt of your application is ONLY in the appropriate Multifamily Hub Office. Submit an original and four copies of the ALCP application to the Director of the appropriate HUD Multifamily Hub Office, as listed in Appendix A of this

NOFA, with jurisdiction over your development.

Appendix B to this NOFA lists the 18 Multifamily Hubs with the Program Centers under them, to facilitate applicants knowing the correct location to send the application.

For Application Kits, Further Information, and Technical Assistance. For Application Kits. You may obtain an ALCP application kit and supplemental information by calling the SuperNOFA Information Center at (voice) 1-800-HUD-8929 (1-800-483-8929). Persons with hearing or speech impairment may call the Center's TTY number at 1-800-HUD-2209. Please be sure to provide your name, address (including zip code), and telephone number (including area code). The application kit is also available on the Internet through the HUD web site at <http://www.hud.gov>.

Note: There is a separate application kit for service coordinator funds (which is necessary for those needing to enhance or add service coordination per Section III(B)(14) of this NOFA).

For Further Information and Technical Assistance. You should contact the Multifamily Hub where you will be mailing your ALCP Application. (Please refer to Hub telephone numbers in Appendix A.)

You also may contact Aretha Williams, Director, Grant Policy and Management Division, Room 6138, at (202)-708-2866 x2480 or Faye Norman, Housing Project Manager at (202) 708-2866 x2482 for questions regarding the ALF process. This is not a toll free number. Ms. Williams can be reached, by e-mail, at "aretha_m.williams@hud.gov" and Ms Norman at "faye_l.norman@hud.gov". Both Ms. Williams and Ms. Norman are located at the Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410.

If you have a hearing or speech impairment, you may access the telephone number via TTY by calling the Federal Information Relay Service at 1-800-877-8339.

II. Amount Allocated

This NOFA makes available approximately \$75,000,000 (\$67,500,000 for the physical conversion of eligible multifamily assisted housing projects or portions of projects to ALFs and \$7,500,000 for the conversion of up to 3 unused or underutilized commercial properties to ALFs). The FY 2001 funding of \$50 million is in the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act. The \$75 million includes \$25 million in carryover funds. The

allocation formula used for the ALCP to fair share the \$67,500,000 reflects demographic characteristics of age and incidence of frailty that would be expected for program participants. The Fiscal Year (FY) 2001 formula consists of three data elements from the 1990 decennial census:

- (1) The number of non-institutional elderly population aged 75 years or older with a self-care limitation,
- (2) The number of non-institutional elderly population aged 75 or older with a mobility limitation, and,
- (3) The number of the non-institutional elderly population aged 75 or older with both a mobility limitation and a self-care limitation. The data were taken from the 1990 Census Special Tabulation on Aging, STP-14, sponsored by the Administration on Aging, U.S. Department of Health and Human Services.

A mobility limitation is defined as a health condition that has lasted for six (6) or more months, making it difficult for the person to go outside the home alone. This includes outside activities such as shopping or visiting the doctor's office. A self-care limitation is defined as a health care limitation that has lasted for six (6) months or more which makes it difficult for the person to take care of his/her own personal needs such as dressing, bathing, or getting around in the home.

A fair share factor for each state was developed by taking the sum of the three elements within each state as a percentage of the sum of the three elements for the total United States. The resulting percentage for each state was then adjusted to reflect the relative difference in the cost of providing housing among the states. The total of the grant funds available (\$67.5 million) was multiplied by the adjusted fair share percentage for each state, and the resulting funds for each state were totaled for each Hub.

The ALCP grant funds fair share allocations, based on the formula above, to the 18 multifamily Hubs are as shown on the following chart:

FISCAL YEAR ALLOCATION 2001 FOR THE ASSISTED LIVING CONVERSION PROGRAM (ALCP) OF ELIGIBLE ASSISTED MULTIFAMILY PROJECTS

HUB	Grant authority
Boston	\$4,004,982
Buffalo	1,916,188
New York City	4,394,919
Philadelphia	7,727,208
Baltimore	2,669,073
Greensboro	2,781,980
Atlanta	4,763,164

FISCAL YEAR ALLOCATION 2001 FOR THE ASSISTED LIVING CONVERSION PROGRAM (ALCP) OF ELIGIBLE ASSISTED MULTIFAMILY PROJECTS—Continued

HUB	Grant authority
Jacksonville	6,167,612
Chicago	4,904,037
Columbus	2,572,294
Detroit	2,371,122
Minneapolis	2,333,387
Fort Worth	5,244,696
Kansas City	4,052,235
Denver	1,325,512
Los Angeles	4,108,700
San Francisco	4,072,910
Seattle	2,089,981
Total	67,500,000

III. Program Description; Eligible and Ineligible Applicants, Developments, and Activities

(A) *Program Description.* Assisted living facilities (ALF) are designed to accommodate frail elderly persons and people with disabilities who need certain support services (e.g., assistance with eating, bathing, grooming, dressing and home management activities). ALFs must provide support services such as personal care, transportation, meals, housekeeping, and laundry. 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.

Assisted living is defined in section 232(b)(6) of the National Housing Act (12 U.S.C. 1715w). The ALCP provides funding for the physical costs of converting some or all of the units of an eligible multifamily development into an ALF, including the unit configuration, common and services space and any necessary remodeling, consistent with HUD or the State's statute/regulations (whichever is more stringent).

Typical funding will cover basic physical conversion of existing project units, common and services space. There must be sufficient community space to accommodate a central kitchen or dining facility, lounges, recreation and other multiple-areas available to all residents of the project, or office/staff spaces in the ALF. When food is prepared at an off-site location, the preparation area of the facility must be of sufficient size to allow for the installation of a full kitchen, if necessary. You must provide supportive services for the residents either directly

or through a third party. Your application must include a firm commitment for the supportive services to be offered within the ALF as part of the application. You may charge assisted living residents for meals and/or service fees. Residents may contract with third party agencies directly for nursing, therapy or other services not offered by the ALF.

(B) *Program Requirements.* The following program requirements apply: [Note: For applications requesting funds to convert commercial facilities, except (3), (8)(a) and (b), and (12):

(1) Your ALF facility must be licensed and regulated by the State (or if there is no State law providing such licensing and regulation, by the municipality or other subdivision in which the facility is located). Each assisted living unit must include its own kitchen, bathroom, living/dining area (1 bedroom unit) or bedroom/living/dining area (efficiency unit) and must meet the state and/or local licensing, building, zoning and other requirements for an ALF.

(2) Your ALF must be available to qualified elderly persons and persons with disabilities, consistent with the rules and payment plans of the State, who need and want the supportive services in order to remain independent and avoid premature institutionalization.

(3) Your ALF's residents must be tenants or residents of the multifamily project and must comply with the requirements applicable to the project. Thus, you cannot charge additional rent over what is charged to residents in the non-ALF portion of the project. All admissions to the ALF must be through the applicable project admissions office. However, persons accepted into the ALF also must sign an ALF admissions agreement which shall be an addendum to the applicable project lease.

(4) At a minimum, your ALF must provide room, board (as defined in Section III(B)(6)) of this NOFA) and continuous protective oversight (CPO). CPO involves a range of activities and services that may include such things as awareness by management and staff of the occupant's condition and location as well as an ability to intervene in a crisis for dependent and relatively independent occupants on a 24-hour basis. The two occupant groups in an ALF are:

(a) *Independent Occupants:* Awareness by management and staff of the occupant's condition and whereabouts as well as the availability of assistance for the occupants as needed.

(b) *Dependent occupants:* Supervision of nutrition, assistance with medication

and continuous responsibility for the occupants' welfare.

(5) Anyone moving into an ALF unit must agree to accept as a condition of occupancy the board and services required for the purpose of complying with state and local law and regulation. *However, occupancy in an ALF unit may not be conditioned on receipt of other services or board not required by state or local requirements.*

(6) Your ALF must offer three meals per day to each resident.

(a) Residents in projects which were originally constructed without kitchens in their units must take such meals as required by their mandatory meals agreement, or by the state's mandated requirements if more stringent (e.g., 2 meals, 2 snacks daily).

(b) Residents whose apartments have kitchens must take at least the number of meals a day provided by the facility, per their mandatory meals requirement, or as required by state or local rules, if more stringent. If the facility does not have a mandatory meals plan, then state and local rules govern.

In either case, ALF management must coordinate meals requirements with the needs of residents who are out part of the day, e.g., in day care. The meals program may not be operated at a profit by the project owner.

(7) Your ALF's operation must be part of the project owner's management organization. Some or all of its functions may be contracted out. The ALF must predicate its budget on a two-tiered structure under which board and supportive service income and expenses must be maintained separately and independently from the regular income and expenses of the applicable project. The two components of ALF costs are:

(a) Charges/payment for board, which may be on a sliding scale or any other equitable fee system; and

(b) Charges/payment for necessary supportive services, which may include a combination of resident fees, Medicaid and/or other third party payments.

(8) Priority admissions for ALF units are as follows:

(a) Current residents desiring an ALF unit and meeting the program requirements (no resident can be required to accept an ALF unit).

(b) Qualified individuals or families needing ALF services who are already on the project's waiting list;

(c) Qualified individuals or families in the community needing ALF services wanting to be added to the project's waiting list; and

Note: Qualified physically disabled non-elderly persons needing assisted living services are eligible to occupy these units on the same basis as elderly persons, except for

section 202 PRAC projects and unused/underutilized commercial properties.

(9) The management of the project must set up a separate waiting list for ALF units. ALF units must be for eligible residents who meet the admissions/discharge requirements as established for assisted living by State and local licensing, or HUD frailty requirements under 24 CFR 891.205 if more stringent.

(10) Costs of meals and supportive services are NOT covered by this HUD grant. These items must be paid for through other sources, e.g., a mix of resident fees and/or third party providers. Evidence of third party commitment(s) must be included as part of the application. (See Section IV(B) of this NOFA.) The assisted living supportive services program must promote independence and provide personal care assistance based on individual needs in a home-like environment (see Section VI(B)(8)(b) through (c) of this NOFA).

(11) Upon receipt of a grant under this program, all project owners participating in the ALCP must provide a Declaration of Restrictive Covenants (DRC), which will be recorded with the land, to retain the low income character of the housing, and to maintain the project (including the ALF), as a moderate, low, or very low income facility (as appropriate) for at least 20 years beyond the current 40-to-50 year term of the mortgage loan or capital advance. Recipients of grant funds to convert unused or underutilized commercial property must provide a DRC for at least 20 year or for the term of the mortgage on the property whichever is longer.

(12) This program does NOT allow permanent displacement of any resident living in the project at the time the application was submitted to HUD. (HUD will only provide temporary relocation costs for current tenants if they must vacate their unit while conversion work is underway (normal temporary relocation costs include increases in rent, reconnection of telephones, moving costs and appropriate out-of-pocket expenses)).

(13) The ALCP requires service coordination responsible for linking the ALF to services in the community which are available to low income persons. All projects funded under this NOFA must have sufficient service coordination in place, or request additional funds if appropriate, to ensure that services meeting licensing requirements are available to ALF residents on an ongoing basis. Service coordination must be described in the application (see Section VI(B)(8)(b)

through (c) of this NOFA). If you need to enhance an existing service coordination program or add one where it does not exist, you may apply for funding through the Service Coordinator NOFA, published elsewhere in this SuperNOFA, and attach a copy of the Form HUD 424M so indicating the request to the ALCP application. Alternatively, you may show evidence that funding for the enhanced service coordination is provided by other sources and indicate such funding on the HUD Form 424M which is exhibit 10(c) of your ALF application. If you are funded under this NOFA and requested new or enhanced service coordination you will be funded first under the service coordinator NOFA.

Note: If you are a Section 202 PRAC project owner or an owner with unused or underutilized commercial properties, you are NOT eligible to request funding under the service coordinator NOFA. Section 202 PRAC owners can pay for the service coordinator out of PRAC funds.

In addition to above requirements, the following applicable guidelines are stated:

(a) The ALF must be staffed either directly or through coordination with local agencies, depending on state regulations or local requirements. These may also serve non-ALF residents of the project on a time available and appropriate fee basis.

(b) The ALF may cater to the special needs of residents depending on the condition or diagnosis, such as Alzheimer's disease. If it does so, the design/environment of such facilities must accommodate those needs, e.g., dementia special care unit. However, the ALF CANNOT provide a service it is not licensed by the State or locality to provide.

Note 1: Owners of section 202/PRAC projects are reminded that they may include a PRAC payment of up to \$15/unit/month not to exceed 15% of the total program cost, consistent with 24 CFR 891.225(b)(2) to cover part of the cost of meals and/or supportive services for frail elderly residents, including residents of the ALF.

Note 2: Training for ALF staff is an eligible project cost under existing operating procedures.

For further information on ALFs, please refer to Handbook 4600.1, CHG-1, "Mortgage Insurance for Residential Care Facilities," Chapter 13. This Handbook and recent ALF program Notices are accessible through HUDCLIPS on HUD's web site. The URL for the HUDCLIPS Database Selection Screen is <http://www.hudclips.org/subscriber/cgi/legis.cgi>. These notices are in the Handbooks and Notices—Housing Notices database. Enter only

the number without the letter prefix (e.g., 99-16) in the "Document number" to retrieve the program notice.

For further guidance on service coordinators, please refer to Handbook 4381.5 REV-2, CHANGE-2, Chapter 8, "The Management Agent's Handbook," which is also available through the HUDCLIPS database.

(C) *Eligible Applicants.* Only nonprofit owners of eligible multifamily assisted housing developments specified in Section 683(2) (B), (C), (D), (E), and (F) of the Housing and Community Development Act of 1992 and nonprofit owners of an unused or underutilized commercial property are eligible for funding. To be eligible, project owners must meet the following criteria where applicable:

(1) Must be in compliance with your Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment contract, Project Rental Assistance Contract, Rent Supplement or LMSA contract, or any other HUD grant or contract document.

(2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). See Section V(B) of this NOFA for further explanation.

Note: If your eligibility status changes during the course of the grant term, making it ineligible to receive the grant (e.g., prepayment of mortgage, sale/TPA of property, or opting out of a Section 8 Housing Assistance Payment (HAP) contract), HUD retains the right to terminate the grant and recover funds made available through this NOFA.

(D) *Eligible Developments.* (1) Section 202 projects, Section 202 projects receiving rental assistance under Section 8, and Section 202 projects receiving project rental assistance under Section 202(C)(2). Rural housing projects assisted under Section 515 of the Housing Act of 1949 receiving Section 8 rental assistance are also included as are projects receiving project-based rental assistance. Projects receiving project-based rental among others, housing constructed, substantially rehabilitated or receiving moderate rehabilitation assistance under Section 8. Also included are housing financed by a below-market interest rate loan or insured mortgage under Section 221(d)(3) of the National Housing Act of housing insured, assisted or held by HUD or a State or State Agency under Section 236 of the National Housing Act that have been in occupancy for no less than five years since the date of the HUD-2485 Form "permission to occupy" permit and have completed Final Closing. Your project must:

(a) Meet HUD's Uniform Physical Conditions Standards at 24 CFR part 5, subpart G. Meeting these standards as described, means that the project, based on the most recent Real Estate Assessment Center (REAC) physical inspection report and responses thereto, must have a "satisfactory" rating as evidenced by a score of 60 or better or a HUD-approved and on schedule repair plan for developments scoring less than 60. Additionally, the project must have no uncorrected and outstanding Exigent Health and Safety violations. Finally, the project must not have on file a management review with a rating of "minimally satisfactory" or "unsatisfactory" with open and unresolved findings.

(b) Have a residual receipts account separate from the Reserve for Replacement account, or agree to establish this account as a condition for getting the award(s).

(2) Unused and underutilized commercial properties.

(E) *Ineligible Applicants.* (1) Owners of developments designed specifically for people with disabilities.

(2) Owners of Section 232 developments.

(3) Property management companies and agents of property management companies.

(4) Limited dividend partnerships.

(F) *Eligible Conversion Activities.* Eligible activities are:

(1) Retrofitting to meet Section 504 accessibility requirements, minimum property standards for accessibility and/or building codes and health and safety standards for ALFs in that jurisdiction. Examples are items such as addition of:

(a) Sprinkler systems;

(b) An elevator or upgrades thereto;

(c) Lighting upgrades;

(d) Major physical or mechanical systems of projects necessary to meet local code or assisted living requirements;

(e) Upgrading to accessible units for the ALF with moveable cabinetry, accessible appliances, sinks, bathroom and kitchen fixtures, closets, hardware and grab bars, widening of doors, etc.

(f) Upgrades to safety and emergency alert systems;

(g) Addition of hallway railings; and,

(h) Medication storage and work stations;

(2) Retrofitting to add, modify and/or outfit common space; office or related space for ALF staff including a service coordinator and file security, and/or a central kitchen/dining facility to support the ALF function (e.g., outfit lounge/common space/dining furniture, kitchen equipment for cooking/serving and dishware).

(3) Retrofitting to upgrade a regular unit to an accessible unit for a person/family with disabilities who is being displaced from an accessible unit in the portion of the project that is being converted to the ALF, where another accessible unit is not available.

(4) Temporary relocation; (Not applicable to commercial property)

(5) Consultant, architectural and legal fees, and,

(6) Vacancy payments not more than 30 days after conversion to an ALF.

(G) *Ineligible Activities.* You may not use funds available through this NOFA to:

(1) Add additional dwelling units to the existing project; (Not Applicable to commercial property)

(2) Pay the costs of any of the necessary direct supportive services needed to operate the ALF;

(3) Purchase or lease additional land;

(4) Rehabilitate (see definition at 24 CFR 891.105) the project for needs unrelated directly to the conversion of units and common space for assisted living;

(5) Use the ALCP to reduce the number of accessible units in the project that are not part of the ALF; (Not applicable to commercial property);

(6) Permanently relocate any resident out of the project; and,

(7) Increase the management fee.

IV. Program Requirements

Each applicant must comply with the following requirements:

(A) *Statutory, Regulatory, and Other Program Requirements.* You must comply with all applicable statutory requirements to the projects specified in Section 202(b) and statutory requirements under Section 232(b)(6). Please note that all ALCP projects must conform to the 500-year flood plain limitation (See Section VII of this NOFA.) Construction of ALCP units is considered a "critical action" for purposes of the flood plain requirement.

Excess Residual Receipts (over \$500/unit) and Reserve for Replacement (R4R) funds (over \$1000/unit) in Project Accounts that are not approved for another use at the time of application to HUD under this NOFA are considered available funds and must be applied towards the cost of conversion activities. Before making this determination, however, HUD staff will consider the extent of repair/replacement needs indicated in the most recent REAC physical inspection and not yet approved and any ongoing commitments such as non-grant-based service coordinator or other funding, where existing, deduct the estimated costs of such items from the R4R and

residual receipts balances to determine the extent of available residual receipts and R4R funds for the ALCP. (This paragraph is not applicable to commercial properties.)

If funded, you must also file a HUD Form-2530 for all construction contractors, architects, consultants, and service provider organizations under direct contract with you that will be engaged under this NOFA and comply with all State and local licensing, zoning and building code requirements.

(B) *Meals and Supportive Services.* You must develop and submit a Supportive Services Plan (SSP) for the services and coordination of the supportive services which will be offered in the ALF to the appropriate State or local organization(s) which are expected to provide those supportive services. (See Section VI(B)(8) of this NOFA below, for the information which must be in the SSP.) You must submit one copy of your SSP to each appropriate State or local service funding organizations well in advance of the application deadline, for appropriate review. The State or local funding organization(s) must return the SSP to you with appropriate comments and indication of funding commitment, which you will then include with the application you submit to HUD. You must ALSO submit the SSP to the appropriate organization(s) which license ALFs in your jurisdiction. The licensing agency(ies) must approve your plan, and must also certify that the ALF and the proposed supportive services identified in your SSP, are consistent with local statute and regulations and well designed to serve the needs of the frail elderly and people with disabilities who will reside in the ALF portion of your project.

Finally, you must also submit an agreement to pursue appropriate ALF licensing in a timely manner.

(C) *Minimum Size Limits for an ALF.* An ALF must be economically feasible. Consistent with HUD Handbook 4600.1, CHG-1, the minimum size for an ALF is five units.

(D) *Economic Opportunities for Low and Very Low Income Persons (Section 3).* You must comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low Income Persons), and its implementing regulations at 24 CFR part 135. You must ensure that training, employment and other economic opportunities shall, to the greatest extent feasible, be directed toward low and very low income persons, particularly those who are recipients of government assistance for housing and to business concerns

which provide economic opportunities to low and very low income persons and including people with disabilities.

(E) *Compliance with Fair Housing and Civil Rights Laws.* If you, the applicant (a) have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination; (b) are the defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or (c) have received a letter of noncompliance findings under Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, or section 109 of the Housing and Community Development Act of 1974, your application will not be evaluated under this NOFA if, the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline, HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(F) *Additional Nondiscrimination Requirements.* As you will be converting some of your project to an ALF, you should note that 24 CFR 891.120(b) requires you to meet all accessibility requirements. Additionally, you must comply with the section 504 regulations at 24 CFR part 8, the Americans with Disabilities Act and the regulations at 24 CFR part 36, as applicable.

V. Application Selection Process

(A) *Review for Curable Deficiencies.* You should ensure that your application is complete before submitting it to HUD.

HUD will screen all applications received by the deadline for curable deficiencies. With respect to correction of deficient applications, HUD may not, after the application due date and consistent with HUD's regulations in 24 CFR part 4, subpart B, consider any unsolicited information an applicant may want to provide. HUD may contact an applicant to clarify an item in the application or to correct technical deficiencies. Please note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of a response to any selection factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. *Examples* of curable

(correctable) technical deficiencies include failure to submit the proper certifications or failure to submit an application that contains an original signature by an authorized official. In each case, under this NOFA, the appropriate HUD Multifamily Hub Office will notify you in writing by describing the clarification or technical deficiency. You must submit clarifications or corrections of technical deficiencies in accordance with the information provided by the Hub Office within 14 calendar days of the date of receipt of the HUD notification. (If the due date falls on a Saturday, Sunday, or Federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or Federal holiday.) If the deficiency is not corrected within this time period, HUD will reject the application as incomplete, and it will not be considered for funding. The following is a list of the deficiencies that will be considered curable in ALCP applications:

Exhibits

(1)(a) Application Summary Sheet

* (b) Articles of Incorporation, or certification of Articles of Incorporation

* (c) By-laws, or certification of by-laws
3—Evidence of occupancy for at least five years (Not applicable to commercial facilities)

5(c)—Original project plans

5(h)—Relocation (Not applicable to commercial property)

7—Evidence of Permissive Zoning

8(g)—Support Letters from Governmental Agencies that License ALFs

(10) *Certifications and Forms*

(a) Standard Form 424, Application for Federal Assistance

(b) Standard Form 424D, Assurances Construction Programs

(c) Form HUD 424M, Federal Assistance Funding Matrix

(d) Form HUD-50070, Drug-free Workplace

(e) Form HUD-50071, Payments to Influence Federal Transactions and Standard Form-LLL, Disclosure of Lobbying Activities

(f) Form HUD 2880, Applicant/Recipient Disclosure/Update Report, including Social Security and Employment Identification numbers

(g) Form HUD-2992, Certification Regarding Debarment and Suspension,

(h) Form HUD-2991, Certification of Consistency with the Consolidated Plan (Plan), for the jurisdiction in which the Proposed ALF will be located.

(i) Executive Order 12372 Certification, a certification that you have submitted a copy of your application, if required, to the State agency (single point of contact) for State review in accordance with Executive Order 12372.

(j) Certification of Residual Receipts Account

(k) Conflict of Interest Certification

(l) Certification for ALF

(m) Combined Certification

The appropriate Hub Office will notify you in writing if your application is missing any of the exhibits listed above and you will be given 14 days from the date of receipt of the HUD notification to submit the information required to cure the noted deficiencies. The exhibits identified by an asterisk (*) must be dated on or before the application deadline date. If not so dated the application will be rejected.

After the completeness review, HUD staff will review your application to determine whether the application meets the threshold requirements listed below. Only if your application meets all the threshold requirements is it eligible to be rated and ranked.

(B) *Threshold Review.* In order to pass threshold, you must:

(1) Be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a), and as noted earlier in this NOFA under Sections III(B)(2) and IV(E).

(2) Be an eligible applicant.

(3) Not request more funds than advertised.

(4) Additionally, HUD will also reject your application if the SSP and/or commitment and support letter(s) from the appropriate funding organizations and the appropriate licensing agency(ies):

(i) Are not submitted with your application;

(ii) Indicate that the ALF units, facilities, meals and supportive services to be provided are not designed to meet the special needs of the residents who will reside in the ALF as defined in this NOFA,

(iii) Do not show commitment for funding the meals and supportive services proposed; or

(iv) Indicate that the project as proposed will not meet the licensing requirements of the appropriate State/local agency(ies).

(C) *Review Panels.* The Office of Housing's Multifamily Hubs will establish panels to review all eligible applications that have passed threshold. The panels may include knowledgeable persons not currently employed by HUD.

(D) *Rating of Applications.* (See paragraph below for selection of applications for commercial properties)

HUD staff teams will review and rate ALCP applications in accordance with the Ranking and Selection procedures (see Section V(E) of this NOFA below). All applications will be either rated or technically rejected at the end of technical review. If your application meets all program eligibility requirements after completion of technical review, it will be rated according to the rating selection factors in Section V(F) of this NOFA. HUD reserves the right to reduce the amount requested in the application if any proposed components are ineligible or if the cost of items is not deemed reasonable.

HUD will *NOT* reject an ALCP application based on technical review without notifying you of that rejection with all the reasons for the rejection, and providing you an opportunity to appeal. As discussed above, you will have 14 calendar days from the date of HUD's written notice to appeal a technical rejection to the Multifamily Hub where the applications were sent originally. HUD staff will make a determination on an appeal before finalizing selection recommendations.

(E) *Ranking and Selection Procedures.* ((E)(1)-(4) not applicable to applicants of commercial properties)

Applications submitted in response to this NOFA that are eligible, pass threshold and have a total score of 70 points (or more) are eligible for ranking and selection. (Except applications for conversion of commercial properties with a score of at least 70 points will not be ranked but will be submitted to HUD Headquarters for selection.)

(1) Hub staff teams will be established for ALCP review in each Hub to do the application ratings (see Section V(D) above). See list of Hubs in Appendix A of this NOFA.

(2) From within this rank order, Hub staff teams in each of the 18 Hubs will select the highest ranking applications from within that Hub in order, that can be funded from within the dollars available.

(3) After making the initial selections, however, Hubs may use any residual funds to select the next rank-ordered application by reducing the dollars requested by no more than 10 percent (10%) and reducing the number of units proposed, but in no case reducing the number of units below the financial threshold feasibility of five ALF units.

(4) Funds remaining after these processes are completed will be returned to HUD Headquarters. HUD will use these funds to restore units to

any project reduced as a result of using the residual grant funds in a Hub. Secondly, HUD will use these funds for selecting one or more additional applications based on the Hubs rating and rankings, beginning with the highest rated application within the 18 Hubs. Only one application will be selected per Hub from the national residual amount. If there are no approvable applications in other Hubs, the process will begin again with the selection of the next highest rated application within the remaining Hubs. This process will continue until all approvable applications are selected using the available remaining funds. If there is a tie score between two or more applications, and there are insufficient residual funds to cover all tied applications, HUD Headquarters staff will choose the winning application(s) by lottery and/or reduction of grant requests consistent with the instructions above.

(5) Up to 3 applications will be selected using the \$7.5 million set-aside to provide grant funds to nonprofit applicants proposing to convert *unused or underutilized commercial property into assisted living*. HUD Multifamily Hubs will review applications for commercial properties for completeness and compliance with the eligibility criteria set forth in Section III of this NOFA. Hub staff will forward applications to Headquarters providing 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. Headquarters will select no more than 3 applications on a first-come, first-served basis that can be funded within the \$7,500,000 available. Since applications are due from February 26, 2001, to June 21, 2001, selections may be announced and published in the *Federal Register* prior to June 21, 2001.

Note: Only applications that can be fully funded will be selected. If an application that cannot be fully funded is selected, it will be discarded and another application selected until an applicant is selected that is within the available remaining funds. Any remaining funds after this selection process will be returned to the funds allocated for eligible multifamily assisted projects.

(F) *Factors For Award Used To Evaluate and Rate Applications.* HUD will rate ALCP applications that successfully complete technical processing using the Rating Factors set forth below and in accordance with the application submission requirements identified in Section VI(B) of this NOFA, below. The maximum number of

points an application may receive under this program is 100.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Staff (15 Points)

This factor addresses your capacity to carry out the conversion in a timely, cost-conscious and effective manner. It also reviews your experience with the supportive services which the ALF intends to provide to elderly residents, especially in such areas as meals, 24-hour staffing and on-site health care. Submit information responding to this factor in accordance with Application Submission Requirements in Section VI(B)(5)(a), (8)(h), and (2)(d) of this NOFA.

In rating this factor, HUD will consider the extent to which your application demonstrates your ability to carry out a successful conversion of the project and to implement the plan to deliver the supportive services on a long term basis, considering the following:

(1) (7 points) The practicality of your plan and timetable to carry out the physical conversion of the development to the ALF.

(2) (8 points) Your past experience in providing or arranging for supportive services either on or off site for those who are frail. (If you are applying to convert an unused or underutilized commercial facility to assisted living and you do not own or operate a project with frail elderly residents, you must provide information on any past experience in providing or arranging supportive services for those who are frail.) Examples are: Meals delivered to apartment of resident or in a congregate setting (1 point), arranging for or providing personal care (2 points), providing 24-hour staffing (1 point), providing or making available on-site preventive health care (2 points) and other support services (1 point).

Rating Factor 2: Need/Extent of the Problem (25 Points)

This factor addresses the extent to which the conversion is needed by the categories of elderly persons and persons with disabilities that the ALF is intended to serve (very low income elderly persons and people with disabilities who have limitations in three or more activities of daily living). The application must provide evidence of current needs among project residents (not applicable to applications proposing to convert unused or underutilized commercial facilities) and needs of potential residents in the housing market area for such persons including economic and demographic information on very-low income frail

elderly and people with disabilities and information on current assisted living resources in the market area.

The factor also addresses your inability to fund the repairs or conversion activities from existing financial resources. In making this determination, HUD will consider project financial information or the organization's financial information for unused or underutilized commercial facilities. The Department will also review more favorably those applications which establish a connection between the proposed ALF and the community's Analysis of Impediments to Fair Housing Choice (AI) or other planning document that analyzes fair housing issues and is prepared by a local planning or similar organization. Submit information responding to this factor in accordance with Application Submission Requirements in Section VI(B)(4)(a) through (d), (2)(c) and (9)(a) through (c) of the NOFA. In evaluating this factor, HUD will consider:

(1) (10 points) The need for assisted living among the elderly and disabled residents of the project taking into consideration those currently in need and the depth of future needs given aging in place. (Not applicable to applications to convert unused or underutilized commercial facilities to assisted living.)

(2) (3 points) (15 points for applications to convert unused or underutilized commercial facilities to assisted living.) The need for assisted living among very-low income elderly persons and people with disabilities in the housing market area.

(3) (10 points) Insufficient funding for any needed conversion work, as evidenced by the project's financial statements and specifically the lack of excess reserve for replacement dollars (R4R) and residual receipts. If the available R4R and residual receipts are less than 10% of the total funds needed—10 points; if the available R4R and residual receipts are 10–50% of need = 5 points; and, if the available R4R and residual receipts are 51% or more of the total funds of needed = 0 points). For commercial properties, if the available working capital exceeds 10 percent of the total conversion = 5 points; if the working capital is less than 10 percent of the total conversion = 10 points.

Rating Factor 3: Soundness of Approach (25 Points)

This factor addresses the quality and effectiveness of your proposal in addressing the proposed conversion, effectiveness of service coordination

and management planning and the meals and supportive services which the ALF intends to provide. There must be a relationship between the proposed activities, the project's and the community's needs and purposes of the program funding for your application to receive points for this factor. Submit information responding to this factor in accordance with Application Submission Requirements in Section VI(B)(5)(b) through (e) and (h) and (7) and (B)(8)(a) through (e) and (g) and (h) of this NOFA.

In evaluating this factor, HUD will consider the following:

(1) (7 points) The extent to which the proposed ALF design will meet the special physical needs of frail elderly persons or persons with disabilities expected to be served at reasonable cost (consider the ALF design: meets needs = 7 points; ALF design partially meets needs = 3 points; and ALF design does not meet needs = 0 points).

(2) (7 points) The extent to which the ALF's proposed management and operational plan ensures that the provision of both meals and supportive services planned will be accomplished over time. (Consider ALF design/management plan: meets needs of management operations = 7 points; ALF design/management plan partially meets needs of management operations = 3 points; and ALF design/management plan does not meet needs of management operations = 0 points.)

(3) (5 points) The extent to which the proposed supportive services meet the anticipated needs of the frail elderly and disabled residents (consider Yes = 5 points; partially meets needs = 3 points; and, does not meet needs = 0 points); and

(4) (5 points) The extent to which the service coordination function is addressed and explained as onsite and sufficient, onsite and augmented or new, and addresses the ongoing procurement of needed services for the residents of the ALF (does meet = 5 points, partially meets = 3 points, does not meet = 0 points).

(5) (1 point) The extent to which there is an operating philosophy which promotes the autonomy and independence of the frail elderly persons it is intended to serve (is fully addressed = 1 point, no or not addressed = 0 points).

Rating Factor 4: Leveraging Resources (30 Points)

This factor addresses your ability to secure other community resources which can be combined with HUD's grant funds to achieve program purposes. For the ALCP to succeed, you

MUST generate local funding for the necessary supportive services to operate the ALF. HUD also encourages local funding for some of necessary conversion work, or other work needed in the project (e.g., general modernization) which is *NOT* specifically linked to the ALF).

Submit information responding to this factor in accordance with Application Submission Requirements in Section VI(B)(5)(f), (g), and (B)(8)(f) of this NOFA.

(1) (25 points) The extent to which there are commitments for the funding needed for the meals and the supportive services planned for the ALF and that the total cost of the estimated budget of the ALF is covered. Consider 90% or more commitment for the total budget with no more than 10% general support = 25 points; 80–89.9% or more commitment for the total budget with no more than 20% general support = 17 points; 65–79.9% firm commitment with no more than 35% general support = 12 points; 40–64.9% firm commitment for the total budget with no more than 60% general commitment = 7 points; less than 40% firm commitment for the total budget with no more than 60% general support = 0 points.

(2) (3 points) The extent of local organizations' support which is firmly committed to providing at least 50 percent of the total cost of ALF conversion (consider 50% or more = 3 points, 20–49.9% = 2 points, and under 20% = 0 points).

(3) (2 points) The extent of local organizational support which is firmly committed to providing funds for additional repair or retrofit necessary for the project *NOT* specifically directed to activities eligible under this NOFA (consider yes = 2 points, no = 0 points).

Rating Factor 5: Comprehensiveness and Coordination (5 Points)

This factor addresses the extent to which you have evidenced general support for conversion by participating in your community's Consolidated Planning Process, involving the residents in the planning (not applicable to applications proposing to convert unused or underutilized commercial facilities) and are working toward addressing the need in a holistic and comprehensive manner through linkages with other activities in the community. Submit information responding to this factor in accordance with Application Submission Requirements in Section VI(B)(2)(a) through (d) of this NOFA.

(1) (3 points) The involvement of project residents (including minority residents) or their representatives, in the

development of the ALCP application, and your intent to involve residents, in the development and operation of the project and in relocation planning (Minus one (1) point if not addressed); (If you are applying to convert an unused or underutilized commercial facility to assisted living, provide information on the involvement of elderly persons in the development of the ALCP application, and your intent to involve residents, in the development and operation of the project.)

(2) (1 point) The extent to which you demonstrated that you have been actively involved (or if not currently active, the steps you will take to become actively involved) in your community's Consolidated Planning/AI processes to identify and address a need/problem that is related in whole or part, directly or indirectly to the proposed project;

(3) (1 point) The extent to which you developed linkages with the community at large and the elderly and minority communities in particular and with other activities, programs or projects related to the proposed project to coordinate your activities so solutions are holistic and comprehensive.

VI. Application Submission Requirements

(A) *Application—General.* Your application must include all of the information, materials, forms, and exhibits listed in Section VI(B). In cases where your (i) articles of incorporation and (ii) by-laws have NOT changed since the project was originally approved by HUD, self-certification to that effect—that the documents on file with HUD are current—is sufficient. Items in Section VI(B) for which self-certification of currency is possible are denoted by a "****".

In addition to the relief of paperwork burden in preparing applications, you will not have to submit certain new/recent information and exhibits you have previously prepared. See individual item descriptions, below to identify such items. An example of such an item may be the FY 2000 Annual Financial Statement.

(B) General Application Requirements.

(1) Application Summary for the Assisted Living Conversion Program and Evidence that you are a private non-profit organization or nonprofit consumer cooperative and have the legal ability to operate an ALF program, per the following:

(a) Articles of Incorporation, constitution, or other organizational documents, or self-certification of these documents, if there has been no change

in the Articles since they were originally filed with HUD; **

(b) By-laws, (for non-profits) or self-certification of by-laws, if there has been no change in the by-laws since they were originally filed with HUD; **

(2) A description of your community ties and established linkages.

(a) A description of your links to the community at large and to the minority and elderly communities in particular; and

(b) A description of your efforts to involve elderly persons, including minority elderly persons and persons with disabilities in:

(i) The development of the application,

(ii) The development of the ALF operating philosophy,

(iii) Review of the application prior to submission to HUD; and

(iv) Your intent to involve elderly persons in the operation of the project or not.

Also, demonstrate that you made the application available to the residents of the project (in their language(s)) AND requested and considered comments from them (in their language(s)). Applicants of converted commercial facilities should indicate that the application will be made available to the residents of the project in their language(s) and will request and consider comments from them in their language(s).

(c) A description of your involvement in your community's Consolidated Planning and Analysis of Impediments to Fair Housing (AI) processes including:

(i) An identification of the lead/facilitating agency(ies) that organizes/administers the processes;

(ii) A listing of the Consolidated Plan/AI issue areas in which you participate;

(iii) The level of your participation in the processes, including active involvement with any neighborhood-based organizations, associations, or any committees that support programs and activities that enhance projects or the lives of residents of the projects, such as the one proposed in your application.

If you are not currently active, describe the specific steps you will take to become active in the Consolidated Planning and AI processes. (Consult the local HUD Office for the identification of the Consolidated Plan community process for the appropriate area.)

(d) A description of the linkages that you have developed with other related activities, programs or projects in order that the development of the project provides a comprehensive and holistic solution to the needs of the target population.

(3) Evidence of your project being in occupancy for at least five years as of the date of application to HUD. (Not applicable to commercial facilities)

(4) A market analysis of the need for the proposed ALF units, including information from both the project and the housing market, containing:

(a) Evidence of need for the ALF by current project residents: (Not applicable to commercial facilities)

(i) A description of the demographic characteristics of the elderly residents currently living in the project, including the current number of residents, distribution of residents by age and sex, an estimate of the number of residents with frailties/limitations in activities of daily living and an estimate of the number of residents in need of assisted living services. (Not applicable to commercial facilities)

(ii) A description of the services which are currently available to the residents and/or provided on or off-site and what services are lacking; (Not applicable to commercial facilities)

(b) Evidence of the need for ALF units by very low income elderly and disabled households in the market area; a description of the trend in elderly and disabled population and household change; data on the demographic characteristics of the very low income elderly in need of assisted living services (age, race, sex, household size and tenure) and extent of residents with frailty/limitations in existed federally-assisted housing for the elderly (HUD and Rural Housing Service); and an estimate of the very low income elderly and disabled in need of assisted living taking into consideration any available State or local data.

(c) A description of the extent, types and availability and cost of alternate care and services locally, such as: home health care, adult day care, housekeeping services, meals programs, visiting nurses, on-call transportation services, health care and providers of supportive services who address the needs of the local low income population.

(d) A description of how information in the community's Analysis of Impediments to Fair Housing Choice was used in documenting the need for the ALF (covering items in Section VI(B)(4)(a) and (b) of this NOFA).

(5) A description of the physical ALF conversion, including the following:

(a) How you propose to carry out the physical conversion (including a timetable and relocation planning).

(b) A short narrative stating the number of units, special design features, community and office space/storage, dining and kitchen facility and staff

space and the physical relationship to the rest of the project. Also, you must describe how this design will facilitate the delivery of services in an economical fashion and accommodate the changing needs of the residents over at least the next 10 years.

(c) A copy of the original plans for all units and other areas of the development which will be included in the conversion. (If you are applying to convert an unused or underutilized commercial facility to assisted living, provide a copy of the original plans of the facility).

(d) A description of the conversion must clearly address the following accessibility issues: All door openings must have a minimum clear opening of 32 ; and, all bathrooms and kitchens must be accessible to and functional for persons in wheelchairs, according to the "Uniform Federal Accessibility Standards."

(e) Architectural sketches of the conversion to a scale of 1/4 inch to one foot (1/4 = 1 - 0) that indicate the following:

(i) All doors being widened;

(ii) Typical kitchen and bathroom reconfiguration: show all wheelchair clearances, wall reinforcing, grab bars and elevations of counters and work surfaces;

(iii) Bedroom/living/dining area modification, if needed;

(iv) Any reconfigured common space;

(v) Added/reconfigured office and storage space;

(vi) Monitoring stations, and

(vii) The kitchen and dining facility.

All architectural modifications must meet section 504 and ADA requirements as appropriate.

(f) A budget showing at least estimated costs for materials, supplies, fixtures and labor for each of the items listed in Section VI(B)(5)(e), items i through vii, above.

(g) Include firm commitment letters with specific dollar amounts from appropriate organization(s) for conversion needs (within the scope of the ALF conversion NOFA) which will be supported by non-HUD funding.

(h) A description of any relocation of current tenants including a statement that: (Not applicable to commercial property applicants)

(i) Indicates the estimated cost of temporary relocation payments and other related services.

(ii) Identifies the staff organization that will carry out the relocation activities; and

(iii) Identifies all tenants that will have to be temporarily moved to another unit within the development OR from the development during the period that

the physical conversion of the project is under way.

Note: If any of the relocation costs will be funded from sources other than the ALCP grant, you must provide evidence of a firm commitment of these funds. When evaluating applications, HUD will consider the total cost of proposals (i.e., cost of conversion, temporary relocation, service coordinator and other project costs).

(6) A description of any retrofit or renovation which will be done at the project (with third party funds) that is separate and distinct from the ALF conversion. With such description, attach firm commitment letters from third party organizations in specific dollar amounts which will cover the cost of any work outside the scope of this NOFA.

(7) Evidence of permissive zoning, showing that the modifications to include the ALF into the project as proposed are permissible under applicable zoning ordinances or regulations, or a statement of the proposed action required to make the proposed project permissible and the basis for your belief that the proposed action will be completed successfully within six months of the date of grant award by HUD. e.g., a summary of the results of any requests for rezoning and/or the procedures for obtaining special or conditional use permits on land in similar zoning classifications and the time required for such rezoning, or preliminary indications of acceptability from zoning bodies, etc.;

(8) A supportive services plan (SSP), a copy of which must be submitted to the appropriate state and/or local agency as instructed in Section IV(B) of this NOFA. For those applicants needing to contact state Medicaid offices, a list is provided on the Internet at "www.hcfa.gov/medicaid/scon1.htm". The fifth character from the end is the numeral "1", not the letter "l". The SSP must include:

(a) A description of the supportive services needed for the frail elderly the ALF is expected to serve. This must include at least (i) meals and such other supportive services required locally or by the State, and (ii) such optional services or care to be offered on an "as needed" basis.

Examples of both mandatory and optional services (which will vary from state to state) are: two meals and two snacks or three meals daily; 24-hour protective oversight; personal care; housekeeping services; personal counseling and transportation.

(b) A description of how you will provide the supportive services to those who are frail and have disabilities (i.e., on or off-site or combination of on or

off-site), including an explanation of how the service coordination role will facilitate the adequate provision of such services to ALF residents, and how the services will meet the identified needs of the residents. Also indicate how you intend to fund the service coordinator role.

(c) A description of how the operation of your ALF will work. Address (i) general operating procedures, (ii) ALF philosophy and how it will promote the autonomy and independence of the frail elderly and persons with disabilities, (iii) what will the service coordination function will do and the extent to which this function already exists, or will be augmented or new, (iv) ALF staff training plans, and (v) the degree to which and how the ALF will relate to the day-to-day operations of the rest of the project.

(d) The monthly individual rate for board and supportive services for the ALF listing the total fee and components of the total fee for the items required by State or local licensing AND list the appropriate rate for any optional services you plan to offer to the ALF residents. Provide an estimate of the total annual costs of the required board and supportive services you expect to provide and an estimate of the amount of optional services you expect to provide.

(e) List who will pay for the board and supportive services, e.g., \$ for meals by sponsor, \$ for housekeeping services by city government; \$ for personal care by State Department of Health; \$ for by state program; \$ in fees by tenants; and, \$ by

The amounts and commitments from both tenants and/or providers must equal the estimated amounts necessary to cover the monthly rates for the number of people expected to be served. If you include tenant fees in the proposal, list and show any proposed scaling mechanism. All amounts committed/collected must equal the annualized cost of the monthly rates calculated by the expected percentage of units filled.

(f) A support/commitment letter from EACH listed proposed funding source per paragraph (e), above, for the planned meals and supportive services listed in the application. The letter must cover the total planned annual commitment (and multiyear amount total, if different), length of time for the commitment, and the amounts payable for each service covered by the provider/paying organization. There must be a letter from EACH participating organization listed in Section VI(B)(8)(e) of this NOFA, above.

(g) A support letter from EACH governmental agency(ies) which provides licensing for ALFs in that jurisdiction.

(h) A description of your relevant experience in arranging for and/or delivering supportive services to frail residents. (If you are applying to convert an unused to underutilized commercial facility to assisted living, provide information on your relevant experience in arranging for and/or delivering supportive services to frail elderly persons). The description should include any supportive services facilities owned/operated; your past or current involvement in any project-based programs that demonstrates your management capabilities. The description should include data on the facilities and specific meals and/or supportive services provided on a regular basis, the racial/ethnic composition of the populations served, if available, and information and testimonials from residents or community leaders on the quality of the services.

Note: If a funds request for service coordination for the ALF and/or the whole project is included as part of this application, the Form HUD-424M, indicating the dollars requested must be attached as Exhibit 10(c). Do NOT attach the whole service coordinator application.

(9) A description of your project's resources: (Not applicable to applicants of commercial property—(9)(a)–(b))

(a) A copy of the most recent project Repair and Replacement (R4R) account statement, and an R4R analysis showing plans for its use over the next five years, and any approvals received from the HUD field office to date

(b) A copy of the most recent Residual Receipts Account statement. Indicate any approvals for the use of such receipts from the field office for over \$500/unit.

(c) Annual Financial Statement (AFS). If your FY 2001 AFS was due to REAC more than 120 days BEFORE the due date June 21, 2001 for this application, in the interest of reducing work burden, only include the date that it was sent to REAC. If the AFS was due to REAC 120 days or less from the due date (June 21, 2001) of this application, you MUST include a paper copy. For commercial properties, the most recent financial statement or annual report.

(10) Forms, Certifications and Resolutions. The following exhibits, forms, certifications and assurances are required:

(a) Standard Form 424, Application for Federal Assistance and indication of whether you are delinquent on any federal debt.

(b) Standard Form 424D, Assurances, Construction Programs

(c) Form HUD-424M, Federal Assistance Funding Matrix.

(d) Form HUD-50070, Drug-free Workplace. Certification to provide a drug-free workplace.

(e) Form HUD-50071, Payments to Influence Federal Transactions and Standard Form-LLL, Disclosure of Lobbying Activities. Certification of whether any of the funds received will be used to influence any federal transactions and disclosure of these activities, if applicable.

(f) Form HUD-2880, Applicant/Recipient Disclosure/Update Report, including Social Security and Employment Identification numbers. A disclosure of assistance from other government sources received in connection with the project.

(g) Certification Regarding Debarment and Suspension (HUD-2992) (24 CFR 24.510).

(h) Form HUD-2991, Certification of Consistency with the Consolidated Plan (Plan), for the jurisdiction in which the proposed ALF will be located. The certification must be made by the unit of general local government if it is required to have, or has, a complete Plan. Otherwise, the certification may be made by the State, or by the unit of general local government if the project will be located within the jurisdiction of the unit of general local government authorized to use an abbreviated strategy, and if it is willing to prepare such a Plan.

All certifications must be made by the public official responsible for submitting the plan to HUD. The certifications must be submitted as part of the application by the application submission deadline date set forth herein. The Plan regulations are published in 24 CFR part 91.

(i) Executive Order 12372 Certification. A certification that you have submitted a copy of your application, if required, to the State agency (single point of contact) for State review in accordance with Executive order 12372.

(j) Certification of Residual Receipts Account. If you do not have an existing residual receipts account you must agree to set up one as soon as there is surplus cash available, as a condition of getting this grant award.

(k) A certified Board Resolution that no officer or director of the Owner has or will have any financial interest in any contract with the Owner or in any firm or corporation that has or will have a contract with the Owner, including a current listing of all duly qualified and sitting officers and directors by title, and

the beginning and ending dates of each person's term.

(l) Certification for ALF. Certification that you agree to apply for an ALF license with due diligence and in a timely fashion (and that the conversion will NOT be a nursing home or an Intermediate Care facility).

(m) Owner's Combined Certifications. (i) A certification of compliance with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act, the Age Discrimination Act of 1975, Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and the implementing regulations at 24 CFR part 135, the affirmative fair housing marketing requirements of 24 CFR part 200, subpart M and the implementing regulations at 24 CFR part 108, and other applicable Federal, State and local laws prohibiting discrimination and promoting equal opportunity including affirmatively furthering fair housing, and other certifications listed in the application.

(ii) Certification of Compliance with section 232 of the National Housing Act, as applicable, the Uniform Federal Accessibility Standards (24 CFR 40.7), section 504 of the Rehabilitation Act of 1973 and HUD's implementing regulations at 24 CFR part 8, and the design and construction requirements of the Fair Housing Act and HUD's implementing regulations at 24 CFR part 100, and the Americans with Disabilities Act of 1990 for all portions of the development physically affected by this proposal;

(iii) Davis-Bacon. Certification of compliance with the Davis-Bacon requirements and the Contract Work Hours and Safety Standards Act as applied to this program. While it has been determined that Davis-Bacon does not apply statutorily to the ALCP, the Department has administratively determined that Davis-Bacon standards and overtime rates in accordance with the Contract Work Hours and Safety Standards Act will be adhered to in any ALCP conversion grant in which the total cost of the physical conversion to an ALF (and including any additional renovation work undertaken at the same time) is \$500,000 or more (this includes ALCP grant funds, owner funds, or any third party funds loaned or granted in support of the conversion or other renovation for the project associated with this grant), AND in which the ALF portion of the project is 12 units or more.

VII. Environmental Requirements

Your ALCP application is subject to the National Environmental Policy Act

of 1969 and applicable related Federal environmental authorities. (See 24 CFR part 50, as applicable.) An environmental review will be completed by HUD before the award of any grant under this program. Pursuant to 24 CFR Part 55, ALCP projects are critical actions for purposes of floodplain management review.

VIII. Authority

The Assisted Living Conversion Program is authorized by Title V, section 522 of the FY 2000 Departments of Veteran's Affairs, HUD and Independent Agencies Appropriations Act, 2000 (12 U.S.C. 1701q-2).

Appendix A.—HUD Field Office List for Mailing Assisted Living Conversion Program Applications

HUD—Boston Hub

Boston Office

Room 301, Thomas P. O'Neill, Jr. Federal Building, 10 Causeway Street, Boston, MA 02222-1092, (617) 565-5234, TTY Number: (617) 565-5453

HUD—New York Hub

New York Office

26 Federal Plaza—32nd Floor, New York, NY 10278-0068, (212) 264-8000, TTY Number: (212) 264-0927

HUD—Buffalo Hub

Buffalo Office

Fifth Floor, Lafayette Court, 465 Main Street, Buffalo, NY 14203-1780, (716) 551-5755, TTY Number: (716) 551-5787

HUD—Philadelphia Hub

Philadelphia Office

The Wanamaker Building, 100 Penn Square East, Philadelphia, PA 19107-3380, (215) 656-0600, TTY Number: (215) 656-3452

HUD—Baltimore Hub

Baltimore Office

Fifth Floor, City Crescent Building, 10 South Howard Street, Baltimore, MD 21201-2505, (410) 962-2520, TTY Number: (410) 962-0106

HUD—Greensboro Hub

Greensboro Office

Koger Building, 2306 West Meadowview Road, Greensboro, NC 27407-3707, (336) 547-4000, TTY Number: (336) 547-4055

HUD—Atlanta Hub

Atlanta Office

40 Marietta Street—Five Points Plaza, Atlanta, GA 30303-2806, (404) 331-5001, TTY Number: (404) 730-2654

HUD—Jacksonville Hub

Jacksonville Office

Suite 2200, Southern Bell Tower, 301 West Bay Street, Jacksonville, FL 32202-5121, (904) 232-2626, TTY Number: (904) 232-2631

HUD—Chicago Hub

Chicago Office

Ralph H. Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604-3507, (312) 353-5680, TTY Number: (312) 353-5944

HUD—Detroit Hub

Detroit Office

Patrick V. McNamara Federal Building, 477 Michigan Avenue—17th Floor, Detroit, MI 48226-2592, (313) 226-7900, TTY Number: (313) 226-6899

HUD—Columbus Hub

Columbus Office

200 North High Street, 7th Floor, Columbus, OH 43215-2499, (614) 469-5737, TTY Number: (614) 469-6694

HUD—Minneapolis Hub

Minneapolis Office

220 Second Street, South, Minneapolis, MN 55401-2195, (612) 370-3000, TTY Number: (612) 370-3186

HUD—Ft. Worth Hub

Ft. Worth Office

801 N. Cherry Street, P.O. Box 2905, Fort Worth, TX 76113-2905, (817) 978-9000, TTY Number: (817) 978-9273

HUD—Kansas City Hub

Kansas City Office

Room 200, Gateway Tower II, 400 State Avenue, Kansas City, KS 66101-2406, (913) 551-5462, TTY Number: (913) 551-6972

HUD—Denver Hub

Denver Office

633 17th Street, Denver, CO 80202-3607, (303) 672-5440, TTY Number: (303) 672-5248

HUD—San Francisco Hub

San Francisco Office

Philip Burton Federal Building and U.S. Courthouse, 450 Golden Gate Avenue, P.O. Box 36003, San Francisco, CA 94102-3448, (415) 436-6550, TTY Number: (415) 436-6594

HUD—Los Angeles Hub

Los Angeles Office

611 West 6th Street, Suite 800, Los Angeles, CA 90017-3106, (213) 894-8000, TTY Number: (213) 894-8133

HUD—Seattle Hub

Seattle Office

Seattle Federal Office Building, 909 1st Avenue, Suite 200, Seattle, WA 98104-1000, (206) 220-5101, TTY Number: (206) 220-5185

Note: The first line of the mailing address for all offices is the U.S. Department of Housing and Urban Development. Telephone numbers listed are not toll free.

Appendix B

HUD—Boston Hub

Hartford Office

One Corporate Center, 19th Floor, Hartford, CT 06103-3220, (860) 240-4800, TTY Number: (860) 240-4665

Boston Office

Room 375, Thomas P. O'Neill, Jr. Federal Building, 10 Causeway Street, Boston, MA 02222-1092, (617) 565-5234, TTY Number: (617) 565-5453

Manchester Office

Norris Cotton Federal Building, 275 Chestnut Street, Manchester, NH 03101-2487, (603) 666-7681, TTY Number: (603) 666-7518

Providence Office

Sixth Floor, 10 Weybosset Street, Providence, RI 02903-2808, (401) 528-5230, TTY Number: (401) 528-5403

HUD—New York Hub

New York Office

26 Federal Plaza, New York, NY 10278-0068, (212) 264-8000, TTY Number: (212) 264-0927

HUD—Buffalo Hub

Buffalo Office

Fifth Floor, Lafayette Court, 465 Main Street, Buffalo, NY 14203-1780, (716) 551-5755, TTY Number: (716) 551-5787

HUD—Philadelphia Hub

Philadelphia Office

The Wanamaker Building, 100 Penn Square East, Philadelphia, PA 19107-3380, (215) 656-0600, TTY Number: (215) 656-3452

Charleston Office

Suite 708, 405 Capitol Street, Charleston, WV 25301-1795, (304) 347-7000, TTY Number: (304) 347-5332

Newark Office

Thirteenth Floor, One Newark Center, Newark, NJ 07102-5260, (973) 622-7900, TTY Number: (973) 645-3298

Pittsburgh Office

339 Sixth Avenue, Sixth Floor, Pittsburgh, PA 15222-2515, (412) 644-6428, TTY Number: (412) 644-5747

HUD—Baltimore Hub

Baltimore Office

Fifth Floor, City Crescent Building, 10 South Howard Street, Baltimore, MD 21201-2505, (410) 962-2520, TTY Number: (410) 962-0106

Washington, DC Office

820 First Street, NE, Suite 300, Washington, D.C. 20002-4205, (202) 275-9200, TTY Number: (202) 275-0772

Richmond Office

The 3600 Centre, 3600 West Broad Street, Richmond, VA 23230-4920, (804) 278-4500, TTY Number: (804) 278-4501

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HUD—Greensboro Hub

Greensboro Office

Koger Building, 2306 West Meadowview Road, Greensboro, NC 27407-3707, (336) 547-4000, TTY Number: (336) 547-4055

Columbia Office

Strom Thurmond Federal Building, 1835-45 Assembly Street, Columbia, SC 29201-2480, (803) 765-5592, TTY Number: (803) 253-3071

HUD—Atlanta Hub

Atlanta Office

Richard B. Russell Federal Building, 75 Spring Street, S.W., Suite 600, 40 Marietta Street—Five Points Plaza, Atlanta, GA 30303-3388 2806, (404) 331-5136 5001, TTY Number: (404) 730-2654

San Juan Office

Edificio Administracion de Terrenos, 171 Carlos Chardon Avenue, Suite 301, San Juan, PR 00918-0903, (787) 766-5400, TTY Number: (787) 776-5609

Louisville Office

601 West Broadway, P.O. Box 1044, Louisville, KY 40201-1044, (502) 582-5251, TTY Number: 1-800-648-6056

Knoxville Office

Third Floor, John J. Duncan Federal Building, 710 Locust Street, Knoxville, TN 37902-2526, (423) 545-4384, TTY Number: (423) 545-4559

Nashville Office

Suite 200, 251 Cumberland Bend, Nashville, TN 37228-1803, (615) 736-5213, TTY Number: (615) 736-2886

HUD—Jacksonville Hub

Jacksonville Office

Suite 2200, Southern Bell Tower, 301 West Bay Street, Jacksonville, FL 32202-5121, (904) 232-2626, TTY Number: (904) 232-2631

Birmingham Office

Suite 300, Beacon Ridge Tower, 600 Beacon Parkway, West, Birmingham, AL 35209-3144, (205) 290-7617, TTY Number: (205) 290-7624

Jackson Office

Suite 910, Doctor A.H. McCoy Federal Building, 100 West Capitol Street, Jackson, MS 39269-1096, (601) 965-4700, TTY Number: (601) 965-4171

HUD—Chicago Hub

Chicago Office

Ralph H. Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604-3507, (312) 353-5680, TTY Number: (312) 353-5944

Indianapolis Office

151 North Delaware Street, Indianapolis, IN 46204-2526, (317) 226-6303, TTY Number: (317) 226-7081

HUD—Detroit Hub

Detroit Office

Patrick V. McNamara Federal Building, 477 Michigan Avenue, Detroit, MI 48226-2592, (313) 226-7900, TTY Number: (313) 226-6899

Grand Rapids Office

Trade Center Building, 50 Louis Street, NW, Third Floor, Grand Rapids, MI 49503-2648, (616) 456-2100, TTY Number: (616) 456-2159

HUD—Columbus Hub

Columbus Office

200 North High Street, 7th Floor, Columbus, OH 43215-2499, (614) 469-5737, TTY Number: (614) 469-6694

Cleveland Office

Renaissance Building, 1350 Euclid Avenue, Suite 500, Cleveland, OH 44115-1815, (216) 522-4058, TTY Number: (216) 522-2261

HUD—Minneapolis Hub

Minneapolis Office

220 Second Street, South, Minneapolis, MN 55401-2195, (612) 370-3000, TTY Number: (612) 370-3186

Milwaukee Office

Suite 1380, Henry S. Reuss Federal Plaza, 310 West Wisconsin Avenue, Milwaukee, WI 53203-2289, (414) 297-3214, TTY Number: (414) 297-1423

HUD—Ft. Worth Hub

Little Rock Office

Suite 900, TCBY Tower, 425 West Capitol Avenue, Little Rock, AR 72201-3488, (501) 324-5931, TTY Number: (501) 324-5931

New Orleans Office

Ninth Floor, Hale Boggs Federal Building, 501 Magazine Street, New Orleans, LA 70130-3099, (504) 589-7200, TTY Number: (504) 589-7279

Ft. Worth Office

801 N. Cherry Street, P.O. Box 2905, Fort Worth, TX 76113-2905, (817) 978-9000, TTY Number: (817) 978-9273

Houston Office

Suite 200, Norfolk Tower, 2211 Norfolk, Houston, TX 77098-4096, (713) 313-2274, TTY Number: (713) 834-3274

San Antonio Office

Washington Square, 800 Dolorosa Street, San Antonio, TX 78207-4563, (210) 475-6800, TTY Number: (210) 475-6885

HUD—Great Plains

Des Moines Office

Room 239, Federal Building, 210 Walnut Street, Des Moines, IA 50309-2155, (515) 284-4512, TTY Number: (515) 284-4728

Kansas City Office

Room 200, Gateway Tower II, 400 State Avenue, Kansas City, KS 66101-2406, (913) 551-5462, TTY Number: (913) 551-6972

Omaha Office

Executive Tower Centre, 10909 Mill Valley Road, Omaha, NE 68154-3955, (402) 492-3100, TTY Number: (402) 492-3183

Saint Louis Office

Third Floor, Robert A. Young Federal Building, 1222 Spruce Street, St. Louis, MO 63103-2836, (314) 539-6583, TTY Number: (314) 539-6331

Oklahoma City Office

500 West Main Street, Suite 400, Oklahoma City, OK 73102-2233, (405) 553-7401, TTY Number: 1-800-877-8339

HUD—Denver Hub

Denver Office

633 17th Street, Denver, CO 80202-3607, (303) 672-5440, TTY Number: (303) 672-5248

HUD—San Francisco Hub

Phoenix Office

Suite 1600, Two Arizona Center, 400 North 5th Street, Phoenix, AZ 85004-2361, (602) 379-4434, TTY Number: (602) 379-4464

San Francisco Office

Philip Burton Federal Building and U.S. Courthouse, 450 Golden Gate Avenue, P.O. Box 36003, San Francisco, CA 94102-3448, (415) 436-6550, TTY Number: (415) 436-6594

Honolulu Office

Suite 500, 7 Waterfront Plaza, 500 Ala Moana Boulevard, Honolulu, HI 96813-4918, (808) 522-8185, TTY Number: (808) 522-8193

HUD—Los Angeles Hub

Los Angeles Office

611 West 6th Street, Suite 800, Los Angeles, CA 90017-3106, (213) 894-8000, TTY Number: (213) 894-8133

HUD—Seattle Hub

Portland Office

400 Southwest Sixth Avenue, Suite 700, Portland, OR 97204-1632, (503) 326-2561, TTY Number: (503) 326-3656

Note: The first line of the mailing address for all offices is the U. S. Department of Housing and Urban Development. Telephone numbers listed are not toll free.

Appendix C

The non-standard forms required for the ALCP application.

BILLING CODE 4210-32-P

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 \$24.2 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.

Application Deadline: June 21, 2001.

Match. None.

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 June 21, 2001 at the address shown below.

See the General Section of this SuperNOFA for specific procedures concerning the form of application submission (e.g., mailed applications,

express mail, overnight delivery, or hand carried).

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/grants>.

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/grants>.

II. Amount Allocated

(A) *Available Funding.* This NOFA makes available approximately \$ 24.2 million in Fiscal Year (FY) 2001 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, 2001 (Pub.L. 106-377, 114 Stat. 1441, approved October 27, 2000).

The amount of available funds has decreased from last year, due to an additional funding action required to correct a HUD error in processing FY 2000 applications. Ten eligible applications submitted to the Denver Multifamily Hub Office were not included in HUD Headquarters' final database of FY 2000 eligible applications. Had they been correctly included, they would have been selected to receive an award. To correct this error, HUD will fund the following ten applications from the current allocation, prior to making new awards:

Recipient name	Development name	City, State	Grant amt.
The Salvation Army, a California Corporation	The Salvation Army Westminster Adams Silvercrest	Denver, CO	\$56,427
Redi Corporation	Redi II-V	Denver, CO	113,709
Sage Tower Retirement Apartments	Sage Tower Retirement Apartments	Billings, MT	43,566
Skyline Lodge, Inc	Skyline Lodge	Choteau, MT	62,603
Missoula Manor Homes	Missoula Manor Homes	Missoula, MT	103,055
Denver Metro Village, Inc	Metro Manor	Denver, CO	146,430
Martha's Terrace Housing Corporation	Martha's Terrace Apartments	Magna, UT	39,262
Multi-Ethnic East Housing Corporation	Preston Place	Salt Lake City, UT	72,914
Multi-Ethnic East Housing Corporation	Multi-Ethnic Senior Citizen Housing ..	Salt Lake City, UT	112,175
Converse County Senior Housing, Inc	Payne Plaza	Douglas, WY	44,308
Total	794,449

HUD will use the remaining \$25 million appropriated this year to provide one-year extensions to expiring Service Coordinator and Congregate Housing Services Program 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 \$5 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 2000, HUD awarded 259 grants for a total of \$28,374,263. Three of the 259 grants were awarded to ALCP grant recipients, for a total of \$504,931.

(B) *Maximum Grant Award.* There is no maximum grant amount. The grant amount you request must be consistent with the staffing guidelines provided in the application kit and your proposed salary must 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 request processing under 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). Section 8 approvals must be consistent with current policy. Your local HUD Field Office staff may approve budget-based funding for a Service Coordinator at any time, as long as available funds in your budget allow for this increase. You are not required to apply for these grant funds prior to seeking budget-based funding for a Service Coordinator.

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 are 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 REVISION-2, CHANGE-2, Chapter 8 for further guidance on service coordinators. This Handbook is accessible through HUDCLIPS on HUD's web site at <http://www.hudclips.org>. The Handbook is in the Handbooks and Notices—Housing Notices database. Enter the Handbook number in the "Document Number" field to retrieve the Handbook.

As was the case in FY 2000, there is no minimum unit number for eligible developments. In proposing a Service Coordinator program at a small development, however, you must be careful to conform to the hiring guidelines provided in the application kit. Funding is also allowed to augment current Service Coordinator programs and to continue programs in cases where current or previous funding sources are no longer available. Please refer to Sections III.D and III.F, below.

The American Homeownership and Economic Opportunity Act of 2000 (signed December 27, 2000) expanded the scope of the Service Coordinator program. This Act now allows owners of eligible developments to provide service coordination to low-income elderly or disabled families living in the vicinity of the development. You have the option to serve such community residents as a part of your proposed program to provide coordination to current residents of an eligible development. The objective of this expanded authority is to help additional low-income elderly and disabled individuals age in place and live independently as long 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 and must be owners of developments assisted under the following programs:

(a) Section 202 and 202/8,

(b) Existing Section 8 project-based and moderate rehabilitation developments (including Rural Housing Service (RHS) Section 515/8 and Section 221(d)(4)),

(c) Section 221(d)(3) below-market interest rate, and 236 developments that are insured or assisted.

(2) Additionally, developments listed in paragraphs 1 (a), (b), and (c) 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) Are 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. 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) You have completed Final Closing on the development.

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

(e) 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 an approved plan for developments scoring less than 60.

(f) Are in compliance with their regulatory agreement, HAP Contract, and other outstanding directives.

(g) Section 202 developments must have a residual receipts account separate from the Repair and Replacement account, or agree to establish this account. This requirement does not apply to Sections 8, 221(d)(3) below-market interest rate, or 236 developments.

(h) 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.

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 REVISION-2, CHANGE-2, Chapter 8.

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 budget 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(1) of this NOFA) that do not have a readily available source of funding for this position.

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.

(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 discontinue 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 provided by the Department through program Notices beginning in FY 1992. HUD currently provides one-year extensions to these subsidy awards 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.

(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 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.

(4) 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) *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(G)(7) of the General Section of this SuperNOFA.

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

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 or 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 \$5 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 consistent with the staffing guidelines provided in the application kit and your proposed salary must be supported by evidence of comparable salaries in your area.

(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 a HUD-424-M "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:

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 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 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 December 21, 2001.

(7) A bank statement showing the current residual receipts or surplus cash balance in the development's account.

(8) Applicant Data Input Form.

(9) 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

(b) The nondiscrimination in employment requirements of Title VII of the Civil Rights Act of 1964 (42 U.S.C. 2000e et seq.), the Equal Pay Act (29

U.S.C. 206(d)), the Age Discrimination in Employment Act of 1967 (29 U.S.C. 621 et seq.), Title IX of the Education Amendments Act of 1972, and Titles I and V of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.).

(10)(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 HUD regulations at 24 CFR parts 84 and 85.

(b) Owners applying on behalf of developments using the AAF 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.

(11) 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

Section 808 of the Cranston-Gonzalez National Affordable Housing Act (Pub. L. 101-625, approved November 28, 1990), as amended by sections 671, 674, 676, and 677 of the Housing and Community Development Act of 1992 (Pub. L. 102-550, approved October 28, 1992), and section 851 of the American Homeownership and Economic Opportunity Act of 2000 (Pub. L. 106-569, approved December 27, 2000).

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 35209-3144, OFC Phone: (205) 290-7611, FAX: (205) 290-7632

Alaska

Multifamily Housing Hub, HUD Seattle Office, 909 First Avenue, Suite 190, MS-

0AHM, Seattle, WA 98104-1000, OFC Phone: (206) 220-5228 ext. 3250, FAX: (206) 220-5206

Arizona

Multifamily Housing Program Center, HUD Phoenix Office, 400 North Fifth Street, Suite 1600, Phoenix, AZ 85004-2361, OFC Phone: (602) 379-4434, FAX: (602) 379-3985

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) 436-8996

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) 656-0609 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 20012-4205, OFC Phone: (202) 275-9200, 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, S.W., 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, 909 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) 886-2729

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 70130-3099, 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 02222-1092, OFC Phone: (617) 565-5162, FAX: (617) 565-6557

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, N.W., Grand Rapids, MI 49503-2648, OFC Phone: (616) 456-2100, FAX: (616) 456-2191

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 39269-1096, 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) 551-6844, FAX: (913) 551-5469
Multifamily Housing Program Center, HUD St. Louis Office, Robert A. Young Federal Building, 1222 Spruce Street—Third Floor, St. Louis, MO 63103-2836, OFC Phone: (314) 539-6382, FAX: (314) 539-6356
- Montana**
Multifamily Housing Hub, HUD Denver Office, 633 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
- Nevada**
Multifamily Housing Program Center, HUD Las Vegas Office, 333 N. Rancho Drive—Atrium Bldg. Suite 700, Las Vegas, NV 89106-3714, OFC Phone: (702) 388-6525, FAX: (702) 388-6244
- 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 07102-5260, 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 43215-2499, OFC Phone: (614) 469-5737, Ext. 8111, FAX: (614) 469-2432
Multifamily Housing Program Center, HUD Cincinnati Office, 525 Vine Street, Suite 700, Cincinnati, OH 45202-3188, OFC Phone: (513) 684-2350, FAX: (513) 684-6224
Multifamily Housing Program Center, HUD Cleveland Office, 1350 Euclid Avenue, Suite 500, Cleveland, OH 44115-1815, OFC Phone: (216) 522-4058 Ext. 7000, FAX: (216) 522-4067
- Oklahoma**
Multifamily Housing Program Center, HUD Oklahoma City Office, 500 W. Main Street, Suite 400, Oklahoma City, OK 73102-2233, OFC Phone: (405) 553-7410, FAX: (405) 553-7406
- Oregon**
Multifamily Housing Hub, HUD Seattle 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) 656-0609 Ext. 3533, FAX: (215) 656-3427
Multifamily Housing Program Center, HUD Pittsburgh Office, 339 Sixth Avenue—Sixth Floor, Pittsburgh, PA 15222-2515, OFC Phone: (412) 644-6639, FAX: (412) 644-5872
- 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 Waybosset Street, Sixth Floor, Providence, RI 02903-2808, 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 37902-2526, OFC Phone: (423) 545-4411, FAX: (423) 545-4578
- Multifamily Housing Program Center, HUD—Nashville Office, 251 Cumberland Bend Drive, Suite 200, Nashville, TN 37228-1803, OFC Phone: (615) 736-5748, FAX: (615) 736-2018**
- 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
Multifamily Housing Program Center, HUD Houston Office, 2211 Norfolk, #200, Houston, TX 77098-4096, OFC Phone: (713) 313-2274 Ext. 7015, FAX: (713) 313-2319
Multifamily Housing Program Center, HUD San Antonio Office, 800 Dolorosa, San Antonio, TX 78207-4563, OFC Phone: (210) 475-6831, FAX: (210) 472-6897
- Utah**
Multifamily Housing Hub, HUD Denver Office, 633 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, 909 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 53203-2289, 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:

BILLING CODE 4210-32-P

STANDARD FORMS AND HUD FORMS

Application for Federal Assistance

OMB Approval No. 0348-0043

1. Type of Submission Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. Date Submitted (mm/dd/yyyy)	Applicant Identifier
		3. Date Received by State (mm/dd/yyyy)	State Application Identifier
		4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier

5. Applicant Information

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

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

-

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

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

9. Name of Federal Agency

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

Title: -

11. Descriptive Title of Applicant's Project

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

13. Proposed Project		14. Congressional Districts of	
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	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.	\$.00

Complete form HUD-424-M, Funding Matrix

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

a. Yes This pre-application/application was made available to the State Executive Order 12372 Process for review on:

Date (mm/dd/yyyy) _____

b. No Program is not covered by E.O. 12372

or Program has not been selected by State for review.

17. Is the Applicant Delinquent on Any Federal Debt?

Yes If "Yes," attach an explanation No

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

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

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 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item | Entry | Item | Entry |
|------|--|------|---|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | 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. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
- "New" means a new assistance award.
- "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.
- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project. | | |

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.

Program*	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
Grand Totals							

* 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.

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

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

Section C - Non-Federal Resources

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

Section D - Forecasted Cash Needs

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

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

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

Section F - Other Budget Information

21. Direct Charges

22. Indirect Charges

23. Remarks

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Prescribed by OMB Circular A-102

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

General Instructions

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

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

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

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

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

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

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

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Prescribed by OMB Circular A-102

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

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

Line 5—Show the totals for all columns used.

Section B. Budget Categories

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

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

Line 6j—Show the amount of indirect cost.

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

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

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

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

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
- (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

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SF-424B (Rev. 4/92)
Prescribed by OMB Circular A-102

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

Budget Information—Construction Programs

OMB Approval No. 0348-0041

Cost Classification	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Column a-b)
1. Administrative and legal expenses	\$.00	.00	\$.00
2. Land, structures, rights-of-way, appraisals, etc.	\$.00	.00	\$.00
3. Relocation expenses and payments	\$.00	.00	\$.00
4. Architectural and engineering fees	\$.00	.00	\$.00
5. Other architectural and engineering fees	\$.00	.00	\$.00
6. Project inspection fees	\$.00	.00	\$.00
7. Site work	\$.00	.00	\$.00
8. Demolition and removal	\$.00	.00	\$.00
9. Construction	\$.00	.00	\$.00
10. Equipment	\$.00	.00	\$.00
11. Miscellaneous	\$.00	.00	\$.00
12. Subtotal	\$.00	.00	\$.00
13. Contingencies (sum of lines 1-11)	\$.00	.00	\$.00
14. Subtotal	\$.00	.00	\$.00
15. Project (program) income	\$.00	.00	\$.00
16. Total Project Costs (subtract #15 from #14)	\$.00	.00	\$.00
Federal Funding			

Note: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case you will be notified.

17. Federal assistance requested, calculate as follows: Enter eligible costs from line 16c ----- Multiply x ----- %
 (Consult Federal agency for Federal percentage share).
 Enter the resulting Federal share. \$.00

Instructions for HUD-424C

Public reporting burden for this collection of information is estimated to average 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. Send comments regarding this 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 (0348-0041), Washington, D.C. 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 sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions please contact the Federal agency.

Column a.—If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "Cost Classifications."

If this application entails a change to an existing award, enter the eligible amounts approved under the previous award for the items under "Cost Classification."

Column b.—If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is not allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

Column c.—This is the net of lines 1 through 16 in columns "a." and "b."

Line 1—Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchase of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2—Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3—Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4—Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5—Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6—Enter estimated engineering inspection costs.

Line 7—Enter estimated costs of site preparation and restoration which are not included in

the basic construction contract.

Line 9—Enter estimated cost of the construction contract.

Line 10—Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11—Enter estimated miscellaneous costs.

Line 12—Total of items 1 through 11.

Line 13—Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14—Enter the total of lines 12 and 13.

Line 15—Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16—Subtract line 15 from line 14.

Item 17—This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

SF-424C (Rev. 4/92)
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Assurances — Construction Programs

OMB Approval No. 0348-0042

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 assistance 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 assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. 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.
8. 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).
9. 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.
10. 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 prohibit 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.L. 93-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other non-discrimination Statute(s) which may apply to the application.
11. 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.
12. Will comply 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.

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SF-424D (Rev. 4/92)
Prescribed by OMB Circular A-102

Certification for a Drug-Free Workplace

Applicant Name _____

Program/Activity Receiving Federal Grant Funding _____

- 13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
- 14. Will comply 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.
- 15. 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 floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
- 16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
- 18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
- 19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

- (1) The dangers of drug abuse in the workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here if there are workplaces on file that are not identified on the attached sheets.

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

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

Name of Authorized Official	Title
Signature	Date

X

**Certification of Payments
to Influence Federal Transactions**

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

Applicant Name

Program/Activity Receiving Federal Grant Funding

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

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

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

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

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

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

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

Name of Authorized Official

Title

Signature

Date (mm/dd/yyyy)

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for instructions and Public Reporting burden statement)

1. Type of Federal Action <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only year (yyyy) _____ quarter _____ date of last report (mm/dd/yyyy) _____
4. Name and Address of Reporting Entity <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known _____	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime Congressional District, if known _____	
6. Federal Department/Agency	7. Federal Program Name/Description CFDA Number, if applicable _____	
8. Federal Action Number, if known	9. Award Amount, if known \$ _____	
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI)	b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI)	
(attach continuation sheet(s) if necessary)		
11. Amount of Payment (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	13. Type of Payment (check all that apply) <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other (specify) _____	
12. Form of Payment (check all that apply) <input type="checkbox"/> a. cash <input type="checkbox"/> b. In-kind; specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11 (attach continuation sheet(s) if necessary)		
15. Continuation sheets attached <input type="checkbox"/> Yes <input type="checkbox"/> No		
16. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature _____ Print Name _____ Title _____ Telephone No. _____ Date (mm/dd/yyyy) _____	

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Standard Form-LLL (7/97)**

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just the time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) are attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

**DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET**

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

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.

Authorized for Local Reproduction
Standard Form-LLL (7/97)

Authorized for Local Reproduction
Standard Form - LLL-A

**Applicant/Recipient
Disclosure/Update Report**

U.S. Department of Housing
and Urban Development

OMB Approval No. 2510-0011 (exp. 1/31/2001)

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

Applicant/Recipient Information Indicate whether this is an Initial Report or an Update Report

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). <input type="checkbox"/> Yes <input type="checkbox"/> 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 <input type="checkbox"/> Yes <input type="checkbox"/> 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:

- 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
- 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: X	Date: (mm/dd/yyyy)
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Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §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 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 (filed 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 applicant 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.; or contract, grant, or loan No.) Include prefixes.

number of structural costs, such 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.

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 structure" to include a

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 63 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 Fed. 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

U.S. Department of Housing
and Urban Development

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

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

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

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

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

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

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

9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Certification of Consistency with the EZ/EC Strategic Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ), Enterprise Community (EC), an Urban Enhanced Enterprise Community, or a Strategic Planning Community.
(Type or clearly print the following information)

Applicant Name _____

Name of the Federal Program to which the applicant is applying _____

Name of EZ/EC _____

I further certify that the proposed activities/projects will be located within the EZ/EC/Urban Enhanced EC or Strategic Planning Community and will serve the EZ/EC/Urban Enhanced EC or Strategic Planning Community residents. (2 points)

Name of the Official Authorized to Certify the EZ/EC _____

Title _____

Signature _____

Date (mm/dd/yyyy) _____

Applicant		Date
Signature of Authorized Certifying Official	Title	

**Certification of Consistency
with the Consolidated Plan**

U.S. Department of Housing
and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.
(Type or clearly print the following information:)

Applicant Name: _____

Project Name: _____

Location of the Project: _____

Name of the Federal
Program to which the
applicant is applying: _____

Name of
Certifying Jurisdiction: _____

Certifying Official
of the Jurisdiction
Name: _____

Title: _____

Signature: _____

Date: _____

**Acknowledgment of
Application Receipt**

U.S. Department of Housing
and Urban Development

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

(fold line)

Type or clearly print the following information:

Name of the Federal
Program to which the
applicant is applying: _____

To Be Completed by HUD

- HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.
- HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:
 - Enclosed
 - Being sent under separate cover

Processor's Name _____

Date of Receipt _____

You are our Client! Your comments and suggestions, please!

The Department of Housing and Urban Development in preparing this Notice of Funding Availability and application forms, has tried to produce a more user friendly, customer driven funding process. Please let us have your comments and recommendations for improvements to this document. You may leave this form attached to your application, or feel free to detach the form and return it to:

The Department of Housing and Urban Development
Office of Grants Management and Compliance
Room 2182
451 7th Street, SW
Washington, DC 20410

Please Provide Comments on HUD's Efforts:

The NOFA (insert title) _____

is: (please check one)

- (a) is clear and easily understandable
(b) better than before, but still needs improvement (please specify)

(c) other (please specify)

The application form (insert title) _____

is: (please check one)

- (a) is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.
(b) is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

Name & Organization (Optional):

Are additional pages attached? Yes No

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Housing and Urban
Assisted living

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Washington, DC 20410

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GENERAL SECTION
SERVICE COORDINATOR
ALCP



HUD-2001-13-SN
February 2001
<http://www.hud.gov>

2A-ALC