

[Docket No. N-95-3909; FR-3904-N-02]

**Notice of Submission of Proposed Information Collection to OMB; Section 202 Supportive Housing for the Elderly—Application Submission Requirements**

**AGENCY:** Office of Assistant Secretary for Housing—Federal Housing Commissioner, HUD.

**ACTION:** Notice of submission of proposed information collection section 202 supportive housing for the elderly—application submission requirements for FY 1995.

**SUMMARY:** The proposed information collection requirement described below has been submitted to the Office of Management and Budget (OMB) for expedited review, as required by the Paperwork Reduction Act. The Department is soliciting public comments on the subject proposal.

**ADDRESS:** Interested persons are invited to submit comments regarding this proposal. Comments must be received within seven (7) days from the date of this Notice. Comments should refer to the proposal by name and should be sent to: Joseph F. Lackey, Jr., OMB Desk Officer, Office of Management and Budget, New Executive Office Building, Washington, DC 20503.

**FOR FURTHER INFORMATION CONTACT:** Kay F. Weaver, Reports Management Officer, Department of Housing and Urban Development, 451 7th Street, Southwest, Washington, DC 20410, telephone number (202) 708-0050. This is not a toll-free number. Copies of the proposed forms and other available documents submitted to OMB may be obtained from Ms. Weaver.

**SUPPLEMENTARY INFORMATION:** This Notice informs the public that the Department of Housing and Urban Development has submitted to OMB, for expedited processing, an information collection package with respect to the application submission requirements for the Section 202 Supportive Housing Program for the Elderly. HUD is requesting a seven-day OMB review of this information collection.

The funds for this project development and construction assistance, which are capital advances

and project rental assistance contracts, were appropriated by the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1995, (Pub. L. 103-327, enacted September 28, 1994).

HUD intends to make available \$510,518,387 in capital advance assistance which will produce approximately 7,409 units of supportive housing for the elderly. HUD also will make available sufficient project rental assistance funds to help cover the project's operating cost. These funds will be provided to private nonprofit organizations and nonprofit consumer cooperatives to expand the supply of supportive housing for the elderly.

This Section 202 application submission package describes the contents of the application package and includes the forms and other information an applicant needs to file an application. The Section 202 application consists of 11 exhibits which are evaluated by HUD to determine (1) the applicant's eligibility to participate in the program; (2) the applicant's ability (financially and administratively) to develop and operate the proposed project; (3) the need for the supportive housing in the area to be served; (4) the extent to which the applicant has site control; (5) the suitability of the site; (6) the adequacy of the provision of supportive services; (7) the adequacy of the proposed facility; and (8) that the applicant has properly certified to comply with the various governmental requirements, Executive Orders, etc.

The Department has submitted the proposal for the collection of information, as described below, to OMB for review, as required by the Paperwork Reduction Act (44 U.S.C. Chapter 35);

- (1) the title of the information collection proposal;
- (2) the office of the agency to collect the information;
- (3) the description of the need for the information and its proposed use;
- (4) the agency form number, if applicable;
- (5) what members of the public will be affected by the proposal;

(6) how frequently information submission will be required;

(7) an estimate of the total number of hours needed to prepare the information submission including the number of respondents, frequency of response, and hours of response;

(8) whether the proposal is new or an extension, reinstatement, or revision of an information collection requirement; and

(9) the names and telephone numbers of an agency official familiar with the proposal and of the OMB Desk Officer for the Department.

**Authority:** Section 3507 of the Paperwork Reduction Act, 44 U.S.C. 3507; Section 7(d) of the Department of Housing and Urban Development Act, 42 U.S.C. 3535(d).

Dated: May 24, 1995.

**Jeanne K. Engel,**

*General Deputy Assistant Secretary for Housing—Federal Housing Commissioner.*

**Notice of Submission of Proposed Information Collection to OMB**

**Proposal:** Section 202 Supportive Housing Program for the Elderly—Application Submission Requirements, FR-3904.

**Office:** Office of Assistant Secretary for Housing—Federal Housing Commissioner.

**Description of the Need for the Information and Its Proposed Use:**

This information collection is required in connection with the application submission requirements for the Section 202 Supportive Housing Program for the Elderly. HUD intends to make available \$510,518,387 in capital advance assistance to expand the supply of supportive housing for the elderly. This information collection describes the contents of the application package which is used by HUD to determine the acceptability of the requests for capital advance assistance.

**Form Number:** HUD-92015-CA

**Respondents:** Private Nonprofit Organizations and Nonprofit Consumer Cooperatives

**Frequency of Submission:** Annually  
**Reporting Burden:**

	Number of respondents	Frequency of Response	Hours per response	Burden hours
Application package .....	600	1	41.3	22,500

**Total Estimated Burden Hours:** 22,500

**Status:** Reinstatement with Change

**Contact:** Margaret F. Milner, HUD (202) 708-4542; Joseph F. Lackey, Jr., OMB (202) 395-7316.

Dated: May 24, 1995.

**Section 202 Application Submission Requirements OMB No. 2502-0267****A. Supporting Statement****1. Need for Information**

The Section 202 program, amended by the National Affordable Housing Act (NAHA) of 1990 and the Housing and Community Development Act of 1992, provides capital advances to private nonprofit organizations and nonprofit consumer cooperatives to expand the supply of supportive housing for the elderly. In order to ensure that only eligible private nonprofit organizations and nonprofit consumer cooperatives are selected, it is important to obtain information from prospective applicants to assist HUD in determining if they have the administrative capacity to develop such a project and whether the project design and proposed services meet the needs of the residents. These factors are critical in meeting statutory requirements and in protecting the Department's financial interest in projects funded under this program.

In keeping with the Department's commitment to streamline the Section 202 application submission package, the Department met with representatives of Section 202 nonprofit organizations, housing consultants and other program staff to discuss ideas for revamping the Section 202 application submission package to make it less burdensome to Section 202 applicants without compromising the Federal Government's financial interest in the project.

More recently, the Department held two working group sessions to identify further ways to streamline the Section 202 program and make it more consumer friendly. The working groups consisted of Sponsors of Section 202 projects and HUD staff. Additionally, the Department conducted a Section 202 consumer forum in which program beneficiaries, primarily elderly residents and potential residents, expressed their concerns about the quality of living in existing Section 202 projects and provided ideas for improving the program and projects. The supporting justification as contained herein reflects the results of the Department's meetings and telephone conversations with the private sector and HUD program staff.

The Section 202 application submission package for the fund reservation was approved by OMB under No. 2502-0267 which expired in December 1994. The Department is requesting reinstatement of OMB No. 2502-0267 to permit the Department to collect the information identified in this submission.

The Department has an on-going commitment to identify ways to simplify the process by which the Section 202 program is administered (including the application submission requirements) so that it can be more consumer friendly. Because of this commitment, the Department wanted greater participation from the private sector in revising the program. To accomplish this, additional time was needed to arrange for and conduct the various working group sessions with the private sector and other program staff, and to evaluate the recommendations resulting from these sessions. As a result of this public-private effort, the Department was unable to make the final revisions to the application submission package prior to the OMB expiration date.

Based on our previous years' experience, the Department receives far more applications than available resources can fund. In Fiscal Year (FY) 1994, the Department received 492 applications requesting some 26,364 units of housing and could only select for funding 164 applications for some 7,819 units of housing.

Because the Department has continued to reduce program requirements at the fund reservation stage and because the program provides for capital advances (in lieu of loans), the Section 202 program is expected to attract more nonprofit organizations. It is anticipated that the number of applications received will exceed those received in FY 1994. In view of the highly competitive nature of the Section 202 program, it is necessary to have the responses comply with prescribed application requirements in order to form a basis for HUD's evaluation in selecting applications.

The application submission requirements, summarized below, were developed after much consultation with the professionals in the field of providing housing for the elderly and were intended to not only reduce the paperwork burden to the nonprofit applicants but to minimize their front-end expenditures in putting together an application package. This is important because only a small percentage of the universe of applications received ultimately are funded.

**Contents of Application Package**

The contents of the Application for a Section 202 Fund Reservation have been reorganized and reduced from five parts and 22 exhibits to four parts and 11 exhibits. Included with the 11 exhibits are six prescribed forms; five are required and one is optional.

There are 15 certifications in the application package. Eleven of the certifications have been combined into a single document as a convenience to the applicant. The four components of the application submission package are:

- Part 1—Application for Section 202 Supportive Housing Capital Advance  
Part 2—Sponsor's Ability to Develop and Operate the Proposed Project  
Part 3—Need for Supportive Housing in Area to be Served, Extent to Which Sponsors has Site Control, and Suitability of Site; Adequacy of Provision of Supportive Services and of the Proposed Facility  
Part 4—General Application requirements and Certifications

All of the required application exhibits are specifically identified in Section 889.270(b) of the Section 202 regulations, as amended.

2. The Section 202 application submission requirements are necessary to assist HUD in determining an applicant's eligibility and capacity to develop housing for the elderly consistent with prescribed statutory and program criteria. A thorough evaluation of an applicant's qualifications and capabilities is critical in protecting the Federal Government's financial interest and to mitigate any possibility of fraud, waste or mismanagement or public funds.

The procedures for information collection requires the prospective applicant to submit its Section 202 application to the appropriate local HUD Office by the nationally established deadline date (usually between March and June). Local HUD Office evaluate applications based on established criteria (identified in Section 889.300 of the regulations), rate the applications and make selection recommendations to Headquarters (usually by the first week of September). Applicants are notified of selection or nonselection generally by September 30. This process occurs once a year.

The purpose and use of the four components of the application exhibits are briefly described below:

- (a) Part 1—Application for Section 202 Supportive Housing—Capital Advance

*Exhibit 1:* This exhibit requires applicants to submit Form HUD-92015-CA, Request for Section 202 Fund Reservation—Summary Information. This is a relatively new form which replaced Form HUD-92013, Application for Multifamily Housing Project, at the fund reservation stage. Form HUD-92015-CA was specifically designed to require the minimum information needed about the project for HUD

review at this stage. The form identifies the applicant and its known development team members as well as collects basic information with regard to the proposed project's characteristics. It is used by HUD staff to obtain basic information regarding the proposed project. Since this Form is only used at the fund reservation stage, in the previous clearance submission to OMB, we requested that it be assigned the same OMB number as this submission (i.e., 2502-0267). It inadvertently was assigned OMB No. 2502-0462 which relates to the Section 811 application submission package.

**(b) Part 2—Sponsor's Ability To Develop and Operate the Proposed Project**

*Exhibit 2:* This exhibit requests the submission of organizational documents, IRS tax exemption ruling, and a Resolution, which also includes a listing of all officers and directors, concerning Conflict of Interest to assure that no officer or director has a financial interest in the project. It is important to note that not all applicants will have to submit all of the information asked for in this exhibit. Applicants who have received a Section 202 fund reservation within the last three funding cycles are not required to submit their organizational documents and IRS tax exemption rulings. Instead, these applicants must submit only the project numbers of their latest application and any modifications to these documents, if any.

*Exhibit 3:* This exhibit requests narrative descriptions of the applicant's experience in operating rental housing projects as well as its experience with programs other than housing such as the provisions of services. This information includes the applicant's experience in serving the elderly and minorities. This information will assist HUD in determining the applicant's over-all previous experience and capacity to operate the proposed project over an extended period of time. This is consistent with the statute which requires applicants to be selected on, among things, their ability to develop and operate the proposed housing.

In addition, the statute provides for the local coordination of services by requiring, among things, that applicants have management capacity to coordinate the provision of services and seek on a continuous basis new sources of assistance for the provision of supportive services tailored to the individual needs of the residents. In order to assess the applicant's ability to carry out these statutory requirements, the applicant is required to submit a

statement evidencing its ties to the community, including minority support, in which the proposed project is to be built as well as a statement regarding its purposes and activities.

Under this part, the applicant also submits a narrative description of its contracting experience with minority and women-owned businesses pursuant to Executive Orders 11625, 12432 and 12138, as well as its efforts to involve elderly persons, including minority elderly persons, in the development of the application and its intent to involve such persons in the development of the project.

Included in this exhibit is a certified Resolution from the applicant's Board acknowledging its responsibilities of sponsorship and long-term support of the project, along with its willingness to fund the minimum capital investment, estimated start-up expenses, and the cost of any amenities or features that cannot be covered by the capital advance.

It is important to note that many applicants will experience some relief of paperwork burden in preparing this exhibit because applicants that have participated in prior funding competitions will be able to utilize information and exhibits from previously prepared applications. Some examples include information regarding previous experience in the provision of housing and services, supportive services plan, community ties, and experiences serving minorities.

**(c) Part 3—Need for Supportive Housing in Area to be Served, Extent to Which Sponsor has Site Control, and Suitability of Site; Adequacy of Provision of Supportive Services and of the Proposed Facility**

*Exhibit 4:* This exhibit requests information pertaining to the categories of elderly persons to be served, proposed site (including environmental condition of the site), proposed design of the facility, provision of supportive services, and demand for the proposed housing. Also, the applicant must include a map showing the racial composition and location of facilities and services of the area where the project is to be located and Form HUD-92013E, Supplemental Application Processing Form—Housing for the Elderly (OMB No. 2502-0232).

Information relative to the site and proposed residents is necessary to assure that the proposed site is acceptable from an environmental and locational standpoint for the intended use and the applicant has control of the site as well as can obtain proper zoning. In addition, the information is needed to

determine the market needs and demand for supportive housing for the elderly in the area to be served by the proposed project.

Form HUD-92013E is used by the applicant to identify supportive services, if any, to be provided to proposed residents of the housing. In granting the previous approval to collect information under 2502-0267, OMB conditioned the approval on the correction of two forms, one, of which, was Form HUD-92013E. OMB specified that the Department must accurately reflect the burden in the disclosure statement. The disclosure statement for this form is contained on the top of the second page and it reflects 8 burden hours. The reporting of 8 burden hours is correct for this form and this submission package has been revised to reflect 8 burden hours for this form.

In addition to describing the proposed services, the applicant provides information about (1) any public or private sources of assistance expected to fund the proposed services; (2) the manner in which the services will be provided; (3) the building design and how the design will facilitate the delivery of services and accommodate the changing needs of the residents; and (4) how and if the proposed project will promote energy efficiency, including any innovative construction or rehabilitation methods.

This information is evaluated to determine the adequacy of the provision of such services and how such services will be funded; how the services and building design will meet the identified needs of the residents as well as accommodate the aging in place of the residents over the years. This is important because the NAHA requires HUD to ensure that supportive services are provided which are tailored to the needs of the type of elderly persons (including the frail elderly) occupying the housing. HUD funds (Project Rental Assistance Contract funds) may be used to cover a small portion (15 percent) of the cost for such services. The balance of the service cost must be provided from other sources.

Information with respect to the promotion of an energy efficient building design will be used to assist HUD in determining compliance with the energy efficiency standards in accordance with Section 109 of NAHA. The information required under this Exhibit is in accordance with the NAHA.

**(d) Part 4—General Application Requirements and Certifications**

*Exhibit 5:* To assist HUD in determining if the applicant is over-

committed, the applicant submits for HUD's review a list of all Section 202 and Section 811 applications submitted for the current fiscal year funding round, and a list of projects previously funded which have not finally closed. This is information that an applicant that participated in a prior year can easily update, if necessary, and resubmit for the current year.

**Exhibit 6:** Form HUD-2880, Applicant/Recipient Disclosure/Update Report (OMB No. 2525-0101), is required by Section 102 of the HUD Reform Act of 1989. The applicant uses this form to disclose any other government assistance that may be provided in connection with the proposed project as well as to report its Social Security Numbers or Employee Identification Numbers. This information assists HUD to ensure that the applicant does not receive more assistance than is necessary to develop and operate the proposed project.

**Exhibit 7:** This exhibit is a certification, to be completed by the Section 202 applicant, that the application was submitted to the State for its review or that the State was contacted and it was determined that a State review was not required. This certification is required by OMB in accordance with Executive Order 12372.

**Exhibit 8:** This is a Guide Form, titled Project Data on Occupancy, Displacement and Real Property Acquisition (Form HUD-40087), and its use is *optional*. An applicant, at its option, may use to report information relative to the acquisition of property and the relocation or displacement of occupants in cases where the applicant proposes to acquire property which is occupied. This information is consistent with the requirements of the Uniform Relocation Assistance and Real Property Acquisition Act of 1970, as amended.

In granting the previous approval to collect information under 2502-0267, OMB conditioned the approval on the correction of two forms, one, of which, was Form HUD-40087. OMB specified that the Department must accurately reflect the burden in the disclosure statement. This form is exempt from the burden disclosure requirements because it is only a "guide" form to be used at the option of the applicant. It is only included in the application package as a convenience to the applicant. The applicant is not required to submit this form. The information regarding any relocation activities may be submitted in narrative form.

**Exhibit 9:** Information requested on Form SF-424, Application for Federal Assistance (OMB No. 0348-0043), serves a dual purpose. Pursuant to

Executive Order 12372, the applicant submits this form to the State which is used by the State to initiate the intergovernmental review process. The applicant also uses the form to certify that it is not delinquent on any Federal debt which is an OMB requirement.

**Exhibit 10:** The applicant provides the Form SF-LLL, Disclosure of Lobbying Activities (OMB No. 0348-0046), to indicate if other than federally appropriated funds have been or will be used to lobby the Executive or Legislative branches of the Federal Government pursuant to Title 31 U.S.C. Section 1352.

**Exhibit 11:** This exhibit represents the consolidation of the following ten certifications into a single document, thereby requiring one signature for all. These certifications are required by governmental actions, Executive Orders, etc. and are used to review the applicant's intent to comply with the (1) Civil Rights, Fair Housing and Equal Opportunity laws; (2) Drug-Free Workplace Act; (3) HUD's design and cost standards including the Uniform Federal Accessibility Standards and Section 504 of the Rehabilitation Act of 1973; (4) acquisition relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended; (5) requirement to form an Owner after issuance of the capital advance; (6) Davis-Bacon Act Provisions; (7) requirement that the project be consistent with the Consolidated Plan for the appropriate jurisdiction; (8) Flood Disaster Protection Act of 1973; (9) National Environmental Policy Act; (10) Anti-Lobbying Prohibition; and (11) requirement regarding the truth and accuracy of the information contained in the application.

Included in this exhibit also is a guide format for use by the public official responsible for developing the Consolidated Plan to indicate whether or not the proposed activities are consistent with the Consolidated Plan or the previous year's Comprehensive Housing Affordability Strategy (CHAS) if the Consolidated Plan has not yet started.

In the absence of collecting the above information, the Department would not be able to assess the worthiness of the applications, determine whether the facilities and services meet statutory and regulatory requirements, or make sound judgements regarding the potential risk to the Government.

3. Each fiscal year (near the beginning of the funding cycle), HUD issues a Notice pertaining to application submission requirements. During this

process, the Department reevaluates the application submission requirements to identify ways to reduce the burden to the applicants. Because the Section 202 program had changed drastically when it was converted to a capital advance program, the Department made major revisions to the application package at that time. More recently, in response to feedback from the professionals in the field of developing Section 202 housing, the Department made further major changes to streamline the program. This has resulted in less paperwork for the applicants. Therefore, in revising the application package, consideration was given to modifying it to require the minimum of information needed by HUD to conduct the program in accordance with the NAHA, statutory and regulatory requirements and, at the same time, to establish a selection system which is equitable to all participants. The information described under Item 2 above represents the minimum information acceptable to HUD. Further, as mentioned in Item No. 2 above, many applicants will experience a tremendous relief from paperwork burden because they will not have to spend time preparing "new" information to complete an Exhibit. In some cases, those applicants that have participated in this program in the past will be able to utilize previously submitted information.

4. No duplication exists, as there are no other forms or exhibits used for the purposes specified under Item 2 herein. Individual applications are evaluated and rated by HUD on the merits of the responses submitted with the application. Each application is unique. The information contained in each application relates to a particular Sponsor proposing a specific project, design, site, etc., and, as such, the information collected from applicants will be significantly different per application.

Also, the Department implemented a new requirement which relieves a previously funded applicant of the burden of submitting certain documents (e.g., the organization's Articles of Incorporation, By-Laws and IRS tax exemption ruling). Further, since FY 1991 when the program was converted to a capital advance program, HUD has been reviewing and modifying the application submission requirements to assure that only necessary information is being requested of applicants. HUD has taken into consideration suggestions made by the private sector in modifying the application submission requirements.

5. Due to the highly competitive nature of the Section 202 program, the

application submission requirements were developed in a way to minimize the front-end cost to the nonprofit applicant and only require the minimum amount of information needed in HUD's evaluation. This is important due to the fact that only a small percentage of the universe of applications received ultimately get selected. For example, although applicants may still obtain the services of a housing consultant, information on the consultant is no longer required to be submitted at this stage. HUD review and approval of the consultant will be done at a later stage and only for those projects which are ultimately selected for funding.

Also, eliminated at the fund reservation stage is the submission of Form HUD-92530, regarding the applicant's previous participation in HUD programs and Form HUD-92013 Supplement, Supplement to Application for Multifamily Housing Project. The submission and review of these forms have been deferred to a subsequent processing stage. Sponsors no longer have to submit sketches of the site plans which included typical unit and floor plans, making it unnecessary for an applicant to have to obtain input from an architect at this stage. Other major documents recently eliminated at this stage are the applicants's financial statements and a narrative description of the applicant's financial history. The elimination of these documents will result in a tremendous relief of paperwork burden to small and minority applicants.

The Department has consolidated several of the certification forms into a single document for the applicant's convenience.

Also, the Department has prepared sample Application Packages which include all the required forms and materials necessary to put together an Application Package. The sample Application Packages will be made available to all applicants well in advance of the deadline date for submission of applications.

Local HUD Offices are required to conduct workshops to provide needed guidance to applicants in preparing the application packages. In an effort to assist the small sponsoring organizations as well as first-time applicants, HUD staff also conducts pre-workshops especially designed for them.

In addition to the above, HUD recognizes that some applicants, who are sincerely interested in providing housing, may lack the staff and other resources to develop such a project. Therefore, in recognition of the need for

these applicants to use the services of professional housing consultants, HUD permits a reasonable fee for consultant's services to be included in the Section 202 capital advance. The consultant may assist the applicant in preparing the Application Package to request a Section 202 Capital Advance and throughout the final development of the project should the applicant be selected for funding.

6. Currently, the information collection activities occur annually to coincide with the receipt of annual fiscal year appropriations for the program. Each year, Congress appropriates funds with which to select new applications. HUD, in turn, invites applications and makes selections based on the funds available for the year. These funds are normally exhausted at the end of each fiscal year. The Section 202 regulations require HUD to publish a Notice of Fund Availability (NOFA) in the **Federal Register** when such funds are made available by Congress. The regulations also require HUD to specify a deadline date for receipt of applications. In order for HUD to accept an application, the application must have been submitted in response to a specific NOFA and Invitation requesting such an application and by the closing date stated in the Invitation. As the funding cycle for the program occurs annually, including the Invitations for Applications, it is not possible to require the submission of this information less frequently.

7. Part 5 CFR 1320.6 lists 10 items that OMB will not approve for information collection, unless it can be demonstrated that the collection of information is necessary to satisfy statutory requirements or other substantial need.

This request for information is consistent with the guidelines under 5 CFR 1320.6 with the exception of one item. Subparagraph (c) of the above CFR indicates OMB's disapproval of requiring respondents to submit more than an original and two copies of any document. HUD requires applicants to submit an original and four copies of the Section 202 Application. The changes to the application submission requirement resulted in a better organized Application Package. As the program is administered on an annual basis, processing of the application must be accomplished in an expeditious manner in order that decisions regarding selections of applications and reservations of funds can be made prior to the end of the fiscal year (September 30).

During the course of processing the applications, eight HUD technical

disciplines are involved in the review process: staff from Valuation, Architectural and Engineering, Housing Management, Fair Housing and Equal Opportunity, Economic and Market Analysis, Community Planning and Development, the Multifamily Housing Representative and the Office Counsel. These HUD staff members are required to comment on the approvability of each application received.

Because of the (1) various HUD staff involved in the review process, (2) tremendous volume of applications received each fiscal year, and (3) the commitment to obligate funds by the fiscal year-end, HUD requires concurrent reviews of the applications by the aforementioned HUD staff to assure prompt processing with minimum interruption. For example, additional information or clarification is often needed from applicants to permit HUD to make a fair and complete review. The requirement for simultaneous reviews promotes a more efficient, time-saving method to provide applicants a single notification regarding all deficiencies noted as a result of a full review from each HUD technical discipline.

HUD needs more than an original and two copies of the application in order to carry out the above procedures for concurrent reviews.

8. This OMB request is the result of on-going telephone conversations, meetings and workshops HUD staff recently held with Section 202 nonprofit Sponsors, housing consultants, elderly residents and potential residents, and other interested HUD program staff. The Department consulted with various housing professionals representing the types of Sponsors that generally participate in the Section 202 program; i.e., minority organizations, small organizations and nonminority organizations. Following is a list of some of the housing professionals (Housing Consultants and Section 202 Sponsors) that HUD consulted with by telephone, meetings and/or workshop sessions:

Judy Ponds, Housing Services, 1234 4th Street SW., Washington, DC 20024, (202) 488-1639

Sam Simmons, National Center on Black Aged, 1424 K Street NW., Suite 500, Washington, DC 20005, (202) 637-8400

Nick Smyrnis, AHEPA Management Corp., 7202 N. Shadeland Ave., Indianapolis, IN, (317) 845-3410

Jane Graf, Mercy Charities Housing, 1028A Howard Street, San Francisco, CA 94103, (415) 487-6825

Mark Olshan, B'nai B'rith, 1640 Rhode Island Avenue, NW., Washington, DC 20036, (202) 857-6580

Alan Patricio, P.O. Box 53274, Atlanta, GA 30355, (404) 237-9877

Joe Howell, 815 15th Street NW., Washington, DC 20005, (202) 393-3044

Randy Speaker, Bank IV Towers, 534 Kansas Avenue, Suite 910, Topeka, KS 66603, (913) 232-8338

Harrison Joseph, Nat'l Baptist Convention, 338 Washington Street, Newark, OH 43005, (614) 258-7998

Tom Slemmer, Nat'l Church Residences, 2335 N. Bank Drive, (614) 451-2151

Don Redfoot, American Assn. for Retired Persons, 601 E Street NW., Washington, DC 20049, (202) 434-2277

Jose Fabregas, CODEC, Inc., 300 SW 12th Street, Suite A, Miami FL 33130, (305) 642-1361.

Additionally, inasmuch as this OMB request is submitted in accordance with 24 CFR 889.270, as amended, the promulgation procedure for regulations allows sufficient participation by outside agency contacts to review and comment on the application materials.

9. HUD does not assure confidentiality.

10. The application submission requirements do not contain any sensitive questions.

11. *Provide estimates of annualized cost to the Federal Government and to the respondents.*

(a) *Estimate of Cost to Federal Government:* Inasmuch as the majority of the work involved in reviewing the

applications is performed at the local HUD Office level, the significant costs attributable to the promulgation of the application requirements will be the cost involved in reviewing the information submitted by applicants. Outstanding program procedures require the following reviews performed by the various Field Office staff. The cost to the Federal Government is based on an average salary at the GS-12 level, except for the Office Counsel and the Clerical Assistant which is at the GS-14 and GS-7 levels, respectively. Also, included is the cost associated with the preparation and printing of the HUD Application Package for use by the applicants in putting together their individual Application Packages.

#### Reviews

HUD staff	Total time per application (hours)	Hourly rate	Total
Multifamily housing representative .....	3	\$22	\$66
Architectural .....	1	22	22
Valuation .....	3	22	66
Economic and market analysis .....	1	22	22
Fair housing and equal opportunity .....	1	22	22
Housing management .....	1	22	22
Community planning and development .....	1	22	22
Field office counsel .....	3	31	93
Clerical assistant .....	0.5	13	6.5
 Total staff time—per application .....	 14.5	 .....	 \$341.5
Total annual number of responses .....	.....	.....	*x600
 Total annual staff time cost to government .....	 .....	 .....	 204,900
Other cost for all applications:			
Printing/reproducing HUD application package (600 copies) .....	.....	.....	700
Postage (600 copies x \$3.00) .....	.....	.....	1,800
Multifamily Clearinghouse (Mailing Services) .....	.....	.....	**5,000
 Total other cost .....	 .....	 .....	 7,500
Total estimated annual cost to government .....	.....	.....	212,400

\* See Item 12 below for an explanation.

\*\* The Department now utilizes the services of a Multifamily Clearinghouse to maintain a national mailing list for Section 2020 Applications and to mail out the applications. Most applicants will receive their packages through the mail. However, some applicants will be handed copies of the Application Packages at the HUD-held workshops.

(b) *Estimate of cost to Respondents:* In estimating the cost to the applicants, it should be noted that in order to comply with the revised program requirements, the applicant may retain an attorney. In addition, as many nonprofit organizations do not have in-house expertise or a staff to develop an application, a housing consultant is usually hired by the applicant. The applicant is a nonprofit organization and as such provides its services at no cost. In view of this, the following illustrates the estimated cost to the public:

Housing consultant (\$40 per hour) .....	\$1,092
Applicant (sponsor) .....	(**) .....

Attorney .....	1,000
Total cost per respondent .....	2,092
Total annual number of responses .....	*x600
Total estimated annual cost for all applicants .....	1,255,200

\* See Item 12 below for an explanation.  
\*\* Pro bono.

This reflects no change in the cost to the applicant from the previous OMB submission. Beginning this year, the Department is requiring the applicant to include as part of Exhibit 4 information about the environmental condition of the proposed site. An adjustment was made to take into consideration the

additional time and cost that will be incurred by the applicant to inspect the proposed site for this purpose. Also, an adjustment was made to the burden hour time associated with Form HUD-92013E, Supplemental Application Processing Form—Housing for the Elderly, to comply with OMB's conditions for approval. However, these adjustments (increases) are offset by the reduction of burden hour time associated with the elimination of the financial documents.

It should be noted that many professionals work on a retainer basis and if the application does not obtain HUD approval, they do not collect a fee. The figures presented above are based on our own experience, as well as

consultation with housing professionals in the field.

12. Although for Fiscal Year 1994 HUD received approximately 500 Section 202 applications, it is anticipated that because the Department has further simplified the application submission requirements coupled with the fact that the program provides capital advances in lieu of loans, the number of applicants will increase beyond the Fiscal Year 1994 level. It is anticipated that the level of activity will average 600 applications annually over the next three years. Although the program funding cycle is on an annual basis, each prospective applicant could submit more than one application. However, our estimate of time involved is based on one application per applicant.

To assist the applicant in putting together an Application for a Fund Reservation, the Department developed an Application Package consisting of the information, forms and materials needed by the applicant to assemble an application. The HUD Application Package, which will be made available to all applicants, is expected to aid in reducing the applicant's and housing consultant's time and effort in putting together an application.

Given the above and using the categories presented in the illustration in Item 11(b) above, the estimated amount of hours involved in developing a complete application submission is as follows:

	Hours
Housing consultant .....	27.3
Attorney .....	2.0
Applicant (sponsor) .....	12.0
<b>Total .....</b>	<b>41.3</b>

These figures are based on HUD's experience, as well as consultation with housing professionals in the field.

This reflects a slight decrease (1 hour from the previous OMB submission (from 42.3 to 41.3 hours). This represents the net result of adjusting the burden time associated with Form HUD-92013E, the exhibit regarding project information to include an environmental review of the site by the applicant and the elimination of the applicant's financial documents.

A Tabulation of Annual Reporting Burden is shown in Table 1. It should be noted that Exhibits 4, 6, 9 and 10 already have OMB clearances as shown in the Table. These information collections are common to many of our programs and our request for clearance was calculated to include the burden associated for all program uses. The burden shown in Table 1 for Exhibits 4, 6, 9 and 10, therefore, reflects our estimate applicable to the Section 202 program. No adjustment to the previously cleared Exhibits 4, 6, 9 and 10 is required.

13. The primary reduction of 6,377 in the total burden hours (from 28,877 to 22,500) is due to a change in

information requested in the application, specifically, the elimination of the financial documents, and a decrease in the number of applicants (from 788 to 600) expected to submit applications this fiscal year. A minor adjustment to the applicant's burden time (associated with Exhibit 4) was made to include the additional time an applicant will need to perform an environmental inspection of the proposed site. In the past, most applicants would generally inspect the site to determine its acceptability for developing a project for the elderly, which included inspecting it for potential environmental problems. However, because the Department is specifically requiring that an environmental inspection be performed, we have adjusted the applicant's burden time to include this function. An adjustment also was made to Form HUD-92013E to provide for the 8 hour burden time as reported in the disclosure statement on the form. However, in view of the elimination of the financial documents and the decrease in applicant participation, the net result is a reduction in total burden hours.

15. Not applicable.

*B. Collections of Information Employing Statistical Methods.*

Not applicable.

BILLING CODE 4210-27-M

TABLE I - TABULATION OF ANNUAL REPORTING BURDEN

DESCRIPTION OF INFORMATION COLLECTION (APPLICATION SUBMISSION REQUIREMENTS)	SECTION OF CFR AFFECTED	NUMBER OF RESPONDENTS	NUMBER OF RESPONSES PER RESPONDENT	TOTAL ANNUAL RESPONSES	HOURS PER RESPONSE	TOTAL HOURS BURDEN
<b>PART 1: Exhibit 1,</b> Form HUD-92015-CA (OMB 2502-0267)*	889.270(b) (1)	600	1	600	.5	300
<b>PART 2: Exhibit 2,</b> Evidence of Sponsor's Nonprofit Status	889.270(b) (2)	600	1	600	2.0	1200
" Exhibit 3, Description of Purpose, Community Ties and Experience	889.270(b) (9) (10) (11) (12) (13)	600	1	600	8.0	4800
<b>PART 3: Exhibit 4,</b> Project Information	889.270(b) (16) (17) (18) (19) (20)	600	1	600	21.5	12900
<b>PART 4: Exhibit 5,</b> Statement on Other 202 or 889.270(b) (14)	600	1	600	2.0	1200	
" Exhibit 6, Form HUD-2880, Applicant Disclosure Report (OMB 2525-0101)	889.270(b) (15)	600	1	600	2.5	1500
" Exhibit 7, Certification on EO 12372	889.270(b) (4)	600	1	600	0.4	240
" Exhibit 8, Guide Form to Report Data on Project Displacement and Real Property Acquisition (Form HUD-40087)	889.270(b) (7) 30**	1	30	4.0	120	

DESCRIPTION OF INFORMATION COLLECTION (APPLICATION SUBMISSION REQUIREMENTS)	SECTION OF CFR AFFECTED	NUMBER OF RESPONDENTS	NUMBER OF RESPONSES PER RESPONDENT	TOTAL ANNUAL RESPONSES	HOURS PER RESPONSE	TOTAL HOURS OVER ROUTE
PART 4: Exhibit 9, Form SP-424, Application for Federal Assistance (OMB 0348-0043)	EXEMPT PER 5 CFR PART 1320					
PART 10, Exhibit 10, Form SP-1011, Disclosure of Lobbying Activities (OMB 0348-0046)	EXEMPT PER 5 CFR PART 1320					
PART 11, Exhibit 11, Certifications (Includes Consolidated Plan Certification From Local Public Official)	889.270(b) (8)	600	1	600	0.4	240
<b>TOTALS</b>		<b>600</b>	<b>1</b>	<b>600</b>	<b>41.3</b>	<b>22,500</b>

\* Form HUD-92015-CA was assigned OMB No. 2502-0462 in error; however, it should have been assigned OMB No. 2502-0267 which is the OMB number for this clearance package. Refer to the narrative justification for an explanation.

\*\* Based on experience, no more than 5 percent of the proposals will involve relocation.

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**TABLE OF CONTENTS**

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**PART I - APPLICATION FOR SECTION 202 SUPPORTIVE  
HOUSING - CAPITAL ADVANCE** PAGE

**EXHIBIT 1:** Form HUD-92015-CA, Application for  
Section 202 Supportive Housing  
Capital Advance

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**PART II - SPONSOR'S ABILITY TO DEVELOP AND OPERATE THE PROPOSED  
PROJECT**

**EXHIBIT 2:** Legal Status of each Nonprofit or  
Consumer Cooperative Sponsor:

- a. Articles of Incorporation (or other organizational documents)
  - b. By-laws
  - c. IRS Tax Exemption Ruling
  - d. Conflict of interest Resolution
- 
- 
- 
- 

[NOTE: SPONSORS WHO HAVE RECEIVED A SECTION 202 FUND RESERVATION WITHIN THE LAST THREE FUNDING CYCLES ARE NOT REQUIRED TO SUBMIT THE DOCUMENTS DESCRIBED IN (a), (b), and (c), ABOVE. INSTEAD, SPONSORS MUST SUBMIT THE PROJECT NUMBER OF THE LATEST APPLICATION AND THE HUD OFFICE TO WHICH IT WAS SUBMITTED. IF THERE HAVE BEEN ANY MODIFICATIONS OR ADDITIONS TO THE SUBJECT DOCUMENTS, INDICATE SUCH, AND SUBMIT THE NEW MATERIAL.]

**EXHIBIT 3: Sponsor's purpose, community ties and experience:**

- (a) A description of Sponsor's purposes and activities, ties to the community and minority support and how long it has been in existence (include any additional related information);
- (b) A description of Sponsor's housing and/or supportive services experience. The description should include any rental housing projects and/or medical facilities, sponsored, owned and operated by the Sponsor, the Sponsor's past or current involvement in any programs other than housing that demonstrates the Sponsor's management capabilities and experience and the Sponsor's experience in serving the elderly and/or families and minorities;
- (c) A description of Sponsor's experience in contracting with minority and women-owned businesses including a summary of the total amount awarded in each of the two categories for the preceding three years and the percentage that amount represents of all contracts awarded by the Sponsor in the relevant time period;
- (d) A certified Board Resolution

- (e) Description, if applicable, of the Sponsor's efforts to involve elderly persons, including minority elderly persons, in the development of the application as well as its intent to involve elderly persons in the development of the project. (Bonus)
- 

**PART III - NEED FOR SUPPORTIVE HOUSING IN THE AREA TO BE SERVED, EXTENT TO WHICH THE SPONSOR HAS SITE CONTROL, AND SUITABILITY OF SITE; ADEQUACY OF PROVISION OF SUPPORTIVE SERVICES AND OF THE PROPOSED FACILITY**

**EXHIBIT 4: Project information**

- (a) Evidence of need for supportive housing
- 
- (b) Description of the project which includes:
- (1) Narrative description of the building design including a description of any special design features and community space, and how this design will facilitate the delivery of services in an economical fashion and accommodate the changing needs of the residents over the next 10-20 years.
- 
- (2) Describe if and how the project will promote energy efficiency and if applicable, innovative construction or rehabilitation methods or technologies to be used that will promote efficient construction
-

(c) Evidence of site control and permissive zoning:

- (1) Evidence that the Sponsor has entered into a legally binding option agreement to buy or lease the proposed site
- (2) Evidence that the project as proposed is permissible under applicable zoning ordinances or regulations
- (3) Narrative description of site and area surrounding the site, characteristics of neighborhood, how the site will promote greater housing opportunities for minorities, and any other information that impacts on the suitability of the site for the elderly
- (4) A map showing the location of the site and the racial composition of the neighborhood, with the area of racial concentration delineated
- (5) A Transaction Screen Process and a Phase I Environmental Site Assessment

(d) Provision of supportive services and proposed facility:

- (1) A detailed description of the supportive services proposed to be provided to the anticipated occupancy

- (2) Form HUD 92013E, Supplemental Application Processing Form - Housing for the Elderly. Identify all supportive services, if any, to be provided to the persons occupying such housing
- (3) A description of public or private sources of assistance that reasonably could be expected to fund the proposed services
- (4) The manner in which such services will be provided to such persons (i.e., on or off-site), including, whether a service coordinator will facilitate the adequate provision of such services, and how the services will meet the identified needs of the residents

#### PART IV - GENERAL APPLICATION REQUIREMENTS/CERTIFICATIONS

EXHIBIT 5: A list of the applications, if any, the Sponsor has submitted or is planning to submit to any other HUD Office in response to this NOFA or the NOFA for Supportive Housing for Persons with Disabilities. Also, a list of prior year projects which have not been finally closed

EXHIBIT 6: HUD-2880, Applicant/Recipient Disclosure/Update Report, including Social Security Numbers and Employee Identification Numbers

EXHIBIT 7: E.O. 12372

**EXHIBIT 8: Form HUD-40087, Project Data on Occupancy Displacement and Real Property Acquisition:**

- (a) identify all persons (families, individuals, businesses and nonprofit organizations (identified by race/minority group, and status as owners or tenants) occupying the property on the date of submission of the application \_\_\_\_\_
- (b) indicate the estimated cost of relocation payments and other services \_\_\_\_\_
- (c) identify the staff organization that will carry out the relocation activities. \_\_\_\_\_

**EXHIBIT 9: Standard Form 424** \_\_\_\_\_

**EXHIBIT 10: Standard Form LLL, Disclosure of Lobbying Activities** \_\_\_\_\_

**EXHIBIT 11: Sponsor Certifications** \_\_\_\_\_

**Supportive Housing for the Elderly  
Section 202  
Application for Capital Advance  
Summary Information**

**U.S. Department of Housing  
and Urban Development  
Office of Housing  
Federal Housing Commissioner**

**EXHIBIT 1**

**OMB Approval No. 2502-0267(exp.12/31/94)**

**Public Reporting Burden** for this collection of information is estimated to average .5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2502-0462), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

HUD Use Only	202 Project Number:	PRAC Number:	
1. Sponsor's Name(s), Address(es) & Telephone Number(s):		2. Minority Sponsor Designation: A minority sponsor is one in which at least 51 percent of the board members are minority.  Is this sponsor a minority applicant? Codes: 2 - Black; 3 - Native American; <input type="checkbox"/> Yes <input type="checkbox"/> No 4 - Hispanic; 5 - Asian Pacific; 6 - Asian Indian; 7 - Hasidic Jewish  If yes, identify by numeric code as shown above: <input type="text"/>	
3a. Address of Site:		3b. Will project be located within the boundaries of a Federally designated Empowerment Zone, Urban Supplemental Empowerment Zone, Enterprise Community or Urban Enhanced Enterprise Community?  <input type="checkbox"/> Yes <input type="checkbox"/> No  If yes, name zone/community: _____  Contact local HUD office to determine boundaries of zones/communities.	
4. Congressional District:	5. Type of Area: <input type="checkbox"/> Metropolitan <input type="checkbox"/> Non-metropolitan	6. Capital Advance Amount Requested: \$	7. Project Rental Assistance Contract Amount Requested: \$
8. Total No. of Units:	8a. Number & Type of Resident Units Proposed:  <input type="checkbox"/> Efficiency <input type="checkbox"/> One bedroom <input type="checkbox"/> Efficiency <input type="checkbox"/> One bedroom <input type="checkbox"/> Two bedroom	8b. Resident Manager's Unit: (check appropriate type)  <input type="checkbox"/> Efficiency <input type="checkbox"/> One bedroom <input type="checkbox"/> Two bedroom	
9. Number of Buildings:	10. Type of Project:  <input type="checkbox"/> New Construction <input type="checkbox"/> Year Built: <input type="text"/> <input type="checkbox"/> Rehabilitation <input type="checkbox"/> Row/Townhouse <input type="checkbox"/> Semi-detached <input type="checkbox"/> Acquisition (RTC) <input type="checkbox"/> Walkup <input type="checkbox"/> Detached <input type="checkbox"/> Elevator	11. Type of Building(s):  <input type="checkbox"/> Row/Townhouse <input type="checkbox"/> Semi-detached <input type="checkbox"/> Walkup <input type="checkbox"/> Detached <input type="checkbox"/> Elevator	
12. Number of Stories:	13. Number of Parking Spaces:	14. Check utilities and services not included in the rent and to be paid directly by the tenant:  <input type="checkbox"/> Electric <input type="checkbox"/> Water <input type="checkbox"/> Heat <input type="checkbox"/> Gas	
15. Off-Site Facilities:  Water <input type="checkbox"/> Public <input type="checkbox"/> At Site Sewer <input type="checkbox"/> <input type="checkbox"/> Paving <input type="checkbox"/> <input type="checkbox"/> Gas <input type="checkbox"/> <input type="checkbox"/> Electric <input type="checkbox"/> <input type="checkbox"/>	Feet from Site:  _____	16. Community Facilities to be included in Project:  _____	
17. Unusual Site Features:  <input type="checkbox"/> None <input type="checkbox"/> Poor Drainage <input type="checkbox"/> Cuts <input type="checkbox"/> Retaining Walls <input type="checkbox"/> Fill <input type="checkbox"/> Rock Foundations <input type="checkbox"/> Erosion <input type="checkbox"/> High Water Table <input type="checkbox"/> Other (specify) _____	18. Mark one box  <input type="checkbox"/> Consultant <input type="checkbox"/> Agent <input type="checkbox"/> Authorized Representative	Name, Address & Telephone Number:  _____	
19. Sponsor's Attorney: (name, address & telephone number)			
By: (Signature of Sponsor's Authorized Representative)		Type in Name:  _____  Type in Title:  _____  X	

**Supplemental Application  
and Processing Form  
Housing For The Elderly/Disabled**

See Instructions on pages 2 &amp; 3

**U.S. Department of Housing  
and Urban Development**  
Office of Housing  
Federal Housing Commissioner

EXHIBIT 4(d)(2)

OMB Approval No. 2502-0232 (exp. 11/30/95)

Project Name				<input type="checkbox"/> Congregate <input type="checkbox"/> Mixed <input type="checkbox"/> Non-Congregate	Project Number
<b>A. Non-Rent Congregate Living Space</b>		<b>Area Square Feet</b>		<b>E. Health Service</b>	
1. Congregate Kitchen and Dining				1. Nursing Payroll	
2. Lobbies				Number of Nurses x salary \$ _____	
3. Community Room				\$ _____	\$ _____
4. Hobby Shop					
5. Infirmary or Health Facility				2. Equipment Expense:	
6. Other				a. Repl. Res: 10% x Equipment Cost \$ _____	\$ _____
7. Other				b. Int. on Inv.: _____ % Int. Rate x Cost \$ _____	\$ _____
8. Total Square Feet				c. Maintenance and Repairs 3. Medical Supplies	\$ _____
<b>B. Project Composition</b>					
1. Number of Bedrooms	2. Total No. of Units	3. No. of Units With Kitchens	4. No. of Units with Kitchenettes	4. Utilities	\$ _____
0-Bedroom Units				5. Laundry Service	\$ _____
1-Bedroom Units				6. Other (Specify)	\$ _____
2-Bedroom Units				7. Total Health Service	\$ _____
<b>C. Food Service</b>					
<b>Annual Expense</b>					
1. Payroll		Sponsor	HUD	<b>F. Furniture In Units</b>	
Number of cooks x salary \$ _____		\$ _____	\$ _____	1. Furniture Exp. when Leased	
Number of waitresses x salary \$ _____		\$ _____	\$ _____	2. Furniture Exp. if Not Leased: a. Repl. Res: 10% x Furniture Cost \$ _____	
Number of helpers x salary \$ _____		\$ _____	\$ _____	b. Int. on Inv: _____ % Int. Rate x Cost \$ _____	
2. Food Cost		\$ _____	\$ _____	3. Total Furniture Expense	
3. Supplies		\$ _____	\$ _____	4. Number of Units Furnished	
4. Dining Room Furniture Exp.		\$ _____	\$ _____	5. Proposed charge per unit per month to cover furniture rent	
a. Repl. Res: 10% x Equip. Cost \$ _____		\$ _____	\$ _____	<b>G. Other Non-Shelter Services</b>	
b. Int. on Inv: _____ % Int. Rate x Cost \$ _____		\$ _____	\$ _____	<b>Annual Expense</b>	
c. Maintenance and Repairs		\$ _____	\$ _____	Sponsor	HUD
5. Other (Specify)		\$ _____	\$ _____	1. Program & Activities Payroll	\$ _____
6. Other (Specify)		\$ _____	\$ _____	2. Other (Specify)	\$ _____
7. Total Food Service Expense		\$ _____	\$ _____	3. Other (Specify)	\$ _____
8. Average No. of Persons Serviced		\$ _____	\$ _____	4. Chg. per Person (Unit) for Item 1	\$ _____
9. Proposed Charger per Person per Month		\$ _____	\$ _____	4. Chg. per Person (Unit) for Item 2	\$ _____
10. No. of Meals per Person per Day		\$ _____	\$ _____	6. Chg. per Person (Unit) for Item 3	\$ _____
<b>D. Maid Service</b>					
<b>Annual Expense</b>					
1. Payroll		Sponsor	HUD	<b>Official Use Only</b>	
Number of maids x salary \$ _____		\$ _____	\$ _____		
2. Supplies		\$ _____	\$ _____		
3. Other (Specify)		\$ _____	\$ _____		
4. Other (Specify)		\$ _____	\$ _____		
5. Total Maid Service		\$ _____	\$ _____		
6. Average Number of Units Using Service		\$ _____	\$ _____		
7. Proposed Charge per Unit per Month		\$ _____	\$ _____		

**H. Remarks & Signatures**

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)  
The above estimates in "Sponsor" column for Sections C through G represent estimates of income and expense in non-shelter budgets.

Signed	Date	<input type="checkbox"/> Sponsor, <input type="checkbox"/> Mortagor, <input type="checkbox"/> Borrower, <input type="checkbox"/> Owner
Valuation Processor	Date	Reviewer Date

**Public reporting burden** for this collection of information is estimated to average 8.0 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2502-0232), Washington, D.C. 20503. Do not send this completed form to either of the above addressees.

## Instructions

### General

Form HUD-92013E must accompany form HUD-92013, Application—Project Mortgage Insurance, for each project intended to provide housing for the elderly or the disabled.

Preparation of the forms HUD-92013 and HUD-92013E must separate the budget for shelter (and utilities included in the rent) from other budgets concerned with supplying services other than shelter, such as food service, main service, program and recreation service, rented furniture, and any other non-shelter services which may be planned. The non-shelter budgets concerned with supplying food, furniture, maid service, and other personal services are shown on the form HUD-92013E.

All non-shelter services and amenities offered with a charge to the tenant and as a condition of occupancy must be identified on this form. Special circumstances regarding items to be included in an amenity package such as additional charges for additional persons that cannot be readily shown on this form must be explained on an addendum sheet to the form HUD-92013E.

Form HUD-92013E must accompany all requests for feasibility analysis, conditional and firm commitments.

### Definitions

An elderly person is defined as one who is age 62 or over. A disabled person is one whose impairment (a) is expected to be of continued and indefinite duration; (b) substantially impedes his ability to live independently; and (c) is such that his ability to live independently could be improved by more suitable housing. (See appropriate program regulations for more detailed definitions.)

Congregate Housing is designed for persons, normally well and ambulatory, who prefer residential accommodations but need some assistance in day-to-day living. While not a nursing or medical facility, it offers services that protect residents and provide for their needs.

Congregate housing projects have a central dining room generally serving three meals a day, with emergency room service available. There are common areas for lounges, recreation, special activities; limited housekeeping and laundry services may be provided. Some projects have an infirmary with personnel qualified to control and administer medications.

### Instructions

Projects having congregate dining facilities with only kitchenettes in the living units, are checked in the box marked "Congregate." Projects having no congregate dining facilities, but having full sized kitchens in the living units are checked in the box marked "Non-Congregate." Projects having congregate dining facilities and having some living units with complete sized kitchens, are checked in the box marked, "Mixed."

### Section A. Non-Rent Congregate Living Space Areas

Enter the net area, in square feet, for various kinds of non-rent congregate living space shown, such as, congregate kitchen and dining, lobbies, community rooms, hobby shop, infirmaries, or other non-rented common buildings area. When plans are available, these net areas should be calculated from the plans. Congregate dining facilities should be large enough to serve the probable total number of diners within a single meal period, but not necessarily at a single sitting. The number of diners shall be estimated to include all of the occupants of the units having kitchenettes only, plus a reasonable portion of the occupants of units with full kitchens.

### Section B. Project Composition

For each number of bedrooms enter in Column 2 the total number of units. In Column 3, enter the number of units with complete kitchens. In Column 4, enter the number of units with kitchenettes only.

### Non-Shelter Income and Expense Budgets.

Sections C through G contain budgets of income and expense for furnishing various non-shelter services. The sponsor enters his estimates of items of income and expense for each budget in the column headed "Sponsor," thus using form HUD-92013E as a supplemental application form. Subsequently, copies of the same form will be used as a processing form, with HUD personnel entering estimates in the Column headed, "HUD."

### Section C. Food Service: Annual Expenses.

**Line C-1**—Estimate the number of cooks times the average annual salary. The number of waitresses, and other employees needed to operate the dining room are also estimated to arrive at payroll, including payroll tax. When the food service operation is large or complex, a detailed explanation of kinds of staff, numbers of employees, rates of pay, payroll tax, and total payroll for food service, should be shown in an attachment. The annual food cost and cost of supplies is also entered. **Line C-4a**.—Dining room furniture expense includes an annual reserve for replacement of dining room furniture and equipment. Estimate the replacement reserve by multiplying furniture cost by 10%.

**Line C-4b**.—Return on investment in dining room furniture and equipment is estimated by multiplying the furniture cost by the market interest rate for similar investments.

**Line C-4c**.—Enter the estimated annual allowance for maintenance and repairs to the furniture.

**Line C-7**.—Show the total annual food service expense.

**Line C-8**.—Estimate the probable number of tenants customarily using the congregate dining facility.

**Line C-9**.—Enter the proposed charge per person per month for food service. This charge should be sufficient to provide an annual income at least 3% more than the total food service expense estimated in Line C-7. If a food service concessionaire is contemplated, the proposed terms of the concession shall be completely explained in an attachment.

**Line C-10**.—Enter the number of meals per person per day covered by the proposed food service charge.

### Section D. Maid Service: Annual Expense.

**Line D-1**.—Enter the number of mains multiplied by the average annual salary to result in annual payroll.

**Line D-2**.—Enter the annual expense for cleaning supplies.

**Line D-3 and 4**.—If clean sheets are to be provided as part of this service, the word "Laundry" is entered after "other" followed by the annual amount of this expense. Enter other expenses of supplying maid service.

**Line D-5**.—Enter the sum of Lines D-1 through D-4. This represents total maid service expense.

**Line D-6**.—Enter the estimated number of units using this service.

**Line D-7**.—Enter the proposed charge per unit to cover this service.

**Section E. Health Service: Annual Expense.**

**Line E-1**—Enter the anticipated number of nurses needed times the average salary including payroll tax. If the health service operation is large or complex, the sponsor should submit a more detailed estimate of health service payroll in an attachment.

**Line E-2**—Equipment expenses includes an annual reserve for replacement of beds and other furniture and equipment in the infirmary.

**Line E-2**—Estimate the replacement reserve by multiplying equipment cost by 10%.

**Line E-2b**—Return on investment in equipment is estimated by multiplying the furniture cost by the market interest rate for similar investments.

**Line E-2c**—Enter the estimated annual allowance for maintenance and repairs to the equipment.

**Line E-3, 4, 5, and 6**—Enter the annual amounts to be expended for medical supplies, utilities, laundry or linen service, and other expenses of the health service facility.

**Line E**—Enter the sum of lines E-1 through E-6. This represents total health service expense.

**Line E-8**—Enter the number of beds in the infirmary.

**Line E-8**—Enter the average number of patients in the infirmary.

**Line E-9**—Enter the proposed charge per patient or per person. Indicate method of payment.

**Section F. Furniture in Living Units.**

**Line F-1**—Indicate the amount of total annual payments to the leasing company when furniture for some or all of the living units is obtained by the mortgagor by leasing it.

**Line F-2a**—The renting of furniture by tenant must be optional and not a condition of occupancy. For those units in which the project owns the furniture, furniture expense includes an annual reserve for replacement of living unit furniture. Estimate the replacement reserve by multiplying furniture cost by 10%.

**Line F-2b**—Return on investment in furniture is estimated by multiplying furniture cost by the market interest rate for similar investments.

**Line F-2**—Enter the estimated annual allowance for maintenance and repairs to the furniture.

**Line F-3**—Enter the Total Furniture Expense.

**Line F-4**—Indicate the number of units furnished by the mortgagor.

**Line F-5**—Enter the proposed charge per unit per month to cover the furniture expense.

**Section G. Other Non-Shelter Services**

**Line G-1**—Enter the salaries of persons employed to furnish guidance and recreation during the leisure time of the resident's occupancy in the project.

**Lines G-2 and G-3**—Enter the amounts covering any other service or facility included in the proposal that would contribute to the health, comfort and recreation of elderly persons, and specify.

**Lines G-4, 5 and 6**—Enter the charges per person or unit for the respective service or facility.

**Section H. Remarks and Signatures**

Self Explanatory.

**Applicant/Recipient  
Disclosure/Update Report**

**U.S. Department of Housing  
and Urban Development**  
Office of Ethics

**EXHIBIT 6**

03/31/98

OMB Approval No. 2535-0101 (exp. 12/31/94)

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

**Part I Applicant/Recipient Information**Indicate whether this is an Initial Report or an Update Report 

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

Social Security Number or  
Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received

4. HUD Program

5. Amount Requested/Received

\$

**Part II. Threshold Determinations – Applicants Only**

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, and have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

 Yes  No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

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

2. Is this application for a specific housing project that involves other government assistance?

 Yes  No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

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

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

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

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

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

If there is no other government assistance, you must certify that this information is true.

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

Form HUD-2880 (3/92)

Ref. Sec 102, HRA 1989; PL. 101 - 235

**Part IV. Interested Parties**

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

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

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

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

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

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

**Use**

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

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

**Certification**

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

I certify that this information is true and complete.

Signature

Date

**Public reporting burden** for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2535-0101), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

**Privacy Act Statement.** Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

**Note:** This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

#### Instructions (See Note 1 on last page.)

**I. Overview.** Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

**A. Applicant disclosure (initial) reports: General.** All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources.

Applicants subject to Subpart C must make the following disclosures:

- Assistance from other government sources in connection with the project,
- The financial interests of persons in the project,
- The sources of funds to be made available for the project, and
- The uses to which the funds are to be put.

**B. Update reports: General.** All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

**C. Applicant disclosure reports: Specific guidance.** The applicant must complete all parts of this disclosure form if either of the following two circumstances in paragraph 1. or 2., below, applies:

1.a. **Nature of Assistance.** The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; and

b. **Dollar Threshold.** The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) Note: There is no dollar threshold for this criterion: any other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

**D. Update reports: Specific guidance.** During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a latertime, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.
3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by \$250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:
- For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses (whichever is lower).

- For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

- For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by \$250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

## II. Line-by-Line Instructions.

### A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

- Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
- 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.
- Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

- Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

- Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

### B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filling Update Reports should not complete this Part.**

- The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

- The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

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

### C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

#### D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

- (1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- (2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Section I.D.1., 2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. **Part V. Report on Sources and Uses of Funds.** This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds—both from HUD and from any other source—that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

#### General Instructions — sources of funds

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

#### Specific Instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

#### General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

#### Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

**AMPO**

Architect's fee — design

Architect's fee — supervision

Bond premium

Builder's general overhead

Builder's profit

Construction interest

Consultant fee

Contingency Reserve

Cost certification audit fee

FHA examination fee

FHA inspection fee

FHA MIP

Financing fee

FNMA / GNMA fee

General requirements

Insurance

Legal — construction

Legal — organization

Other fees

Purchase price

Supplemental management fund

Taxes

Title and recording

Operating deficit reserve

Resident initiative fund

Syndication expenses

Working capital reserve

Total land improvement

Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses

Bridge loan interest

Development fee

Operating deficit reserve

Resident initiative fund

Syndication expenses

Working capital reserve

**Footnotes:**

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.

2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated periodically.

3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).

4. See 24 CFR §§12.32(a)(2) and (3) for detailed guidance on how the threshold is calculated.

5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.

6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.

7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

## Project Data On Occupancy, Displacement and Real Property Acquisition

**U.S. Department of Housing  
and Urban Development**  
Office of Community Planning  
and Development

OPTIONAL (GUIDE FORM)

## EXHIBIT 8

Note: This information (which may be included in other HUD forms) will assist HUD Community Planning and Development (CPD) staff in reviewing the application for a project and in determining technical assistance needs and monitoring requirements to ensure compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) and related program requirements. All projects for which real property will be acquired (or was recently acquired) and all projects involving property that is occupied (or was recently occupied) must be reviewed, whether the occupants are required to relocate permanently or have been notified that they will be permitted to remain on-site. Questions about the URA and requests for training or technical assistance should be addressed to the HUD CPD Relocation/Realty Specialist in the Field Office administering the URA for the area in which the project is located.

**General Project Information**

1. Applicant Name and Address (Street, City, State and zip code)	2. Program/Project No., Name and Address (Street, City, State and zip code)
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3. Has site control been secured?  Yes  No If Yes, explain how.

**Project Occupancy and Relocation** (Determine occupancy at the time of submission of application or date site identified, if later)

	No. of Units in Property	Units Occupied		Occupants to Move Permanently	Occupants to Remain	
		Owner	Tenant		Total	No. to be Temporarily Relocated
4. Residential						
5. Nonresidential						

6. Has anyone been forced to move from the site in the past 12 months?  Yes  No  Unknown If Yes, explain.

7. Estimated cost of relocation: \$	8. Source of funding
9. Agency administering relocation	10. Contact person (Name) Telephone Number (include area code)

11. Description of relocation experience

**Acquisition of Real Property**

12. Estimated cost of acquisition: \$	13. Source of funding	14. Number of parcels: Residential Nonresidential
15. Name of acquiring entity:	16. Contact Person (Name) Telephone Number (include area code)	

Remarks:

Completed by: (Name, title and organization)	Telephone Number (include area code)	Date
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## Application for Federal Assistance

### EXHIBIT 9

OMB Approval No. 0348-0043

1. Type of Submission:		2. Date Submitted	Applicant Identifier				
<b>Application:</b> <input type="checkbox"/> Construction <b>Preapplication:</b> <input type="checkbox"/> Non-Construction		3. Date Received by State	State Application Identifier				
		4. Date Received by Federal Agency	Federal Identifier				
<b>5. Applicant Information:</b> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%;">Legal Name:</td> <td style="width: 50%;">Organizational Unit:</td> </tr> <tr> <td>Address (give city, county / state, and zip code):</td> <td>Name and telephone number of the person to be contacted on matters involving this application (give area code):</td> </tr> </table>				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):
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):						
<b>6. Employer Identification Number (EIN):</b>		<b>7. Type of Applicant:</b> (enter appropriate letter in box) <input type="checkbox"/> A. State      H. Independent School Dist. B. County      I. State Controlled Institution of Higher Learning C. Municipal      J. Private University D. Township      K. Indian Tribe E. Interstate      L. Individual F. Intermunicipal      M. Profit Organization. G. Special District      N. Other (Specify):					
<b>8. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify):		<b>9. Name of Federal Agency:</b>					
<b>10. Catalog of Federal Domestic Assistance Number:</b> Title:		<b>11. Descriptive Title of Applicant's Project:</b>					
<b>12. Areas Affected by Project (cities, counties, states, etc.):</b>							
<b>13. Proposed Project:</b>		<b>14. Congressional Districts of:</b>					
Start Date	Ending Date	a. Applicant	b. Project				
<b>15. Estimated Funding:</b>		<b>16. Is Application Subject to Review by State Executive Order 12372 Process?</b>					
a. Federal	\$ .00	a. Yes. This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date: _____					
b. Applicant	\$ .00	b. No. <input type="checkbox"/> Program is not covered by E.O. 12372 <input type="checkbox"/> or Program has not been selected by State for review.					
c. State	\$ .00	<b>17. Is the Applicant Delinquent on Any Federal Debt?</b>					
d. Local	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation <input type="checkbox"/> No					
e. Other	\$ .00						
f. Program Income	\$ .00						
g. Total	\$ .00						
<b>18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.</b>							
a. Typed Name of Authorized Representative  d. Signature of Authorized Representative		b. Title  e. Date Signed	c. Telephone Number				

**Instructions for the SF-424**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- Item 1. Self-explanatory.
- Item 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
- Item 3. State use only (if applicable).
- Item 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
- Item 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.
- Item 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
- Item 7. Enter the appropriate letter in the space provided.
- Item 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.
- Item 9. Name of Federal agency from which assistance is being requested with this application.
- Item 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
- Item 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- Item 12. List only the largest political entities affected (e.g., State, counties, cities).
- Item 13. Self-explanatory.
- Item 14. List the applicant's Congressional District and any District(s) affected by the program or project.
- Item 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as Item 15.
- Item 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.
- Item 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.
- Item 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.)

## **Disclosure of Lobbying Activities**

**Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352**  
**(See reverse side for Instructions and public burden disclosure.)**

**EXHIBIT 10**

Approved by OMB  
0348-0046

<b>Type of Federal Action:</b> <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	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:		<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>
<b>Congressional District, if known:</b>		<b>Congressional District, if known:</b>
<b>6. Federal Department/Agency:</b>		<b>7. Federal Program Name/Description:</b>
		<b>CFDA Number, if applicable:</b> _____
<b>8. Federal Action Number, if known:</b>		<b>9. Award Amount, if known:</b> \$ _____
<b>10a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b>		<b>b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI):</b>
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned		<b>13. Type of Payment (check all that apply):</b> <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: _____
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>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:</b>		
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		<b>Signature:</b> _____
		<b>Print Name:</b> _____
		<b>Title:</b> _____
		<b>Telephone No.:</b> _____
		<b>Date:</b> _____

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Standard Form 3-11

**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. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. 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 lobbying entity 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 a 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 time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contracted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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. 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 (0348-0046), Washington, D.C. 20503.

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Disclosure of Lobbying Activities  
Continuation Sheet

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Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

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