

Louisiana Office of Community Development Disaster Recovery Unit



Application Forms and Instructions for the Long Term Community Recovery Program

(December 2007, Revised November 2011)

Office of Community Development, Disaster Recovery Unit
Post Office Box 94095

Baton Rouge, Louisiana 70804-9095

Phone (225) 219-9600 Fax (225) 219-9605

<http://www.doa.louisiana.gov/cdbg/drhome.htm>

Louisiana Relay Service
Information (800)333-0605
Voice User (800)947-5277
TDD User (800)846-5277

Eligible and Ineligible Activities for the Long Term Community Recovery Program

All activities funded by the Long Term Community Recovery Program must be hurricane recovery related projects. Basic eligible activities under the CDBG program are identified in Title 24, Sections 570.201 and 570.482 of the Code of Federal Regulations. In accordance with Action Plan Amendment No. 12, eligible activities for this program include, but are not limited to the following, to the extent that those activities are recovery related and part of the recovery plan for a grantee:

- acquisition of real property
- public facilities and improvements
- clearance, rehabilitation, reconstruction, and construction of buildings
- removal of architectural barriers to access by the elderly and handicapped
- disposition of real property, including costs associated with maintenance and transfer of acquired properties
- provision of public services, such as job training
- payment of the non-federal share of other federal matching grant programs
- relocation associated with projects that utilize one or more of the other eligible activities listed here
- activities carried out through nonprofits
- assistance to neighborhood-based organizations, local development corps, and nonprofits serving the developing needs of communities
- energy efficiency/conservation programs

Ineligible activities are identified in Section 570.207. These may be viewed online at http://www.access.gpo.gov/nara/cfr/waisidx_04/24cfr570_04.html.

Standard Application Forms

Only applications submitted on the standard forms included herein will be accepted. Additional application forms are available from the Division of Administration, Office of Community Development, Disaster Recovery Unit, Post Office Box 94095, Baton Rouge, Louisiana 70804-9095. Telephone number (225) 219-9600 or 866-272-3587, (800) 846-5277 (TTY Users), (800) 947-5277 (Voice Users). The application package is also available on the Internet at <http://www.doa.louisiana.gov/cdbg/DRInfra.htm>.

Eligible Applicants to the Long Term Community Recovery Program

Eligible applicants are municipalities and parish governments located in the most severely impacted areas of the State. Those areas have been determined to be located in the following parishes: Acadia, Allen, Beauregard, Calcasieu, Cameron, East Baton Rouge, Iberia, Jefferson, Jefferson Davis, Lafayette, Lafourche, Livingston, Orleans, Plaquemines, St. Bernard, St. Charles, St. John the Baptist, St. Mary, St. Tammany, Tangipahoa, Terrebonne, Vermilion, and Washington.

Federal and State Statutes and Regulations That Apply to the Long Term Community Recovery Program

The following regulations apply to the Long Term Community Recovery Program and should be considered in the preparation of applications.

Uniform Act (Acquisition and Relocation) – Requires appraisals for all acquisition (valued over \$10,000) undertaken in connection with activities included in the application, including easements/servitudes for public facilities. The local governing body is required to pay at least fair market value for all properties acquired. Acquisition must be completed before construction begins. Acquisition and relocation can be very time consuming; the program time schedule should be developed accordingly.

Davis-Bacon and Contract Work Hours and Safety Standards – Requires that Federal prevailing wage rates are paid to all employees working under a construction contract of \$2,000 or more. Also, all employees must be paid at least time and a half for any time they work more than forty hours per week. The Federal Labor Standards Provisions and the applicable federal wage decision(s) must be included in bid packages and contract documents as well as referenced in all bid advertisements. Prevailing wage rates are higher than regular wages in many rural areas and may affect the project budget.

Audit Requirements – OMB Circular A-133 requires single audits of all grantees that have total annual federal expenditures in excess of \$500,000. Financial audits and/or certifications are required in accordance with State law when the grantee has annual federal expenditures totaling less than \$500,000. Single audit costs may be eligible for reimbursement in part as an administrative expense.

Architectural Barriers Act – Requires that all non-residential structures and public facilities constructed, renovated, or rehabilitated with federal funds be accessible to the handicapped. Entrances must be ramped, bathrooms must accommodate wheelchairs, etc.

Each project funded must meet the Benefit to Low and Moderate Income Persons, Elimination of Slum and Blight, or Urgent Need national objective.

To be eligible for these funds, each project must be in compliance with all CDBG regulations. Areas that require specific attention by the applicant include those regarding HUD environmental clearance regulations, those related to labor standards compliance (especially the Davis-Bacon requirements), and adherence to state and federal procurement regulations.

One original and one copy of the completed application must be submitted to the address below. Submittal of an incomplete application may result in the application being rejected and/or a delay in the funding of the project.

Mail to:

Division of Administration
Office of Community Development
Disaster Recovery Unit
Post Office Box 94095
Baton Rouge, LA 70804-9095

Deliver to:

Division of Administration
Office of Community Development
Disaster Recovery Unit
150 North Third Street, 5th Floor
Baton Rouge, LA 70801

All funds to be used in conjunction with each project must be identified.

Checklist for Long Term Community Recovery Applications

This checklist is to be used during the preparation of the application; however it should not be included in the submitted application. All forms listed are required for Long Term Community Recovery Applications.

FORM	Page No.	Completed
General Description Form		
Budget/Cost Summary Form		
Supplemental Information Form		
CDBG Program Schedule		
Activity Beneficiary Form		
Target Area Map(s)		
Project Description		
Architect/Engineer's Cost Estimate		
Project Maps		
Other Funds Supplemental Documentation		
Proofs of Publication		
Statement of Assurances		
Disclosure Report		

OCD/DRU DISASTER RECOVERY APPLICATION

FOR Long Term Community Recovery

General Description Form

Place a check mark in the appropriate box: Original Application Amended Application

Applicant Name, Address, Phone and Fax Numbers:	Project Name:	
Applicant's Contact Person Name, Address, Phone Number and Email Address:	Name, Address, Phone Number and Email Address of Administrative Consultant: <i>(if applicable)</i>	
Name, Address, Phone Number and Email Address of Architectural/Engineering Firm:	National Objective to be addressed (check one). <input type="checkbox"/> Activities Benefiting Low/Moderate Income Persons <input type="checkbox"/> Prevention/Elimination of Slums or Blight <input type="checkbox"/> Urgent Needs	
Project Funds	Amount	Source and Status of Funds
CDBG	\$	
Local Funds	\$	
Private Funds	\$	
Other State Funds	\$	
Federal Funds	\$	
Other Funds	\$	
TOTAL FUNDS	\$	
Signature (Chief Elected Official) and Date Signed	Typed Name/Title (Chief Elected Official)	

General Description Form Instructions

Mark the appropriate box at the top of the form to indicate whether this is the original application or an amended application. An amended application must be submitted each time there is a change to the project.

In the **Applicant Name** box indicate the name, address, phone and fax numbers of the entity requesting funds (ex: City of Lake Charles).

In the **Project Name** box indicate the name of the project (ex: Improvements to Fire Station No. 4).

In the **Applicant's Contact Person** box indicate the name, address, phone number and e-mail address of the person in the applicant's office to be contacted regarding this application.

In the **Administrative Consultant** box indicate the name, address, phone number and e-mail address of the Administrative Consultant for this project if one was hired by the applicant.

In the **Architectural/Engineering Firm** box indicate the name, address, phone number and e-mail address of the architectural/engineering firm for this project if one was hired by the applicant.

In the **National Objective** box indicate which national objective will be addressed by the project.

Indicate the total dollar amount of Project Funds expected from each funding source. Round all amounts to the nearest dollar. The **TOTAL FUNDS** amount should equal the total project cost. Identify the funding source and the status of each of those funds (committed, applied for, etc.).

The applicant's **Chief Elected Official** must sign and date the form. Type the **Chief Elected Official's** name and title in the appropriate box.

BUDGET/COST SUMMARY FORM

PROJECT NAME:

(A) Costs by Activity	(B) CDBG	(C) Other	(D) Total	(E) Source
1. Acquisition of Real Property				
2. Public Facilities and Improvements				
3. Rehabilitation Loans and Grants (Hook-ups)				
4. Clearance Activities				
5. Public Services				
6. Other (identify)				
7. Administration				
TOTAL				

Architectural/Engineering (A/E) costs must be included in one of the activity costs above.

Budget/Cost Summary Form Instructions

Include the Project Name above the table.

Column A: Eligible activities are listed in the section entitled, “Eligible and Ineligible Activities for the Long Term Community Recovery Program” shown at the beginning of this document. Definitions of these activities may be found in 24 CFR 570.201.

The link to these definitions is:

http://www.access.gpo.gov/nara/cfr/waisidx_04/24cfr570_04.html.

Columns B-E: For each activity, complete each applicable cost column. Be sure to include all costs related to an activity in the cost columns. For example, if the proposed activity involves construction improvements to a building, the A/E design costs, construction costs, construction observation costs, etc. must be included in the in the “Public Facilities and Improvements” column.

SUPPLEMENTAL INFORMATION

PROJECT NAME _____

1. Identify the name, telephone and district # of the State Senator(s) representing your jurisdiction.

<u>Name</u>	<u>Senate District #</u>
_____	_____
_____	_____
_____	_____

2. Identify the name, telephone and district # of the State Representative(s) representing your jurisdiction.

<u>Name</u>	<u>Representative District #</u>
_____	_____
_____	_____
_____	_____
_____	_____

3. Identify the U.S. Congressman representing your jurisdiction and congressional district number.

<u>Name</u>	<u>Congressional District #</u>
_____	_____
_____	_____
_____	_____

4. Target Area Census Tract(s): _____

5. Indicate by means of an "x" as to whether the proposed project will involve a community-wide project or a target area(s) and enter the zip code of the project. If a target area is involved, enter the name(s) and zip code of the target area(s).

_____ Community-wide (zip code _____) _____ Target area(s)

name & zip of target area _____

name & zip of target area _____

name & zip of target area _____

name & zip of target area _____

6. Provide Lat/Long for the project location at or near geographical center:

Latitude: _____ Longitude: _____

Community-wide projects should use the zip code of the location of city hall. Target-area projects should use the zip code of the target area where the majority of the construction funds will be spent (for each target area). If the target area(s) does not have a name, please provide a brief geographical description of the area such as "western portion of the city". The following websites can assist in searching for this information: <http://www.louisiana.gov/wps/wcm/connect/Louisiana.gov/Government/Legislative+Branch/>, <http://www.census.gov/>, and <http://factfinder.census.gov/home/saff/main.html>.

Supplemental Information Instructions

- Item 1: Enter the name, telephone number, and district number of each State Senator representing the local governing body for community-wide projects. If the project involves a target area(s), enter the names of only those State Senators representing the target area(s).
- Item 2: Enter the name, telephone number, and district number of each State Representative representing the local governing body for community-wide projects. If the project involves a target area(s), enter the names of only those State Representatives representing the target area(s).
- Item 3: Enter the name and district number of each Congressman representing the local governing body. The information required above can be found at <http://www.legis.state.la.us/>.
- Item 4: Enter the Census Tract number(s) of the physical location of the project (Target Area). This information can be found by entering your street address at the following web site: <http://www.census.gov/main/www/cen2000.html>
- Item 5: Indicate by means of an “x” whether the proposed project will involve a community-wide project or a target area(s) and enter the zip code of the project. If a target area is involved, enter the name(s) and zip code of the target area(s). Community-wide projects should use the zip code of the location of city hall. Target-area projects should use the zip code of the target area where the majority of the construction funds will be spent (for each target area). If the target area(s) does not have a name, please provide a brief geographical description of the area such as “western portion of the city”.

The following websites can also be helpful in searching for the some of the above information: <http://www.census.gov/> and <http://factfinder.census.gov/home/saff/main.html>.

CDBG Time Schedule Instructions

The CDBG program may have a duration period up to three year (twelve quarters). On this schedule, for each major activity, indicate when completion of major project milestones is expected. For example, milestones could be acquisition of easements, engineering, bid advertisement/award, construction, acceptance of work, and release of liens.

Consider the activities and decide what major tasks must be accomplished to complete them. List these tasks as milestones under **each** activity. Then indicate by lines on the twelve quarter schedule showing when these tasks will occur. **For each activity also estimate projected expenditures by dollar amount for each quarter. The expenditures should reflect all funds (CDBG and other) being used to complete the activity. Distinguish between the funds by source and amount.**

If more space is needed, attach additional sheets.

When completing this form, identify **each** activity as it corresponds to the line items shown on the Budget/Cost Summary Form. For example, the completion of a sewer project could involve the activities of acquisition (#1, Acquisition of Real Property), sewer system construction (#2, Public Facilities and Improvements), and the construction of sewer service lines on private property (#5, Rehabilitation Loans and Grants (Hook-ups)).

ACTIVITY BENEFICARY FORM

Community-Wide Target Area Combined

Project: _____

<i>List name of each activity excluding Admin & Acquisition:</i>	1)		2)		3)	
	#	%	#	%	#	%
Families (total):						
Elderly Head of Family:						
Female Head of Family:						
Handicapped Head of Family:						
Persons (total):						
Total Mod/Low/ExLow Income:						
Moderate Income:						
Owner (for Rehab activity <u>only</u> , i.e. hookups):						
Renter (for Rehab activity <u>only</u> , i.e. hookups):						
Low Income:						
Owner (for Rehab activity <u>only</u> , i.e. hookups):						
Renter (for Rehab activity <u>only</u> , i.e. hookups):						
Extremely Low Income:						
Owner (for Rehab activity <u>only</u> , i.e. hookups):						
Renter (for Rehab activity <u>only</u> , i.e. hookups):						
Elderly:						
Handicapped:						
Race and Ethnicity	Race Total #	Of Total #, Indicate # Hispanic*	Race Total #	Of Total #, Indicate # Hispanic*	Race Total #	Of Total #, Indicate # Hispanic*
American Indian or Alaskan Native:						
Asian:						
Black or African American:						
Native Hawaiian or Other Pacific Islander:						
White:						
Am. Indian or Alaskan Native <i>and</i> White:						
Asian <i>and</i> White:						
Black or African American <i>and</i> White:						
Am. Indian or Alaskan Native <i>and</i> Black:						
Other Multi-racial:						

* Hispanic or Latino

Activity Beneficiary Form Instructions

This form must be completed for all proposed activities. Each activity must be listed separately. For example, sewer projects involving hook-ups must identify the beneficiaries of sewer, and rehabilitation loans and grants (hook-ups) by each separate activity. Attach additional forms if needed.

If there is more than one target area, then the low and moderate income information must be determined for each target area independently of the others. An Activity Beneficiary form for each target area and an additional form with combined totals from the target areas must be submitted.

The information needed for this form will be taken from census data. The applicant must utilize census data. Census data by parish for the logical record numbers has been made available on spreadsheets compiled by the Office of Community Development. The information on the spreadsheets are sorted by (1) census tract and block group order, (2) by incorporated areas (and census defined places) and unincorporated areas, and (3) by census tracts. Also included are the logical record numbers for these areas. The spreadsheets can be accessed on the office website, or can be emailed. The spreadsheets contain a copy of the Activity Beneficiary Form and it can be completed by copying information from the spreadsheets. A tutorial is also provided at http://www.doa.state.la.us/cdbg/LOGRECNO_index.htm. Please contact the Office of Community Development, Disaster Recovery Unit, Infrastructure Section for assistance.

When a project area does not coincide with census tracts, block groups, or logical record numbered areas, the applicant must perform a best match estimate to determine beneficiaries.

The appropriate box in the top left corner of the Activity Beneficiary form that corresponds to the data included on each form submitted, i.e. **Community-Wide** **Target Area** **Combined** must be properly marked. In the space provided following "Target Area", indicate target area (1, 2, etc.) to which the data on the form corresponds.

The following definitions must be used when completing this form.

- Household – a dwelling unit and all persons who reside therein. The occupants may be a single family, one person living alone, unrelated individuals, two families, etc.
- Family – all persons living in the same household who are related by blood or contract (birth, marriage, adoption). In some instances, two families could reside in one household. Therefore, a household could involve one or more families.
- Low/Moderate Income – persons, families, or households whose combined annual income does not exceed eighty percent of the parish median income.
- Moderate Income – persons, families, or households whose combined annual income exceeds fifty percent but does not exceed eighty percent of the parish median income.

- Low Income – persons, families, or households whose combined annual income exceeds thirty percent but does not exceed fifty percent of the parish median income.
- Extremely Low Income – persons, families, or households whose combined annual income does not exceed thirty percent of the parish median income.
- Elderly – persons or head of family aged 62 or above.
- Handicapped – persons or head of family receiving disability payments or having an obvious handicap.
- American Indian or Alaskan Native – A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.
- Asian – A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- Black or African American – A person having origins in any of the black racial groups of Africa.
- Native Hawaiian or Other Pacific Islander – A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- White – A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- Hispanic or Latino – A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

Please be aware that if you are using logical record numbers to retrieve your data, the following categories are not available: American Indian or Alaskan Native *and* White; Asian *and* White; Black or African American *and* White; and American Indian or Alaskan Native *and* Black. In this case, these persons should be included under “Other Multi-racial”.

Please refer to the definitions above concerning the racial/ethnic categories listed in this section. Enter the number of persons in the appropriate racial category under the “Total” column. Of the number in the “Total” column, enter the number of persons that are of Hispanic or Latino ethnicity in the “Hispanic” column.

When identifying the number of persons by income category, each person should be included in only one category. For example, the number of extremely low income persons should not be counted in the number of low income persons. Each income category is self-contained and is not inclusive of other income categories. The number of persons identified as within moderate income limits, within low income limits, and within extremely low income limits should equal the total the number of low/moderate income persons.

All activities that have a different number of beneficiaries must be identified separately. For example, a sewer project with hookups will have beneficiary information for the sewer activity and for the rehabilitation loans and grants (hookups) activity.

Target Area Maps

A map (or maps) that delineate the following items for each target area must be included in the application package:

1. census tracts and/or block groups (by number) and/or logical record numbers;
2. location of concentrations of minorities, showing number and percent by census tracts and/or block groups, and/or logical record numbers;
3. location of concentrations of low and moderate income persons, showing number and percent by census tracts and/or block groups and/or logical record number;
4. boundaries of areas in which the activities will be concentrated; and
5. the specific location of each activity.

PROJECT NAME:

PROJECT DESCRIPTION:

(Use only one sheet per target area)

Project Description Form Instructions

Provide a concise description of the public facilities improvements project for which you are requesting funds. The description should include the following:

Describe how the proposed improvements are related to disaster recovery.

Show that the project considers and/or proposes a mitigation plan to minimize damage in the event of future floods or hurricanes.

Identify the proposed improvements, location of the proposed improvements, current size/capacity of and area served by the system, etc.

Indicate whether the project will require acquisition of property, easements, or rights-of-way and the approximate number of parcels to be acquired.

Briefly explain the needs to be addressed with the proposed improvements.

Describe how the project relates to existing infrastructure. For example, if you plan to install new sewage collection lines, then can the treatment plant handle the increase?

Describe how people will benefit from the project and indicate whether the benefits will be direct and/or indirect. Direct benefits are defined as those that will take place on private property such as hookups. Provide an estimated number of hookups, if applicable.

Identify who will retain ownership of the system after the completion of the project. Describe the method by which the applicant can ensure that adequate revenues will be available to operate and maintain the proposed project. The description must identify the source and the estimated amount of funds that will be generated for this purpose.

Describe the physical boundaries of the target area(s) in relation to the beneficiaries of the project.

ARCHITECT/ENGINEER'S
COST ESTIMATE

(Refer to the instructions for the specific information that must
be included herein. Attach additional sheets if necessary).

Estimated number of parcels to be acquired:

Anticipated approvals/permits to be acquired:

Signature of
Licensed Architect/Engineer

Date

Architect/Engineer's Cost Estimate Instructions

All proposed project activities shall be accompanied by a detailed cost estimate prepared and signed by a Licensed Architect or Professional Engineer licensed in the State of Louisiana. The cost estimate shall contain the cost of construction, architectural/engineering fees, and related costs. The construction estimate shall be a listing of construction items (as a bid proposal), estimated quantity, unit of measure, unit price, and amount.

Architectural/Engineering fees shall be identified by type in a line item format. Typical items include basic services, resident project representative, topographic surveying, property surveying, geotechnical investigation, and testing. Written justification must be provided for all engineering services other than basic services and resident project representative. The justification shall contain an explanation of why the service is needed and how the proposed fee was derived. Please refer to the document entitled, "Architectural/Engineering Design and Construction Manual for Disaster Recovery Programs" for more information concerning eligible fees.

If your proposed project involves hookups (water/sewer house connections), then the costs associated with hookups should be identified separately on your cost estimate.

If any other funds (federal, local, etc.) will be used to complete the project, then the cost estimate must identify the amount of those funds as well as the specific use of those funds. For example, if \$200,000 in local funds will be used to assist in the construction of a treatment facility for a new sewerage collection and treatment system, a specific identification of such must be shown on the cost estimate.

Provide an estimate of the number of parcels that will be needed to be acquired to construct the proposed improvements.

Provide a listing of anticipated permits and government approvals that may be necessary.

Examples of cost estimates for a sewer collection system improvements project and a street improvement project can be found on the following pages.

Example of Cost Estimate – Street Improvements

ARCHITECT/ENGINEER'S
COST ESTIMATE

(Refer to the instructions for the specific information that must be included herein. Attach additional sheets if necessary).

CONSTRUCTION:

DESCRIPTION	QUANTITY	UNIT OF MEASURE	UNIT PRICE	AMOUNT
Mobilization	Lump	Lump Sum	\$ 25,000.00	\$ 25,000
Asphaltic Concrete Wearing Course	3,700	Ton	\$ 80.00	\$ 296,000
8-1/2" In-Place Cement Stab. Base Course	35,000	Sq. Yd.	\$ 6.00	\$ 210,000
Water Valve Adjustments	5	Each	\$ 200.00	\$ 1,000
Sewer Manhole Adjustments	10	Each	\$ 250.00	\$ 2,500
Aggregate Surface Course	1,500	Cu. Yd.	\$ 45.00	\$ 67,500
18" Corrugated Metal Pipe	100	Lin. Ft.	\$ 30.00	\$ 3,000
24" Corrugated Metal Pipe	100	Lin. Ft.	\$ 38.00	\$ 3,800
30" Corrugated Metal Pipe	80	Lin. Ft.	\$ 45.00	\$ 3,600
Signs and Barricades	Lump	Lump Sum	\$ 8,500.00	\$ 8,500
Project Sign	1	Each	\$ 1,000.00	\$ 1,000

Subtotal: \$621,900

Contingencies: \$62,100

Total Estimated Construction Cost: \$684,000

ENGINEERING:

Basic Services: \$59,100

Resident Project Representative: \$25,500

Geotechnical Investigation: \$3,000

Testing: \$3,750

TOTAL PROJECT COST:

\$775,350

Estimated number of parcels to be acquired: 0

Anticipated approvals/permits to be acquired: DOTD permit

Signature of
Licensed Architect/Engineer

Date

JUSTIFICATION FOR ADDITIONAL ENGINEERING FEES

Geotechnical Investigation:

To provide pre-design base testing for lime and cement determination. A geotechnical engineering firm will provide investigation, recommendations, and report. The cost is estimated at \$3,000.

Testing:

To provide soil proctor tests and in-place density tests for the completed base course and corings of completed asphaltic concrete pavement.

25 corings @ \$30 each =	\$ 750
30 density tests @ \$100 each =	<u>\$3,000</u>
Total =	\$3,750

Example of Cost Estimate – Sewer Collection System Improvements

ARCHITECT/ENGINEER'S
COST ESTIMATE

(Refer to the instructions for the specific information that must be included herein. Attach additional sheets if necessary).

CONSTRUCTION:

DESCRIPTION	QUANTITY	UNIT OF MEASURE	UNIT PRICE	AMOUNT
Mobilization	Lump	Lump Sum	\$ 15,000.00	\$ 15,000
8" PVC Sewer Main	4,800	Lin. Ft.	\$ 25.00	\$ 120,000
Manholes	20	Each	\$ 2,000.00	\$ 40,000
8" x 8" x 4" Wye	100	Each	\$ 50.00	\$ 5,000
4" Cleanouts and bends	100	Each	\$ 120.00	\$ 12,000
4" Service Line	500	Lin. Ft.	\$ 10.00	\$ 5,000
Jack or Bore 4" Service Line	700	Lin. Ft.	\$ 22.00	\$ 15,400
Lift Station	Lump	Lump Sum	\$ 75,000.00	\$ 75,000
4" PVC Force Main	2,800	Lin. Ft.	\$ 7.00	\$ 19,600
Maintenance Aggregate	100	Cu. Yd.	\$ 45.00	\$ 4,500
Project Sign	1	Each	\$ 1,000.00	\$ 1,000

Subtotal: \$312,500

Contingencies: \$31,000

Estimated Cost (Construction): \$343,500

REHABILITATION LOANS AND GRANTS

DESCRIPTION	QUANTITY	UNIT OF MEASURE	UNIT PRICE	AMOUNT
4" Service Line	5,600	Lin. Ft.	\$ 10.00	\$ 56,000
4" Cleanouts and bends	140	Each	\$ 120.00	\$ 16,800
4" Connections	70	Each	\$ 120.00	\$ 8,400

Subtotal: \$81,200

Contingencies: \$8,000

Estimated Cost (Rehabilitation Loans and Grants): \$89,200

TOTAL ESTIMATED CONSTRUCTION COST:

\$432,700

Example of Cost Estimate – Sewer Collection System Improvements Cont’d.

ARCHITECT/ENGINEER’S COST ESTIMATE (Refer to the instructions for the specific information that must be included herein. Attach additional sheets if necessary).

TOTAL ESTIMATED CONSTRUCTION COST: \$432,700

ENGINEERING:

Basic Services: \$41,700
 Resident Project Representative: \$19,800
 Topographic Surveying: \$5,500
TOTAL ENGINEERING: \$67,000

ACQUISITION:

Property Acquisition: \$4,000
 Property Surveying: \$2,500
TOTAL ACQUISITION: \$6,500

TOTAL PROJECT COST: \$506,200

COST-SHARING:

	CDBG Funds	Local Funds
Construction	\$400,000	\$32,700
Engineering	\$67,000	-- 0 --
Acquisition	-- 0 --	\$6,500
TOTAL	\$467,000	\$39,200

Estimated number of parcels to be acquired: 1

Anticipated approvals/permits to be acquired: DHH

 Signature of
 Licensed Architect/Engineer

 Date

JUSTIFICATION FOR ADDITIONAL ENGINEERING FEES

Topographic Surveying:

This project includes the installation of new sewer mains, manholes, and a force main. A survey is needed to establish benchmarks and to locate topographic features including utilities in the vicinity of the proposed sewer main alignment.

Survey crew: 5 days @ \$1,100 per day = \$5,500.

Property Surveying:

Property surveying is needed for the acquisition of a site to construct the new lift station.

Survey crew: 10 hours @ \$110 per hour =	\$1,000
Draftsman: 10 hours @ \$45 per hour =	\$ 450
Courthouse research: 10 hours @ \$50 per hour =	\$ 500
Land Surveyor: 6 hours @ \$75 per hour =	<u>\$ 450</u>
Total =	\$2,500

Project Map(s)

1. **Existing Conditions Map**: Provide a detailed map of the existing improvements. The map should delineate such items as the location and size of waterlines, elevated water tanks, sewer lines, manholes, location of treatment plants, etc.
2. **Proposed Improvements Map**: Provide a detailed map showing the location, sizes, etc. of the proposed improvements.

Note: The Existing Conditions map and the Proposed Improvements map may be combined into one map if all the information shown can be depicted in such a way as to easily determine the difference between the existing and proposed.

Other Funds Supplemental Documentation

Some projects may cost more than is available under the Long Term Community Recovery Program. The applicant may propose to use other funds in conjunction with the CDBG funds. These other funds must be identified and must be available and ready to spend. If these funds involve loans or grants from other state, federal, or private sources, the monies must have already been awarded or be in the bank. To substantiate the immediate availability of the other funds, one of the following items of supporting documentation will be required: a letter and adopted resolution from the local governing body stating the specific source, amount, and location of local cash, a line of credit letter from a financial institution such as a bank stating the amount available as a loan, specific evidence of funds to be received from a tax or bond election that has already passed, or a letter from another funding agency stating that the funds have been awarded and are currently available for expenditure.

Attach the supporting documentation to this application.

Proofs of Publication

A copy of the two public notices and proofs of publication must be included in the application package. The required content of these notices is explained Section II, Program Administration, Citizen Participation Requirements.

REVISED APPENDIX A

GRANTEE STATEMENT OF ASSURANCES

This Applicant/Grantee/Subrecipient hereby assures and certifies that:

1. It possesses legal authority to apply for a Community Development Block Grant (“CDBG”) and to execute the proposed CDBG program.
2. Its governing body has duly adopted, or passed as an official act, a resolution, motion, or similar action authorizing the filing of the CDBG application and directing and authorizing the person identified as the official representative of the Applicant/Grantee/Subrecipient to act in connection with the application, sign all understandings and assurances contained therein, and to provide such additional information as may be required.
3. It has facilitated citizen participation by providing adequate notices containing the information specified in the program instructions and by providing citizens an opportunity to review and submit comments on the proposed application.
4. Its chief executive officer, or other officer or representative of Applicant/Grantee/Subrecipient approved by the State:
 - a. Consents to assume the status of a responsible federal official under the National Environmental Policy Act of 1969 (**42 U.S.C.A. §4331, et seq.**) insofar as the provisions of such Act apply to the proposed CDBG Program; and
 - b. Is authorized and consents, on behalf of the Applicant/Grantee/Subrecipient and himself, to submit to the jurisdiction of the federal courts for the purpose of enforcement of Applicant/Grantee/Subrecipient’s responsibilities and his or her responsibilities as an official.
5. It will develop the CDBG program and use CDBG funds so as to give maximum feasible priority to activities that will benefit low and moderate income families, aid in the prevention or elimination of slums or blight, or meet other community development needs having a particular urgency.
6. It will comply with the following applicable federal grant management regulations, policies, guidelines, and/or requirements as they relate to the application, acceptance, and use of federal funds: OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments) as amended and made part of State regulations; A-102 (Grants and Cooperative Agreements with State and Local Governments), as amended and made part of State regulations; OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations), revised; OMB Circular A-21 (Cost Principles for Educational Institutions); A-122 (Cost Principles for Non-Profit Organizations); 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments) and 24 CFR Part 84 (Uniform Administrative Requirements For Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations).
7. It will administer and enforce the labor standards requirements set forth in 24 CFR §570.603 and any other regulations issued to implement such requirements.

8. It will comply with the provisions of Executive Order 11988, as amended by Executive Order 12148, relating to evaluation of flood hazards, and Executive Order 12088, as amended by Executive Order 12580, relating to the prevention, control and abatement of water pollution.
9. It will require every building or facility (other than a privately owned residential structure) designed, constructed, or altered with funds provided to Applicant/Grantee/Subrecipient to comply with any accessibility requirements, as required by Title III of the Americans with Disabilities Act of 1990 (42 U.S.C.A. § 12101 et seq.). The Applicant/Grantee/Subrecipient will be responsible for conducting inspections to ensure compliance with these specifications by the contractor.
10. It will comply with:
 - a. Title VI of the Civil Rights Acts of 1964, 42 U.S.C. §2000d et seq., as amended, and the regulations issued pursuant thereto (24 CFR Part 1), which provide that no person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant/Grantee/Subrecipient receives federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant/Grantee/Subrecipient, this assurance shall obligate the Applicant/Grantee/Subrecipient, or in the case of any transfer of such property, any transferee, for the period during which the property or structure is used for another purpose involving the provision of similar services or benefits.
 - b. Section 104 (b) (2) of Title VIII of the Civil Rights Act of 1968 (**42 U.S.C.A. §3601, et seq.**), as amended, which requires administering all programs and activities relating to housing and community development in a manner to affirmatively further fair housing. Title VIII further prohibits discrimination against any person in the sale or rental of housing, or the provision of brokerage services, including in any way making unavailable or denying a dwelling to any person, because of race, color, religion, sex, national origin, handicap or familial status.
 - c. Section 109 of Title I of the Housing and Community Development Act of 1974 (42 U.S.C. §5309), and the regulations issued pursuant thereto (24 CFR Part §570.602), which provides that no person in the United States shall, on the grounds of race, color, national origin, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with funds provided under that Part. Section 109 further prohibits discrimination to an otherwise qualified individual with a handicap, as provided under Section 504 of the Rehabilitation Act of 1973, as amended, and prohibits discrimination based on age as provided under the Age Discrimination Act of 1975. The policies and procedures necessary to ensure enforcement of section 109 are codified in 24 CFR part 6.

- d. Executive Order 11063, as amended by Executive Order 12259, and the regulations issued pursuant thereto, which pertains to equal opportunity in housing and non-discrimination in the sale or rental of housing built with federal assistance.
 - e. Executive Order 11246, as amended by Executive Orders 11375 and 12086, and the regulations issued pursuant thereto, which provide that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of federal or federally assisted construction contracts. Further, contractors and subcontractors on federal and federally assisted construction contracts shall take affirmative action to insure fair treatment in employment, upgrading, demotion, or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training and apprenticeship.
 - f. Section 504 of the Rehabilitation Act of 1973, as amended, which provides that no otherwise qualified individual shall, solely, by reason of his or her handicap be excluded from participation, denied program benefits or subjected to discrimination on the basis of age under any program or activity receiving federal funding assistance.
11. The work to be performed by Grantee is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

Grantee agrees to comply with HUD's regulations in 24 CFR part 135, which implement section 3. Grantee also certifies that there are under no contractual or other impediment that would prevent it from complying with the part 135 regulations.

Grantee agrees to send to each labor organization or representative of workers with which the Grantee has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the Grantee's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

Grantee agrees to include this section 3 clause in every subrecipient agreement and contract subject to compliance with regulations in 24 CFR part 135, and agrees to take appropriate action, as provided in an applicable provision of such contract or in this section 3 clause, upon a finding that the subrecipient or contractor is in violation of the regulations in 24 CFR part 135. Grantee will not contract with any subrecipient or contractor where

the contractor has notice or knowledge that the subrecipient or contractor has been found in violation of the regulations in 24 CFR part 135.

The Grantee will certify that any vacant employment positions, including training positions, that are filled (1) after the Grantee is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the Grantee's obligations under 24 CFR part 135.

Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this Agreement for default, and debarment or suspension from future HUD assisted contracts.

With respect to work performed in connection with section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this Agreement. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this Agreement that are subject to the provisions of section 3 and section 7(b) agree to comply with section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

12. It will minimize displacement of persons as a result of activities assisted with CDBG funds. In addition, it will:
 - a. Comply with Title II (Uniform Relocation Assistance) and Sections 301-304 of Title III (Uniform Real Property Acquisition Policy) of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. Chapter 61), and HUD implementing instructions at 24 CFR Part 42 and 24 CFR §570.606; and
 - b. Inform affected persons of their rights and of the acquisition policies and procedures set forth in the regulations at 24 CFR Part 42; and
 - c. Provide relocation payments and offer relocation assistance as described in Section 205 of the Uniform Relocation Assistance Act to all persons displaced as a result of acquisition of real property for an activity assisted under the CDBG Program. Such payments and assistance shall be provided in a fair, consistent and equitable manner that ensures that the relocation process does not result in different or separate treatment of such persons on account of race, color, religion, national origin, sex or source of income; and
 - d. Assure that, within a reasonable period of time prior to displacement, comparable decent, safe and sanitary replacement dwellings will be available to all displaced families and individuals and that the range of choices available to such persons will not vary on account of their race, color, religion, national origin, sex, or source of income; and

- e. Assure that if displacement is precipitated by CDBG funded activities that require the acquisition (either in whole or in part) of real property, all appropriate benefits required by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601 et seq., Pub. L. 91-646) and amendments thereto shall be provided to the displaced person(s). Persons displaced by rehabilitation of “Non-Uniform Act” acquisition financed (in whole or in part) with CDBG funds shall be provided relocation assistance in accordance with one of the following: (1) the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as required under 24 CFR Section 570.606 (a) and HUD implementing regulations at 24 CFR Part 42; (2) the requirements in 24 CFR Section 570.606 (b) governing the Residential Antidisplacement and Relocation Assistance Plan under Section 104 (d) of the Housing and Community Development Act of 1974; (3) the relocation requirements of Section 104 (k) of the Act; (4) the relocation requirements of 24 CFR Section 570.606 (d) governing optional relocation assistance under Section 105 (a) (11) of the Act; and (5) the provisions of 24 CFR Part 511.10 (h) (2) (iii) rental Rehabilitation Program.
13. It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties, in accordance with CDBG regulations.
14. It will comply with the provisions of the Hatch Act that limit the political activity of employees and the HUD regulations governing political activity at 24 CFR §570.207.
15. It will give the State and HUD, and any of their representatives or agents, access to and the right to examine all records, books, papers, or documents related to the grant.
16. It will ensure that the facilities under Applicant/Grantee/Subrecipient’s ownership, lease or supervision utilized in the accomplishment of the CDBG Program are not listed on the Environmental Protection Agency’s (EPA) list of violating facilities and that it will notify HUD of the receipt of any communication from the EPA Office of Federal Activities indicating that a facility to be used in the CDBG Program is being considered for listing by the EPA as a violating facility.
17. With regard to environmental impact, it will comply with the National Environmental Policy Act of 1969 (42 U.S.C. §4321-4347), and Section 104(f) of the Housing and Community Development Act of 1974 (42 U.S.C. §5304(d)).
18. It will comply with Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. 470 et seq.), as amended, Executive Order 11593, and the Preservation of Archaeological and Historical Data Act of 1966 (16 U.S.C. §469a-1 et. seq.), as amended, by:
 - a. Consulting with the State Historic Preservation Office to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800) by the proposed activity; and

- b. Complying with all requirements established by the State to avoid or mitigate adverse effects upon such properties.
19. It will comply with the provisions in 24 CFR §570.200(c) regarding special assessments to recover capital costs.
20. It will adopt and enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individual engaged in non-violent Civil Rights demonstrations and will enforce applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstrations within its jurisdiction.
21. It certifies that no federally appropriated funds will be used for any lobbying purposes regardless of the level of government.
22. It will abide by and enforce the conflict of interest requirement set forth in 24 CFR §570.611, 24 CFR §85.36 and 24 CFR §84.42.
23. It will comply with HUD rules prohibiting the use of CDBG funds for inherently religious activities, as set forth in 24 CFR §570.200(j).
24. Activities involving new building construction, alterations, or rehabilitation will comply with the Louisiana State Building Code.
25. In relation to labor standards, it will comply with:
 - a. Section 110 of the Housing and Community Development Act of 1974, as amended and as set forth in 24 CFR §570.603.
 - b. Davis-Bacon Act, as amended (40 U.S.C. §3141 et seq.).
 - c. Contract Work Hours and Safety Standards Act (40 U.S.C. §327 et seq.).
 - d. Federal Fair Labor Standards Act (29 U.S.C. §201 et seq.)
26. It will comply with the flood insurance purchase requirement of Section 102(a) of the Flood Disaster Protection Act of 1973, 42 U.S.C. §4001 et seq., which requires the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of HUD as an area having special flood hazards. The phrase “federal financial assistance” includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect federal funding.
27. It will comply with the Farmland Protection Policy Act, 7 U.S.C.A. §4201 et seq., which requires recipients of federal assistance to minimize the extent to which their projects contribute to the unnecessary and irreversible commitment of farmland to nonagricultural uses.

28. It will comply with Sections 1012 and 1013 of Title X of the Housing and Community Development Act of 1992 (Public Law 102–550, as amended). The regulation appears within Title 24 of the Code of Federal Regulations as part 35 (codified in 24 CFR 35). The purpose of this regulation is to protect young children from lead-based paint hazards in housing that is financially assisted by the Federal government or sold by the government. This regulation applies only to structures built prior to 1978.
29. It will comply with the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976 (42 U.S.C. §6901, et seq.).
30. It will comply with the Clean Air Act (42 U.S.C. §7401, et seq.), which prohibits engaging in, supporting in any way, or providing financial assistance for, licensing or permitting, or approving any activity which does not conform to the State implementation plan for national primary and secondary ambient air quality standards.
31. In relation to water quality, it will comply with:
 - a. The Safe Drinking Water Act of 1974 (42 U.S.C. §§ 201, 300(f) et seq. and U.S.C. §349), as amended, particularly Section 1424(e) (42 U.S.C. §§ 300h-303(e)), which is intended to protect underground sources of water. No commitment for federal financial assistance can be entered into for any project which the U.S. Environmental Protection Agency determines may contaminate an aquifer which is the sole or principal draining water source for an area; and
 - b. The Federal Water Pollution Control Act of 1972, as amended, including the Clear Water Act of 1977, Public Law 92-212 (33 U.S.C. §1251, et seq.) which provides for the restoration and maintenance of the chemical, physical and biological integrity of the nation’s water.
32. It will comply with HUD Environmental Standards (24 CFR, Part 51 and 44 F.R. 40860-40866).
33. With regard to wildlife, it will comply with:
 - a. The Endangered Species Act of 1973, as amended (16 U.S.C. §1531 et seq.). Federally authorized and funded projects must not jeopardize the continued existence of endangered and threatened species or result in the destruction of or modification of habitat of such species which is determined by the U.S. Department of the Interior, after consultation with the state, to be critical; and
 - b. The Fish and Wildlife Coordination Act of 1958, as amended, (16 U.S.C. §661 et seq.) which requires that wildlife conservation receives equal consideration and is coordinated with other features of water resource development programs.

Signing these assurances means that Applicant/Grantee/Sub recipient agrees to implement its program in accordance with these provisions. Failure to comply can result in serious audit and/or monitoring findings that require repayment of funds to the State or expending Applicant/Grantee/Sub recipient funds to correct deficiencies.

GRANTEE

By: _____

Title: _____

This ____ day of _____, 20____.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing
and Urban Development

OMB Approval No. 2510-0011 (exp. 10/31/2014)

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

Applicant/Recipient Information

Indicate whether this is an Initial Report or an Update Report

1. Applicant/Recipient Name, Address, and Phone (include area code):	2. Social Security Number or Employer ID Number:
3. HUD Program Name	4. Amount of HUD Assistance Requested/Received
5. State the name and location (street address, City and State) of the project or activity:	

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3). <input type="checkbox"/> Yes <input type="checkbox"/> No	2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9 <input type="checkbox"/> Yes <input type="checkbox"/> No.
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If you answered "No" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form. **However**, you must sign the certification at the end of the report.

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

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

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

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

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

(Note: Use Additional pages if necessary.)

Certification

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

I certify that this information is true and complete.

Signature: X	Date: (mm/dd/yyyy)
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Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is voluntary. HUD is authorized to collect this information under the Housing and Community Development Act of 1987 42 U.S.C.3543 (a). The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

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

Instructions

Overview.

A. Coverage. You must complete this report if:

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

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

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

Line-by-Line Instructions.

Applicant/Recipient Information.

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

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

Part I. Threshold Determinations - Applicants Only

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

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

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

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

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

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** - that have been or are to be, made available for the project or activity. Non-government sources of

funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

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

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

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need

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

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

Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.