

**List of HUD Public Housing Operating Fund Program “Certifications and Assurances” for  
Line 21 of the “Application for Federal Assistance SF-424.”**

The following list of certifications and assurances are agreed to by completing the Application for Federal Assistance, SF-424 line 21 which states: “By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001).”

List of certifications and assurances:

1. Operating Fund Obligation letter assurance - The Shortfall Funding Grant Obligation Letter states that by drawdown of the funds the PHA confirms compliance with all term and conditions of the Consolidated Annual Contributions Contract, 24 CFR 990, and 2 CFR 200. A copy of your agency obligation letters can be found at:  
  
[https://www.hud.gov/program\\_offices/public\\_indianhousing/programs/ph/am/opfnd2020](https://www.hud.gov/program_offices/public_indianhousing/programs/ph/am/opfnd2020)
2. Based on the acceptance of Shortfall Funding and PHA submission of HUD-50071, I/We certify under penalty of perjury that the information upon which the Shortfall Funding application is based is true and correct. WARNING: Anyone who knowingly submits a false claim or makes a false statement is subject to criminal and/or civil penalties, including confinement for up to 5 years, fines, and civil penalties. (18 U.S.C. §§ 287, 1001, 1010, 1012; 31 U.S.C. §3729, 3802).
3. We/I hereby certify that \_\_\_\_\_ Housing Agency is in compliance with the Federal Fiscal Year (FFY) 2020 Further Consolidated Appropriations Act (P.L. 116-94), HUD regulations at 24 CFR part 990, and Annual Contributions Contract as was in effect on December 31, 2017.
4. The PHA agrees to collaborate with HUD in the development of an improvement plan and to undertake reasonable cost saving or revenue increasing measures to improve its financial condition.
5. Information submitted to HUD systems including but not limited to, the Financial Assessment Subsystem (FASS), Financial Data Schedule (FDS), and Public Housing Information Center (PIC), used in the computation of the Months of Operating Reserves and Shortfall Eligibility found in this Notice is complete and accurate.
  - a. Further, the information provided via these systems supports the conclusion that the PHA is insolvent or near insolvent as defined in this Notice (i.e. MOR of less than 1.0 being insolvent, and near insolvent being an MOR of less than 2.0).
6. If submitting an appeal, that the financial documentation and calculations provided by the PHA to support the basis of the appeal are accurate, complete, and truthful.
7. The PHA acknowledges that any funds not drawn down within the period of performance will be recaptured by HUD.

8. The PHA understands that Shortfall funding can only be drawn down from LOCCS to pay for immediate needs.
9. If the PHA is receiving Shortfall funding to raise their MOR above zero, the PHA must maintain an MOR of at least one in an approved FDS submission on or after the creation of the improvement plan. Note that, for the last-funded Tier 2 PHA, if that PHA receives only partial funding an alternative requirement will apply. The last funded PHA will have to demonstrate an MOR that is equal to the MOR achieved when adding Tier 1 and the first increment of Tier 2 funding.

Signing the SF424 does not exempt the Officials from making the appropriate certifications and assurance on the listed document

