

SECTION 202/811 CAPITAL ADVANCE
APPLICATION FOR FUND RESERVATION
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDA FORMATS

Instructions:

1. The attached contains 8 separate suggested memoranda formats for use by the reviewing disciplines during technical processing at the fund reservation stage. The memoranda formats provide for:
 - the assignment of recommended rating points by the reviewing discipline for the Section 202 or Section 811 Rating Panel.
 - identification of all required findings and applicable program instructions.
 - identification of substantive comments by the reviewer.
- NOTE: Other review formats may be used as long as the required information is recorded.
2. The rating criteria on the memoranda formats correspond to the Rating Factors on the Standard Rating Criteria Form (Attachment 12 (202) and Attachment 13 (811)). For example, on the Project Manager's Memorandum Format there is no (b) under Rating Factor 1 because that criterion is rated by FHEO. Furthermore, the points for each overall factor on the memorandum formats relate to the maximum points the particular technical discipline can assign to the rating criterion and may not equal the total points for the corresponding Rating Factor on the Standard Rating Criterion Form. For example, Rating Factor 1 on the Standard Rating Criterion Form is worth 30 base points. However, on the Project Manager's Memoranda Format, Rating Factor 1 is worth 20 points because the Project Manager does not rate Rating Criterion 1(b) which is worth 10 points.
3. If the reviewing discipline discovers that an exhibit or part of an exhibit is missing which was not identified during initial screening, the Project Manager must be notified immediately. The Project Manager shall telephone the Sponsor and request the missing information to be submitted within 5 working days from the date of the telephone call. The Project Manager shall also request this information on the same day by certified mail.

4. Under Section 811, if the Project Manager determines, based on a review of the Sponsor's justification, that the Sponsor's request for restricted occupancy should be approved, it must prepare a memorandum to the file for the signature of the Supervisory Project Manager indicating that the Sponsor's request to restrict occupancy has been approved. The memorandum shall be attached to the Project Manager's Technical Review and Findings Memorandum and include the following language which must be inserted in the Notification of Selection Letter should the Sponsor be selected for funding:

"Your request to restrict occupancy to (insert applicable subcategory of persons with disabilities) is approved. However, you must permit occupancy by any otherwise qualified very low income person with a disability, provided the person can benefit from the housing and/or services provided."

5. Review Disciplines Summary: The Project Manager shall complete the following:

Reviewing Office

Recommendation 1/

	<u>Acceptable</u>	<u>Not Acceptable</u>
PROJECT MANAGER	_____	_____
A & E	_____	_____
VAL	_____	_____
EMAS	_____	_____
FH&EO	_____	_____
COUNSEL	_____	_____
CPD	_____	_____
SEC REP	_____	_____

- 1/ If an application receives a "not acceptable" recommendation, it should not be considered by the Rating Panel.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
Project Manager

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Project
Manager

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor's Name: _____
Project Location: _____
Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____

The subject application has been reviewed and the Project Manager's findings are as follows:

1. The proposed housing and intended occupants are eligible under the ____ Section 811 or ____ Section 202 program (check one).

Yes ____ No ____ If No, the application must be rejected.

Comments : _____

2. The Sponsor has previous experience in developing and/or operating housing, supportive services or other facilities, such as, but not limited to: **Section 811** - rehabilitation centers, clinics, day care or treatment centers and/or in the provision of services to persons with disabilities, the elderly, families or minority groups, preferably, but not necessarily, among those in the low and moderate income categories; or **Section 202** - nursing homes or senior or community centers, and/or the provision of services to the elderly, persons with disabilities, families or minority groups, preferably, but not necessarily among the low and moderate income category.

Yes ____ No ____ If No, the application must be rejected.

Comments: _____

(Technical Processing - Project Manager) - continued
Project No. _____

3. The Sponsor/Co-sponsor submitted a board resolution stating its commitment to cover the required minimum capital investment, estimated start-up expenses, and the estimated cost of any amenities or features and (operating costs related thereto) which would not be covered by the approved capital advance.

Yes _____ No _____ If No, was a board resolution provided by another organization to furnish these funds or a combination thereof?

Yes _____ No _____ If No, the application must be rejected.
If Yes, name of organization _____

Comments: _____

4. The Sponsor submitted properly executed Exhibits including Certifications and Resolutions.

Yes _____ No _____ If No, the application must be rejected.

Comments: _____

5. HUD's experience with the Sponsor has been satisfactory, if self-management or identity of interest management is proposed.

Yes _____ No _____ N/A _____

Comments: _____

6. Is project likely to affect adversely other HUD-insured and assisted housing? (Coordinate response with EMAS)

Yes _____ No _____ If yes, application must be rejected.

Comments: _____

Technical Processing - Project Manager) - continued
Project No. _____

7. **Section 811 Only:** The likelihood that the Sponsor will have site control (if not already in control of a site) within six months of receiving a notice of Section 811 Capital Advance.

Yes _____ No _____ If No, the application must be rejected.

Comments: _____

8. **Section 811 Only:** Did the State/local agency certification indicate that the provision of supportive services is well designed to meet the special needs of the persons with disabilities the housing is intended to serve?

Yes _____ No _____ If No, the application must be rejected.

9. **Section 811 Only:** Did the State/local agency certification indicate that the proposed housing is consistent with the agency's plans/policies governing the development and operation of housing to serve the proposed population?

Yes _____ No _____ If No, and the agency will be a major funding or referral source for the proposed project, or must license the project, the application must be rejected.

10. **Section 811 Only:** Did the State/local agency certification indicate that the necessary supportive services will be provided on a consistent, long-term basis?

Yes _____ No _____ If No, the application must be rejected.

Comments: _____

NOTE: Any application that must be rejected based on a "No" response to any of the above questions, must be rated. However, the application will not be ranked. The applicant will not be notified of the rejection until technical processing has been completed.

(Technical Processing - Project Manager) continued
Project No. _____

11. **Section 811 Only:** If the Sponsor requested approval to limit occupancy to a subcategory of one of the three main categories of disability (see paragraph 4.J. of the Notice above), did the Sponsor sufficiently respond to all six requirements to justify an approval of the request?

Yes _____ No _____ (Explain below) N/A _____

Comments: _____

NOTE: If approval is granted, a memorandum to the file indicating such must be signed by the Supervisory Project Manager and attached to this Review Sheet. If the Sponsor is selected for funding, the paragraph in item 4. of the Instructions above must be included in the Notification of Selection Letter.

12. **Section 811 Only:** If the Sponsor is requesting approval to exceed the project size limits, does the Sponsor sufficiently justify approval of such an exception?

Yes _____ No _____ (Explain below) N/A _____

Comments: _____

RATING FACTORS

1. **CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL STAFF.**
(30 POINTS)

In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider:

- (a) The scope, extent and quality of the Sponsor's experience in providing housing or related services to those proposed to be served by the project and the scope of the proposed project (i.e., number of units, services, relocation costs, development, and operation) in relationship to the Sponsor's demonstrated development and management capacity as well as its financial management capability. (20 points maximum)

(Technical Processing - Project Manager) - continued
Project No. _____

Recommended rating: _____

Comments: _____

2. NEED/EXTENT OF THE PROBLEM. (10 POINTS)

In determining the extent to which there is a need for funding the proposed supportive housing to address a documented problem in the market area, consider: (10 points)

- (a) The extent that information in the community's Analysis of Impediments to Fair Housing Choice (AI) or other planning document that analyzes fair housing issues and is prepared by a local planning or similar organization is used by the Sponsor in identifying the level of the problem and the urgency in meeting the need for the project. HUD will review more favorably those applications in which the AI or planning document supports the need for the project (2 points maximum).

NOTE: Applications in which the Sponsor not only uses the AI to identify the level of the problem and the urgency in meeting the need for the project, but also shows how the AI or planning document supports the need for the project will be given 2 points. Applications in which the Sponsor uses the AI to identify the level of the problem and the urgency in meeting the need for the project will receive 1 point.

Recommended rating: _____

Comments: _____

3. SOUNDNESS OF APPROACH. (40 POINTS)

In determining the quality and effectiveness of the project as well as the relationship between the project, the community's needs and purposes of the program funding, consider:

- (e) **Section 811 Only:** The Sponsor's board is comprised of at least 51% persons with disabilities including

persons with disabilities similar to those of the prospective residents. (5 points maximum)

Recommended rating: _____

Comments: _____

- (f) **Section 202 Only:** The extent to which the proposed supportive services meet the identified needs of the (anticipated) residents. (3 points maximum)

Recommended rating: _____

Comments: _____

- (g) **Section 202 Only:** The extent to which the Sponsor demonstrated that the identified supportive services will be provided on a consistent, long-term basis. (3 points)

Recommended rating: _____

Comments: _____

(Technical Processing - Project Manager) - continued
Project No. _____

4. LEVERAGING RESOURCES. (10 POINTS)

In determining the ability of the Sponsor to secure other community resources which can be combined with HUD's program resource to achieve program purposes, consider: (10 points)

- (b) The extent of the Sponsor's activities in the community, including previous experience in serving the area where the project is to be located, and the Sponsor's demonstrated ability to enlist volunteers (**Section 202 only**) and raise local funds. (5 points maximum)

Recommended rating: _____

Comments: _____

5. COMPREHENSIVENESS AND COORDINATION. (10 POINTS)

In determining the extent to which the Sponsor coordinated its activities with other known organizations, participates or promotes participation in a community's Consolidated Planning process, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community, consider: (10 points)

- (a) The Sponsor's involvement of elderly persons, particularly minority elderly persons (Section 202), persons with disabilities (including minority persons with disabilities) (Section 811), in the development of the application, and its intent to involve elderly persons, particularly minority elderly persons (Section 202) persons with disabilities (including minority persons with disabilities) (Section 811), in the development and operation of the project. (4 points maximum)

Recommended rating: _____

Comments: _____

(Technical Processing - Project Manager) - continued
Project No. _____

- (b) The extent to which the Sponsor coordinated its application with other organizations to complement and/or support the proposed project. (2 points max.)

Recommended rating: _____

Comments: _____

- (c) The extent to which the Sponsor demonstrates that it has been actively involved or, if not currently active, the steps it will take to become actively involved in its community's Consolidated Planning process to identify and address a need/problem that is related in whole or part, directly or indirectly to the proposed project. (2 points maximum)

Recommended rating: _____

Comments: _____

- (d) The extent to which the Sponsor developed or plans to develop linkages with other activities, programs or projects related to the proposed project to coordinate its activities so solutions are holistic and comprehensive. (2 points maximum)

Recommended rating: _____

Comments: _____

In summary, the subject application is acceptable.

Yes ____ No ____

Comments: _____

Signature of Project Manager

Date

NOTE: ALL OF THE EXHIBITS WERE REVIEWED TO DETERMINE THE ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
ARCHITECTURAL, ENGINEERING, AND COST (A&E)

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, A&E

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor's Name: _____

Project Location: _____

Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____

The subject application has been reviewed and Architectural, Engineering and Cost's findings are as follows:

RATING FACTORS

3. SOUNDNESS OF APPROACH. (40 POINTS)

In determining the quality and effectiveness of the project as well as the relationship between the project, the community's needs and purposes of the program funding, consider:

- (c) The extent to which the proposed design will meet the special physical needs of elderly persons (**Section 202**) or any special needs of persons with disabilities the housing is expected to serve (**Section 811**). (3 points maximum (**202**); 5 points maximum (**811**))

Recommended rating: _____

Comments: _____

(Technical Processing - A&E) - continued
Project No. _____

Section 202 Only:

- (d) The extent to which the proposed size and unit mix of the housing will enable the Sponsor to manage and operate the housing efficiently and ensure that the provision of supportive services will be accomplished in an economical fashion. (3 points maximum)

Recommended rating: _____

Comments: _____

- (e) The extent to which the proposed design of the housing will accommodate the provision of supportive services that are expected to be needed, initially and over the useful life of the housing, by the category or categories of elderly persons the housing is intended to serve. (3 points maximum)

Recommended rating: _____

Comments: _____

Section 811 Only:

- (d) The extent to which the proposed design of the project and its placement in the neighborhood will facilitate the integration of the residents into the surrounding community. (5 points maximum)

Recommended rating: _____

Comments: _____

(Technical Processing - A&E) - continued
Project No. _____

The application is acceptable from an Architectural,
Engineering and Cost viewpoint.

Yes _____ No _____

Comments: _____

Signature of Reviewer

Date

NOTE: EXHIBITS 1, 4(c), 4(d), 4(e) WERE REVIEWED TO DETERMINE THE
ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
VALUATION BRANCH

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Chief Appraiser

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
Project Location: _____
Project No: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____
Site Control _____ OR Site Identified _____

The subject application has been reviewed and comments are as follows:

NOTES: 1) If the Section 811 Sponsor did not submit either evidence of site control or an identified site, the application must be rejected. The application will still be rated as a whole but will not be ranked. The applicant will not be notified of the rejection until technical processing has been completed. 2) If the Section 811 Sponsor is proposing a scattered-site project with some sites under control and some identified, the application must be treated as a site identified application and rated under Criterion 3 (b) below.

RATING FACTOR

3. SOUNDNESS OF APPROACH. (40 POINTS)

In determining the quality and effectiveness of the project as well as the relationship between the project, the community's needs and purposes of the program funding, consider: (10 base points maximum)

- (a) Proximity or accessibility of the site to shopping, medical facilities, transportation, places of worship, recreational facilities, places of employment and other necessary services to the intended occupants, adequacy of utilities and streets and freedom of the site from adverse environmental conditions (**applies only to site control projects for 811**) and compliance with the site and neighborhood standards. (15 points maximum)

Recommended rating: _____

(Technical Processing - Valuation) - continued
Project No. _____

Comments: _____

BONUS POINTS

- (a) The application contains acceptable evidence of control of an approvable site. **(10 bonus points)**

Recommended rating: _____

Comments: _____

The following additional findings have been made:

1. The number of units and bedroom sizes are marketable.

Yes _____ No _____

Comments: _____

2. The proposed site is located outside the 100-year floodplain.

Yes _____ No _____ If No, the 8-step process must be initiated.

Comments: _____

NOTE: Six steps of the 8-step process identified in 24 CFR Part 55 must be completed, if an application is recommended for funding.

(Technical Processing - Valuation) - continued
Project No. _____

3. For **Section 202 applications** and **Section 811 applications with site control only**, the proposed project meets Environmental Assessment requirements, including Compliance Findings (including SHPO historic findings) set forth in attached Form HUD-4128.

Yes _____ No _____ N/A _____ (Section 811 - site identified)

Section 811 Only: If No, the application shall **NOT** be rejected. It shall receive 0 points for Criterion 3 (a) and no bonus points for site control. It will remain in the competition provided the Sponsor indicated its willingness to seek an alternative site (Exhibit 4(d)(7), it meets all other requirements and scores at least 60 base points).

Comments: _____

4. Is the site located in a floodway, Coastal High Hazard Area, and/or within a designated Coastal Barrier (Coastal Barrier Resources Act P.L. 97-348)?

Yes _____ No _____ N/A _____ (811 site identified)

Section 202: If Yes, the application must be rejected.

Section 811: If Yes, the site must be rejected. The application shall be treated as site identified and receive 0 points for Criterion 2 (b) and Criterion 3 (c).

5. Was the Phase I Environmental Site Assessment submitted?

Yes _____ No _____ N/A _____ (811 site identified)

Section 202: If no, the application must be rejected.

Section 811: If no, the site must be rejected. The application shall be treated as site identified and receive 0 points for Criterion 2 (b) and Criterion 3 (c).

(Technical Processing - Valuation) - continued
Project No. _____

If yes, check one of the following:

_____ No further study was indicated.

_____ Further study was indicated and the Phase II
Environmental Assessment was completed.

Section 202: If Yes, the application must be rejected.

Section 811: If Yes, the site must be rejected. The
application shall be treated as site identified and
receive 0 points for Criterion 2 (b) and Criterion 3
(c).

Comments: _____

6. The proposed construction or rehabilitation is permissible under applicable zoning ordinances or regulations, or a statement was included indicating the proposed action required to make the proposed project permissible and the basis for belief that the proposed action would be completed successfully before the submission of the firm commitment application.

Yes _____ No _____ If no, application must be
rejected.

Comments: _____

7. **Section 202 Only:** The proposed congregate dining facility will be financially viable.

Yes _____ No _____ N/A _____

Comments: _____

(Technical Processing - Valuation) - continued
Project No. _____

In summary, the subject application is: ☒ Acceptable
☐ Not Acceptable

Explain: _____

(Signature or Appraiser)

Date

Attachment: Form HUD-4128 with
supporting documentation.

NOTE: EXHIBITS 1, 4(c), 4(d) and 4(e) WERE REVIEWED TO
DETERMINE THE ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
ECONOMIC & MARKET ANALYSIS

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Economic & Market Analysis
SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
Project Location: _____
Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____

The subject application has been reviewed and EMAS's findings are as follows:

1. Taking into consideration the information available, including the Sponsor's evidence of need, current and anticipated housing market conditions in assisted housing for the type of project proposed (elderly or disabled) and comments from the Rural Housing Service, is there sufficient demand for the number and type of units proposed?

☐ Yes ☐ No

If No, the application is a technical reject and is to be given zero (0) points on rating Factor 2 below.

Explain basis for the finding: _____

2. The proposed location is acceptable and desirable for the target population (elderly (202) or disabled (811)) taking into consideration the proximity or accessibility of public facilities, health care and other necessary services to the intended occupants.

☐ Yes ☐ No

Comments: _____

NOTE: EMAS should complete this question only if it has available relevant information on the site and location.

RATING FACTOR

2. NEED/EXTENT OF THE PROBLEM. (10 POINTS)

In determining the extent to which there is a need for funding the proposed supportive housing to address a documented problem in the market area, consider:

- (a) The extent of the need for the project in the area based on a determination by the HUD Office. This determination will be made by taking into consideration the Sponsor's evidence of need in the area as well as other economic, demographic and housing market data available to the HUD Office. (8 points maximum)

Section 202: The data could include the availability of existing Federally assisted housing (HUD and RHS) (e.g., considering availability and vacancy rates of public housing) for the elderly and current occupancy in such facilities; Federally assisted housing for the elderly under construction or for which fund reservations have been issued; and in accordance with an agreement between HUD and the RHS, comments from the RHS on the demand for additional assisted housing and the possible harm to existing projects in the same housing market area. Also, to the extent that the community's Analysis of Impediments to Fair Housing Choice (AI) or other planning documents that analyzed fair housing issues and is prepared by a local planning or similar organization identifies the level of the problem and the urgency in meeting the need, the AI or planning document should be referred to in the response. Applications in which the AI or planning document supports the need for the project are to be reviewed more favorably by HUD.

Section 811: The data could include the availability of existing comparable subsidized housing for persons with disabilities and current occupancy in such facilities, comparable subsidized housing for persons with disabilities under construction or for which fund reservations have been issued, and, in accordance with an agreement between HUD and the RHS, comments from the RHS on the demand for additional comparable subsidized housing and the possible harm to existing projects in the same housing market area. Also, to the extent that

(Technical Processing - EMAS) - continued
Project No. _____

the community's Analysis of Impediments to Fair Housing Choice (AI) or other planning documents that analyzes fair housing issues and is prepared by a local planning or similar organization identifies the level of the problem and the urgency in meeting the need, the AI or planning document should be referred to in the response. Applications in which the AI or planning document supports the need for the project are to be reviewed more favorably by HUD.

Rating Section 202 projects: Rating points for all Section 202 projects, determined to have sufficient demand, are to be based on the ratio of the number of units in the proposed project to the estimate of unmet need for housing assistance by the income eligible elderly households with selected housing conditions, as follows. Unmet housing need is defined as the number of very low-income renter households with housing problems, as of the 1990 Census minus the number of Federally assisted housing units provided since the 1990 Census. To the extent practicable, consider all units provided for the elderly under the Section 8 programs, the Public and Indian Housing programs, the Section 202 program, and the Rural Housing Service's Section 515 Rural Rental Housing program.

10 points The number of units proposed is 10 percent or less of the income eligible unmet need.

5 points The number of units proposed is 11 percent or more of the income eligible unmet need.

Recommended rating: _____

Unmet Needs Ratio: _____

Comments: _____

(Technical Processing - EMAS) - continued
Project No. _____

Rating Section 811 projects: If a determination has been made that there is a need for additional supportive housing for persons with disabilities in the area to be served, the project is to be awarded 10 points. If not, the project is to be awarded 0 points. Awarding of points between 0 and 10 points is not permitted.

Recommended rating: _____

Comments: _____

Based on the EMAS review, the application is:

☐ Acceptable

☐ Not Acceptable

Explain: _____

(Signature of Economist)

Date

NOTE: EXHIBITS 1, 4(a) and 4(b) WERE REVIEWED TO DETERMINE
THE ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
FAIR HOUSING & EQUAL OPPORTUNITY (FHEO)

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Director, Fair Housing and
Equal Opportunity

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
Project Location: _____
Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____

The Office of Fair Housing and Equal Opportunity (FHEO) has reviewed the subject application in accordance with the Rating Factors as outlined in the NOFAs, this Notice, other applicable notices, and in accordance with applicable civil rights requirements. FHEO's recommended ratings and comments on the acceptability of the application are as follows:

1. Based on the application submission, even without the benefit of a site visit, the proposed site meets site and neighborhood standards.

Yes _____ No _____

Section 202 Only: If no, without proper justification, the application must be rejected.

Section 811 Only: If No, without proper justification, site is rejected and application receives 0 points for Criterion 3 (b) and no bonus points for site control.

Comments: _____

2. Sponsor is in compliance with civil rights laws and regulations, i.e., there is no pending Department of Justice civil rights suit, or outstanding finding of non-compliance with civil rights statutes, executive orders, or regulations (as a result of formal administrative proceedings), or Secretarial charge under the Fair Housing Act which has not been resolved; and, there has not been a deferral of the processing of applications from the Sponsor.

(Technical Processing - FHEO) - continued
Project No. _____

Yes ____ No ____

Comments: _____

3. The Sponsor's Certifications are acceptable in connection with compliance with civil rights laws, regulation, Executive Orders, and equal opportunity requirements.

NOTE: FHEO shall accept the Certifications unless there is documented evidence to the contrary.

Yes ____ No ____

Comments: _____

NOTE: Any application that would require rejection based on a "No" response in any of the above questions (with the exception of question #1) must be rated. However, the application will not be ranked. The applicant will not be notified of the rejection until technical processing has been completed.

RATING FACTORS

1. **CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL STAFF.
(30 POINTS)**

In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider:

- (b) The scope, extent and quality of the Sponsor's experience in providing housing or related services to minority persons or families (10 points maximum).

NOTE: If the Sponsor has no previous housing experience, all relevant supportive services experience should be examined.

Recommended rating: _____

Comments: _____

(Technical Processing - FHEO) - continued
Project No. _____

3. SOUNDNESS OF APPROACH. (40 POINTS)

In determining the quality and effectiveness of the project as well as the relationship between the project, the community's needs and purposes of the program funding, consider:

- (b) The suitability of the site from the standpoints of promoting a greater choice of housing opportunities for minority elderly persons/families (**Section 202**) or minority persons with disabilities (**Section 811**) and affirmatively furthering fair housing. (10 points maximum)

Recommended rating: _____

Comments: _____

The following additional findings have been made:

1. The project addresses a low participation rate and an identified need for housing for very low income minority elderly persons/families (**Section 202**) or minority persons with disabilities (**Section 811**).

Yes _____ No _____

Comments: _____

2. Based upon data submitted in Exhibit 3(b), the Sponsor indicates ties to the minority community.

Yes _____ No _____

Comments: _____

3. The Sponsor's project is consistent with the affirmatively furthering fair housing provisions of the jurisdiction's Consolidated Plan Certification.

Yes _____ No _____

(Technical Processing - FHEO) - continued
Project No. _____

Comments: _____

4. For projects with relocation indicated, is the information submitted in Exhibit 6 acceptable?

Yes _____ No _____ N/A _____

Comments: _____

The subject application is acceptable from an FHEO viewpoint.

Yes _____ No _____

Explain: _____

(Signature of FHEO Reviewer)

Date

NOTE: EXHIBITS 1, 3(a), 3(b), 3(d), 3(e), 3(f), 3(h), 4(a), 4(d), 6 and 7 WERE REVIEWED TO DETERMINE THE ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
FIELD OFFICE COUNSEL

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Field Office Counsel

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____

Project Location: _____

Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____

of Units per Struct.: _____

The subject application has been reviewed and the Field Office Counsel's comments are as follows:

1. The Sponsor is an eligible private nonprofit entity (**Section 202**) or nonprofit with 501(c)(3) IRS tax exemption (**Section 811**), no part of the net earnings of which inures to the benefit of any private party and which is not controlled by or under the direction of persons seeking to derive profit or gain therefrom.

Yes ____ No ____

Comments: _____

2. The Sponsor has the necessary legal authority to sponsor the project, to assist the Owner and to apply for the capital advance.

Yes ____ No ____

Comments: _____

(Technical Processing - Counsel) - continued
Project No. _____

3. The Sponsor has an IRS tax exemption ruling, a blanket exemption with the Sponsor specifically named in the list, or a copy of the letter from the national/parent organization to the IRS requesting that the Sponsor be included under its blanket exemption. **NOTE: For Section 811 applications, the tax exemption must be under Section 501(c)(3) of the IRS tax code.**

Yes _____ No _____

Comments: _____

4. **Section 202 Only:** The Sponsor is a public body or an instrumentality of a public body.

Yes _____ No _____ If Yes, the application must be rejected.

Comments: _____

5. The Sponsor has submitted documentary evidence of site control which does not contain restrictive covenants or reverter clauses unacceptable to HUD.

Yes _____ No _____ N/A _____ (Section 811 site identified)

Section 202: If No, the application must be rejected.

Section 811: If No, the site must be rejected. The application shall be treated as site identified and receive 0 points for Criterion 2 (b) and Criterion 3 (c).

Comments: _____

(Technical Processing - Counsel) - continued
Project No. _____

6. The Sponsor's board has adopted a resolution which:

- (a) Certifies that no officer or board member of the Sponsor, or of the Owner when formed, has or will be permitted to have any financial interest in any contract or in any firm or corporation that has a contract with the Owner in connection with the construction or operation of the project, procurement of the site or other matters whatsoever.

NOTE: This prohibition, as to the Sponsor's officers or board, does not apply to any management or supportive service contract entered into by the Owner with the Sponsor or its nonprofit affiliate.

Yes ____ No ____

Comments: _____

- (b) Lists all the Sponsor's duly qualified and sitting officers and directors, their titles, and the beginning and ending date for each of their terms of office.

Yes ____ No ____

Comments: _____

NOTE: If the answer to any item is checked "No", with the exception of Questions 4 and 5, Counsel will check "not acceptable" below and the application will be rejected.

RECOMMENDATION: ☐ The subject Application is acceptable.

☐ The subject Application must be rejected for the following reason(s):

(Signature of Field Office Counsel)

Date

NOTE: EXHIBITS 1, 2, and 4(d) WERE REVIEWED TO DETERMINE THE ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
COMMUNITY PLANNING AND DEVELOPMENT (CPD)
RELOCATION REVIEW

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Director, Community
Planning and Development

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
Project Location: _____
Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____

The subject application has been reviewed with regard to displacement and acquisition and finds the following:

- 1.(a) Sponsor has completed the information required by Exhibit 6, Data on Project Occupancy, Displacement and Real Property Acquisition.

☐ Yes ☐ No ☐ N/A (811 site identified)

- (b) Sponsor has identified persons occupying the property on the date of submission of the Application (or initial site control, if later).

	No. not to be <u>Displaced</u>	No. to be <u>Displaced</u>
--	-----------------------------------	-------------------------------

Households (families
and individuals)

Business and Nonprofit
Organizations

Farms

Totals

(Technical Processing - CPD) continued
Project No. _____

- 2.(a) Estimated costs for relocation and real property acquisition, if applicable, are reasonable.

☐ Yes ☐ No

- (b) The source of funding for such costs has been identified.

☐ ☐ Yes ☐ ☐ No

- (c) There is a firm commitment to provide funds for relocation costs (Section 202 or Section 811 funds or other sources).

☐ Yes ☐ No

3. Organization to administer relocation has been identified.

☐ Yes ☐ No

4. Certification of compliance with Relocation and real property acquisition requirements has been provided.

☐ Yes ☐ No

BONUS POINTS. (2 POINTS)

2. Will the project be located in an Empowerment Zone, Urban Supplemental Empowerment Zone, Enterprise Community, or Urban Enhanced Enterprise Community?

☐ Yes ☐ No

If Yes, application will receive **two (2) bonus points**.

Recommended rating: _____

Comments: _____

(Technical Processing - CPD) continued
Project No. _____

In view of the above, the proposal is acceptable to
Community Planning and Development.

☐ Yes ☐ No

If No, identify the conditions for acceptability below:

(Signature of CPD Reviewer)

Date

NOTE: EXHIBITS 1, 4(d), and 6 WERE REVIEWED TO DETERMINE THE
ABOVE FINDINGS.

SECTION 202/811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
SECRETARY'S REPRESENTATIVE

MEMORANDUM FOR: Supervisory Project Manager

FROM: _____, Secretary's Representative

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____

Project Location: _____

Project No.: _____

Section 811 Only: Proj. Type/# of Struct.: _____
of Units per Struct.: _____

The subject application has been reviewed according to outstanding instructions and the findings are as follows:

RATING FACTORS:

4. LEVERAGING. (10 POINTS)

In determining the Sponsor's ability to secure other community resources which can be combined with HUD's program resources to achieve program purposes, consider:

- (a) The extent of local government support (including financial assistance, donation of land, provision of services, etc.) for the project. (5 points maximum)

Recommended rating: _____

Comments: _____

The subject application is acceptable.

Yes _____ No _____

Explain: _____

Signature of Secretary's Representative

Date

NOTE: EXHIBITS 1, 3(a) AND 3(c) WERE REVIEWED TO DETERMINE THE ABOVE FINDING.