

U.S. Department of Housing & Urban Development

NY Office

Pre-Construction Conference

Contractor's Requisition Project Mortgages

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

OMB Approval No. 2502-0028 (exp. 10/31/2013)

To be submitted to mortgagee in quadruplicate

This information is used to verify program benefits consisting of distribution of insured mortgage proceeds when construction costs are involved. The information regarding completed work items is used by HUD to ensure that payments from mortgage proceeds are made for work actually completed in a satisfactory manner. This information is a requirement under Section 207(b) of the National Housing Act (Public Law 479, 48 Stat. 1246, 12 U.S.C. 1701 et. seq) authorizing the Secretary of HUD to insure mortgages. The information collection does not contain information of a sensitive nature.

Public reporting burden for this collection of information is estimated to average 6 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 collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

To (owner)		Requisition Number	
Project	Project Number	Location	

In accordance with the provision of the Construction Contract dated _____ and Contractor's and/or Mortgagor's Cost Breakdown (Schedule of Values) attached thereto, this requisition is submitted for the amount of \$ _____ due for work performed up to the _____ day of _____ and as itemized below by the trades listed in the Schedule of Values.

DIV	Trade Item	Cost as per Cost Breakdown (A)	Enter Amounts to Nearest Even Dollar	
			Amounts Complete (B)	For HUD-FHA Use (C)
3	Concrete	\$	\$	\$
4	Masonry			
5	Metals			
6	Rough Carpentry			
6	Finish Carpentry			
7	Waterproofing			
7	Insulation			
7	Roofing			
7	Sheet Metal			
8	Doors			
8	Windows			
8	Glass			
9	Lath and Plaster			
9	Drywall			
9	Tile Work			
9	Acoustical			
9	Wood Flooring			
9	Resilient Flooring			
9	Painting and Decorating			
10	Specialties			
11	Special Equipment			
11	Cabinets			
11	Appliances			
12	Blinds and Shades, Artwork			
12	Carpets			
13	Special Construction			
14	Elevators			
15	Plumbing and Hot Water			
15	Heat and Ventilation			
15	Air Conditioning			
16	Electrical			
	Accessory Buildings			
2	Earth Work			
2	Site Utilities			
2	Roads and Walks			
2	Site Improvement			
2	Lawns and Planting			
2	Unusual Site Conditions			
1	General Requirements			
1	Bond Premium (\$)			

DIV	Trade Item	Cost as per Cost Breakdown (A)	Enter Amounts to Nearest Even Dollar	
			Amounts Complete (B)	For HUD-FHA Use (C)
1	Other Fees (\$)			
(1)	Subtotal of Breakdown Items	\$ 0 *	% \$ 0 **	% \$
(2)	Builder's Overhead	\$	% \$	% \$
(3)	Builder's Profit	\$	% \$	% \$
(4)	Total of Cost Breakdown Items	\$	\$	\$
(5)	Inventory of Materials Stored On-site (See Note Below)		\$	\$
(6)	Inventory of Materials Stored Off-Site (See Note Below)		\$	\$
(7)	Sum of Cost Breakdown Items Plus Inventories of Materials		\$	\$
(8)	Less Net Decrease in Cost as a Result of Approved Changes		\$	\$
(9)	Total After Adjusting for Net Decrease to Approved Changes		\$	\$
(10)	Less Retained 10%		\$	\$
(11)	Bal.: Total Amount Due to Date on Account of Construction Contract		\$	\$
(12)	Less Previous Payments		\$	\$
(13)	Net Amount of This Requisition		\$	\$

I certify that the Work covered by this requisition has been completed in accordance with the Contract Documents, and that I have actually received \$_____ for Work performed and materials purchased up to the _____ day of _____ (date of previous requisition).

Date _____ Contractor _____

* Percentage derived from subtotal of Breakdown Items (col. B divided by col. A) Note: Attached inventory of materials item ized as to quantities and costs.
 ** (col. C divided by col. A) Exclusive of Bond Premium

For Use of HUD-Federal Housing Commissioner

Date _____	Net Amount Approved for Payment _____	Column C Completed by (Mortgage Credit Examiner) _____
Reviewed and Approved by (Chief, Mortgage Credit) _____		Director, Housing Development _____

Architect's Certificate I certify, based on my on-site observations (or those of my authorized representative) and the data comprising this requisition, that the Work has progressed to the point indicated; that to the best of my knowledge, information and belief the Work is in accordance with the Contract Documents; and that the Contractor is entitled to payment of the amount certified.

Date _____ Architect _____

Inspector's Certificate ☐ Amount Modified ☐ No Modification

I certify that I have visited the site on this date _____, observed the Work, and monitored the log and reports of the Architect (if an architect is administering the Construction Contract); that to the best of my knowledge, information and belief the amount certified represents acceptable Work; and that I have no personal interest, present or prospective, in the property, applicant or proceeds of the mortgage.

Date _____ Inspector _____

Contractor's Prevailing Wage Certificate (For use under all sections of the National Housing Act requiring certification as to payment of prevailing wages. To be completed with each request for insurance of advance of mortgage proceeds which includes a payment on account of construction cost, or at the time the mortgage is presented for insurance pursuant to a commitment to insure upon completion.)

To _____	Date _____	Advance No. _____
Manager _____	Project Name _____	
Field Office _____	Project Number _____	

The undersigned, as principal contractor in connection with the construction of the above project, states that he/she is fully familiar with applicable wage determination decision of the Secretary of Labor and certifies that:

- A copy of the applicable wage determination decision is posted in a conspicuous place at the site of the work and he/she has required each subcontractor as a part of his/her contract, to agree to pay wages at rates not less than those contained in the decision.
- All laborers and mechanics employed in the construction of the project have been, to the date hereof, paid for such employment at wage rates not less than those contained in the applicable wage determination decision of the Secretary of Labor and no deductions or rebates have been made, either directly or indirectly, from the full weekly wages earned by any person, other than permissible deductions as defined in Regulations of the Secretary of Labor, Part 3 (29 CFR Part 3).
- He/She has fulfilled his/her obligations, to the date hereof, under The Labor Standards Provisions of the Supplementary Conditions of the Contract for Construction and has included said conditions in all subcontracts.

This certificate is executed by the undersigned for the purpose of inducing the Commissioner to approve for insurance that certain mortgage loan, or an advance thereof, made or to be made by the mortgagee in connection with the construction of the project, and with the intent that the Commissioner rely upon this certification to establish compliance with the provisions of Section 212 of the National Housing Act, which provides in part: The Commissioner shall not insure ... unless the principal contractor files a certificate ... certifying that the laborers and mechanics ... have not been paid not less than the wages prevailing ... as determined by the Secretary of Labor..."

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 329, 3802).

Contractor _____ By _____ Date: _____
 _____ X _____

CONTINUATION PAGE

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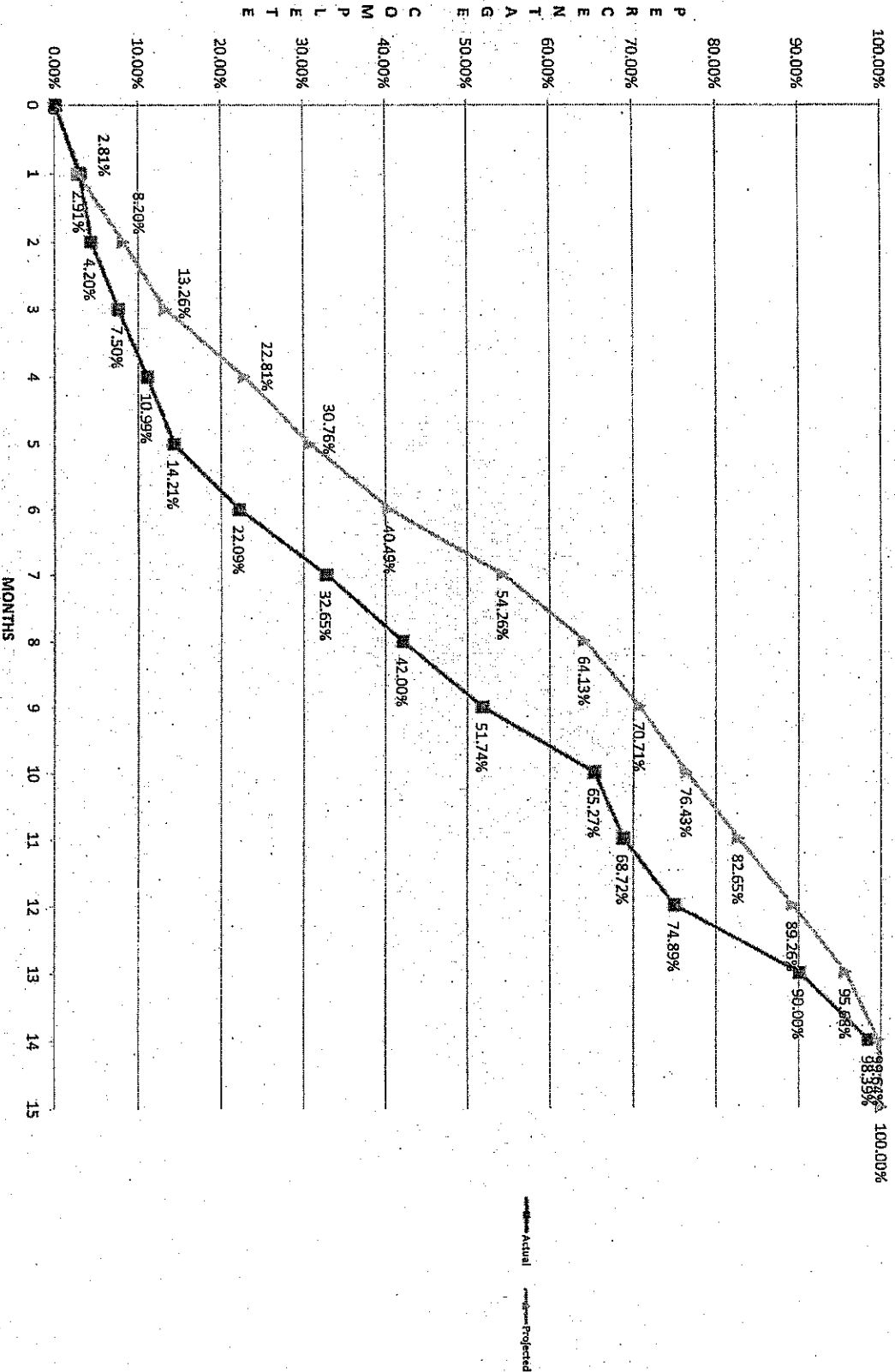
Payment Application containing Contractor's signature is attached.

PROJECT: 2011-001
SHILOH SENIOR HOUSING

APPLICATION #: 16
DATE OF APPLICATION: 11/26/2012
PERIOD THRU: 11/30/2012
PROJECT #s:

A ITEM #	B WORK DESCRIPTION	C SCHEDULED AMOUNT	D COMPLETED WORK		F STORED MATERIALS (NOT IN D OR E)	G TOTAL COMPLETED AND STORED (D + E + F)	H BALANCE TO COMPLETION (C-G)	I RETAINAGE (If Variable)
			AMOUNT PREVIOUS PERIODS	AMOUNT THIS PERIOD				
48A	FOUNDATION WALLS - CONCRETE	\$61,250.00	\$61,250.00	\$0.00	\$0.00	\$61,250.00	\$0.00	\$3,062.50
49	CONCRETE SLABS	\$68,400.00	\$68,400.00	\$0.00	\$0.00	\$68,400.00	\$0.00	\$3,420.00
50	PRECAST PLANK - 1ST LEVEL	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
51	PRECAST PLANK - 2ND LEVEL	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
52	PRECAST PLANK - 3RD LEVEL	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
53	PRECAST PLANK - 4TH LEVEL	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
54	PRECAST PLANK - 5TH LEVEL	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
55	PRECAST PLANK - 6TH LEVEL	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
56	BULKHEAD PLANK	\$10,000.00	\$10,000.00	\$0.00	\$0.00	\$10,000.00	\$0.00	\$500.00
57	LEVELING OF PLANK	\$20,000.00	\$19,000.00	\$1,000.00	\$0.00	\$20,000.00	\$0.00	\$1,000.00
58	SUB-TOTALS MASONRY	\$873,400.00	\$872,400.00	\$1,000.00	\$0.00	\$873,400.00	\$0.00	\$43,670.00
59	MASONRY - BASEMENT	\$75,000.00	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00	\$3,750.00
60	MASONRY - 1ST FLOOR	\$125,000.00	\$125,000.00	\$0.00	\$0.00	\$125,000.00	\$0.00	\$6,250.00
61	MASONRY - 2ND FLOOR	\$125,000.00	\$125,000.00	\$0.00	\$0.00	\$125,000.00	\$0.00	\$6,250.00
62	MASONRY - 3RD FLOOR	\$125,000.00	\$125,000.00	\$0.00	\$0.00	\$125,000.00	\$0.00	\$6,250.00
	SUB-TOTALS	\$2,843,300.00	\$2,785,581.17	\$23,243.00	\$0.00	\$2,808,824.17	\$34,475.83	\$140,441.21

Shiloh Senior Housing - Progress Schedule Requisition 16 12/05/12 Original Schedule



Close 10/7/11 11/2/11 12/2/11 1/2/12 2/1/12 3/7/12 4/5/12 5/2/12 6/4/12 7/9/12 8/3/12 9/5/12 10/10/12 11/7/12 12/5/12

Requisition for Disbursement of Funds

No Capital Advance may be disbursed unless a completed requisition form has been received.

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

OMB Approval No. 2502-0187
(Exp. 1/31/2009)

Read Public Burden Statement on back before completing this form

Name, Address & Zip Code of Owner		Name, Address & Zip Code of Designated Depository (Include bank account number)	
Project Name		HUD Accounting Use Only	
		Fund Symbol	
		86-x 4588	
Project Number	Requisition Number	Voucher Number	Schedule Number
Type of Disbursement <input type="checkbox"/> Initial <input type="checkbox"/> Progress <input type="checkbox"/> Final		Schedule Date	Amount \$

Instructions to the Owner: Prepare this request in quadruplicate and send the original and two copies to HUD. Clearly identify by description all items for which capital advance funds are requisitioned. Do not request funds for any item until payment is due. A request covering construction cost must show one entry for the total disbursement requested to meet the net amount due according to the *Contractor's Requisition*, form HUD-92448 (which must accompany this requisition). The request for the first payment on account of the Architect's fee must be accompanied by the *Owner's and Architect's Certificate*, form HUD-92403.1. Requests for subsequent payments on account of this fee must be made simultaneously with the requests for payment to cover the *Contractor's Requisition*.

To HUD: The undersigned Owner hereby requests HUD to disburse funds as provided by the Capital Advance Agreement heretofore executed on the _____ day of _____, as shown in the request for disbursement.

Item Number and Identification	(A) Amount Claimed	(B) HUD-Approved Amount
1. Construction per Form HUD-92448	\$	\$
2. Architect's Fee		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		
Total Due on This Requisition	\$	\$

To the best of our knowledge, information and belief the sum requested is now payable. The undersigned hereby certifies that all of the above items have been paid or will be paid within three days of receipt of the requisitioned funds. We hand you herewith full supporting invoices and/or receipts, as required, covering such items enumerated for your review. The undersigned certifies that all prior work, labor and materials to be paid for under this request are satisfactory and are in accordance with the contract drawings. The undersigned further certifies that hazard insurance as requested by HUD is in full force and effect upon whatever improvements are now upon the mortgaged premises including but not limited to materials stored on site for which an advance is being requested. We intend to disburse said sum on or about the _____ day of _____ 20____. You are further advised that after the requested disbursement is made, a total sum of \$ _____ will have been disbursed from capital advance proceeds and the total sum of \$ _____ will have been disbursed from our cash escrow of funds required at initial closing, if any, to complete the project.

(Note: The Owner's cash escrow must be completely disbursed prior to any disbursement of capital advance funds.)

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

Owner's Name	By (Signature of Authorized Owner Official)	Date
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Certificate of Approval (for HUD Use Only)

The Above Owner and Depository are hereby notified that the amounts shown in Column (B) above have been approved for disbursement in accordance with the provisions of the Capital Advance Agreement applicable to this project. Of the above total, \$ _____ is hereby approved for disbursement from capital advance proceeds in accordance with the above application, and this amount, when disbursed, will thereupon constitute principal secured by that certain mortgage executed by _____ dated the _____ day of _____,

covering certain property in _____

and this certificate does hereby constitute the approval of the Assistant Secretary for Housing / Federal Housing Commissioner for a capital advance under Section 202 of the Housing Act of 1959, as amended, or Section 811 of the National Affordable Housing Act and applicable Regulations thereunder for the amount set forth herein, within the meaning of the aforesaid loan contract, provided; that if the above disbursement constitutes the final disbursement to be made under the terms of said Capital Advance Agreement and if any items of construction are still incomplete, this approval is based upon receipt of form HUD-2456 as evidence that the sum of \$ _____ has been placed in escrow under the provisions of the "Escrow Deposit Agreement."

Explanation of Disallowed Amounts

Chief, Mortgage Credit Examiner

Signature of Authorized HUD Official

Date

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This information collection is necessary to ensure that viable projects are developed. It is important to obtain information from applicants to assist HUD in determining if nonprofit organizations initially funded continue to have the financial and administrative capacity needed to develop a project and that the project design meets the needs of the residents. The Department will use this information to determine if the projects meet statutory requirements, ensuring the continued marketability of the projects. This information is required in order to obtain benefits. This information is considered non-sensitive and no assurance of confidentiality is provided.

This collection of information is used in HUD financed construction of projects. The information is required to apply for disbursements for work completed on HUD-funded loans under the Section 202 Direct Loan Program for Housing the elderly and handicapped. The information is used during the construction period and at final loan closing to enable the Owner to obtain funds to settle obligations or be reimbursed in a timely manner. The information is required to obtain benefits. The information collected is considered non-sensitive..

ARCHITECT'S FIELD REPORT

AIA DOCUMENT G711

OWNER ☒
ARCHITECT ☒
CONSULTANT ☒
FIELD ☐

PROJECT: BEATRICE C. CANTILLO

FIELD REPORT NO: 23

CONTRACT: Hudson Mexican - General Commercial ARCHITECT'S PROJECT NO: 02-26

DATE 11/1/07 TIME 11:00 - 2:30 WEATHER SUNNY TEMP RANGE 65°

EST. % OF COMPLETION 86% CONFORMANCE WITH SCHEDULE (P, --) - 9 MONTHS

WORK IN PROGRESS PRESENT AT SITE

Millwork @ Windows, stools

Bill Baker, Rich Smutsky, John Hannon

Paint in Apartments

Sal Alon, Juan Bello, Luis Vazquez

Roofing at Lower Roof - wrapping of parapet
Kitchen cabinets

OBSERVATIONS

- REAR STREET DRAINS installed, piping, catch basins, retention tank and installed - no gravel at this time
- BASEMENT: ELEVATOR PIT dry
- NO CHANGE in MECHANICAL ELECTRICAL SALE ROOM
- NO CHANGE in ELEVATOR PROGRESS
- NEW ELEVATOR SLAB POURED IN PIT
- NO to PREPARE 'UPGRADE PACKAGE' PER OWNER'S REQUEST

ITEMS TO VERIFY • NEED DEC APPROVAL FOR PERMIT OF STREET OPENING TO MAKE TOP • NEED ENVIRONMENTAL CONSULTANT'S REPORT - STARTING NO FURTHER ACTION • NEED CALL TO BEAK PAPER TO BLDG.

INFORMATION OR ACTION REQUIRED

Hudson Mexican - to VERIFY W/ ALL SIDS AND EXPEDITE ALL NECESSARY PAPERWORK & PERMITS AND IN ORDER TO AVOID ANY ADDITIONAL DELAYS

ATTACHMENTS

REPORT BY: BRIAN E. NEWMAN

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THE AMERICAN INSTITUTE OF ARCHITECTS, 1735 NEW YORK AVE., NW, WASHINGTON D.C. 20006

DATE 1 of 1 PAGES



U.S. Department of Housing and Urban Development
New York State Office
Jacob J. Javits Federal Building
26 Federal Plaza, Room 3200
New York, NY 10278-0068
<http://www.hud.gov/local/nyn/>

Date: June 20, 2011

From: Paul James, RA
New York Office

Subject: Change Orders

1. Any work that is a deviation from the contract documents whether an increase or decrease in work, shall not be done without an architect's AIA Document G710- 1992 Architect's Supplemental Instructions and a HUD approved change order.

The only exceptions are work that is required to maintain the safety of the project or work which is underway which cannot be stopped without affecting the progress of the job.

In these cases the work may be performed; however the HUD inspector, and the project architect shall be notified immediately in writing.

2. The Architect's field order shall describe the work to be done and indicate the reason for the change.

Where changes of design or construction occur, the change order shall include appropriate drawings delineating the work.

Two copies of the change order are to be submitted.

3. Contractor's proposal is to be supported by an itemized estimate with a breakdown of labor, quantities of materials, and unit prices. Lump sum estimates are generally unacceptable and should be limited can be used where appropriate.

Where the change involves the work of subcontractors, the contractor's proposal must provide the subcontractor's breakdown on the subcontractor's letterhead.

4. Any work which is a subject of a change order shall not be covered, backfilled, etc., before the work has been inspected by HUD and the architect. Change orders for work that has been concealed will not be accepted.
5. Change orders can include General Requirements, General Overhead, and profit at the same percentage rate as used in firm commitment processing.
6. Round off change order amount to nearest dollar.
7. All change orders must have been submitted to HUD and all processing completed before any reduction of retainage can be considered.

DRAFT AIA Document G710™ - 1992

Architect's Supplemental Instructions

PROJECT *(Name and address):*
Sample Architect's Supplemental
Instructions
Sample

**ARCHITECT'S SUPPLEMENTAL
INSTRUCTION NO:** 001

OWNER *(Name and address):*

DATE OF ISSUANCE:

CONTRACT FOR: General Construction

FROM ARCHITECT *(Name and
address):*

CONTRACT DATE:

TO CONTRACTOR *(Name and
address):*

ARCHITECT'S PROJECT NUMBER:
00041000

OWNER: ☒

ARCHITECT: ☒

CONSULTANT: ☐

CONTRACTOR: ☒

FIELD: ☐

OTHER: ☒

The Work shall be carried out in accordance with the following supplemental instructions issued in accordance with the Contract Documents without change in Contract Sum or Contract Time. Proceeding with the Work in accordance with these instructions indicates your acknowledgment that there will be no change in the Contract Sum or Contract Time.

DESCRIPTION:

ATTACHMENTS:

(Here insert listing of documents that support description.)

ISSUED BY THE ARCHITECT:

(Signature)

(Printed name and title)

Request for Construction Changes on Project Mortgages

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

OMB Approval No. 2502-0011 (exp. 8/31/2013)

No changes in the drawings and specifications may be effected unless a completed request for construction changes has been filed and approved by HUD in accordance with the Construction Contract. Read the Instructions & Public Burden statement on the back of this form.

Name and location of this project	Request No. (HUD use only)	Project Number
-----------------------------------	----------------------------	----------------

Name of Contractor	Name of Mortgagor	Name of Mortgagee
--------------------	-------------------	-------------------

To the Federal Housing Commissioner: You are requested to consider the following proposed changes in the project. The changes are satisfactory to the parties hereto, as indicated by the signatures below.

Description of Changes	Mortgagor Estimated Effect on Cost + or -	HUD Estimated Effect on Cost + or -	V = Acceptable O = Unacceptable	
			Arch.	Val.
a.				
b.				
c.				
d.				
e.				
f.				
g.				
h.				
i.				
j.				
k.				
l.				
m.				

Amount on deposit with mortgagee to cover increased cost of changes pursuant to conditions of Request No.	Total \$	Initial & Date	Initial & Date	Initial & Date
---	----------	----------------	----------------	----------------

I certify that I have no financial interest in this project beyond the fee for my professional services, and that I have no interest with the mortgagor, contractor, or any subcontractor or supplier. The changes set forth in this request conform to the intent of the contract documents and I recommend that the changes be approved.

Contractor (signature)	Mortgagor (signature)	Mortgagee (signature)
------------------------	-----------------------	-----------------------

The following is required on requests involving cooperatives and non-profit mortgagors with respect to any increase or decrease in cost resulting from acceptable changes: (check appropriate box.)

- ☐ The abovesigned contractor agrees to assume any additional costs and agrees that he will not assert any claim against the Mortgagor in connection therewith.
- ☐ The abovesigned Mortgagor, acting pursuant to a resolution adopted at a meeting of its stockholders or members, and the abovesigned Contractor, agree to the above described construction changes and agree that the construction contract executed by them (date) _____ is amended by increasing the contract price of \$ _____ set forth in Article 3 thereof to \$ _____ all other provisions of the Construction Contract remain unchanged.
- ☐ The abovesigned Mortgagor and the above signed Contractor agree to the construction changes described above and agree that the construction contract executed by them (date) _____ is amended by decreasing the contract price of \$ _____ set forth in Article 3 thereof to \$ _____; all other provisions of the construction contract remain unchanged.

Federal Housing Commissioner Findings: 1. Mortgagor's Estimate			2. Net effect on Construction Costs			
a. Effect on cost of previously accepted changes	b. Effect on cost to date of all changes	c. Percent	a. Present changes	b. Previous changes	c. Total	d. Percent
\$	\$	%	\$	\$	\$	%
			<input type="checkbox"/> Increase <input type="checkbox"/> Decrease	<input type="checkbox"/> Increase <input type="checkbox"/> Decrease	<input type="checkbox"/> Increase <input type="checkbox"/> Decrease	

3. Changes _____ are acceptable and the drawings and specifications amended, provided:

- ☐ a. That a total sum of \$ _____ is on deposit with the mortgage to cover net increase in cost resulting from present and previous construction changes. This supersedes any previous requirements. The money will not be released without written consent of HUD prior to final completion and acceptance of the project construction. No further advances of the mortgage proceeds under the Building Loan Agreement will be approved unless the total sum is on deposit with you.
- ☐ b. That in order to reflect the net decrease in cost or reduction in mortgage based on net income or number of family units, resulting from acceptable present and previous construction changes, the amount of \$ _____ shall be deducted from the amount entered on the line entitled "Sum of Cost Breakdown Items Plus Inventories of Materials", form HUD-92448. This amount may be modified by later changes.
- ☐ c. Consent of surety to these changes is obtained in writing and a signed copy sent to this office prior to effecting the change.
- ☐ d. There is compliance with the conditions stated on the back of this form.

4. <input type="checkbox"/> Changes _____ are not acceptable. See "Reasons for Unacceptability" on the back of this form.	Mortgage Credit Initial & Date
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HUD analysis and findings reviewed and approved: Director, Housing Development Division (signature)	Date	Federal Housing Commissioner Signature of authorized agent
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Public Reporting Burden for this collection is estimated to average 2 hours per response, including the time for reviewing, searching existing data sources, gathering and maintaining the data needed, and compiling and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Reports Management Officer, Paperwork Reduction Project (2502-0011), U.S. Department of Housing and Urban Development, 451 7th Street SW, Washington, DC 20410-3600.

The Department of Housing and Urban Development (HUD) is authorized to collect this information by provisions set forth in Section 5 of the United States Housing Act of 1937, as amended. It is provided by contractors, mortgagors and mortgagees to obtain the FHA Commissioner's approval of changes in contract drawings and specifications, and this information is used to ensure that viable projects are developed. This information is used by HUD to ensure that viable projects are being developed. Furnishing of this information is mandatory, and failure to provide it may result in your not receiving your benefits.

Privacy Act Notice. The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. While no assurances of confidentiality is pledged to respondents, HUD generally discloses this data only in response to a Freedom of Information request. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

Instructions

Send the original and six copies to HUD through the mortgagee.

Under "Description of Changes" describe each proposed change and enter the amount by which the construction cost will be increased or decreased as the net result of each proposed change. Attach documentation including (1) reason for each change, (2) general scope, (3) full detailed description of work to be omitted and/or added and the cost for each trade affected, and (4) reference any attachments showing proposed revisions.

Estimate the cost of each change on the basis of the current cost of items omitted, substituted or added. Estimates include job overhead and builder's fee, or job overhead and general overhead, as applied in the HUD estimate of the project. No allowance for "Builder's and Sponsor's Profit and Risk" is included. No architect's or engineer's fee is included.

This form is not used for off-site changes. Such changes must be submitted in writing, using this form as a guide.

To be acceptable to HUD a proposed change must be due to necessity, or be an appropriate betterment, or qualify as an equivalent. In accepting any changes, it is assumed that they will be executed. If an accepted change is not executed, it must be nullified by substituting a Request for Construction Changes amending the drawings and specifications so as to restore the drawings and specifications to prior status or to a status acceptable to HUD.

Send requests for a time extension on a separate form.

Conditions of Acceptance or Reasons for Unacceptability

When the HUD estimated cost of all accepted changes results in a net decrease in the total construction cost, the insurable mortgage will be similarly decreased; but if the net effect is an increase, the additional costs will be defrayed by the mortgagor. The acceptance of any change or changes involving a net increase does not increase the mortgage amount.



U.S. Department of Housing and Urban Development
New York State Office
Jacob J. Javits Federal Building
26 Federal Plaza, Room 3200
New York, NY 10278-0068
<http://www.hud.gov/local/nyn/>

June 20, 2011

MEMORANDUM FROM: Paul James, RA
New York Office

SUBJECT: Reduction of Retainage

1. Retainage will be held at 10% of total construction cost based upon the requisition.
2. At 90% completion, retainage may be reduced from 10% to 5%. However, the following is required:
 - a. Construction must be on schedule.
 - b. Approval letter from the bonding company.
 - c. Approval letter from the owner.
 - d. Clearance from HUD's Wage Branch.
 - e. All potential change orders to have been declared and discussed.
3. At 100% completion, and after HUD's final inspection has been completed and a certificate of occupancy or acceptable equivalent has been obtained, retainage may be reduced to from 5% to $2\frac{1}{2}\%$.

In addition to the requirements for the 10% to 5% reduction, the contractor's cost certification, if required, must be submitted with the owner's cost certification

4. Reduction from $2\frac{1}{2}\%$ to 0% is not done until final endorsement. However to give relief to contractors who have satisfactorily completed their contract, retainage may be further reduced to the maximum extent of funding. However, the following is required:
 - a. All the requirements for the 5% to $2\frac{1}{2}\%$ reduction have been provided.
 - b. All items of delayed completion and punch list items have been completed.
 - c. All defects revealed by the 12 month guarantee inspection have been corrected.
 - d. Final endorsement has not being delayed by the contractor.
 - e. The permanent certificate of occupancy has been obtained.



U.S. Department of Housing and Urban Development
New York State Office
Jacob J. Javits Federal Building
26 Federal Plaza, Room 3200
New York, NY 10278-0068
<http://www.hud.gov/local/nyn/>

MEMORANDUM FROM: Paul James, RA
New York Office

SUBJECT: Required letters for "Reduction of Retainage" and "Extension of Time"

Reduction of Retainage

Since the architect signs the "Contractors Request", the HUD form [92437] which requests this action, only the letters from the bonding company and the owner will be required.

Extension of Time

Since the owner and the architect both sign the " Request for Construction Changes on Project Mortgages", the HUD form [92437] which requests this action, only the letter from the bonding company will be required.

Permission to Occupy Project Mortgages

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

OMB Approval No. 2502-0029
(Exp. 10/31/2012)

Public Reporting Burden for this collection of information is estimated to average 4 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 of information unless that collection displays a valid OMB control number.

This information is being collected under Public Law 101-625 which requires the Department of to implement a system for mortgage insurance for mortgages insured under Sections 207, 221, 223, 232, or 241 of the National Housing Act. The information will be used by HUD to approve rents, property appraisals, and mortgage amounts, and to execute a firm commitment. Confidentiality to respondents is ensured if it would result in competitive harm in accord with the Freedom of Information Act (FOIA) provisions or if it could impact on the ability of the Department's mission to provide housing units under the various Sections of the Housing legislation.

Project Name	Project Number
Project Location	Request Number

Request for Permission to Occupy Federal Housing Administration

Permission is requested for the occupancy of (Number) _____ living units
identified as

and located in (Describe structure, wing, entrance, etc.)

All work in connection therewith has been substantially completed and all of the above-described living units are suitable for occupancy, with the fixtures and equipment installed and in operating condition. Light, heat, water, gas, and sanitary services have been connected and available for use. The premises have been inspected by the public authorities having jurisdiction and permission to occupy granted by them as evidenced by the certificates attached hereto. Safe and adequate approaches to the site and the aforesaid living units have been provided, including temporary or permanent guard rails, barricades, walks, lights, and other provisions necessary to the protection of tenants and the public. Proposed rental schedules or monthly charges in triplicate and mortgagor's proposal for management of the project and compensation to be paid therefor, if and as requested by corporate charter have been or are herewith submitted.

Mortgagor NAME & ADDRESS

Date (mm/dd/yyyy) _____ By _____

Architect's Certificate of Substantial Completion

I have inspected the units listed above and have found construction to be sufficiently complete and in accordance with contract requirements so that owner may occupy the above described living or service units for the uses intended. I have examined all required certificates of permission to occupy as issued by public authorities having jurisdiction and found same to be in proper order.

Architect NAME & ADDRESS

Date (mm/dd/yyyy) _____ By _____

Contractor's Certification

This is to certify that all work or correction necessary to complete the above-described living units in accordance with the contract requirements and in a manner acceptable to the Federal Housing Administration will be performed without delay and at no additional cost regardless of adverse conditions resulting from the occupancy of the aforesaid living units.

Contractor NAME & ADDRESS

Date (mm/dd/yyyy) _____ By _____

Mortgagee's Statement

Federal Housing Administration

All insurance risks have been covered in conformity with Federal Housing Administration Hazard Insurance requirements issued in connection with this project. The above request is acceptable to the undersigned.

Mortgagee NAME & ADDRESS

Date (mm/dd/yyyy) _____ By _____

To (Name of Mortgagee, Street Address, City, State, Zip):

FHA Inspection Report

Examination of the living units described above, including the available means of access thereto, reveals they are suitable for occupancy with the exception of those enumerated below, which are considered unsuitable for occupancy at this time for the reasons stated.

Inspected _____ By _____
(Date mm/dd/yyyy) ☐ Architectural ☐ Construction Representative

Approved ☐ as reported above; ☐ as modified by me _____
☐ Chief Architecture & Engineering Section ☐ Deputy

Approved: Date _____ By _____
(mm/dd/yyyy) ☐ Chief Underwriter; ☐ Assistant Director for Technical Services ☐ Deputy

Permission to Occupy

Permission is granted for the occupancy of the living units identified on the FHA Inspection Report portion of this form as suitable for occupancy. It is understood that this does not constitute and shall not be construed as acceptable of construction and that completion of these living units in accordance with the contract documents is essential and will be performed prior to acceptance of the construction.

Federal Housing Administration,

By _____
(Authorized agent)

Date (mm/dd/yyyy) _____

Request for Approval of Advance of Escrow Funds

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

OMB No. 2502-0018
(Exp. 11/30/2009)

Public reporting burden for this collection of information is estimated to average 2 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. The information collected on this form is utilized to control the disposition of escrow funds for offsite facilities, construction changes, and unpaid construction costs and repairs pending completion or not paid at final endorsement. This collection of information is authorized by 24 CFR section 200.50. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number. Provision of this information is required to obtain benefits.

Request for Approval of Advance Payment of Escrow Funds

Completed by the depository. Then submitted to HUD in triplicate.

Project Name	Project Number	Advance Number
Name of Mortgagor		Date of Escrow Agreement (mm/dd/yyyy)
Payment Amount Requested \$	Escrow Account Balance after this payment \$	

The Payment Requested is for

- ☐ offsite facilities,
- ☐ construction changes,
- ☐ construction costs not paid at final endorsement
- ☐ noncritical repair
- ☐ capital needs assessment

The Remaining Balance is for

- ☐ offsite facilities,
- ☐ construction changes,
- ☐ construction costs not paid at final endorsement
- ☐ noncritical repair
- ☐ capital needs assessment

The undersigned received the Request for Payment (see page 2) from the above-named sponsor/mortgagor. To the best of our knowledge, information, and belief, the sum requested is now payable.

We intend to disburse that sum on or about (date mm/dd/yyyy) _____ upon your approval.

Name of the Depository	Name & Signature of Authorized Official	Date (mm/dd/yyyy)
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Note: Original and two copies must be signed.

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

Approval of Advance of Escrow Funds

Completed by the Department of Housing and Urban Development.

Name & Address of Depository	
Disbursement of funds is approved from the Escrow Deposit for	
<input type="checkbox"/> offsite facilities, <input type="checkbox"/> construction changes, <input type="checkbox"/> construction costs not paid at final endorsement. <input type="checkbox"/> noncritical repair <input type="checkbox"/> capital needs assessment	Payment Approved \$
Approval Recommended	
Name of Mortgage Credit Examiner	signature of Mortgage Credit Examiner date (mm/dd/yyyy)
Authorizing Agent for the Department of Housing and Urban Development	
Name	signature date (mm/dd/yyyy)

Request for Payment To be completed by the mortgagor/borrower. To be submitted to the depository in triplicate.

Project Name	Project Number
Name & Address of Depository	Amount Requested \$

The undersigned mortgagor/borrower hereby requests a payment of funds covering advances provided for by the Escrow Agreement for:

- ☐ offsite facilities heretofore executed on the _____ day of _____, _____, as indicated by the net amount due for work performed up to the _____ day of _____, _____, according to the following statement with respect to all items of construction listed in schedule "A" attached to the Agreement;
- ☐ construction costs not paid at final endorsement and listed in Schedule "A" attached to the Agreement;
- ☐ construction change(s) as identified by request number(s):
- ☐ noncritical repairs under Section 223(f), ☐ Section 223(a)(7), and ☐ Preservation Capital Needs Assessment under Section 241(f).

Item or Construction Change Request Number	A. Estimated Cost as stated in Escrow Agreement or form HUD-92437	B. Amounts from Final Endorsement Escrow	C. Amounts Completed				D. HUD Approved Amount
			<input type="checkbox"/> Offsite	<input type="checkbox"/> 223(f)	<input type="checkbox"/> 223(a)7	<input type="checkbox"/> Change Orders	
	\$	\$	\$				\$
Total	\$ 0.00	\$ 0.00	*	%	\$	**	% \$
Less Retained 10% (Offsite/Construction Change(s))					\$		\$
Balance: Total amount due to date					\$		\$
Less previous payments					\$		\$
Net amount due on this requisition					\$		\$

* Percentage derived from subtotal of Breakdown items (Col. C divided by Col. A) ** (Col. D divided by Col. A)

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

Offsite and Construction Change Certification

The undersigned hereby certifies that (mark the appropriate box)

- ☐ the total cost has been paid in full and in cash from funds other than mortgage proceeds;
- ☐ upon release of the amount deposited for this offsite item or construction change, payment in full shall be made to the contractor prior to the next request for an insured advance or loan disbursement and a receipt of payment from the general contractor shall be submitted with the next request for an insured advance or loan disbursement.

The undersigned further certifies that all work, labor and materials to be paid under this Request are satisfactory and in accordance with the contract documents.

Name of Mortgagor/Borrower	Signature of authorized Mortgagor/Borrower Official	Date (mm/dd/yyyy)

Architect's Offsite and Construction Change Certification

I certify, based on my on-site observations (or those of my authorized representative), that to the best of my knowledge, information and belief, the Work covered by the aforementioned is completed.

Architect's Signature	Date (mm/dd/yyyy)
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Inspector's Offsite and Construction Change Certification

I certify that to the best of my knowledge, information and belief the aforementioned work has been acceptably completed.

Inspector's Signature		Date (mm/dd/yyyy)
		

Project Wage Rate Sheet

U.S. Department of Housing and Urban Development
Office of Labor Relations

PROJECT NAME:

WAGE DECISION NUMBER/MODIFICATION NUMBER:

PROJECT NUMBER:

PROJECT COUNTY:

WORK CLASSIFICATION	BASIC HOURLY RATE (BHR)	FRINGE BENEFITS	TOTAL HOURLY WAGE RATE	LABORERS FRINGE BENEFITS:		\$
				GROUP #	BHR	TOTAL WAGE
Bricklayers			\$			
Carpenters			\$			\$
Cement Masons			\$			\$
Drywall Hangers			\$			\$
Electricians			\$			\$
Iron Workers			\$			\$
Painters			\$	OPERATORS FRINGE BENEFITS:		\$
Plumbers			\$	GROUP #	BHR	TOTAL WAGE
Roofers			\$			\$
Sheet Metal Workers			\$			\$
Soft Floor Layers			\$			\$
Tapers			\$			\$
Tile Setters			\$	TRUCK DRIVERS FRINGE BENEFITS:		\$
OTHER CLASSIFICATIONS				GROUP #	BHR	TOTAL WAGE
			\$			\$
			\$			\$
			\$			\$
			\$			\$

ADDITIONAL CLASSIFICATIONS (HUD Form 4230-A)

WORK CLASSIFICATION	BASIC HOURLY RATE	FRINGE BENEFITS	TOTAL HOURLY WAGE RATE	DATE OF HUD SUBMISSION TO DOL	DATE OF DOL APPROVAL
			\$		
			\$		
			\$		
			\$		