



# Federal Register

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**Part II**

## **Department of Housing and Urban Development**

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**Notice of HUD's Fiscal Year 2005 Notice  
of Funding Availability Policy  
Requirements and General Section to the  
SuperNOFA for HUD's Discretionary  
Programs; Notice**

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4950-N-01]

### Notice of HUD's Fiscal Year 2005 Notice of Funding Availability Policy Requirements and General Section to the SuperNOFA for HUD's Discretionary Programs

**AGENCY:** Office of the Secretary, HUD.

**ACTION:** Notice of HUD's fiscal year (FY) 2005 Notice of Funding Availability (NOFA) policy requirements and general section to the FY2005 SuperNOFA for HUD's discretionary programs (notice).

#### Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development (HUD), Office of the Secretary.

B. *Funding Opportunity Title:* Policy requirements applicable to all HUD Federal financial assistance programs issued through a NOFA during FY2005.

C. *Announcement Type:* Initial announcement of the general policy requirements that apply to all HUD federal financial assistance NOFAs for FY2005 issued simultaneously with or after the publication of this notice.

D. *Funding Opportunity Number:* FR 4950-N-01.

E. *Catalog of Federal Domestic Assistance (CFDA) Number:* A CFDA number is provided for each HUD federal financial assistance program. When using "Apply Step 1" on the [Grants.gov](http://Grants.gov) Web site to download an application you will be asked for the CFDA number. Please refer to the program NOFA for the CFDA number assigned to the program(s) for which you wish to apply.

F. *Dates:* The key dates that apply to all HUD federal financial assistance made available through HUD's FY2005 NOFAs are found in each individual program NOFA and Appendix A to this General Section.

G. *Optional, Additional Overview Content Information:* Unless otherwise stated, HUD's general policy requirements set forth in this notice apply to all HUD federal financial assistance made available through HUD's FY2005 NOFAs. These policies cover those NOFAs issued through this SuperNOFA as well as those issued after publication of this SuperNOFA in the **Federal Register**.

#### Full Text of Announcement

##### I. Funding Opportunity Description

This notice provides information regarding HUD's FY2005 policy requirements applicable to all of HUD's

Federal financial assistance programs announced through NOFAs published along with this notice and any subsequent NOFA published for FY2005. Each such NOFA will provide a description of the specific requirements for the program for which funding is made available and each will refer to applicable policies contained in this notice. Each program NOFA will also describe additional procedures and requirements that apply to the individual program NOFA, including a description of the eligible applicants, eligible activities, threshold requirements, factors for award, and any additional program requirement or limitation. To ensure that you are able to adequately address all of the application requirements for any program for which you intend to apply, please be sure you carefully read and respond to both this notice of HUD's NOFA policy requirements and the individual program NOFAs.

*Authority.* HUD's authority for making funding available under its FY2005 programs is identified in each program NOFA under the section entitled "Funding Opportunity Description."

##### II. Award Information

*Funding Available.* Each program NOFA will identify the estimated amount of funds available in FY2005, either as a result of the enactment of a HUD appropriations act or based upon available appropriations and any funds from previous years available for award in FY2005. The FY2005 SuperNOFA contains 53 funding opportunities composed of programs and program components totaling approximately \$2.26 billion. As a service to our customers, Appendix A of this notice contains a chart of the estimated amount of funds being made available in HUD's SuperNOFA for FY2005. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding for the applicable program by those amounts. Note that additional NOFAs may be issued separately from the issuance of the FY2005 SuperNOFA.

##### III. Eligibility Information

###### A. Eligible Applicants

The individual program NOFAs describe the eligible applicants and eligible activities for each program.

###### B. Cost Sharing or Matching

The individual program NOFAs describe the applicable cost sharing, matching requirements, or leveraging

requirements related to each program, if any.

###### C. Other Requirements and Procedures Applicable to All Programs

Except as may be modified in the individual program NOFAs in FY2005, the requirements, procedures, and principles listed below apply to all programs in FY2005 for which funding is announced via NOFA and published in the **Federal Register**. Please read the individual program NOFAs for additional requirements or information.

###### 1. Statutory and Regulatory Requirements

To be eligible for funding under HUD NOFAs issued during FY2005, you, the applicant, must meet all statutory and regulatory requirements applicable to the program or programs for which you seek funding. If you need copies of the program regulations, they are available from the NOFA Information Center or through HUD's Grants Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. See the individual program NOFAs for instructions on how HUD will respond to proposed activities that are ineligible.

###### 2. Threshold Requirements

a. *Ineligible Applicants.* HUD will not consider an application from an ineligible applicant.

b. *Dun and Bradstreet Data Universal Numbering System (DUNS) Number Requirement.* Any applicant seeking funding directly from HUD or other federal agencies must obtain a DUNS number and include the number in its Application for Federal Assistance submission. Failure to provide HUD a DUNS number will prevent you from obtaining an award, regardless of whether it is a new award or renewal of an existing award. Individuals who personally apply for Federal financial assistance, apart from any governmental, business, or nonprofit organization they may represent, are excluded from the requirement to obtain a DUNS number. This policy is pursuant to the Office of Management and Budget (OMB) Policy issued in the **Federal Register** on June 27, 2003 (68 FR 38402). HUD's regulation implementing the DUNS Number requirement for its programs was issued on an interim basis in the **Federal Register** on March 26, 2004 (69 FR 15671) and published as a final rule on November 9, 2004 (69 FR 65024). A copy of the OMB **Federal Register** notice and HUD's regulation implementing the DUNS number can be found on HUD's Web site at <http://www.hud.gov/offices/adm/grants/>

*duns.cfm*. Applications received electronically cannot be submitted without a DUNS number entry. For applicants that are provided a waiver to the requirement for electronic submission, failure to provide a DUNS number with the application submission will be treated as a technical deficiency to the application. If the DUNS number is not provided within the cure period (see Section V.B.4, "Corrections to Deficient Applications"), the application will not be funded. Also, see Section IV.F, "Other Submission Requirements," for additional information regarding the DUNS requirement. The Web site at <http://www.grants.gov/GetStarted> provides step-by-step instructions for obtaining a DUNS number as well as procedures for registering in the Central Contractor Registry and receiving credentials from the Grants.gov E-Authentication provider. The registration in the Central Contractor Registry and the E-Authentication credentials are not necessary for submitting a paper copy application to HUD; only the DUNS number is required. Central Contractor Registration is required for submittal of electronic grant applications through the Grants.gov portal. For FY2005 electronic submission is mandatory unless the applicant receives a waiver of the requirement. Procedures for obtaining a waiver are contained in Section IV, Application and Submission Information, of this General Section.

The Continuum of Care NOFA is the only program in the SuperNOFA that has retained the paper application process in 2005. Applicants for the Continuum of Care NOFA should follow the submission and timely receipt requirements in the Continuum of Care Program Section of the SuperNOFA.

c. *Compliance with Fair Housing and Civil Rights Laws.* (1) With the exception of federally recognized Indian tribes and their instrumentalities, all applicants must comply with all applicable fair housing and civil rights requirements in 24 CFR 5.105(a), as applicable. If you are a federally recognized Indian tribe, you must comply with the nondiscrimination provisions enumerated at 24 CFR 1000.12, as applicable. In addition to these requirements, there may be program-specific threshold requirements identified in the individual program NOFAs.

(2) If you, the applicant:

(a) Have been charged with an ongoing systemic violation of the Fair Housing Act; or

(b) Are a defendant in a Fair Housing Act lawsuit filed by the Department of

Justice alleging an ongoing pattern or practice of discrimination; or

(c) Have received a letter of findings identifying ongoing systemic noncompliance under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, or Section 109 of the Housing and Community Development Act of 1974, and the charge, lawsuit, or letter of findings referenced in subparagraph (a), (b), or (c) above has not been resolved to HUD's satisfaction before the application deadline, then you are ineligible and HUD will not rate and rank your application. HUD will determine if actions to resolve the charge, lawsuit, or letter of findings taken prior to the application deadline are sufficient to resolve the matter.

Examples of actions that would normally be considered sufficient to resolve the matter include, but are not limited to:

(i) A voluntary compliance agreement signed by all parties in response to a letter of findings;

(ii) A HUD-approved conciliation agreement signed by all parties;

(iii) A consent order or consent decree; or

(iv) An issuance of a judicial ruling or a HUD Administrative Law Judge's decision.

d. *Conducting Business in Accordance with Core Values and Ethical Standards.* Entities subject to 24 CFR parts 84 and 85 (most nonprofit organizations and state, local, and tribal governments or government agencies or instrumentalities that receive federal awards of financial assistance) are required to develop and maintain a written code of conduct (see 24 CFR 84.42 and 85.36(b)(3)). Consistent with regulations governing specific programs, your code of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by your officers, employees, or agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions available to remedy violations of such standards. If awarded assistance under a HUD program NOFA announced in FY2005, you will be required, prior to entering into an agreement with HUD, to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your code of conduct. Failure to meet the requirement for a code of conduct will prohibit you from receiving an award of funds from HUD. If you submitted an application to HUD during FY2004 that

included a code of conduct, and it has been identified by HUD on its Web site at <http://www.hud.gov/grants/index.cfm>, and if that information is still valid, you will not have to resubmit another copy. However, if your code of conduct is not listed as received on the HUD Web site, or if the information you submitted has changed (e.g., the person who submitted the previous application is no longer your authorized organization representative, the organization has changed its legal name or merged with another organization, or the address of the organization has changed, etc.), you must submit your current code of conduct with your 2005 application for assistance.

e. *Delinquent Federal Debts.*

Consistent with the purpose and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), no award of federal funds will be made to an applicant that has an outstanding delinquent federal debt unless (1) the delinquent account is paid in full, (2) a negotiated repayment schedule is established and the repayment schedule is not delinquent, or (3) other arrangements satisfactory to HUD are made prior to the deadline submission date.

f. *Pre-Award Accounting System Surveys.* HUD may arrange for a pre-award survey of the applicant's financial management system in cases where the recommended applicant has no prior federal support, HUD's program officials have reason to question whether the applicant's financial management system meets federal financial management standards, or the applicant is considered a high risk based upon past performance or financial management findings. HUD will not disburse funds to any applicant that does not have a financial management system that meets federal standards.

g. *Name Check Review.*

Recommended applicants are subject to a name check review process. Name checks are intended to reveal matters that significantly reflect on the applicant's management and financial integrity, or if any key individual has been convicted or is presently facing criminal charges. If the name check reveals significant adverse findings that reflect on the business integrity or responsibility of the applicant or any key individual, HUD reserves the right to (1) deny funding or consider suspension or termination of an award immediately for cause, (2) require the removal of any key individual from association with management or implementation of the award, and (3) make appropriate provisions or revisions with respect to the method of

payment or financial reporting requirements.

h. *False Statements.* A false statement in an application is ground for denial or termination of an award and grounds for possible punishment as provided in 18 U.S.C. 1001.

i. *Prohibition Against Lobbying Activities.* You, the applicant, are subject to the provisions of Section 319 of Public Law 101-121 (approved October 23, 1989) (31 U.S.C. 1352) (the Byrd Amendment), which prohibits recipients of federal contracts, grants or loans from using appropriated funds for lobbying the executive or legislative branches of the federal government in connection with a specific contract, grant, or loan. In addition, you must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, or congressional staff regarding specific grants or contracts. Federally recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established only under state law must comply with this requirement. You must submit the SF-LLL if you have used or intend to use federal funds for lobbying activities.

j. *Debarment and Suspension.* In accordance with 24 CFR part 24, no award of federal funds may be made to applicants that are presently debarred or suspended, or proposed to be debarred or suspended, from doing business with the federal government. This requirement applies to all lower-tier covered transactions and to all solicitations for lower-tier covered transactions. The prohibition includes the following:

(1) Having principals who, within the previous three years, have been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction, violation of federal or state anti-trust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and

(2) Charges or indictments by a governmental entity (federal, state, or local) for commission of any of the above violations.

### 3. Other Threshold Requirements

The individual program NOFAs for which you are applying may specify other threshold requirements. Additional threshold requirements may be identified in the discussion of "eligibility" requirements in the individual program NOFAs. If a program NOFA requires a certification of consistency with the Consolidated Plan and the applicant fails to provide a certification, and such failure is not cured as a technical deficiency, HUD will not fund the application. If HUD is provided a signed certification indicating consistency with the area's approved Consolidated Plan and HUD finds that the activities are not consistent with the Consolidated Plan, HUD will not fund the inconsistent activities or will deny funding the application if a majority of the activities are not consistent with the approved Consolidated Plan. The determination not to fund an activity or to deny funding may be determined by a number of factors including, the number of activities being proposed, the impact of the elimination of the activities on the proposal, or the percent of the budget allocated to the proposed activities.

### 4. Additional Nondiscrimination and Other Requirements

You, the applicant, and your subrecipients must comply with:

a. *Civil Rights Laws*, including the Americans with Disabilities Act of 1990 (42 U.S.C. 1201 *et seq.*), the Age Discrimination Act of 1974 (42 U.S.C. 6101 *et seq.*), and Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 *et seq.*).

b. *Affirmatively Furthering Fair Housing.* Under Section 808(e)(5) of the Fair Housing Act, HUD has a statutory duty to affirmatively further fair housing. HUD requires the same of its funding recipients. If you are a successful applicant, you will have a duty to affirmatively further fair housing opportunities for classes protected under the Fair Housing Act. Protected classes include race, color, national origin, religion, sex, disability, and familial status. Unless otherwise instructed in the individual program NOFA, your application must include specific steps to:

(1) Overcome the effects of impediments to fair housing choice that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, you, the applicant, have a duty to carry out the specific activities provided in your responses to the individual program NOFA rating factors that address affirmatively furthering fair housing. These requirements apply to all HUD programs announced via a NOFA, unless specifically excluded in the individual program NOFA.

c. *Economic Opportunities for Low- and Very Low-Income Persons (Section 3).* Certain programs to be issued during FY2005 require recipients of assistance to comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection With Assisted Projects), and the HUD regulations at 24 CFR part 135, including the reporting requirements at subpart E. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very-low-income persons, particularly those who are recipients of government assistance for housing, and business concerns that provide economic opportunities to low- and very low-income persons. Review the individual program NOFAs to determine if Section 3 applies to the program for which you are seeking funding.

d. *Ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Women-Owned Businesses.* HUD is committed to ensuring that small businesses, small disadvantaged businesses, and women-owned businesses participate fully in HUD's direct contracting and in contracting opportunities generated by HUD financial assistance. Too often, these businesses still experience difficulty accessing information and successfully bidding on federal contracts. State, local, and tribal governments are required by 24 CFR 85.36(e) and nonprofit recipients of assistance (grantees and sub-grantees) by 24 CFR 84.44(b) to take all necessary affirmative steps in contracting for the purchase of goods or services to assure that minority firms, women's business enterprises, and labor surplus area firms are used whenever possible or as specified in the individual program NOFAs.

e. *Relocation.* The relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and the implementing government-wide regulation at 49 CFR part 24 cover any person who moves permanently from real property or moves personal property from real



property directly because of acquisition, rehabilitation, or demolition for an activity undertaken with HUD assistance. Some HUD program regulations also cover persons who are temporarily relocated. For example, 24 CFR 570.606(b)(2)(i)(D)(1), (2), and (3) provide guidance on temporary relocation for the Community Development Block Grants (CDBG) program. Applicants should review the regulations for the programs for which they are applying when planning their project.

f. *Executive Order 13166, "Improving Access to Services for Persons With Limited English Proficiency (LEP)."* Executive Order 13166 seeks to improve access to federally assisted services, programs, and benefits for individuals with limited English proficiency. Applicants obtaining an award from HUD must seek to provide access to program benefits and information to LEP individuals through translation and interpretive services in accordance with LEP guidance published on December 19, 2003 (68 FR 70968). For assistance and information regarding your LEP obligation, go to <http://www.lep.gov>.

g. *Executive Order 13279, "Equal Protection of the Laws for Faith-Based and Community Organizations."* HUD is committed to full implementation of Executive Order 13279. The Executive Order established fundamental principles and policymaking criteria to guide federal agencies in formulating and developing policies that have implications for faith-based and community organizations to ensure the equal protection for these organizations in social services programs receiving federal financial assistance. Consistent with this order, HUD has undertaken a review of all policies and regulations that have implications for faith-based and community organizations and has established a policy priority to provide full and equal access to grassroots faith-based and other community-based organizations in HUD program implementation. On September 30, 2003 (68 FR 56396), HUD issued a final rule to remove barriers to the participation of faith-based organizations in eight HUD programs. On March 3, 2004 (69 FR 10126), HUD published a proposed rule clarifying that the requirements contained in the September 30, 2003, final rule regarding the equal participation of faith-based organizations in certain HUD programs also applied to the State Community Development Block Grant (State CDBG) Program. On July 9, 2004 (69 FR 41712), HUD issued a final rule that extended the provisions of the equal treatment of faith-based organizations to all HUD

programs. Copies of the regulatory changes can be found at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

h. *Accessible Technology.* Section 508 of the Rehabilitation Act (Section 508) requires HUD and other federal departments and agencies to ensure, when developing, procuring, maintaining or using electronic and information technology (EIT), that the EIT allow, regardless of the type of medium of technology, persons with disabilities access to and use of information and data on a comparable basis as is made available to and used by persons without disabilities. Section 508's coverage includes, but is not limited to, computers (hardware, software, word-processing, e-mail, and web pages), facsimile machines, copiers, and telephones. Among other things, Section 508 requires that unless an undue burden would result to the federal department or agency, electronic and information technology allow individuals with disabilities who are employees or members of the public seeking information or services, to have access to and use of information and data that is comparable to that of employees and members of the public who are not disabled. Where an undue burden exists to the federal department or agency, alternative means may be used to allow a disabled individual use of the information and data. Section 508 does not require that information services be provided at any location other than a location at which the information services are generally provided. HUD encourages its funding recipients to adopt the goals and objectives of the Section 508 by ensuring, whenever EIT is used, procured, or developed, that persons with disabilities have access to and use of the information and data made available through the EIT on a comparable basis as is made available to and used by persons without disabilities. This does not affect recipients required compliance with Section 504 of the Rehabilitation Act and, where applicable, the American with Disabilities Act.

i. *Procurement of Recovered Materials.* State agencies and agencies of a political subdivision of a state that are using assistance under a HUD program NOFA for procurement, and any person contracting with such an agency with respect to work performed under an assisted contract, must comply with the requirements of Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act.

In accordance with Section 6002, these agencies and persons must procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired in the preceding fiscal year exceeded \$10,000; must procure solid waste management services in a manner that maximizes energy and resource recovery and must have established an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

j. *Participation in HUD-Sponsored Program Evaluation.* As a condition of the receipt of financial assistance under a HUD program NOFA, all successful applicants will be required to cooperate with all HUD staff or contractors performing HUD-funded research or evaluation studies.

k. *Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects."* Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202 is a condition of receipt of assistance under a HUD program NOFA.

l. *Salary Limitation for Consultants.* FY2005 funds may not be used to pay or to provide reimbursement for payment of the salary of a consultant whether retained by the federal government or the grantee at more than the daily equivalent of the rate paid for level IV of the Executive Schedule, unless specifically authorized by law.

m. *OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs.* Certain OMB Circulars also apply to HUD programs in this SuperNOFA. The policies, guidance, and requirements of OMB Circulars A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments), A-21 (Cost Principles for Education Institutions), A-122 (Cost Principles for Nonprofit Organizations), A-133 (Audits of States, Local Governments, and Non-Profit Organizations), and the regulations at 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations), and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally Recognized Indian Tribal Governments), may apply

to the award, acceptance, and use of assistance under the individual program NOFAs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of HUD's appropriations act for 2005, other federal statutes or regulations, or the provisions of this SuperNOFA notice. Compliance with additional OMB Circulars or government-wide regulations may be specified for a particular program in the Program Section of the Super NOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 20503, telephone (202) 395-3080 (this is not a toll-free number) or (800) 877-8339 (toll-free TTY Federal Information Relay Service) or from the Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

n. *Environmental Requirements.* If you become a recipient under one of HUD's programs that assist physical development activities or property acquisition, you are generally prohibited from acquiring, rehabilitating, converting, demolishing, leasing, repairing, or constructing property or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) HUD has completed an environmental review in accordance with 24 CFR part 50; or

(2) For programs subject to 24 CFR part 58, HUD has approved a recipient's Request for Release of Funds (Form HUD-7015.15) following a Responsible Entity's completion of an environmental review.

You, the applicant, should consult the individual program NOFA for any program for which you are interested in applying to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Section 202 Supportive Housing for the Elderly program or Section 811 Supportive Housing for Persons with Disabilities program, please note the environmental review requirements for these programs.

o. *Conflicts of Interest.* If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA or future NOFAs published in FY2005, you are subject to 18 U.S.C. 208, the federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for programs in this

SuperNOFA or NOFAs published in FY2005, you may not serve on a selection panel and you may not serve as a technical advisor to HUD. All individuals involved in rating and ranking HUD FY2005 NOFAs either published simultaneously with this notice or after the publication of this notice, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information, if applicable: how the selection or non-selection of any applicant under this FY2005 Super NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208, or how the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding a FY2005 NOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at (202) 708-3815 (this is not a toll-free number).

p. *Drug-Free Workplace.* If you receive an award of funds from HUD, you are required to provide a drug-free workplace. Compliance with this requirement means that you will:

(1) Publish a statement notifying employees that it is unlawful to manufacture, distribute, dispense, possess, or use a controlled substance in the applicant's workplace and that such activities are prohibited. The statement must specify the actions that will be taken against employees for violation of this prohibition. The statement must also notify employees that as a condition of employment under the federal award that they are required to abide by the terms of the statement and that each employee must agree to notify the employer in writing of any violation of a criminal drug statute occurring in the workplace no later than five calendar days after such violation;

(2) Establish an ongoing drug-free awareness program to inform employees about:

(a) The dangers of drug abuse in the workplace;

(b) The applicant's policy of maintaining a drug-free workplace;

(c) Any available drug counseling, rehabilitation, or employee maintenance programs; and

(d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(3) Notify the federal agency in writing within 10 calendar days after receiving notice from an employee of a drug abuse conviction or otherwise receiving actual notice of a drug abuse conviction. The notification must be provided in writing to HUD's Office of Departmental Grants Management and Oversight, Department of Housing and Urban Development, 451 Seventh Street, SW., Room 3156, Washington DC 20410-3000, along with the following information:

(a) The program title and award number for each HUD award covered;

(b) The HUD staff contact name, phone, and fax numbers; and

(c) A grantee contact name, phone, and fax numbers; and

(4) Require that each employee engaged in the performance of the federally funded award be given a copy of the drug-free workplace statement required in item (1) and notify the employee that one of the following actions will be taken against the employee within 30 calendar days of receiving notice of any drug abuse conviction:

(a) Institution of a personnel action against the employee, up to and including termination consistent with requirements of the Rehabilitation Act of 1973, as amended; or

(b) Requiring that the employee participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

q. *Safeguarding Resident/Client Files.* In maintaining resident and client files, HUD funding recipients shall observe state and local laws concerning the disclosure of records that pertain to individuals. Further, recipients are required to adopt and take reasonable measures to ensure that resident and client files are safeguarded.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

This section describes how you may obtain application forms, additional information about the HUD program NOFAs, and technical assistance. Copies of the published NOFAs and application forms for HUD programs announced through NOFA may be downloaded from the [grants.gov](http://www.grants.gov) Web site at <http://www.grants.gov/FIND> and choose from links provided under the topic "Search Grant Opportunities", which allows you to do a basic search or to browse by category or agency. If you have difficulty accessing the

information, you may receive customer support from Grants.gov by calling its help line at (800) 518-GRANTS or sending an e-mail to [support@grants.gov](mailto:support@grants.gov). The operators will assist you in accessing the information. If you do not have Internet access and you need to obtain a copy of the NOFA, you can contact HUD's NOFA Information Center toll-free at (800) HUD-8929. Persons with hearing or speech impairments may also call toll-free at (800) HUD-2209.

#### 1. Application Kits

There are no application kits for HUD programs. All the information you need to apply will be in the NOFA and available at <http://www.grants.gov/Apply>. In response to concerns about the length of time it takes for the publication and dissemination of application kits, HUD has made an effort to improve the readability of its NOFAs and publish all required forms and formats for application submission in the **Federal Register**. The NOFAs and forms are available to be downloaded from <http://www.grants.gov/Apply>, click on Apply Step 1. Please pay attention to the submission requirements and format for submission specified in each program NOFA to ensure that you have submitted all required elements of your application.

The published **Federal Register** document is the official document that HUD uses to solicit applications. Therefore, if there is a discrepancy between any materials published by HUD in its **Federal Register** publications and other information provided in paper copy, electronic copy, or at [www.grants.gov](http://www.grants.gov), the **Federal Register** publication prevails. Please be sure to review your application submission against the requirements in the **Federal Register** file of the program NOFA or NOFAs to which you are responding by application. The instructions incorporated into the application found on Grants.gov/Apply contain the PDF files of the **Federal Register** publication. By accessing the information from the Internet at [Grants.gov](http://www.grants.gov) you will not have to wait for copies of the NOFAs or forms to begin to prepare your application for funding. HUD is continuing to streamline programs and application submission requirements and encourages the applicant community to offer additional suggestions.

#### 2. Guidebook and Further Information

A guidebook to HUD programs entitled, "Connecting with Communities: A User's Guide to HUD Programs and the FY2005 NOFA

Process," is available from the HUD NOFA Information Center and the HUD Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The guidebook provides a brief description of all HUD programs, identifies eligible applicants for the programs, and provides examples of how programs can work in combination to serve local community needs. You can also get a copy from the NOFA Information Center at (800) HUD-8929, or for the hearing impaired, (800) HUD-2209 (TTY) (these are toll-free numbers). The NOFA Information Center is open between the hours of 10 a.m. to 6:30 p.m. Eastern time, Monday through Friday, except on federal holidays.

#### 3. For Technical Assistance

Before the application submission date, HUD staff will be available to provide you with general guidance and technical assistance about this notice or about individual program NOFAs. However, HUD staff is not permitted to assist in preparing your application. Following selection of applicants, but before announcement of awards are made, HUD staff is available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD. For technical support for downloading an application or submitting an application, please call Grants.gov Customer Support at (800) 518-GRANTS (this is a toll-free number) or e-mail [support@grants.gov](mailto:support@grants.gov).

#### 4. SuperNOFA Webcasts

HUD provides technical assistance and training on its programs made available through a notice of funding availability. The NOFA broadcasts are interactive and allow potential applicants to obtain a better understanding of the threshold, program, and application submission requirements for FY2005 funding. Participation in this training opportunity is free of charge and can be accessed via HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The SuperNOFA webcast schedule can also be found via HUD's Web site at <http://www.hud.gov/webcasts/index.cfm>.

#### B. Content and Form of Application Submission

Be sure to read and follow the application submission requirements published in each individual program NOFA to which you are responding by application.

#### 1. Forms

Each program NOFA will identify all the required forms for submission. HUD's standard forms are identified below:

- a. Application for Federal Assistance (SF-424);
- b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);
- c. Grant Application Detailed Budget (HUD-424-CB);
- d. Grant Application Detailed Budget Worksheet (HUD-424-CBW);
- e. Disclosure of Lobbying Activities (SF-LLL);
- f. Applicant/Recipient Disclosure/Update Report (HUD-2880);
- g. Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;
- h. Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;
- i. Acknowledgment of Application Receipt (HUD-2993);
- j. Client Comments and Suggestions (HUD 2994) (Optional);
- k. Program Outcome Logic Model (HUD-96010);
- l. Race and Ethnic Data Reporting Form (HUD-27061);
- m. America's Affordable Communities Initiative (HUD-27300), if applicable; and
- n. Facsimile Transmittal (HUD-96011).

Copies of these forms are included in Appendix B to this General Section. Any additional program form required to be submitted to meet specific program requirements is included with each program NOFA. The electronic version of each NOFA contains all forms required for submission.

#### 2. Certifications and Assurances

The form SF-424-B, Assurances and Certifications, is no longer required as a separate submission. However, applicants are placed on notice that by signing the SF-424 cover page:

- a. The governing body of the applicant's organization has duly authorized the application for federal assistance. In addition, by signing or electronically submitting the application, the Authorized Organization Representative (AOR) certifies that the applicant:
  - (1) Has the legal authority to apply for federal assistance and the institutional, managerial, and financial capacity (including funds to pay for any non-federal share of program costs) to plan, manage, and complete the program as described in the application; will provide HUD any additional information it may require; and

(2) Will administer the award in compliance with requirements identified and contained in the NOFA as applicable to the program for which funds are awarded and in accordance with requirements applicable to the program.

b. No appropriated federal funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, or an employee of a Member of Congress, in connection with this application for federal assistance or any award of funds resulting from the submission of this application for federal assistance or its extension, renewal, amendment, or modification. If funds other than federal appropriated funds have been or will be paid for influencing or attempting to influence the persons listed above, the applicant agrees to complete and submit Standard Form LLL, Disclosure Form to Report Lobbying, as part of its applications submission package. The applicant further agrees to and certifies that it will require all subawards at all tiers including subgrants and contracts to similarly certify and disclose accordingly.

c. Federally recognized Indian tribes and tribally designated housing entities (TDHEs) established by a federally recognized Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage by item b. (also known as the Byrd Amendment). However, state-recognized Indian tribes and TDHEs established under state law are not excluded from the statute's coverage and therefore agree to, and must comply with item b. above.

By submitting an application, the applicant affirms its awareness of these certifications and assurances.

Applicants are also affirming that these Certifications and Assurances are material representations of the facts upon which HUD will rely when making an award to the applicant. If it is later determined that the applicant knowingly made a false certification or assurance, the applicant may be subject to criminal prosecution, and HUD may terminate the award or pursue other available remedies.

### C. Submission Dates and Times

Applications submitted through Grants.gov must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application submission date. Applicants receiving a waiver of the electronic submission requirement must submit their application to the United States Postal Service no later than 11:59:59 p.m. on

the application submission date. Appendix A also provides a funding chart that identifies the programs in HUD's SuperNOFA along with the application submission dates.

### D. Intergovernmental Review

Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued to foster intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of federal financial assistance and direct federal development. HUD implementing regulations are published at 24 CFR part 52. The order allows each state to designate an entity to perform a state review function. The official listing of State Points of Contact (SPOC) for this review process can be found at <http://www.whitehouse.gov/omb/grants/spoc.html>. States not listed on the Web site have chosen not to participate in the intergovernmental review process and, therefore, do not have a SPOC. If your state has a SPOC, you should contact the SPOC to see if it is interested in reviewing your application prior to submission to HUD.

Please make sure that you allow ample time for this review process when developing and submitting your applications. If your state does not have a SPOC, you can submit your application directly to HUD using [Grants.gov](http://Grants.gov) for electronic applications or, if you receive a waiver of the electronic application submission requirement, you can submit your application to HUD following the directions for the number of copies and locations for submission found in Appendix C of this General Section.

### E. Funding Restrictions

The individual program NOFAs will describe any funding restrictions that apply to each program.

### F. Other Submission Requirements

*Application Submission and Receipt Procedures.* This section provides the application submission and receipt instructions for HUD program applications. Please read the following instructions carefully and completely, as failure to comply with these procedures may disqualify your application.

1. *Electronic Delivery.* Beginning in FY2005, HUD requires applicants to submit their applications electronically through Grants.gov, unless a waiver is granted.

2. The following describes what to expect when you go to apply online using Grants.gov:

a. *Get Started* (<http://www.grants.gov/GetStarted>). Once on the site, you will find six "Get Started" step-by-step instructions that will enable you to apply for HUD funds. Applicants should read the Get Started steps carefully. The site also contains four checklists under the topic "Registration Checklists" to help you walk through the process. HUD recommends that you download the checklists and prepare the information requested before beginning the registration process. Reviewing information required and assembling it before beginning the registration process will save you time and make the process faster and smoother.

b. *DUNS Requirement.* All applicants applying for funding, including renewal funding, must have a Dun and Bradstreet Universal Data Numbering System (DUNS) number. The DUNS number must be included in the data entry field labeled "Organizational Duns" on the form SF-424. Instructions for obtaining a DUNS number can be found at either of the following Web sites: <http://www.hud.gov/offices/adm/grants/duns.cfm> or Step 3 at <http://www.grants.gov/GetStarted>.

c. *Central Contractor Registry and Credential Provider Registration.* In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with the Federal Central Contractor Registry and with the credential provider for E-Authentication. The Grants.gov Web site at [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted), Step 3, provides instructions for registering in the Central Contractor Registry and, at Step 4, for registering with the credential provider. All applicants filing electronically must have a DUNS number before registering with the Central Contractor Registry (CCR) and receive credentials from the Grants.gov credential provider in order to apply online. Failure to register with the CCR and credential provider will result in your application being rejected by the Grants.gov portal.

The registration process is a separate process from submitting an application. Applicants are encouraged to register early. The registration process can take approximately two weeks to be completed. Therefore, registration should be done in sufficient time to ensure that it does not impair your ability to meet required submission deadlines. You will be able to submit your application online anytime after you receive your E-Authentication credentials.

d. *Electronic Signature.* Applications submitted through Grants.gov constitute electronically signed applications. The registration and E-Authentication

process establishes the Authorized Organization Representative (AOR). When you submit the application through Grants.gov, the name of your authorized organization representative on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the Authorized Organization Representative (AOR).

### 3. Instructions on How To Submit an Electronic Application to HUD via [www.grants.gov/Apply](http://www.grants.gov/Apply)

#### a. *Applying using Grants.gov.*

Grants.gov has a full set of instructions on how to complete a grant application on its website at [www.grants.gov/CompleteApplication](http://www.grants.gov/CompleteApplication). Applicants are encouraged to read through the "Complete Application Package" website. The site contains a multimedia demonstration that guides you through the process of completing an application package. The training demonstration is also available in text. Grants.gov allows applicants to download the application package, instructions, and forms that are incorporated in the instructions, and work offline. In addition to forms that are part of the application instructions, there will be a series of electronic forms that are provided utilizing a PureEdge™ reader. The PureEdge™ Reader is available free for download from Step 2 of [www.grants.gov/Get Started](http://www.grants.gov/Get Started). The PureEdge™ Reader allows applicants to read the electronic files in a form format so that they will look like any other Standard or HUD form. The PureEdge™ forms have content-sensitive help. To use this feature, click on the icon that features an arrow with a question mark at the top of the page. This engages the content-sensitive help for each field on the electronic form. The PureEdge™ forms can be downloaded and saved on your hard drive, network drive(s), or CDs. Because of the size of the application, HUD recommends downloading the application to your computer hard drive.

The instructions include the General and Program sections of the **Federal Register** publication of the NOFA and any required form that has not been converted to a PureEdge™ form. Each program NOFA also includes a checklist. Please review the checklist in the program section to ensure that your application contains all the required materials.

MacIntosh users will need to use the Virtual PC emulator software, which allows PC software to run on MacIntosh platforms. More information on PureEdge™ Support for MacIntosh

Users is available at [www.grants.gov/CompleteApplication#](http://www.grants.gov/CompleteApplication#), located under the topic Tips and Tools.

b. *Mandatory Fields on PureEdge™ Forms.* In the PureEdge™ forms you will find fields with a yellow background. These data fields are considered mandatory and must be completed.

c. *Completion of SF-424 Fields First.* The PureEdge™ forms are designed to fill in common data such as the applicant name and address, DUNS number, etc., on all PureEdge™ electronic forms. In order to trigger this function, the Standard Form 424 (SF-424) must be completed first. Once you complete the SF-424 the information will transfer to the other forms.

d. *Submission of Narrative Statements, Third Party Letters, and Certifications.* In addition to forms, many of the NOFAs require the submission of other documentation such as third party letters, certifications, or program narrative statements. This section discusses how you should submit this additional information electronically as part of your application:

(1) *Narrative Statements to the Factors for Award.* If you are required to submit narrative statements, you should submit them as an electronic file in Microsoft Word (version 9 or earlier) or in Portable Document Format (PDF) that is compatible with Adobe™ Reader version 6.0 or earlier. Each response to a Factor for Award should be developed as a separate file labeled with the appropriate factor name, e.g., Factor 1 Capacity, and submitted as part of your electronic application. Documents that you possess in electronic format, e.g., narratives you have written, or graphic images (such as Computer Aided Design (CAD)) files from an architect), should be attached using the "Attachments" form included in the application package you downloaded from Grants.gov. In order to reduce the size of your attachments, all or several files can be compressed using a zip utility. The zipped file can then be attached as described above.

(2) *Third Party Letters, Certifications Requiring Signatures, and Other Documentation.* The following two options apply to applicants required to submit documentation from organizations providing matching or leveraging funds; documentation of 501(c)(3) status or incorporation papers; documents that support the need for the program; memoranda of understanding (MOUs); or documentation to support your organization's claims regarding work that has been done to remove

regulatory barriers to affordable housing:

(a) *Scanning Documents To Create Electronic Files.* Third party documentation can be scanned and saved as separate electronic files. Electronic files must be labeled so that the reader will know what the file contains. All scanned files should be placed together in a zipped folder and attached to the application package following the directions in paragraph d.(1), above; or

(b) *Faxing Required Documentation.* Applicants that do not have scanning equipment available may submit the required documentation to HUD via facsimile (fax). The fax method may be used only to submit attachments that are part of your electronic application. HUD will not accept entire applications via fax. Applications submitted entirely via fax will be disqualified. Facsimiles submitted in response to a NOFA must use the form HUD-96011 cover page downloaded as with the application found on Grants.gov. Facsimiles received that do not meet the facsimile requirements contained in this General Section will not be accepted for review.

To submit documents using the facsimile method, applicants must use form HUD-96011, Facsimile Transmittal, which is a cover page for the faxed materials. The form HUD-96011 is an electronic form and is part of the downloaded application. Each downloaded application contains an embedded unique identifier that will be used to assist HUD in associating an item transmitted by facsimile to its electronic application submission. If you have downloaded an application package from Grants.gov, be sure to save it to your system, complete the SF-424, and then provide copies of the facsimile transmittal cover page to all parties that need to use it to submit information pertaining to your application. Do not download the same application package from Grants.gov more than once. Each time the package is downloaded, the forms are given a unique ID number. To ensure that all the forms in your package contain the same unique ID number, after downloading your application complete the SF-424 save the forms to your hard drive, and use the saved forms to create your application. If you have to provide a copy of the form HUD-96011 to another party that will be responsible for faxing an item as part of your application, make a copy of the facsimile transmittal cover page from your downloaded application and provide that copy to the third party for use with the fax transmission. Please instruct other parties to use the HUD form you have

provided when submitting information related to your application using the facsimile method. Applicants must fax their information, using the HUD-96011 facsimile transmittal cover page, to the following fax number: (800) HUD-1010. Each document must be faxed as a separate submission to avoid fax transmission problems. When faxing several documents, applicants must use the Form HUD-96011 as the cover for each document (e.g., Letter of Matching or Leveraging funds, Memorandum of Understanding, Certification of Consistency with the Consolidated Plan, etc.).

Your facsimile machine should provide you with a record of whether your transmission was received by HUD. If you get a negative response or a transmission error, you should resubmit the document until you confirm that HUD has received your transmission. HUD will not acknowledge that a facsimile was received successfully. HUD will electronically receive the facsimile, read it with an optical character reader, and attach it to the application submitted through Grants.gov. The facsimile transmissions may be sent at any time before the application submission date. All faxed materials must be received no later than 11:59:59 p.m. eastern time on the application submission date. HUD will store the information and attach it to the electronic application when HUD receives it from Grants.gov.

(c) *Submissions Using Other File Formats.* If you are required to submit files in other formats such as CAD files of architectural drawings and blueprints, or pictures, you should attach these as electronic files in PDF format that is compatible with Adobe™ Reader version 6.0 or earlier. The files should be part of the zipped folder that is attached and submitted with your application transmission.

e. *Customer Support.* The grants.gov Web site provides customer support via (800) 518-GRANTS (this is a toll-free number) or through email at [support@grants.gov](mailto:support@grants.gov). The customer support center is open from 7 a.m. to 9 p.m. eastern time, Monday through Friday, except federal holidays, to address grants.gov technology issues. For technical assistance to program related questions, contact the number listed in Section VII Agency Contact in the program NOFA you are applying for.

#### 4. Waiver of Electronic Submission Requirement

During FY2005, HUD will accept electronic applications only, and they must be submitted through the Grants.gov portal, unless the applicant

has received a waiver from the Department. As already noted, the Continuum of Care NOFA is the only program excepted from this electronic submission requirement. Applications to the Continuum of Care may be submitted by hard copy, as discussed below. HUD regulations at 24 CFR 5.110 permit waivers of regulatory requirements to be granted for cause. If you are unable to submit your application electronically, you may request a waiver from this requirement. If you are seeking funding under several HUD programs, you must submit a separate waiver request for each program from which you are seeking funding. Your waiver request must be in writing and state the basis for the request and explain why electronic submission is not possible. The basis for waivers for cause may include but are not limited to (a) lack of available Internet access in the geographic location in which the applicant's business office is located or (b) physical disability of the applicant that prevents the applicant from accessing or responding to the application electronically.

The waiver request should also include an email or name and mailing address where responses can be directed. You must submit waiver requests to the appropriate assistant secretary responsible for the program from which you are seeking funding. Waiver requests will be accepted beginning on the date of publication of the NOFA and no later than 30 days prior to the application submission date. HUD will not consider a waiver request that does not conform to the above requirement. A list of HUD assistant secretaries with waiver authority, and their related programs, can be found in Appendix C of this General Section. To avoid a delay in the process, waiver requests should be sent by United States Postal Service Express Mail. You, the applicant, should retain a receipt for the mailing showing the date submitted to the Postal Service. HUD will acknowledge receipt of the waiver request by e-mail, if an e-mail address is provided, or by United States Postal Service Express Mail or other available means. HUD will not make determinations or respond to waiver requests via the telephone. Each waiver request will be reviewed and a determination made. HUD will inform the applicant, whether or not the waiver has been granted. In the event a waiver is granted, the submission date for mailed applications will be the same as the electronic application submission receipt date. Applicants receiving a

waiver will be expected to follow the submission instructions immediately following.

a. *Submission Instructions for Applicants Receiving a Waiver of Electronic Submission.* Applicants receiving a waiver of the electronic submission requirements must submit their complete applications in paper copy as follows:

(1) *Submission Using the United States Postal Service.* Beginning in FY2005, HUD will no longer accept hand deliveries of applications.

Applicants who receive a waiver and are therefore allowed to submit paper applications must submit them via the United States Postal Service using either Express Mail or regular mailing services.

(2) *Submission Requirements for Specified Number of Copies of Paper Applications to HUD Headquarters and Field Offices.*

(a) When the program NOFA requires that an original and a specified number of copies be submitted to HUD Headquarters and field offices, and HUD receives at least one complete application at either location, HUD will utilize the complete application for its review purposes, provided it meets the deadline date and timely submission requirements.

(b) Where the program NOFA requires that an application be submitted to only one HUD location, the paper copy application will be considered late if:

(i) HUD does not receive the application at the office designated for receipt of the application; or

(ii) HUD does not receive the application in accordance with the requirements for timely submission.

(c) When the program NOFA requires that applications be submitted to more than one HUD office (Headquarters or field), and each application is unique to the designated location, HUD will consider the application late if:

(i) HUD does not receive the application at each office designated for receipt of the application as indicated in the program NOFA; or

(ii) HUD does not receive the application in accordance with the requirements for timely submission.

(d) When submitting a paper copy application, please be sure to submit the required number of copies to the locations specified in the program NOFA. For some programs, failure to submit the required number of copies will disqualify your application. Please be sure to include on the submittal envelope the title of the Program (and Component Name if applicable to the Program) under which you are seeking funding.

#### 5. Timely Receipt Requirements and Proof of Timely Submission

a. *Electronic Submission.* All applications must be received by Grants.gov by 11:59:59 p.m. eastern time on the application submission date established for each program NOFA.

Proof of timely submission is automatically recorded by Grants.gov. An electronic time stamp is generated within the system when the application has been successfully received. The applicant will receive an acknowledgement of receipt and a tracking number from Grants.gov with the successful transmission of its application. Applicants should print this receipt and save it, along with facsimile receipts for information provided by facsimile, as proof of timely submission. When HUD successfully retrieves the application from Grants.gov, HUD will provide an electronic acknowledgment of receipt to the e-mail address provided on the SF-424. Your time of submission will be the date and time that Grants.gov receives your application submittal and the date HUD receives those portions of your application submitted by facsimile. All facsimile transmissions must be received by the application submission date and time.

Applications received by Grants.gov after the established submission deadline for the program will be considered late and will not be considered for funding by HUD. Similarly, applications will be considered late if information submitted by facsimile as part of the application has not received by HUD by the established submission deadline. Please take into account the transmission time required for submitting your application via the Internet and the time required to fax any related documents. HUD suggests that applicants submit their applications during the operating hours of the Grants.gov Support Desk so that if there are questions concerning transmission, operators will be available to assist you through the process. Submitting your application during the Support Desk hours will also ensure that you have sufficient time for the application to complete its transmission prior to the application deadline.

Applicants using dial-up connections should be aware that transmission takes extra time before Grants.gov receives it. Grants.gov will provide either an error or a successfully received transmission message. The Grants.gov Support Desk reports that some applicants abort the transmission because they think that nothing is occurring during the transmission process. Please be patient

and give the system time to process the application. Uploading and transmitting a large file, particularly electronic forms with associated eXtensible mark-up language (XML) schema, will take considerable time to process and be received by Grants.gov.

b. *Applications Receiving Waivers To Submit a Paper Copy Application.* Applicants granted a waiver to the electronic submission requirement must use the United States Postal Service (USPS) to submit their applications to HUD. Applicants must take their application to a post office to get a receipt of mailing that provides the date and time the package was submitted to the USPS. USPS rules now require that large packages must be brought to a postal facility for mailing. In many areas, the USPS has made a practice of returning to the sender, large packages that have been dropped in a mail collection box. Paper copy applications submitted to the USPS by the submission date and time and received by HUD no later than 15 days after the established submission date will receive funding consideration. If the USPS does not have a receipt with a digital time stamp, HUD will accept a receipt showing USPS Form 3817, Certificate of Mailing with a dated postmark. The proof of submission receipt provided by the Postal Service must show receipt no later than the application submission deadline. Applicants whose applications are determined to be late, who cannot furnish HUD with a receipt from the USPS that verifies the package was submitted to the USPS prior to the submission due date and time will not receive funding consideration. Applicants may use any type of mail service provided by the USPS to have their application package delivered to HUD in time to meet the submission requirements.

c. Late applications, whether received electronically or in hard copy, will not receive funding consideration. HUD will not be responsible for directing or forwarding applications to the appropriate location. Applicants should pay close attention to these submission and timely receipt instructions, as they can make a difference in whether HUD will accept your application for funding consideration.

d. HUD will not accept fax transmissions from applicants who receive a waiver to submit a paper copy application. Paper applications must be complete and submitted in their entirety, via the USPS. Applicants need to pay attention to providing the required number of copies to the appropriate HUD office(s).

#### 6. Continuum of Care Application Submission

For FY2005, Continuum of Care applications will continue to be received in paper format. Please see the Continuum of Care program section of the SuperNOFA for application submission and timely receipt requirements that apply only to the Continuum of Care applications.

### V. Application Review Information

#### A. Criteria

##### 1. Factors for Award Used To Evaluate and Rate Applications

For each program NOFA, the points awarded for the rating factors total 100. Depending upon the program for which you, the applicant, are seeking funding, the funding opportunity may provide up to four bonus points as provided below:

a. *RC/EZ/EC-II.* HUD FY2005 NOFAs provide for the award of two bonus points for eligible activities/projects that the applicant proposes to locate in federally designated empowerment zones (EZs), renewal communities (RCs), or enterprise communities designated by the United States Department of Agriculture (USDA) in round II (EC-IIs) that are intended to serve the residents of these areas and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan. For ease of reference in this notice, all of the federally designated areas are collectively referred to as "RC/EZ/EC-IIs" and residents of any of these federally designated areas as "RC/EZ/EC-II residents." The individual funding announcements will indicate if the bonus points are available under the program. This notice contains a certification that must be completed for the applicant to be considered for RC/EZ/EC-II bonus points. A list of RC/EZ/EC-IIs can be obtained from HUD's grants Web page at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. Applicants can determine if their program or project activities are located in one of these designated areas by using the locator on HUD's Web site at <http://www.hud.gov/crlocator>.

b. *Brownfields Showcase Communities.* In the Brownfields Economic Development Initiative (BEDI) competition, two bonus points are available for federally designated Brownfields Showcase Communities. (Please see the FY2005 BEDI program NOFA for additional information.) The designation of Brownfields Showcase Communities is a federal agency initiative sponsored by 20 federal agencies, including HUD. A list of the



federally designated Brownfields Showcase Communities is available at <http://www.epa.gov/swerosps/bf/html-doc/showfact.htm>.

c. *The Five Standard Rating Factors for FY2005.* HUD has established the following five standard factors for awarding funds under the majority of its FY2005 program NOFAs. Additional details about the five rating factors and the maximum points for each factor are provided in the program NOFAs. For a specific funding opportunity, HUD may modify these factors to take into account explicit program needs or statutory or regulatory limitations. You, the applicant, should carefully read the factors for award as described in the program NOFA to which you are responding. The standard factors for award, except as modified in the program NOFAs, are listed below.

Factor 1: Capacity of the Applicant and Relevant Organizational Staff.

Factor 2: Need/Extent of the Problem.

Factor 3: Soundness of Approach.

Factor 4: Leveraging Resources.

Factor 5: Achieving Results and Program Evaluation.

The Continuum of Care Homeless Assistance programs have only two factors that receive points: Need and Continuum of Care.

#### B. Reviews and Selection Process

##### 1. HUD's Strategic Goals To Implement HUD's Strategic Framework and Demonstrate Results

HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission. To support this effort, grant applications submitted for HUD programs will be rated on how well they tie proposed outcomes to HUD's policy priorities and annual goals and objectives, as well as the quality of the applicant's proposed evaluation and monitoring plans. HUD's strategic framework establishes the following goals and objectives for the department:

###### a. *Increase Homeownership Opportunities.*

(1) Expand national homeownership opportunities.

(2) Increase minority homeownership.

(3) Make the home-buying process less complicated and less expensive.

(4) Fight practices that permit predatory lending.

(5) Help HUD-assisted renters become homeowners.

(6) Keep existing homeowners from losing their homes.

###### b. *Promote Decent Affordable Housing.*

(1) Expand access to affordable rental housing.

(2) Improve the physical quality and management accountability of public and assisted housing.

(3) Increase housing opportunities for the elderly and persons with disabilities.

(4) Help HUD-assisted renters make progress toward self-sufficiency.

###### c. *Strengthen Communities.*

(1) Provide capital and resources to improve economic conditions in distressed communities.

(2) Help organizations access the resources they need to make their communities more livable.

(3) End chronic homelessness.

(4) Mitigate housing conditions that threaten health.

###### d. *Ensure Equal Opportunity in Housing.*

(1) Resolve discrimination complaints on a timely basis.

(2) Promote public awareness of fair housing laws.

(3) Improve housing accessibility for persons with disabilities.

###### e. *Embrace High Standards of Ethics, Management, and Accountability.*

(1) Rebuild HUD's human capital and further diversify its workforce.

(2) Improve HUD's management and its internal controls and systems, as well as resolve audit issues.

(3) Improve accountability, service delivery, and customer service of HUD and its partners.

(4) Ensure program compliance.

###### f. *Promote Participation of Grassroots Faith-Based and Other Community-Based Organizations.*

(1) Reduce regulatory barriers to participation by grassroots faith-based and other community-based organizations.

(2) Conduct outreach to inform potential partners of HUD opportunities.

(3) Expand technical assistance resources deployed to grassroots faith-based and other community-based organizations.

(4) Encourage partnerships between grassroots faith-based and other community-based organizations and HUD's traditional grantees.

You can find out about HUD's Strategic Plan FY2003–FY2008, and 2002–2005 Annual Performance Plans at <http://www.hud.gov/offices/cfo/reports/cforept.cfm>.

##### 2. Policy Priorities

HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and achieving its goals for FY2005 and beyond, when the majority of funding recipients will be reporting programmatic results and achievements. Applicants that include

work activities that specifically address one or more of these policy priorities will receive higher rating scores than applicants that do not address these HUD priorities. Each NOFA issued in FY2005 will specify which priorities relate to a particular program and how many points will be awarded for addressing those priorities.

a. *Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Persons with Limited English Proficiency.* Too often, these individuals and families are shut out of the housing market through no fault of their own. Often developers of housing, housing counseling agencies, and other organizations engaged in the housing industry must work aggressively to open up the realm of homeownership and rental opportunities to low- and moderate-income persons, persons with disabilities, the elderly, minorities, and persons with limited English proficiency. Many of these families are anxious to have homes of their own, but are not aware of the programs and assistance that are available. Applicants are encouraged to address the housing, housing counseling, and other related supportive service needs of these individuals and coordinate their proposed activities with funding available through HUD's affordable housing programs and home loan programs.

Proposed activities support strategic goals a, b, and d.

b. *Improving Our Nation's Communities.* HUD wants to improve the quality of life for those living in distressed communities. Applicants are encouraged to include activities that:

(1) Bring private capital into distressed communities;

(a) Finance business investments to grow new businesses;

(b) Maintain and expand existing businesses;

(c) Create a pool of funds for new small and minority-owned businesses; and

(d) Create decent jobs for low-income persons.

(2) Improve the environmental health and safety of families living in public and privately owned housing by including activities that:

(a) Coordinate lead hazard reduction programs with weatherization activities funded by state and local governments and the federal government; and

(b) Reduce or eliminate health related hazards in the home caused by toxic agents such as molds and other



allergens, carbon monoxide, and other hazardous agents and conditions.

(3) Make communities more livable by:

(a) Providing public and social services; and

(b) Improving infrastructure and community facilities.

Activities support strategic goals b, c, and d.

c. *Encouraging Accessible Design Features.* As described in Section III.C.2.c, applicants must comply with applicable civil rights laws including the Fair Housing Act, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act. These laws and the regulations implementing them provide for nondiscrimination based on disability and require housing and other facilities to incorporate certain features intended to provide for their use and enjoyment by persons with disabilities. HUD is encouraging applicants to add accessible design features beyond those required under civil rights laws and regulations. These features would eliminate many other barriers limiting the access of persons with disabilities to housing and other facilities. Copies of the Uniform Federal Accessibility Standards (UFAS) are available from the NOFA Information Center at (800) HUD-8929 or (800) HUD-2209 (TTY) (these are toll-free numbers) and also from the Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW., Washington, DC 20410-2000, at (202) 755-5404 or toll-free at (800) 877-8339 (TTY) (these are toll-free numbers).

Accessible design features are intended to promote visitability and incorporate features of universal design as described below.

(1) *Visitability in New Construction and Substantial Rehabilitation.*

Applicants are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means that there is at least one entrance at grade (no steps), approached by an accessible route, such as a sidewalk, and that the entrance door and all interior passage doors are at least 2 feet, 10 inches wide, allowing 32 inches of clear passage space. A visitable home also serves persons without disabilities, such as a mother pushing a stroller or a person delivering a large appliance. More information about visitability is available at [www.concretechange.org](http://www.concretechange.org).

Activities support strategic goals b, c, and d.

(2) *Universal Design.* Applicants are encouraged to incorporate universal design in the construction or rehabilitation of housing, retail establishments, and community facilities funded with HUD assistance. Universal design is the design of products and environments to be usable by all people to the greatest extent possible, without the need for adaptation or specialized design. The intent of universal design is to simplify life for everyone by making products, communications, and the built environment more usable by as many people as possible at little or no extra cost to the user. Universal design benefits people of all ages and abilities. In addition to any applicable required accessibility feature under Section 504 of the Rehabilitation Act of 1973 or the design and construction requirements of the Fair Housing Act, the Department encourages applicants to incorporate the principles of universal design when developing housing, community facilities, and electronic communication mechanisms or when communicating with community residents at public meetings or events.

HUD believes that by creating housing that is accessible to all, it can increase the supply of affordable housing for all, regardless of ability or age. Likewise, creating places where people work, train, and interact that are useable and open to all residents increases opportunities for economic and personal self-sufficiency. More information on Universal Design is available from the Center for Universal Design at [www.design.ncsu.edu:8120/cud/](http://www.design.ncsu.edu:8120/cud/) or the Resource Center on Accessible Housing and Universal Design at <http://www.abledata.com/abledata.cfm?pageid=113573&top=16029&sectionid=19326>.

Activities support strategic goals a, b, c, and d.

d. *Providing Full and Equal Access to Grassroots Faith-Based and Other Community-Based Organizations in HUD Program Implementation.*

(1) HUD encourages nonprofit organizations, including grassroots faith-based and other community-based organizations, to participate in the vast array of programs for which funding is available through HUD's programs. HUD also encourages States, units of local government, universities, colleges, and other organizations to partner with grassroots organizations (e.g., civic organizations, faith communities, and grassroots faith-based and other community-based organizations) that have not been effectively utilized. These

grassroots organizations have a strong history of providing vital community services, such as assisting the homeless and preventing homelessness, counseling individuals and families on fair housing rights, providing elderly housing opportunities, developing first-time homeownership programs, increasing homeownership and rental housing opportunities in neighborhoods of choice, developing affordable and accessible housing in neighborhoods across the country, creating economic development programs, and supporting the residents of public housing facilities. HUD seeks to make its programs more effective, efficient, and accessible by expanding opportunities for grassroots organizations to participate in developing solutions for their own neighborhoods. Additionally, HUD encourages applicants to include these grassroots faith-based and other community-based organizations in their workplans. Applicants, their partners, and participants must review the individual FY2005 HUD program announcements to determine whether they are eligible to apply for funding directly or whether they must establish a working relationship with an eligible applicant in order to participate in a HUD funding opportunity. Grassroots faith-based and other community-based organizations, and applicants that currently or propose to partner, fund, subgrant, or subcontract with grassroots organizations (including grassroots faith-based or other community-based nonprofit organizations eligible under applicable program regulations) in conducting their work programs will receive higher rating points as specified in the individual FY2005 HUD program announcements.

(2) *Definitions of Grassroots Organizations.*

(a) HUD will consider an organization a "grassroots organization" if the organization is headquartered in the local community in which it provides services; and,

(i) Has a social services budget of \$300,000 or less, or

(ii) Has six or fewer full-time equivalent employees.

(b) Local affiliates of national organizations are not considered "grassroots." Local affiliates of national organizations are encouraged, however, to partner with grassroots organizations, but must demonstrate that they are currently working with a grassroots organization (e.g., having a grassroots faith-based or other community-based organization provide volunteers).

(c) The cap provided in paragraph (2)(a)(i) above includes only that portion of an organization's budget allocated to

providing social services. It does not include other portions of the budget, such as salaries and expenses, not directly expended in the provision of social services.

Activities support strategic goal f.

*e. Participation of Minority-Serving Institutions (MSIs) in HUD Programs.*

Pursuant to Executive Orders 13256, "President's Board of Advisors on Historically Black Colleges and Universities," 13230, "President's Advisory Commission on Educational Excellence for Hispanic Americans," 13216, "Increasing Participation of Asian Americans and Pacific Islanders in Federal Programs," and 13270, "Tribal Colleges and Universities," HUD is strongly committed to broadening the participation of MSIs in its programs. HUD is interested in increasing the participation of MSIs in order to advance the development of human potential, strengthen the nation's capacity to provide high quality education, and increase opportunities for MSIs to participate and benefit from federal financial assistance programs. HUD encourages all applicants and recipients to include meaningful participation of MSIs in their work programs. A listing of MSIs can be found on the Department of Education Web site at <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html> or HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

Activities support strategic goals c and d.

*f. Ending Chronic Homelessness.*

President Bush has set a national goal to end chronic homelessness. Secretary Alphonso Jackson has embraced this goal and has pledged that HUD's grant programs will be used to support the President's goal and better meet the needs of chronically homeless individuals. A person experiencing chronic homelessness is defined as an unaccompanied individual with a disabling condition who has been continuously homeless for a year or more or has experienced four or more episodes of homelessness over the last three years. A disabling condition is defined as a diagnosable substance abuse disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions. Applicants are encouraged to target assistance to chronically homeless persons by undertaking activities that will result in:

(1) Creation of affordable housing units, supportive housing and group homes;

(2) Establishment of a set-aside of units of affordable housing for the chronically homeless;

(3) Establishment of substance abuse treatment programs targeted to the homeless population;

(4) Establishment of job training programs that will provide opportunities for economic self-sufficiency;

(5) Establishment of counseling programs that assist homeless persons in finding housing, managing finances, managing anger, and building interpersonal relationships;

(6) Provision of supportive services, such as health care assistance that will permit homeless individuals to become productive members of society; and

(7) Provision of service coordinators or one-stop assistance centers that will ensure that chronically homeless persons have access to a variety of social services.

Applicants that are developing programs to meet the goals set in this policy priority should be mindful of the requirements of the regulations implementing Section 504 of the Rehabilitation Act, in particular, 24 CFR 8.4(b)(1)(iv), 8.4(c)(1), and 8.4(d).

Activities support strategic goals b and c.

*g. Removal of Regulatory Barriers to Affordable Housing.* On March 22, 2004, HUD published a final notice (69 FR 13450) announcing its intention to establish the Removal of Regulatory Barriers to Affordable Housing policy priority in the majority of its FY2004 NOFAs. In that notice, HUD advised that applicants would be required to respond to a series of evaluative questions in order to receive the rating points associated with this priority. On April 21, 2004 (69 FR 21663), HUD published a correction to Question 5 in Part A of the questionnaire. In the April 21, 2004 notice, HUD also responded to questions that arose after the publication of the March 22, 2004 notice. In FY2005, HUD is continuing to make this a policy priority. Through this initiative, HUD is seeking input into how it can work more effectively with the public and private sectors to remove regulatory barriers to affordable housing. The published notices address how HUD will evaluate the effectiveness of State and local government efforts to remove regulatory barriers to affordable housing.

Increasing the affordability of rental and homeownership housing continues to be a high priority of the Department. Over the last 15 years, there has been increased recognition that unnecessary, duplicative, excessive, or discriminatory public processes often significantly

increase the cost of housing development and rehabilitation. Often referred to as "regulatory barriers to affordable housing," many public statutes, ordinances, regulatory requirements, or processes and procedures significantly impede the development or availability of affordable housing without providing a commensurate or demonstrable health or safety benefit. "Affordable housing" is decent, quality housing that low-, moderate-, and middle-income families can afford to buy or rent without spending more than 30 percent of their income; spending more than 30 percent of income on shelter may require families to sacrifice other necessities of life.

Addressing these barriers to housing affordability is a necessary component of any overall national housing policy. However, addressing such barriers must be viewed as a complement, not a substitute, for other efforts to meet affordable housing needs. For many families, federal, state, and local subsidies are fundamental tools for meeting these affordable needs. In many instances, however, other sometimes well-intentioned public policies work at cross-purposes with subsidy programs by imposing significant constraints. From zoning that keeps out affordable housing, especially multifamily housing, to other regulations and requirements that unnecessarily raise the costs of construction, the need to address this issue is clear. For example, affordable rehabilitation is often constrained by outmoded building codes that require excessive renovation. Barrier removal will not only make it easier to find and get approval for affordable housing sites but it will also allow available subsidies to go further in meeting these needs. For housing for moderate-income families often referred to as "work force" housing, barrier removal can be the most essential component of meeting housing needs.

Under this policy priority, higher rating points are available to (1) governmental applicants that are able to demonstrate successful efforts in removing regulatory barriers to affordable housing and (2) nongovernmental applicants that are associated with jurisdictions that have undertaken successful efforts in removing barriers. To obtain the policy priority points for efforts to successfully remove regulatory barriers, applicants must complete form HUD-27300, "Questionnaire for HUD's Initiative on Removal of Regulatory Barriers." Copies of HUD's notices published on this issue, can be found on HUD's Web site at <http://www.hud.gov/offices/adm/>

*grants/fundsavail.cfm*. Local jurisdictions and counties with land use and building regulatory authority applying for funding, as well as housing authorities, nonprofit organizations, and other qualified applicants applying for funds for projects located in these jurisdictions, are invited to answer the 20 questions under Part A. An applicant that scores at least five in column 2 will receive 1 point in the NOFA evaluation. An applicant that scores 10 or more in column 2 will receive 2 points in the NOFA evaluation.

State agencies or departments applying for funding, as well as housing authorities, nonprofit organizations, and other qualified applicants applying for funds for projects located in unincorporated areas or areas not otherwise covered in Part A are invited to answer the 15 questions under Part B. Under Part B an applicant that scores at least four in Column 2 will receive one point in the NOFA evaluation. Under Part B an applicant that scores eight or greater will receive a total of two points in the respective evaluation. Applicants that will be providing services in multiple jurisdictions may choose to address the questions in either Part A or Part B for that jurisdiction in which the preponderance of services will be performed if an award is made. In no case will an applicant receive more than two points for barrier removal activities under this policy priority. An applicant that is an Indian tribe or TDHE may choose to complete either Part A or Part B based upon a determination by the tribe or TDHE as to whether the tribe's or the TDHE's association with the local jurisdiction or the state would be the more advantageous for its application.

**Note:** Upon completion of all NOFA evaluations, grant selections, and awards, it is HUD's intent to add relevant data obtained from this evaluative factor to the database on state and local regulatory reform actions maintained at the Regulatory Barrier Clearinghouse Web site at <http://www.huduser.org/rbc/> used by states, localities, and housing providers to identify regulatory barriers and learn of exemplary local efforts at regulatory reform.

Form HUD-27300 can be found in the appendix to this General Section. A limited number of questions on form HUD-27300 expressly request the applicant to provide brief documentation with its response. Other questions require that, for each affirmative statement made, the applicant supply a reference, Internet address, or brief statement indicating where the back-up information may be found and a point of contact, including a telephone number or e-mail address. Applicants are encouraged to read

HUD's three notices to obtain an understanding of this policy priority and how it can affect their score. Applicants that do not provide the Internet addresses, references, or documentation will not get the policy priority points.

Activities support strategic goals a and b.

h. *Participation in Energy Star.* The Department of Housing and Urban Development has adopted a wide-ranging energy action plan for improving energy efficiency in all program areas. As a first step in implementing the energy plan, HUD, the Environmental Protection Agency (EPA), and the Department of Energy (DOE) have signed a partnership to promote energy efficiency in HUD's affordable housing programs, including public housing, HUD insured housing, and housing financed through HUD formula and competitive programs. The purpose of the Energy Star partnership is to promote energy-efficient affordable housing stock while protecting the environment. Applicants constructing, rehabilitating, or maintaining housing or community facilities are encouraged to promote energy efficiency in design and operations. They are urged especially to purchase and use products that display the Energy Star label. Applicants providing housing assistance or counseling services are encouraged to promote Energy Star materials and practices, as well as buildings constructed to Energy Star standards, to both homebuyers and renters.

Applicants are encouraged to undertake program activities that include developing Energy Star promotional and information materials, providing outreach to low- and moderate-income renters and buyers on the benefits and savings when using Energy Star products and appliances, utilizing Energy Star-designated products in the construction or rehabilitation of housing units, and replacing worn products or facilities such as light bulbs, water heaters, furnaces, etc., with Energy Star products to reduce operating costs. Communities and developers are encouraged to promote the designation of community buildings and homes as Energy Star compliant. For further information about Energy Star see <http://www.energystar.gov> or call (888) 782-7937, or 8 (888) 588-9920 (TTY).

Activities support Strategic Goals 1 and 2.

### 3. Threshold Compliance

Only applications that meet all of the threshold requirements will be eligible to receive an award of funds from HUD.

### 4. Corrections to Deficient Applications

After the application submission date, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you to clarify an item in your application or to correct technical deficiencies. HUD may not seek clarification of items or responses that improve the substantive quality of your response to any rating factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants.

Examples of curable (correctable) technical deficiencies include inconsistencies in the funding request, failure to submit the proper certifications, and failure to submit an application that contains a signature by an official able to make a legally binding commitment on behalf of the applicant. In the case of an applicant that received a waiver, the technical deficiency may include failure to submit an application that contains an original signature. If HUD finds a curable deficiency in the application, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by USPS, return receipt requested. Clarifications or corrections of technical deficiencies in accordance with the information provided by HUD must be submitted within 14 calendar days of the date of receipt of the HUD notification. (If the submission date falls on a Saturday, Sunday, or federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or federal holiday.) If the deficiency is not corrected within this time period, HUD will reject the application as incomplete and it will not be considered for funding. In order to meet statutory deadlines for the obligation of funds or for timely completion of the review process, program NOFAs may reduce the number of days for submitting a response to a HUD clarification or correction to a technical deficiency. Please be sure to carefully read each program NOFA for any additional information and instructions. An applicant's response to a HUD notification of a curable deficiency should be submitted directly to HUD in accordance with the instructions provided in the notification.

## 5. Rating Panels

To review and rate applications, HUD may establish panels that may include persons not currently employed by HUD. HUD may include these non-HUD employees to obtain certain expertise and outside points of view, including views from other federal agencies. Persons brought into HUD to review applications are subject to conflict of interest provisions. In addition, reviewers using HUD Information Technology (IT) systems may be subject to an IT security check.

## 6. Rating

HUD will evaluate and rate all applications for funding that meet the threshold requirements. HUD will consider the factors described below when rating your application(s).

a. *Past Performance.* In evaluating applications for funding, HUD will take into account applicants' past performance in managing funds, including, but not limited to, the ability to account for funds appropriately; timely use of funds received either from HUD or other federal, state, or local programs; meeting performance targets for completion of activities and receipt of promised matching or leveraged funds; and number of persons to be served or targeted for assistance. HUD may consider information available from HUD's records, the name check review, public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or hotline or other complaints that have been proven to have merit.

b. *Deducting Points for Poor Performance.* In evaluating past performance, HUD may elect to deduct points from the rating score or establish threshold levels as specified under the Factors for Award in the individual program NOFAs.

## 7. Ranking

HUD will rank applicants within each program or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care NOFA. HUD will rank applicants only against those applying for the same program funding.

Where there are set-asides within a program competition, you, the applicant, will compete against only those applicants in the same set-aside competition.

### C. Anticipated Announcement and Award Dates

The individual program NOFAs will provide the applicable information regarding this subject.

## VI. Award Administration Information

### A. Award Notices

#### 1. Negotiation

After HUD has rated and ranked all applications and made selections, HUD may require, depending upon the program, that a selected applicant participate in negotiations to determine the specific terms of the funding agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In such an instance, HUD may offer an award and proceed with negotiations with the next highest-ranking applicant.

#### 2. Adjustments to Funding

a. HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of funds and enable the purposes or requirements of a specific program to be met.

b. HUD will not fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements; does not meet the requirements of this notice; or is duplicative of other funded programs or activities from prior year awards or other selected applicants. Only the eligible portions of your application (excluding duplicative portions) may be funded.

c. If funds remain after funding the highest-ranking applications, HUD may fund all or part of the next highest-ranking application in a given program. If you, the applicant, turn down an award offer, HUD will make an offer of funding to the next highest-ranking application.

d. If funds remain after all selections have been made, remaining funds may be made available within the current fiscal year for other competitions within the program area or held over for future competitions.

e. Individual program NOFAs may have other requirements, so please review the program NOFA carefully.

#### 3. Funding Errors

In the event HUD commits an error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of a program NOFA, HUD may select that applicant when sufficient funds become available.

#### 4. Performance and Compliance Actions of Funding Recipients

HUD will measure and address the performance and compliance actions of funding recipients in accordance with the applicable standards and sanctions of their respective programs.

#### 5. Debriefing

For a period of at least 120 days, beginning 30 days after the awards for assistance are publicly announced, HUD will provide to a requesting applicant a debriefing related to its application. A debriefing request must be made in writing or by email by the authorized official whose signature appears on the SF-424 or his or her successor in office, and submitted to the person or organization identified as the Contact under the section entitled "Agency Contact(s)" in the individual program NOFA under which you applied for assistance. Information provided during a debriefing will include, at a minimum, the final score you received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

### B. Administrative and National Policy Requirements

See Section III.C. of this notice regarding related requirements.

### C. Reporting

The individual program NOFAs will identify applicable reporting requirements related to each program, including racial and ethnic data collection requirements based upon the OMB standards for federal data on race and ethnicity, dated August 13, 2002. Applicants are also required to submit a completed form HUD-96010 Logic Model indicating results achieved against the proposed output goal(s) and proposed outcome(s) stated in your approved application and agreed to by HUD. The submission of the Logic Model and required information should be in accord with the reporting time frames identified for providing reports to HUD in each program NOFA.

## VII. Agency Contact(s)

The individual program NOFAs will identify the applicable agency contacts related to each program. Questions regarding this notice should be directed to Dorthera (Rita) Yorkshire or Eric Gauff, in HUD's Office of Departmental Grants Management, at (202) 708-0667 (this is not a toll-free number). Persons with speech or hearing impairments may contact Ms. Yorkshire or Mr. Gauff using the toll-free Federal Relay Service

at (800) 877-8339. Questions regarding specific program requirements should be directed to the agency contacts identified in each program NOFA.

### VIII. Other Information

#### A. Grants.gov and Pub. L. 106-107 Streamlining Activities

The Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107) directs each federal agency to develop and implement a plan that, among other things, streamlines and simplifies the application, administrative, and reporting procedures for federal financial assistance programs administered by the agency. This law also requires the Director of OMB to direct, coordinate, and assist federal agencies in establishing (1) a common application and reporting system and (2) an interagency process for addressing ways to streamline and simplify federal financial assistance application and administrative procedures and reporting requirements for program applicants.

HUD is working with the 26 federal grant-making agencies to implement President George W. Bush's grants.gov "FIND and APPLY" initiative. This initiative is an effort by federal agencies to develop a common electronic application and reporting system for federal financial assistance. This system will provide "one-stop shopping" for funding opportunities for all federal programs. The system is being implemented in response to public and governmental concerns that it is difficult for organizations to know all the funding available from the federal government and how to apply for funding. It also is an effort by the federal government to develop common application requirements, further streamlining the application process to make it easier for you, our customers, to apply for funding.

The first segment of the Grants.gov initiative focuses on allowing the public to easily FIND competitive funding opportunities and then APPLY via Grants.gov. HUD posted all of its funding opportunities on [www.grants.gov/Find](http://www.grants.gov/Find) in FY2004 and intends to do the same in FY2005. In FY2004, HUD posted two fully electronic grant applications on Grants.gov Find and Apply. In FY2005, HUD is posting all but the Continuum of Care NOFA on Grants.gov for electronic application submission through [www.grants.gov/Apply](http://www.grants.gov/Apply). It is HUD's intent to post the Continuum of Care as a fully electronic application for submission on [www.grants.gov/Apply](http://www.grants.gov/Apply) in FY2006.

In addition, Grants.gov is working with the federal agencies to begin the process of accepting mandatory and formula grant program plans and application submissions online via Grants.gov in 2005-2006. Applicants for HUD's formula and competitive programs are urged to become familiar with the Grants.gov site, registration procedures, and electronic submissions so that as the site is expanded, you will be registered and familiar with the find and apply functionality.

#### B. HUD-IRS Memorandum of Agreement

HUD and the Internal Revenue Service have entered into a Memorandum of Agreement to provide information to HUD grantees serving low-income, disabled, and elderly persons, as well as persons with limited English proficiency, on the availability of low-income tax credits; the earned income tax credit; individual development accounts; child tax credits, and the IRS Voluntary Income Tax Assistance program. HUD is making available on its website information on these IRS asset-building resources. We encourage you to visit the site and disseminate this information to low-income residents in your community and other organizations that serve low-income residents, so that eligible individuals can take advantage of these resources.

#### C. Paperwork Reduction Act Statement

The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid OMB control number. Each program NOFA will identify its applicable OMB control number.

#### D. Environmental Impact

A Finding of No Significant Impact with respect to the environment has been made for this notice in accordance with HUD regulations at 24 CFR part 50 that implement Section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The Finding of No Significant Impact is available for public inspection between 8 a.m. and 5 p.m. eastern time, Monday through Friday, except federal holidays, in the Office of the General Counsel, Regulations Division, Room 10276, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410-0500.

#### E. Executive Orders and Congressional Intent

##### 1. Executive Order 13132, Federalism

Executive Order 13132 prohibits, to the extent practicable and permitted by law, an agency from promulgating policies that have federalism implications and either impose substantial direct compliance costs on State and local governments and are not required by statute, or preempt State law, unless the relevant requirements of Section 6 of the executive order are met. This notice does not have federalism implications and does not impose substantial direct compliance costs on State and local governments or preempt State law within the meaning of the executive order.

##### 2. Sense of Congress

The Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2004), includes a Sense of Congress resolution, which states that, to the greatest extent practicable, all equipment and products purchased with funds made available in the Consolidated Appropriations Act, 2005, should be American-made.

#### F. Public Access, Documentation, and Disclosure

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified at 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992, HUD published a notice that also provides information on the implementation of Section 102 (57 FR 1942). The documentation, public access, and disclosure requirements of Section 102 apply to assistance awarded under individual NOFAs published as part of HUD's SuperNOFA or thereafter, as described below.

##### 1. Documentation, Public Access and Disclosure Requirements

HUD will ensure that documentation and other information regarding each application submitted pursuant to its FY2005 NOFAs published in the FY2005 SuperNOFA or NOFAs published thereafter are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a five-year period beginning not less than 30 days after the award of the assistance. Material will be

made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations (24 CFR part 15).

#### 2. Form HUD-2880

HUD will also make available to the public for five years all applicant disclosure reports (form HUD-2880) submitted in connection with an FY2005 NOFA. Update reports (also reported on form HUD-2880) will be made available along with the applicant disclosure reports, but in no case for a period of less than three years. All reports, both applicant disclosures and updates, will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations (24 CFR part 5).

#### 3. Publication of Recipients of HUD Funding

HUD's regulations at 24 CFR part 4 provide that HUD will publish a notice in the **Federal Register** to notify the public of all funding decisions made by the Department to provide:

- a. Assistance subject to Section 102(a) of the HUD Reform Act; and
- b. Assistance provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) noncompetitive basis, but that is not provided on the basis of a competition.

#### G. Section 103 of the HUD Reform Act

HUD's regulations implementing Section 103 of the HUD Reform Act,

codified at 24 CFR part 4, subpart B, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are prohibited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics-related questions should contact the HUD Ethics Law Division at (202) 708-3815 (this is not a toll-free number). The toll-free TTY number for persons with speech or hearing impairments is (800) 877-8339. HUD employees who have specific program questions should contact the appropriate field office counsel or Headquarters counsel for the program to which the question pertains.

#### H. The FY2005 HUD NOFA Process and Future HUD Funding Processes

Each year, HUD strives to improve its NOFA process. The FY2005 NOFAs have been revised based upon comments received during the FY2004 funding process. The changes also reflect HUD's efforts to move to electronic government consistent with federal government-wide practices. In

FY2004, as part of the Public Law 106-107 streamlining efforts and the interagency eGrants Initiative, HUD began making considerable changes to the format and presentation of its funding notices, which have been enhanced further for FY2005. HUD is continually striving to ensure effective communication with HUD program funding recipients and potential funding recipients. HUD has been posting pertinent documents related to these efforts on its Web site. HUD encourages you to visit the Department's Web site on an ongoing basis to keep abreast of the latest developments. HUD's website address for information on this initiative is <http://www.hud.gov/offices/adm/grants/egrants/egrants.cfm>. Information on grant streamlining activities can be found at <http://www.hud.gov/offices/adm/grants/pl-106107/pl106-107.cfm>. HUD continues to welcome comments and feedback from applicants and other members of the public on how HUD may further improve its competitive funding process.

The programs for which funding is available in the FY2005 SuperNOFA are published simultaneously with this policy notice and follow this section and its appendices.

Dated: March 4, 2005.

**Roy A. Bernardi,**  
Deputy Secretary.

**BILLING CODE 4210-32-P**

**Appendix A**  
**HUD 2005 SuperNOFA Funding Chart**

Program Name	Funding Available (Approximate)	Application Submission Date. (All applications must be submitted and received by Grants.gov no later than 11:59:59 P.M. Eastern Time on the application submission date. See submission details in the General Section)
<b>Community Development \$351.74 million</b>		
<b>Community Development Technical Assistance (CD-TA) Programs:</b>	<b>\$30.12 million</b>	
HOME TA CFDA No.: 14.239 OMB Approval No.: 2506-0166	\$ 7.22 million	Wednesday, June 1, 2005
CHDO (HOME) TA CFDA No.: 14.239 OMB Approval No.: 2506-0166	\$ 7.44 million	Wednesday, June 1, 2005
McKinney-Vento Homeless Assistance Programs TA  CFDA No.: 14.235 OMB Approval No.: 2506-0166	\$ 9 million	Wednesday, June 1, 2005
HOPWA TA CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$ 2 million	Wednesday, June 1, 2005
CDBG TA  State Grants CFDA No.: 14.228 OMB Approval No.: 2506-0166  Entitlement Grants CFDA No.: 14.218 OMB Approval No.: 2506-0077  Small Cities CFDA No.: 14.219 OMB Approval No.: 2506-0020  Insular Areas CFDA No.: 14.225 OMB Approval No.: 2506-0077  Section 108 CFDA No.: 14.248 OMB Approval No.: 2506-0161	\$ 1.39 million	Wednesday, June 1, 2005
Youthbuild TA CFDA No.: 14.243 OMB Approval No.: 2506-0142	\$ 3.07 million	Wednesday, June 1, 2005

**Appendix A**  
**HUD 2005 SuperNOFA Funding Chart**

Program Name	Funding Available (Approximate)	Application Submission Date. (All applications must be submitted and received by Grants.gov no later than 11:59:59 P.M. Eastern Time on the application submission date. See submission details in the General Section)
<b>Indian Community Development Block Grant Program</b>	<b>\$64.42 million</b>	
Indian Community Development Block Grant Program (ICDBG) CFDA No.: 14.862 OMB Approval No.: 2577-0191	\$64.42 million	Thursday, June 2, 2005
<b>University and College Programs:</b>	<b>\$ 33.6 million</b>	
Historically Black Colleges and Universities Program (HBCU) CFDA No.: 14.520 OMB Approval No.: 2528-0235	\$13.2 million	Wednesday, May 25, 2005
Hispanic-Serving Institutions Assisting Communities Program (HSIAC) CFDA No.: 14.514 OMB Approval No.: 2528-0198	\$ 6.6 million	Monday, June 13, 2005
Alaska Native/Native Hawaiian Institution Assisting Communities Program (AN/NHIAC) CFDA No.: 14.515 OMB Approval No.: 2528-0206	\$ 4.2 million	Thursday, June 16, 2005
Tribal Colleges and Universities Program (TCUP) CFDA No.: 14.519 OMB Approval No.: 2528-0215	\$ 3 million	Thursday, June 16, 2005
Community Outreach Partnerships Centers (COPC) CFDA No.: 14.511 OMB Approval No.: 2528-0180	\$ 6.6 million	Thursday, June 23, 2005
<b>Student Research and Study Programs:</b>	<b>\$ 3.65 million</b>	
Early Doctoral Student Research Grant Program CFDA No.: 14.517 OMB Approval No.: 2528-0216	\$150,000	Wednesday, May 18, 2005
Doctoral Dissertation Research Grant Program CFDA No.: 14.516 OMB Approval No.: 2528-0213	\$400,000	Wednesday, May 18, 2005
Community Development Work Study Program CFDA No.: 14.512 OMB Approval No.: 2528-0175	\$ 3.2 million	Wednesday, May 18, 2005



## Appendix A

### HUD 2005 SuperNOFA Funding Chart

Program Name	Funding Available (Approximate)	Application Submission Date. (All applications must be submitted and received by Grants.gov no later than 11:59:59 P.M. Eastern Time on the application submission date. See submission details in the General Section)
<b>Fair Housing Initiatives Programs:</b>	<b>\$ 18.04 million</b>	
Fair Housing - Private Enforcement Initiative (PEI)  CFDA No.: 14.408 OMB Approval No.: 2529-0033	\$ 13 million	Monday, May 23, 2005
Fair Housing Education and Outreach Initiative (EOI) EOI - Minority Serving Institutions Component                     \$400,000 EOI - Asian Americans Pacific Islander Fair Housing Awareness Component                     \$400,000 EOI - Disability Component                                                 \$800,000 EOI - General Component                                                     \$2,340,000  CFDA No.: 14.408 OMB Approval No.: 2529-0033	\$ 3.94 million	Monday, May 23, 2005
Fair Housing Organizations Initiative (FHOI)  CFDA No.: 14.408 OMB Approval No.: 2529-0033	\$ 1.1 million	Monday, May 23, 2005
<b>Housing Counseling Programs:</b>	<b>\$ 38.91 million</b>	
Housing Counseling  Local Housing Counseling Agencies (LHCA)                             \$12.92 million National and Regional Intermediaries                                     \$17.2 million Housing Counseling - State Housing Finance Agencies (SHFA)                     \$2.0 million  Housing Counseling Supplemental Funding Colonias                                                                             \$394,000 Predatory Lending                                                                 \$2.7 million Section 8 Homeownership Voucher Program Counseling                     \$1.7 million HECM Counseling                                                                     \$2.0 million  CFDA.: 14.169 OMB Approval No.: 2502-0261		Monday, June 6, 2005

**Appendix A**  
**HUD 2005 SuperNOFA Funding Chart**

Program Name	Funding Available (Approximate)	Application Submission Date. (All applications must be submitted and received by Grants.gov no later than 11:59:59 P.M. Eastern Time on the application submission date. See submission details in the General Section)
<b>Healthy Homes and Lead Hazard Control Programs:</b>	<b>\$163 million</b>	
Lead-Based Paint Hazard Control Grant Program  CFDA No.: 14.900 OMB Approval No.: 2539-0015	\$93.6 million	Tuesday, June 7, 2005
Healthy Homes Technical Studies  CFDA No.: 14.906 OMB Approval No.: 2539-0015	\$2 million	Wednesday, June 8, 2005
Lead-Technical Studies  CFDA No.: 14.902 OMB Approval No.: 2539-0015	\$3 million	Wednesday, June 8, 2005
Lead Outreach Grant Program  CFDA No.: 14.904 OMB Approval No.: 2539-0015	\$2 million	Tuesday, June 14, 2005
Lead Hazard Reduction Demonstration Grant Program  CFDA No.: 14.905 OMB Approval No.: 2539-0015	\$49.4 million	Tuesday, June 14, 2005
Healthy Homes Demonstration Program  CFDA No.: 14.901 OMB Approval No.: 2539-0015	\$5 million	Wednesday, June 15, 2005
Operation Lead Elimination Action Program (LEAP)  CFDA No.: 14.903 OMB Approval No.: 2539-0015	\$8 million	Thursday, June 9, 2005

**Appendix A**  
**HUD 2005 SuperNOFA Funding Chart**

Program Name	Funding Available (Approximate)	Application Submission Date. (All applications must be submitted and received by Grants.gov no later than 11:59:59 P.M. Eastern Time on the application submission date. See submission details in the General Section)
<b>Economic Development and Empowerment Programs \$ 255.15 million</b>		
<b>Economic Development Programs:</b>	<b>\$174.08 million</b>	
Brownfields Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$ 24.4 million	Friday, June 17, 2005
Youthbuild CFDA No.: 14.243 OMB Approval No.: 2506-0142	\$56.4 million	Tuesday, June 21, 2005
Housing Choice Voucher Family Self-Sufficiency (FSS) Program Coordinators CFDA No.: 14.871 OMB Approval No.: 2577-0178	\$45.6 million	Friday, May 20, 2005
Rural Housing & Economic Development (RHED) CFDA #: 14.250 OMB Approval Number: 2506-0169	\$23.8 million	Tuesday, May 17, 2005
Public Housing Neighborhood Networks Program CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$23.88 million	Friday, June 3, 2005
<b>Public Housing Resident Opportunity and Self-Sufficiency (ROSS)</b>	<b>\$81.07 million</b>	
Resident Services Delivery Models- Elderly/Persons with Disabilities CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$16.27 million	Wednesday, July 6, 2005
Resident Services Delivery Models-Family CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$22.95 million	Monday, July 25, 2005
Homeownership Supportive Services Program CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$18.9 million	Thursday, May 26, 2005
Public Housing Family Self-Sufficiency Program CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$22.95 million	Monday, June 20, 2005

**Appendix A**  
**HUD 2005 SuperNOFA Funding Chart**

Program Name	Funding Available (Approximate)	Application Submission Date. (All applications must be submitted and received by Grants.gov no later than 11:59:59 P.M. Eastern Time on the application submission date. See submission details in the General Section)
<b>Targeted Housing and Homeless Assistance Programs \$1.651 billion</b>		
Housing Opportunities for Person with AIDS (HOPWA) CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$37 million	Friday, May 27, 2005
Housing for People who are Homeless and Addicted to Alcohol CFDA No.: 14.235 OMB Approval No.: Pending	\$10 million	Thursday, May 19, 2005
Assisted-Living Conversion Program for Eligible Multifamily Projects CFDA No.: 14.314 OMB Approval No.: 2502-0542	\$ 35 million	Wednesday, June 22, 2005
Service Coordinators in Multifamily Housing CFDA No.: 14.191 OMB Approval No.: 2502-0447	\$ 10 million	Friday, June 24, 2005
Section 202 Supportive Housing for the Elderly CFDA No.: 14.157 OMB Approval No.: 2502-0267	\$ 462.9 million	Tuesday, May 31, 2005
Section 811 Supportive Housing for Persons with Disabilities CFDA No.: 14.181 OMB Approval No.: 2502-0462	\$ 95.8 million	Tuesday, May 24, 2005
<b>Continuum of Care Homeless Assistance Programs</b>	<b>\$1 billion</b>	
Supportive Housing Program (SHP) CFDA No.: 14.235 OMB Approval No.: Pending		Friday, June 10, 2005
Shelter Plus Care (S+C) CFDA No.: 14.238 OMB Approval No.: Pending		Friday, June 10, 2005
Section 8 Moderate Rehabilitation Single Room Occupancy Program for Homeless Individuals CFDA No.: 14.249 OMB Approval No.: Pending		Friday, June 10, 2005

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## **Appendix B Standard Forms**

The Standard Forms (SF), HUD standard forms, certifications, and assurances are:

- SF-424 Application for Federal Assistance;
- SF-424 Sup Survey on Ensuring Equal Opportunity for Applicants;
- Form HUD 424 CB Grant Application Detailed Budget;
- Form HUD-424 CBW Grant Application Detailed Budget Worksheet;
- SF-LLL Disclosure of Lobbying Activities;
- Form HUD-2880 Applicant/Recipient Disclosure/Update Report;
- Form HUD-2990 Certification of Consistency with RC/EZ/EC Strategic Plan if applicable;
- Form HUD-2991 Certification of Consistency with the Consolidated Plan if applicable;
- Form HUD-2993 Acknowledgment of Application Receipt;
- Form HUD-2994 Client Comments and Suggestions (Optional);
- Form HUD-96010 Program Outcome Logic Model
- Form HUD-27061 Race and Ethnic Data Reporting Form; and
- Form HUD 27300 America's Affordable Communities Initiative
- Form HUD 96011 Third Party Documentation Facsimile Transmittal

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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

Item:	Entry:	Item:	Entry:																				
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.																				
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																				
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																				
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																				
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																				
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																				
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled</td> </tr> <tr> <td>B. County</td> <td>Institution of Higher</td> </tr> <tr> <td>C. Municipal</td> <td>Learning</td> </tr> <tr> <td>D. Township</td> <td>J. Private University</td> </tr> <tr> <td>E. Interstate</td> <td>K. Indian Tribe</td> </tr> <tr> <td>F. Intermunicipal</td> <td>L. Individual</td> </tr> <tr> <td>G. Special District</td> <td>M. Profit Organization</td> </tr> <tr> <td>H. Independent School District</td> <td>N. Other (Specify)</td> </tr> <tr> <td></td> <td>O. Not for Profit</td> </tr> <tr> <td></td> <td>Organization</td> </tr> </table>	A. State	I. State Controlled	B. County	Institution of Higher	C. Municipal	Learning	D. Township	J. Private University	E. Interstate	K. Indian Tribe	F. Intermunicipal	L. Individual	G. Special District	M. Profit Organization	H. Independent School District	N. Other (Specify)		O. Not for Profit		Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled																						
B. County	Institution of Higher																						
C. Municipal	Learning																						
D. Township	J. Private University																						
E. Interstate	K. Indian Tribe																						
F. Intermunicipal	L. Individual																						
G. Special District	M. Profit Organization																						
H. Independent School District	N. Other (Specify)																						
	O. Not for Profit																						
	Organization																						
8.	Select the type from the following list: <ul style="list-style-type: none"> <li>• "New" means a new assistance award.</li> <li>• "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>• "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter:  <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. Increase Award</td> <td style="width: 50%;">B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> </table> </li> </ul>	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)																
A. Increase Award	B. Decrease Award																						
C. Increase Duration	D. Decrease Duration																						
9.	Name of Federal agency from which assistance is being requested with this application.																						
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																						

**APPLICATION FOR FEDERAL ASSISTANCE**

Version 7/03

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		Pre-application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b>	Applicant Identifier
			<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
			<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>				
Legal Name:		<b>Organizational Unit:</b>		
		Department:		
Organizational DUNS:		Division:		
<b>Address:</b>		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b>		
Street:		Prefix:	First Name:	
City:		Middle Name		
County:		Last Name		
State:	Zip Code	Suffix:		
Country:		Email:		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □□-□□□□□□□□		Phone Number (give area code)		Fax Number (give area code)
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types) Other (specify)		
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> TITLE (Name of Program): □□-□□□□		<b>9. NAME OF FEDERAL AGENCY:</b>		
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b>		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>		
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>		
Start Date:	Ending Date:	a. Applicant		b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>		
a. Federal	\$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON		
b. Applicant	\$ .00	DATE:		
c. State	\$ .00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372		
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
e. Other	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>		
f. Program Income	\$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No		
g. TOTAL	\$ .00			
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>				
<b>a. Authorized Representative</b>				
Prefix	First Name	Middle Name		
Last Name		Suffix		
b. Title		c. Telephone Number (give area code)		
d. Signature of Authorized Representative		e. Date Signed		

# SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 EXP. 1/31/2006

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

**Grant Name:** \_\_\_\_\_ **CFDA Number:** \_\_\_\_\_

- |                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>1. Does the applicant have 501(c)(3) status?</p> <p><input type="checkbox"/> Yes                      <input type="checkbox"/> No</p>                                                                                                                                                                                                                                                                                      | <p>4. Is the applicant a faith-based/religious organization?</p> <p><input type="checkbox"/> Yes                      <input type="checkbox"/> No</p>                                                                                                                                                                                                                                                                                                                                                                                                |
| <p>2. How many full-time equivalent employees does the applicant have? <i>(Check only one box).</i></p> <p><input type="checkbox"/> 3 or Fewer              <input type="checkbox"/> 15-50</p> <p><input type="checkbox"/> 4-5                              <input type="checkbox"/> 51-100</p> <p><input type="checkbox"/> 6-14                              <input type="checkbox"/> over 100</p>                           | <p>5. Is the applicant a non-religious community-based organization?</p> <p><input type="checkbox"/> Yes                      <input type="checkbox"/> No</p>                                                                                                                                                                                                                                                                                                                                                                                        |
| <p>3. What is the size of the applicant's annual budget? <i>(Check only one box.)</i></p> <p><input type="checkbox"/> Less Than \$150,000</p> <p><input type="checkbox"/> \$150,000 - \$299,999</p> <p><input type="checkbox"/> \$300,000 - \$499,999</p> <p><input type="checkbox"/> \$500,000 - \$999,999</p> <p><input type="checkbox"/> \$1,000,000 - \$4,999,999</p> <p><input type="checkbox"/> \$5,000,000 or more</p> | <p>6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?</p> <p><input type="checkbox"/> Yes                      <input type="checkbox"/> No</p> <p>7. Has the applicant ever received a government grant or contract (Federal, State, or local)?</p> <p><input type="checkbox"/> Yes                      <input type="checkbox"/> No</p> <p>8. Is the applicant a local affiliate of a national organization?</p> <p><input type="checkbox"/> Yes                      <input type="checkbox"/> No</p> |



## **Survey Instructions on Ensuring Equal Opportunity for Applicants**

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Housing and Urban Development, Office of Departmental Grants Management and Oversight, Room 3156, Washington, D.C. 20410.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to the address above.**

OMB Approval No. 2501-0017  
(expires 03/31/2005)

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

**Grant Applications  
Detailed Budget**

Name of Project/Activity:	Functional Categories									Column 9 Total
	Column 1 HUD Share	Column 2 Applicant Match	Column 3 Other HUD Funds	Column 4 Other Fed Share	Column 5 State Share	Column 6 Local/Tribal Share	Column 7 Other	Column 8 Program Income	Column 9 Total	
a. Personnel (Direct Labor)	\$	\$	\$	\$	\$	\$	\$	\$	\$	0.00
b. Fringe Benefits										0.00
c. Travel										0.00
d. Equipment (only items > \$5,000 depreciated value)										0.00
e. Supplies (only items < \$5,000 depreciated Value)										0.00
f. Contractual										0.00
g. Construction										0.00
1. Administration and legal expenses										0.00
2. Land, structures, rights-of way, appraisals, etc.										0.00
3. Relocation expenses and payments										0.00
4. Architectural and engineering fees										0.00
5. Other architectural and engineering fees										0.00
6. Project inspection fees										0.00
7. Site work										0.00
8. Demolition and removal										0.00
9. Construction										0.00
10. Equipment										0.00
11. Contingencies										0.00
12. Miscellaneous										0.00
h. Other (Direct Costs)										0.00
i. Subtotal of Direct Costs										0.00
j. Indirect Costs (% Approved Indirect Cost Rate: 5%)										0.00
<b>Grand Total (Year: 2005):</b>										0.00
<b>Grand Total (All Years):</b>										0.00

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

**Instructions for the HUD Grant  
Application Detailed Budget Form**

Public reporting burden for this collection of information is estimated to average 3 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.

**General Instructions**

This form is designed so that an application can be made for any of HUD's grant programs. Separate sheets must be used for each proposed program year and for a summary of all years.

Check applicable program year or all years box at top of page to indicate which applies.

On the final sheet enter the Grand Total for all years in the applicable box at the bottom of the page. In preparing the budget, adhere to any existing HUD requirements which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, HUD may require budgets to be shown separately by function or activity. Your budget information should show the entire cost of your proposed program of activities per year. If you are not using funds in any of the line item categories, you should leave the item blank. Pages may be duplicated to show budget data for individual programs, projects or activities.

**NOTE:** Not all budget categories on this form are eligible for funding under all programs. Please see eligible activities under the specific program for which you are seeking funding.

**Budget Categories**

The budget categories identifies how your program funds will be allocated by type of use, e.g., funds going for salaries, travel, contracts, etc. Each of these line items should be broken out under each applicable column.

- Lines a-4--Show the totals of Lines a to f in each column.
- Lines g. Show construction related expenses in the appropriate categories below.
- Line g.1.--Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government.
- Line g.2.--Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).
- Line g.3.--Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.
- Line g.4.--Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).
- Line g.5.--Enter estimated engineering costs, such as surveys, tests, soil borings, etc.
- Line g.6.--Enter estimated engineering inspection costs.
- Line g.7.--Enter the estimated site preparation and restoration which are not included in the basic construction contract.
- Line g.8.--Enter the estimated costs related to demolition activities.
- Line g.9.--Enter estimated costs of the construction contract.
- Line g.10.--Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.
- Line g.11.--Enter any estimated contingency costs.
- Line g.12.--Enter estimated miscellaneous costs.

- Line h.--Enter any other direct costs not already addressed above.
- Line i.--Calculate the totals of all applicable columns to determine the Subtotal of Direct Costs.
- Line j.--Indicate the approved Indirect Cost Rate (if any) and calculate the indirect cost in accordance with the terms of your approved indirect cost rate and enter the resulting amount.
- Grand Total (Year: )--Enter the sum of lines i. and j. under column 9 for each year, and enter the applicable year, in the blank, for each sheet completed.
- Grand Total (All Years)--Enter the sum of all the "Grand Total (Year: )" amounts from each sheet completed, under column 9, for all proposed years.

- For each budget category (personnel, fringe benefits, travel, etc) you should identify the amount of funding you plan on using in your grant program. You should complete each column as follows:
- Column 1 - Identify the amount of funds that you will need from the HUD grant program for which you are seeking funding.
- Column 2 - Identify any matching funds that you are required to include in your proposed program in order to be eligible for assistance.
- Column 3 - Identify any other HUD funds that you will be adding to this program either through your formula or competitive grant programs.
- Column 4 - Identify any other Federal funds that you will be adding to this program either through your formula or competitive grant programs.
- Column 5 - Identify any State funds that you will be adding to this program.
- Column 6 - Identify any Local or Tribal Government funds that you will be adding to this program.
- Column 7 - Identify any additional funds not previously identified in Columns 1 - 6, that you intend to use for your proposed program.
- Column 8 - Identify any program income that you expect to generate under this program.
- Column 9 - Add columns 1 - 8 across and place the total in Column 9.

Save Data

OMB Approval No. 2501-0017  
(Exp. 03/31/2005)

### Grant Application Detailed Budget Worksheet

Name and Address of Applicant: \_\_\_\_\_

Detailed Description of Budget (for full grant period)											
Category	Estimated Hours	Rate per Hour	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
<b>1. Personnel (Direct Labor)</b>											
Position or Individual			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
<b>Total Direct Labor Cost</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>2. Fringe Benefits</b>											
		<b>Rate (%)</b>	<b>Estimated Cost</b>	<b>HUD Share</b>	<b>Applicant Match</b>	<b>Other HUD Funds</b>	<b>Other Federal Share</b>	<b>State Share</b>	<b>Local/Tribal Share</b>	<b>Other</b>	<b>Program Income</b>
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
<b>Total Fringe Benefits Cost</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>3. Travel</b>											
<b>3a. Transportation - Local Private Vehicle</b>		<b>Mileage</b>	<b>Estimated Cost</b>	<b>HUD Share</b>	<b>Applicant Match</b>	<b>Other HUD Funds</b>	<b>Other Federal Share</b>	<b>State Share</b>	<b>Local/Tribal Share</b>	<b>Other</b>	<b>Program Income</b>
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
			0.00								
<b>Subtotal - Trans - Local Private Vehicle</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

Grant Application Detailed Budget Worksheet

Detailed Description of Budget												
	Trips	Fare	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	
<b>3b. Transportation - Airfare (show destination)</b>			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
Subtotal - Transportation - Airfare			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>3c. Transportation - Other</b>			Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	
	Quantity	Unit Cost	0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
Subtotal - Transportation - Other			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>3d. Per Diem or Subsistence (indicate location)</b>			Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	
	Days	Rate per Day	0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
Subtotal - Per Diem or Subsistence			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Travel Cost</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>4. Equipment (Only items over \$5,000 Depreciated value)</b>			Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	
	Quantity	Unit Cost	0.00									
			0.00									
			0.00									
			0.00									
			0.00									
<b>Total Equipment Cost</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

form HUD-424-CBW (2/2003)

**Grant Application Detailed Budget Worksheet**

<b>Detailed Description of Budget</b>												
<b>5. Supplies and Materials (Items under \$5,000 Depreciated Value)</b>												
	Quantity	Unit Cost	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	
<b>5a. Consumable Supplies</b>			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
<b>Subtotal - Consumable Supplies</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
<b>5b. Non-Consumable Materials</b>			<b>Estimated Cost</b>	<b>HUD Share</b>								
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
<b>Subtotal - Non-Consumable Materials</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
<b>Total Supplies and Materials Cost</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
<b>6. Consultants (Type)</b>	<b>Days</b>	<b>Rate per Day</b>	<b>Estimated Cost</b>	<b>HUD Share</b>								
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
<b>Total Consultants Cost</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
<b>7. Contracts and Sub-Grantees (List individually)</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Estimated Cost</b>	<b>HUD Share</b>								
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
			0.00									
<b>Total Subcontracts Cost</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

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## Grant Application Detailed Budget Worksheet

Detailed Description of Budget											
8. Construction Costs	Quantity	Unit Cost	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
<b>8a. Administrative and legal expenses</b>			0.00								
			0.00								
			0.00								
			0.00								
Subtotal - Administrative and legal expenses			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8b. Land, structures, rights-of way, appraisal, etc</b>											
			0.00								
			0.00								
			0.00								
Subtotal - Land, structures, rights-of way, ...			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8c. Relocation expenses and payments</b>											
			0.00								
			0.00								
			0.00								
			0.00								
Subtotal - Relocation expenses and payments			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8d. Architectural and engineering fees</b>											
			0.00								
			0.00								
			0.00								
			0.00								
Subtotal - Architectural and engineering fees			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8e. Other architectural and engineering fees</b>											
			0.00								
			0.00								
			0.00								
			0.00								
Subtotal - Other architectural and engineering fees			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

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Grant Application Detailed Budget Worksheet

	Quantity	Unit Cost	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
<b>8f. Project inspection fees</b>			0.00								
			0.00								
			0.00								
Subtotal - Project inspection fees			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8g. Site work</b>											
			0.00								
			0.00								
Subtotal - Site work			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8h. Demolition and removal</b>											
			0.00								
			0.00								
			0.00								
Subtotal - Demolition and removal			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8i. Construction</b>											
			0.00								
			0.00								
			0.00								
Subtotal - Construction			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8j. Equipment</b>											
			0.00								
			0.00								
			0.00								
Subtotal - Equipment			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8k. Contingencies</b>											
			0.00								
			0.00								
			0.00								
Subtotal - Contingencies			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>8l. Miscellaneous</b>											
			0.00								
			0.00								
Subtotal - Miscellaneous			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Construction Costs</b>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00



Grant Application Detailed Budget Worksheet												
9. Other Direct Costs	Item	Quantity	Unit Cost	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
<b>Total Other Direct Costs</b>				0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal of Direct Costs</b>				0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
10. Indirect Costs	Type	Rate	Base	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
				0.00								
<b>Total Indirect Costs</b>				0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Estimated Costs</b>				0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

form HUD-424-CBW (2/2003)

OMB Approval No. 2501-0017  
(Exp. 03/31/2005)

**Grant Application Detailed Budget Worksheet**

**Detailed Description of Budget**

Analysis of Total Estimated Costs		Estimated Cost	Percent of Total
1	Personnel (Direct Labor)	0.00	0.00%
2	Fringe Benefits	0.00	0.00%
3	Travel	0.00	0.00%
4	Equipment	0.00	0.00%
5	Supplies and Materials	0.00	0.00%
6	Consultants	0.00	0.00%
7	Contracts and Sub-Grantees	0.00	0.00%
8	Construction	0.00	0.00%
9	Other Direct Costs	0.00	0.00%
10	Indirect Costs	0.00	0.00%
	<b>Total:</b>	0.00	100.00%
	<b>HUD Share:</b>	0.00	100.00%
	<b>Match (Expressed as a percentage of the Federal Share):</b>	0.00	0.00%

**INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**DISCLOSURE OF LOBBYING ACTIVITIES**

Approved by OMB  
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: 4c	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known:	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

**Applicant/Recipient Disclosure/Update Report**

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 08/31/2006)

**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.
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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



**Certification of  
Consistency with  
the RC/EZ/EC-IIs  
Strategic Plan**

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

I certify that the proposed activities/projects in this application are consistent with the strategic plan of a federally-designated empowerment zone (EZs), renewal community (RCs), or enterprise community (ECs); designated by the United States Department of Agriculture (USDA) in round II (EC-IIs).

(Type or clearly print the following information)

Applicant Name \_\_\_\_\_

Name of the Federal  
Program to which the  
applicant is applying \_\_\_\_\_

Name of RC/EZ/EC \_\_\_\_\_

I further certify that the proposed activities/projects will be located within the RC/EZ/EC-IIs or strategic planning communities that are intended to serve the RC/EZ/EC-IIs strategic planning community residents, or renewal community. (2 points)

Name of the  
Official Authorized  
to Certify the RC/EZ/EC \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date (mm/dd/yyyy) \_\_\_\_\_

**Certification of Consistency  
with the Consolidated Plan**

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

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.  
(Type or clearly print the following information:)

Applicant Name: \_\_\_\_\_

Project Name: \_\_\_\_\_

Location of the Project: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_

Name of  
Certifying Jurisdiction: \_\_\_\_\_

Certifying Official  
of the Jurisdiction  
Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Acknowledgment of Application Receipt**

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

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: \_\_\_\_\_

**To Be Completed by HUD**

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

- Enclosed
- Being sent under separate cover

Processor's Name \_\_\_\_\_

Date of Receipt \_\_\_\_\_

**Client Comments and  
Suggestions**U.S. Department of Housing  
and Urban Development**You are our Client!  
Your comments and suggestions, please!**

The Department of Housing and Urban Development in preparing this Notice of Funding Availability and application forms, has tried to produce a more user friendly, customer driven funding process. Please let us have your comments and recommendations for improvements to this document. You may leave this form attached to your application, or feel free to detach the form and return it to:

The Department of Housing and Urban Development  
Office of Departmental Grants Management and Oversight  
Room 3156  
451 7th Street, SW  
Washington, DC 20410

**Please Provide Comments on HUD's Efforts:**

**The NOFA** (insert title) \_\_\_\_\_

is: (please check one)

- (a)  is clear and easily understandable
- (b)  better than before, but still needs improvement (please specify)
- (c) other (please specify)

**The application form** (insert title) \_\_\_\_\_

is: (please check one)

- (a)  is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.
- (b)  is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

**Name & Organization** (Optional):

Are additional pages attached?  Yes  No

**Logic Model**

**U.S. Department of Housing  
and Urban Development  
Office of Departmental Grants Management and Oversight**

OMB Approval No. 2535-0114  
(exp. 12/31/2006)

<b>Program Name:</b> _____		<b>Component Name:</b> _____							
Strategic Goals	Policy Priorities	Problem, Need, Situation	Service or Activity	Benchmarks		Outcomes		Measurement Reporting Tools	Evaluation Process
1		2	3	4	5	6	7	8	9
Policy		Planning		Intervention		Impact		Accountability	
				Short Term					a. b. c. d. e.
				Intermediate Term					a. b. c. d. e.
				Long Term					a. b. c. d. e.

**Logic Model Instructions** U.S. Department of Housing  
And Urban Development  
Office of Departmental Grants  
Management and Oversight

OMB Approval No. 2535-0114  
(exp. 12/31/2006)

The public reporting burden for this collection of information for the Logic Model is estimated to average 18 hours per response for applicants, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information and preparing the application package for submission to HUD. HUD may not conduct, and a person is not required to respond to, a collection of information unless the collection displays a valid control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reduce this burden, to the Reports Management Officer, Paperwork Reduction Project, in the Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments, please refer to OMB Approval No. 2535-0114.

The information submitted in response to the Notice of Funding Availability for the Logic Model is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Public Law 101-235, approved December 15, 1989, 42 U.S.C. 3545).

**Instructions:**

Responses to rating factor five should be in this format. Your response should be in bullet format rather than narrative. Please read each NOFA carefully to ensure the performance measures requested for this factor are reflected on the logic model form.

**Program Name:** The HUD funding program under which you are applying. If you are applying for a component of a program please include the Program Name as well as the Component Name.

**Component Name:** The HUD funding program under which you are applying.

**Column 1: HUD's Strategic Goals:** Indicate in this column **the number** of the goal(s) that your proposed service or activity is designed to achieve. HUD's strategic goals are:

1. Increase homeownership opportunities.
2. Promote decent affordable housing.
3. Strengthen communities.
4. Ensure equal opportunity in housing.
5. Embrace high standards of ethics, management, and accountability.
6. Promote participation of grass-roots faith-based and other community-based organizations.

**Policy Priority:** Indicate in this column **the number** of the HUD Policy Priority(ies), if any, your proposed service or activity promotes. Applicants are encouraged to undertake specific activities that will assist the Department in implementing its Policy Priorities. HUD's Policy Priorities are:

1. Provide Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency.
2. Improving our Nation's Communities.
3. Encouraging Accessible Design Features.
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organization in HUD Program Implementation.
5. Participation of Minority-Serving Institutions in HUD Programs
6. Ending Chronic Homelessness
7. Removal of Barriers to Affordable Housing
8. Participation in Energy Star

**Column 2: Problem, Need, or Situation:** Provide a general statement of need that provides the rationale for the proposed service or activity.

**Column 3: Service or Activity:** Identify the activities or services that you are undertaking in your work plan, which are crucial to the success of your program. Not every activity or service yields a direct outcome.

**Column 4 and Column 5: Benchmarks:** These columns ask you to identify benchmarks that will be used in measuring the progress of your services or activities. **Column 4** asks for specific interim or final products (called outputs) that you establish for your program's services or activities. **Column 5** should identify the results associated with the product or output. These may be numerical measures characterizing the results of a program activity, service or intervention and are used to measure performance. These outputs should lead to targets for achievement of outcomes. Results should be represented by both the actual # and % of the goal achieved.

**Column 4: Benchmarks/Output Goal:** Set quantifiable output goals, including timeframes. These should be products or interim products, which will allow you and HUD to monitor and assess your progress in achieving your program workplan.

**Column 5: Benchmark/ Output Result:** Report actual result of your benchmarks. The actual result could be number of housing units developed or rehabilitated, jobs created, or number of persons assisted. Outputs may be short, intermediate or long-term. *(Do not fill out this section with the application)*

**Column 6 and Column 7: Outcomes:** **Column 6** and **Column 7** ask you to report on your expected and actual outcomes – the ultimate impact you hope to achieve. **Column 6** asks you to identify outcomes in terms of the impact on the community, people's lives, changes in economic or social status, etc. **Column 7** asks for the actual result of the outcome measure listed in Column 6, which should be updated as applicable.

**Column 6: Outcomes/ Goals:** Identify the outcomes that resulted in broader impacts for individuals, families/households, and/or the community. For example, the program may seek to improve the environmental conditions in a neighborhood, increase affordable housing, increase the assets of a low-income family, or improve self-sufficiency.

Proxy Outcome(s): Often direct measurement of the intended outcome is difficult or even impossible -- to measure. In these cases, applicants/grantees should use a proxy or surrogate measure that corresponds with the desired outcome. For example, improving quality of life in a neighborhood could be measured by a proxy indicator such as increases in home prices or decreases in crime. Training programs could be measured by the participant's increased wages or reading skills. The person receiving the service must meet eligibility requirements of the program.

**Column 7: Outcomes/Actual Result:** Identify specific achievements of outcomes listed in Column 6. *(Do not fill out this section with the application)*

**Column 8: Measurement Reporting Tools:** (a) List the tools used to track output or outcome information (e.g., survey instrument; attendance log; case report; pre-post test; waiting list; etc); (b) Identify the place where data is maintained, e.g. central database; individual case records; specialized access database, tax assessor database; local precinct; other; (c) Identify the location, e.g. on-site; subcontractor; other; (d) Indicate how often data is required to be collected, who will collect it and how often data is reported to HUD; and (e) Describe methods for retrieving data, e.g. data from case records is retrieved manually, data is maintained in an automated database. This tool will be available for HUD review and monitoring and should be used in submitting reporting information.

**Column 9: Evaluation Process:** Identify the methodology you will periodically use to assess your success in meeting your benchmark output goals and output results, outcomes associated to the achievement of the purposes of the program, as well as the impact that the work has made on the individuals assisted, the community, and the strategic goals of the Department. If you are not meeting the goals and results projected for your performance period, the evaluation process should be used as a tool to ensure that you can adjust schedules, timing, or business practices to ensure that goals are met within your performance period.



**Race and Ethnic Data Reporting Form**

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

OMB Approval No. 2535-0113  
(exp. 10/31/2006)

Program Title: \_\_\_\_\_

Grantee/Recipient Name: \_\_\_\_\_

Grantee Reporting Organization: \_\_\_\_\_

Reporting Period From (mm/dd/yyyy): \_\_\_\_\_ To (mm/dd/yyyy): \_\_\_\_\_

Racial Categories	Total Number of Race Responses	Total Number of Hispanic or Latino Responses
American Indian or Alaska Native		
Asian		
Black or African American		
Native Hawaiian or Other Pacific Islander		
White		
American Indian or Alaska Native <i>and</i> White		
Asian <i>and</i> White		
Black or African American <i>and</i> White		
American Indian or Alaska Native <i>and</i> Black or African American		
* Other multiple race combinations greater than one percent: [Per the form instructions, write in a description using the box on the right]		
Balance of individuals reporting more than one race		
<b>Total:</b>	0	0
* If the aggregate count of any reported multiple race combination that is not listed above exceeds 1% of the total population being reported, you should separately indicate the combination. See detailed instructions under "Other multiple race combinations."		

Public reporting burden for this collection is estimated to average 1.15 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the information collection instrument. HUD may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

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**Instructions for the Race and Ethnic Data Reporting form (HUD-27061)**

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**A. General Instructions:**

This form is intended to be used by two categories of respondents: (1) applicants requesting funding from the Department of Housing and Urban Development (HUD); and (2) organizations who receive HUD Federal financial assistance that are required to report race and ethnic information.

In compliance with OMB direction to revise the standards for collection of racial data, HUD has revised its standards as depicted on this form. The revised standards are designed to acknowledge the growing diversity of the U.S. population. Using the revised standards, HUD offers organizations that are responding to HUD data requests for racial information, the option of selecting one or more of nine racial categories to identify the racial demographics of the individuals and/or the communities they serve, or are proposing to serve. HUD's collection of racial data treats ethnicity as a separate category from race and has changed the terminology for certain racial and ethnic groups from the way it has been requested in the past using two distinct ethnic categories. The revised definitions of ethnicity and race have been standardized across the Federal government and are provided below.

1. The two ethnic categories as revised by the Office of Management and Budget (OMB) are defined below.

**Hispanic or Latino.** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic" or "Latino."

**Not Hispanic or Latino.** A person not of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

2. The five racial categories as revised by the Office of Management and Budget are defined below:

**American Indian or Alaska 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. Terms such as "Haitian" or "Negro" can be used in addition to "Black" or "African American."

**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.

**Note:** The information required to be reported may be collected and submitted to HUD via the use of this form or by other means, such as summary reports or via electronic reporting mechanisms. The primary goal to be achieved is the provision of the summary racial and ethnic data of the population(s) proposed to be served or that is being served by your organization in a consistent manner across all HUD programs.

**B. Specific Instructions for Completing the Form:**

Organizations using this form should collect the individual responses from the community of individuals you intend to serve or those that you are serving, as applicable. After the individual collections are gathered, you should report (via this form or by the use of other means such as electronic reports that provide the summary data required by this form) the aggregate totals of the racial and ethnic data that you collect via the applicable categories as described below:

**Total Number of Racial Responses:** Under this column you should indicate the total number of responses collected in the blocks next to the applicable categories.

**Total Number of Hispanic or Latino Responses:** Under this column you should indicate the total number of responses collected in the blocks next to the applicable racial categories (e.g., you would enter the total number of Asian respondents that indicated they are Hispanic or Latino). When collecting this information from beneficiaries of the Federal financial assistance all respondents should be required to indicate their ethnic category, which requires either a “yes” or “no” response.

**Other Multiple Race Combinations:** Next to this racial category, indicate all racial categories (if any) identified by respondents that do not fit one of the five single race categories or four double race combinations above, and which have a total count that exceeds one percent of the total population being reported. You must identify each such racial combination, including the actual count, the percentage of the total population (in parenthesis), and the actual Hispanic or Latino count.

For example, if you obtain data that indicates that the total population being served is 200 and includes 10 Native Hawaiian or Other Pacific Islander *and* White and 12 Native Hawaiian or Other Pacific Islander *and* Asian, and those numbers (of Native Hawaiian or Other Pacific Islander *and* White and Native Hawaiian or Other Pacific Islander *and* Asian) each equates to more than one percent of the total population being served, and 2 of the Native Hawaiian or Other Pacific Islander *and* White indicate they belong to the Hispanic/Latino ethnic category and 3 of the Native Hawaiian or Other Pacific Islander *and* Asian indicate they belong to the Hispanic/Latino ethnic category, you should complete the form as follows:

Racial Categories	Total Number of Race Responses	Total Number of Hispanic or Latino Responses
* Other multiple race combinations: [Per the form instruction, write in a description using the box on the right]	Native Hawaiian or Other Pacific Islander AND White 10 (5%)	2
	Native Hawaiian or Other Pacific Islander AND Asian 12 (6%)	3

How the percentage should be applied will vary by program depending on whether the program is required to provide data on the total community, or on the beneficiaries/individuals that are being served or that are proposed to be served.

**Balance of individuals reporting more than one race:** This block is intended to capture the balance of any racial categories that are not included in the list of nine above, and are not included under “**Other multiple race combinations greater than one percent.**” Indicate the total number of all racial categories reported that do not fit the nine racial categories above, and do not equate to one percent of the total population being reported. Be sure to also indicate the total number of all related Hispanic or Latino responses.

**Total:** On the last row of the form you should indicate the aggregate totals of all the information you have gathered including the total of all racial categories and the total of all the Hispanic or Latino categories.

<b>America's Affordable Communities Initiative</b>	<b>U.S. Department of Housing and Urban Development</b>	OMB approval no. 2510-0013 (exp. 03/31/2007)
----------------------------------------------------	---------------------------------------------------------	-------------------------------------------------

Public reporting burden for this collection of information is estimated to average 3 hours. This includes the time for collecting, reviewing, and reporting the data. The information will be used to encourage applicants to pursue and promote efforts to remove regulatory barriers to affordable housing. Response to this request for information is required in order to receive the benefits to be derived. 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.

### Questionnaire for HUD's Initiative on Removal of Regulatory Barriers

**Part A. Local Jurisdictions. Counties Exercising Land Use and Building Regulatory Authority and Other Applicants Applying for Projects Located in such Jurisdictions or Counties**  
**[Collectively, Jurisdiction]**

	1	2
<p>1. Does your jurisdiction's comprehensive plan (or in the case of a tribe or TDHE, a local Indian Housing Plan) include a "housing element? A local comprehensive plan means the adopted official statement of a legislative body of a local government that sets forth (in words, maps, illustrations, and/or tables) goals, policies, and guidelines intended to direct the present and future physical, social, and economic development that occurs within its planning jurisdiction and that includes a unified physical plan for the public development of land and water. If your jurisdiction does not have a local comprehensive plan with a "housing element," please enter no. If no, skip to question # 4.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>2. If your jurisdiction has a comprehensive plan with a housing element, does the plan provide estimates of current and anticipated housing needs, taking into account the anticipated growth of the region, for existing and future residents, including low, moderate and middle income families, for at least the next five years?</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>3. Does your zoning ordinance and map, development and subdivision regulations or other land use controls conform to the jurisdiction's comprehensive plan regarding housing needs by providing: a) sufficient land use and density categories (multifamily housing, duplexes, small lot homes and other similar elements); and, b) sufficient land zoned or mapped "as of right" in these categories, that can permit the building of affordable housing addressing the needs identified in the plan? (For purposes of this notice, "as-of-right," as applied to zoning, means uses and development standards that are determined in advance and specifically authorized by the zoning ordinance. The ordinance is largely self-enforcing because little or no discretion occurs in its administration.) If the jurisdiction has chosen not to have either zoning, or other development controls that have varying standards based upon districts or zones, the applicant may also enter yes.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>4. Does your jurisdiction's zoning ordinance set minimum building size requirements that exceed the local housing or health code or is otherwise not based upon explicit health standards?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<p>5. If your jurisdiction has development impact fees, are the fees specified and calculated under local or state statutory criteria? If no, skip to question #7. Alternatively, if your jurisdiction does not have impact fees, you may enter yes.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>6. If yes to question #5, does the statute provide criteria that sets standards for the allowable type of capital investments that have a direct relationship between the fee and the development (nexus), and a method for fee calculation?</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>7. If your jurisdiction has impact or other significant fees, does the jurisdiction provide waivers of these fees for affordable housing?</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>8. Has your jurisdiction adopted specific building code language regarding housing rehabilitation that encourages such rehabilitation through graduated regulatory requirements applicable as different levels of work are performed in existing buildings? Such code language increases regulatory requirements (the additional improvements required as a matter of regulatory policy) in proportion to the extent of rehabilitation that an owner/developer chooses to do on a voluntary basis. For further information see HUD publication: "<i>Smart Codes in Your Community: A Guide to Building Rehabilitation Codes</i>" (<a href="http://www.huduser.org/publications/destech/smartcodes.html">www.huduser.org/publications/destech/smartcodes.html</a>)</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>9. Does your jurisdiction use a recent version (i.e. published within the last 5 years or, if no recent version has been published, the last version published) of one of the nationally recognized model building codes (i.e. the International Code Council (ICC), the Building Officials and Code Administrators International (BOCA), the Southern Building Code Congress International (SBCI), the International Conference of Building Officials (ICBO), the National Fire Protection Association (NFPA)) without significant technical amendment or modification. In the case of a tribe or TDHE, has a recent version of one of the model building codes as described above been adopted or, alternatively, has the tribe or TDHE adopted a building code that is substantially equivalent to one or more of the recognized model building codes?</p> <p>Alternatively, if a significant technical amendment has been made to the above model codes, can the jurisdiction supply supporting data that the amendments do not negatively impact affordability.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>10. Does your jurisdiction's zoning ordinance or land use regulations permit manufactured (HUD-Code) housing "as of right" in all residential districts and zoning classifications in which similar site-built housing is permitted, subject to design, density, building size, foundation requirements, and other similar requirements applicable to other housing that will be deemed realty, irrespective of the method of production?</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes

11. Within the past five years, has a jurisdiction official (i.e., chief executive, mayor, county chairman, city manager, administrator, or a tribally recognized official, etc.), the local legislative body, or planning commission, directly, or in partnership with major private or public stakeholders, convened or funded comprehensive studies, commissions, or hearings, or has the jurisdiction established a formal ongoing process, to review the rules, regulations, development standards, and processes of the jurisdiction to assess their impact on the supply of affordable housing?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
12. Within the past five years, has the jurisdiction initiated major regulatory reforms either as a result of the above study or as a result of information identified in the barrier component of the jurisdiction's "HUD Consolidated Plan?" If yes, attach a brief list of these major regulatory reforms.	<input type="checkbox"/> No	<input type="checkbox"/> Yes
13. Within the past five years has your jurisdiction modified infrastructure standards and/or authorized the use of new infrastructure technologies (e.g. water, sewer, street width) to significantly reduce the cost of housing?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
14. Does your jurisdiction give "as-of-right" density bonuses sufficient to offset the cost of building below market units as an incentive for any market rate residential development that includes a portion of affordable housing? (As applied to density bonuses, "as of right" means a density bonus granted for a fixed percentage or number of additional market rate dwelling units in exchange for the provision of a fixed number or percentage of affordable dwelling units and without the use of discretion in determining the number of additional market rate units.)	<input type="checkbox"/> No	<input type="checkbox"/> Yes
15. Has your jurisdiction established a single, consolidated permit application process for housing development that includes building, zoning, engineering, environmental, and related permits? Alternatively, does your jurisdiction conduct concurrent, not sequential, reviews for all required permits and approvals?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
16. Does your jurisdiction provide for expedited or "fast track" permitting and approvals for all affordable housing projects in your community?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
17. Has your jurisdiction established time limits for government review and approval or disapproval of development permits in which failure to act, after the application is deemed complete, by the government within the designated time period, results in automatic approval?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
18. Does your jurisdiction allow "accessory apartments" either as: a) a special exception or conditional use in all single-family residential zones or, b) "as of right" in a majority of residential districts otherwise zoned for single-family housing?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
19. Does your jurisdiction have an explicit policy that adjusts or waives existing parking requirements for all affordable housing developments?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
20. Does your jurisdiction require affordable housing projects to undergo public review or special hearings when the project is otherwise in full compliance with the zoning ordinance and other development regulations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Total Points:</b>		

**Part B. State Agencies and Departments or Other Applicants for Projects Located in Unincorporated Areas or Areas Otherwise Not Covered in Part A**

	1	2
1. Does your state, either in its planning and zoning enabling legislation or in any other legislation, require localities regulating development have a comprehensive plan with a "housing element?" If no, skip to question # 4	<input type="checkbox"/> No	<input type="checkbox"/> Yes
2. Does your state require that a local jurisdiction's comprehensive plan estimate current and anticipated housing needs, taking into account the anticipated growth of the region, for existing and future residents, including low, moderate, and middle income families, for at least the next five years?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
3. Does your state's zoning enabling legislation require that a local jurisdiction's zoning ordinance have a) sufficient land use and density categories (multifamily housing, duplexes, small lot homes and other similar elements); and, b) sufficient land zoned or mapped in these categories, that can permit the building of affordable housing that addresses the needs identified in the comprehensive plan?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
4. Does your state have an agency or office that includes a specific mission to determine whether local governments have policies or procedures that are raising costs or otherwise discouraging affordable housing?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
5. Does your state have a legal or administrative requirement that local governments undertake periodic self-evaluation of regulations and processes to assess their impact upon housing affordability address these barriers to affordability?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
6. Does your state have a technical assistance or education program for local jurisdictions that includes assisting them in identifying regulatory barriers and in recommending strategies to local governments for their removal?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
7. Does your state have specific enabling legislation for local impact fees? If no skip to question #9.	<input type="checkbox"/> No	<input type="checkbox"/> Yes
8. If yes to the question #7, does the state statute provide criteria that sets standards for the allowable type of capital investments that have a direct relationship between the fee and the development ( <i>nexus</i> ) and a method for fee calculation?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
9. Does your state provide significant financial assistance to local governments for housing, community development and/or transportation that includes funding prioritization or linking funding on the basis of local regulatory barrier removal activities?	<input type="checkbox"/> No	<input type="checkbox"/> Yes

<p>10. Does your state have a mandatory state-wide building code that a) does not permit local technical amendments and b) uses a recent version (i.e. published within the last five years or, if no recent version has been published, the last version published) of one of the nationally recognized model building codes (i.e. the International Code Council (ICC), the Building Officials and Code Administrators International (BOCA), the Southern Building Code Congress International (SBCI), the International Conference of Building Officials (ICBO), the National Fire Protection Association (NFPA)) without significant technical amendment or modification?</p> <p>Alternatively, if the state has made significant technical amendment to the model code, can the state supply supporting data that the amendments do not negatively impact affordability?</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>11. Has your jurisdiction adopted specific building code language regarding housing rehabilitation that encourages such rehabilitation through graduated regulatory requirements applicable as different levels of work are performed in existing buildings? Such code language increases regulatory requirements (the additional improvements required as a matter of regulatory policy) in proportion to the extent of rehabilitation that an owner/developer chooses to do on a voluntary basis. For further information see HUD publication: "<i>Smart Codes in Your Community: A Guide to Building Rehabilitation Codes</i>" (<a href="http://www.huduser.org/publications/destech/smartcodes.html">www.huduser.org/publications/destech/smartcodes.html</a>)</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>12. Within the past five years has your state made any changes to its own processes or requirements to streamline or consolidate the state's own approval processes involving permits for water or wastewater, environmental review, or other State-administered permits or programs involving housing development. If yes, briefly list these changes.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>13. Within the past five years, has your state (i.e., Governor, legislature, planning department) directly or in partnership with major private or public stakeholders, convened or funded comprehensive studies, commissions, or panels to review state or local rules, regulations, development standards, and processes to assess their impact on the supply of affordable housing?</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>14. Within the past five years, has the state initiated major regulatory reforms either as a result of the above study or as a result of information identified in the barrier component of the states' "Consolidated Plan submitted to HUD?" If yes, briefly list these major regulatory reforms.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p>15. Has the state undertaken any other actions regarding local jurisdiction's regulation of housing development including permitting, land use, building or subdivision regulations, or other related administrative procedures? If yes, briefly list these actions.</p>	<input type="checkbox"/> No	<input type="checkbox"/> Yes
<p><b>Total Points:</b></p>		



**Third Party Documentation  
Facsimile Transmittal**

**U. S. Department of Housing  
and Urban Development**  
Office of Department Grants Management  
and Oversight

OMB Approval No. 2535-0118 (exp. 04/30/2005)

Public reporting burden for this collection of information is estimated to average 6 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This form is used for third party applicants as required for applications submissions and other materials that are not normally available as electronic files, e.g. leverage letters, documentation from books, reports or other such items. This information is required in order to receive the benefits to be derived. 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.

**Instructions**

**IMPORTANT NOTE: If you have completed the SF 424 Request for Federal Assistance form, data fields will be pre-populated within this form.**

Item	Entry
1. a-d Applicant Information	<p>a. Enter legal name of applicant, name of primary organization unit (including division, if applicable), which will undertake the assistance activity.</p> <p>b. Enter the complete address, Street, City, County, State and Zip Code.</p> <p>c. Enter the country, i.e. USA.</p> <p>d. Enter the DUNS number (received from DUN and Bradstreet).</p>
2. a-c. Catalog of Federal Domestic Assistance number and title of the program and program component.	<p>a. Enter the Catalog of Federal Domestic Assistance number of the program you are apply for federal assistance.</p> <p>b. Enter the title of the program which assistance is requested.</p> <p>c. Enter program component under which assistance is requested. If there are no sub categories within a program you may leave <b>"program component"</b> blank. (For example: CFDA: 14.123)</p>
3. a-b. Facsimile Contact Information	<p>a. Enter the name of the Department and/or b. Division in which this facsimile is being transmitted.</p>
4. Name and telephone number	Enter name, email and telephone number ( <i>remember to include area code</i> ) of person to be contacted on matters involving the transmitting fax.
5. Email	Enter email address of person to contacted regarding facsimile.
6. b-d What are you transmitting/number of pages?	<p>a. What are you transmitting? Check the appropriate box indicating what type of document you are transmitting, <b>b.</b> certification, <b>c.</b> document, <b>d.</b> letter, or <b>e.</b> other. For example, if you are transmitting a Memorandum of Understanding (MOU) this would be considered a document so you would check</p> <p><input type="checkbox"/> <b>document.</b> <i>Please note: for each document you are transmitting a separate cover page is needed.</i></p>
7. How many pages are being faxed?	Indicate how many pages including the cover are being faxed.

**Third Party Documentation  
Facsimile Transmittal**
**U. S. Department of Housing  
and Urban Development**  
Office of Department Grants Management  
and Oversight

OMB Approval No. 2535-0118 (exp. 04/30/2005)

<b>1. Applicant Information</b>		<b>3. Facsimile Contact Information</b>			
a. Legal Name:		a. Department:			
		b. Division			
b. Address:		4. Name and telephone number of person to be contacted on matters involving this facsimile.			
Street:		Prefix:		First Name:	
City:	County:	Middle Initial:		Last Name:	
State:	Zip Code	5. Email:			
c. Country					
d. DUNS Number:					
2. a. Catalog of Federal Domestic Assistance Number: CFDA No. _____		Phone number (include area code)		Fax number (include area code)	
b. Title (Name of Program)		6. What is your transmittal? (Check one box per fax)			
c. Program Component		b. Certification <input type="checkbox"/>	c. Document <input type="checkbox"/>	d. Match/Leverage Letter <input type="checkbox"/>	e. Other <input type="checkbox"/>
7. How many pages (including cover) are being faxed?					

**Appendix C**  
**Assistant Secretaries With Waiver Authority**

<b>Assistant Secretaries for HUD Programs</b>	<b>If Assistant Secretary Grants Your Waiver Request, Send Your Applications to the Following Program Locations</b>	<b>Number of Copies to Submit</b>
<p><b>Carolyn Y. Peoples</b> Assistant Secretary for the Office of Fair Housing and Equal Opportunity (FHEO)</p> <p><u>Send Requests for waivers to the following address:</u></p> <p>Department of Housing and Urban Development Attn: Carolyn Y. Peoples, Assistant Secretary for the Office of Fair Housing and Equal Opportunity (FHEO) 451 Seventh St, SW, Room 5100 Washington, DC 20410 Telephone (202) 708-4252</p>	<p><b><u>Fair Housing Initiatives Programs (FHIP):</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Office of Fair Housing and Equal Opportunity FHIP NOFA 2005 [Specify the Initiative/Component to which you are applying] 451 Seventh St, SW, Room 5224 Washington, D.C. 20410</p>	Original and 3 copies
<p><b>John C. Weicher</b> Assistant Secretary for the Office of Housing/Federal Housing Commissioner (FHA)</p> <p><u>Send Requests for waivers to the following address:</u></p> <p>Department of Housing and Urban Development Attn: John C. Weicher, Assistant Secretary for the Office of Housing/Federal Housing Commissioner (FHA) 451 Seventh St, SW, Room 9100 Washington, DC 20410 Telephone (202) 708-2601</p>	<p><b><u>1. Assisted Living Conversion for Multifamily Projects (ALCP)</u></b></p> <p>Submit hard copy applications to the appropriate HUD Multifamily (MF) Hub office identified in the Appendix of the program NOFA.</p>	Original and 4 copies
	<p><b><u>2. Service Coordinators in Multifamily Housing</u></b></p> <p>Submit hard copy applications to the appropriate HUD Multifamily (MF) Hub office identified in the Appendix of the program NOFA.</p>	Original and 2 copies
	<p><b><u>3. Section 202 Supportive Housing for the Elderly</u></b></p> <p>Submit hard copy applications to the appropriate HUD Multifamily (MF) Hub office identified in the Appendix of the program NOFA.</p>	Original and 4 copies
	<p><b><u>4. Section 811 Supportive Housing for Persons with Disabilities:</u></b></p> <p>Submit hard copy applications to the appropriate HUD Multifamily (MF) Hub office identified in the Appendix of the program NOFA.</p>	Original and 4 copies

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	<p><b>5. <u>Housing Counseling:</u></b></p> <p><b>a. Local Housing Counseling Agencies (LHCAs):</b> Submit hard copy applications to the appropriate Homeownership Center (HOC) identified in Section VII. of the program NOFA.</p> <p><b>b. State Housing Finance Agencies (SHFAs):</b> Submit hard copy applications to the appropriate Homeownership Center (HOC) identified in Section VII. of the program NOFA.</p> <p><b>c. National and Regional Intermediaries:</b> Submit hard copy applications to HUD Headquarters.  HUD Headquarters Robert C. Weaver Federal Building Program Support Division, Room 9274 451 Seventh St., SW Washington, DC 20410</p>	Original and 2 copies
<p><b>Nelson R. Bregon</b> General Deputy Assistant Secretary, Office of Community Planning and Development (CPD)</p> <p><u>Send Requests for waivers to the following address:</u></p> <p>Department of Housing and Urban Development Attn: Nelson R. Bregon, General Deputy Assistant Secretary for the Office of Community Planning and Development (CPD) 451 Seventh St, SW, Room 7100 Washington, DC 20410 Telephone (202) 708-2690</p>	<p><b>1. <u>Brownfields Economic Development Initiative (BEDI):</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Attn: BEDI 451 Seventh St, SW, Room 7251 Washington, DC 20410</p> <p>Submit hard copy applications to HUD Headquarters plus one copy to the appropriate HUD field office (CPD Division).</p> <p>HUD field offices are listed on the internet at <a href="http://www.hud.gov/offices/cpd/about/staff/fodirectors/index.cfm">http://www.hud.gov/offices/cpd/about/staff/fodirectors/index.cfm</a></p>	Original and 4 copies

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	<p><b>2. <u>Community Development - Technical Assistance Programs (CD-TA):</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Attn: CD-TA 451 Seventh St, SW, Room 7251 Washington, DC 20410</p> <p>For National TA, submit hard copy applications to HUD Headquarters (HQ). For Local TA, submit one hard copy to HUD HQ and one to the HUD field office to which you are applying.</p>	Original and 1 copy.
	<p><b>3. <u>Housing Opportunities for Persons with AIDS (HOPWA):</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Attn: HOPWA 451 Seventh St., SW, Room 7251 Washington, DC 20410</p> <p>Submit original and one hard copy application to HUD HQ and one copy to the CPD Division of the state or area office that serves the area in which activities are proposed. For multi-state efforts, submit the copy to the field office that serves your main office.</p>	Original and 2 copies.
	<p><b>4. <u>Rural Housing and Economic Development:</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Attn: Office of Rural Housing and Economic Development 451 Seventh St, SW, Room 7251 Washington D.C. 20410-7000</p> <p>Include your name, mailing address, telephone number, and fax number.</p>	Original and 2 copies.
	<p><b>5. <u>Youthbuild:</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Attn: Youthbuild Program 451 Seventh St., SW, Room 7251 Washington, DC 20410</p>	Original and 2 copies

**Appendix C**  
**Assistant Secretaries With Waiver Authority**

Assistant Secretaries for HUD Programs	If Assistant Secretary Grants Your Waiver Request, Send Your Applications to the Following Program Locations	Number of Copies to Submit
	<p><b>6. <u>Housing for People Who Are Homeless and Addicted to Alcohol</u></b></p> <p>HUD Headquarters Robert C. Weaver Federal Building Attn: Homeless and Addicted to Alcohol 451 Seventh St, SW, Room 7251 Washington, DC 20410</p>	Original and 2 copies
<p><b>Dennis C. Shea</b> Assistant Secretary for the Office of Policy Development and Research (PD&amp;R) <u>Send requests for waivers to the following address:</u> Department of Housing and Urban Development Attn: Dennis C. Shea, Assistant Secretary for the Office of Policy Development and Research (PD&amp;R) 451 Seventh St, SW, Room 8100 Washington, DC 20410 Telephone (202) 708-1600</p>	<p><b>1. <u>Alaska Native and Native Hawaiian Institutions Assisting Communities Program (AN/NHIAC):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc, Inc Attn: AN/NHIAC NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.
	<p><b>2. <u>Community Outreach Partnership Centers (COPC):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc, Inc Attn: AN/NHIAC NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.
	<p><b>3. <u>Hispanic Serving Institutions Assisting Communities (HSIAC):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc Attn: AN/NHIAC NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.

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**Assistant Secretaries With Waiver Authority**

Assistant Secretaries for HUD Programs	If Assistant Secretary Grants Your Waiver Request, Send Your Applications to the Following Program Locations	Number of Copies to Submit
	<p><b>4. <u>Historically Black Colleges and Universities (HBCU):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc Attn: AN/NHIAC NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.
	<p><b>5. <u>Tribal Colleges and Universities Program (TCUP):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc Attn: AN/NHIAC NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.
	<p><b>6. <u>Doctoral Dissertation Research Grant (DDRG) and Early Doctoral Student Research Grant (EDSRG):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc Attn: DDRG or EDSRG NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.
	<p><b>7. <u>Community Development Work Study Program (CDWSP):</u></b></p> <p>University Partnerships Clearinghouse c/o Danya International, Inc Attn: CDWSP NOFA 8737 Colesville Rd, Suite 1200 Silver Spring, MD 20910</p> <p>Be sure to include a complete return address on your application package.</p>	Original and 3 copies and one disk using M.S. Word 6.0 or higher.

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Assistant Secretaries for HUD Programs	If Assistant Secretary Grants Your Waiver Request, Send Your Applications to the Following Program Locations	Number of Copies to Submit
<p><b>Michael Liu</b> Assistant Secretary for the Office of Public and Indian Housing (PIH)</p> <p><u>Send requests for waivers to the following address:</u> Department of Housing and Urban Development Attn: Michael Liu, Assistant Secretary for the Office of Public and Indian Housing (PIH) 451 Seventh St, SW, Room 4100 Washington, DC 20410 Telephone (202) 708-0950</p>	<p><b>1. <u>Community Development Block Grant Program for Indian Tribes and Alaska Native Villages (ICDBG):</u></b></p> <p>Submit hard copy applications to the appropriate Area Office of Native American Programs (ONAP) for your jurisdiction. See Section IV.F. of the ICDBG program NOFA for area ONAP addresses and additional information.</p>	Original and 2 copies
	<p><b>2. <u>Housing Choice Voucher Family Self Sufficiency Program Coordinators:</u></b></p> <p>Submit original and one copy to the GMC and one copy to your local HUD field office (PIH).</p> <p>HUD Grants Management Center (GMC) Mail Stop: Housing Choice Voucher Family Self-Sufficiency Program Coordinators 501 School Street, SW, 8th floor Washington, DC 20024</p>	Original and 2 copies
	<p><b>3. <u>Public Housing Neighborhood Networks:</u></b></p> <p>Submit original and one copy to the GMC and one copy to your local HUD field office (PIH).</p> <p>HUD Grants Management Center (GMC) Mail Stop: Neighborhood Networks 501 School Street, SW, 8th floor Washington, DC 2002</p>	Original and 2 copies
	<p><b>4. <u>Public Housing Family Self Sufficiency:</u></b></p> <p>Submit original and one copy to the GMC and one copy to your local HUD field office (PIH).</p> <p>HUD Grants Management Center (GMC) Mail Stop: Public Housing Family Self-Sufficiency Program 501 School Street, SW, 8th floor Washington, DC 20024</p>	Original and 2 copies





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Assistant Secretaries for HUD Programs	If Assistant Secretary Grants Your Waiver Request, Send Your Applications to the Following Program Locations	Number of Copies to Submit
	<p><b>3. <u>Lead Based Paint Hazard Control Grant Program:</u></b>            Department of Housing and Urban Development            Office of Healthy Homes and Lead Hazard Control            Attn: Healthy Homes Tech Studies Program            451 Seventh St, SW, Room P3206            Washington, DC 20410</p>	Original and 3 copies
	<p><b>4. <u>Lead Hazard Reduction Demonstration Grant Program:</u></b>            Department of Housing and Urban Development            Office of Healthy Homes and Lead Hazard Control            Attn: Healthy Homes Tech Studies Program            451 Seventh St, SW, Room P3206            Washington, DC 20410</p>	Original and 3 copies
	<p><b>5. <u>Lead Outreach Program:</u></b>            Department of Housing and Urban Development            Office of Healthy Homes and Lead Hazard Control            Attn: Healthy Homes Tech Studies Program            451 Seventh St, SW, Room P3206            Washington, DC 20410</p>	Original and 3 copies
	<p><b>6. <u>Lead Tech Studies Program:</u></b>            Department of Housing and Urban Development            Office of Healthy Homes and Lead Hazard Control            Attn: Healthy Homes Tech Studies Program            451 Seventh St, SW, Room P3206            Washington, DC 20410</p>	Original and 3 copies
	<p><b>7. <u>Operation Lead Elimination Action Program (LEAP):</u></b>            Department of Housing and Urban Development            Office of Healthy Homes and Lead Hazard Control            Attn: Healthy Homes Tech Studies Program            451 Seventh St, SW, Room P3206            Washington, DC 20410</p>	Original and 3 copies

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**COMMUNITY DEVELOPMENT  
TECHNICAL ASSISTANCE (CD-TA)**

HOME

CHDO (HOME)

McKinney-Vento Homeless Assistance

HOPWA TA

CDBG TA

Youthbuild TA

**Community Development Technical Assistance Overview Information**

*A. Federal Agency Name.* Department of Housing and Urban Development, Office of Community Planning and Development.

*B. Funding Opportunity Title.* Community Development Technical Assistance (CD-TA).

*C. Announcement Type.* Initial Announcement.

*D. Funding Opportunity Number.* The Federal Register number for this NOFA is FR-4950-N-03. The OMB approval number for this program is 2506-0166 for HOME Investment Partnerships Program (HOME), HOME Investment Partnerships Program for Community Housing Development Organizations [CHDO (HOME)], McKinney-Vento Homeless Assistance (Homeless), and Community Development Block Grants (CDBG), 2506-0133 for Housing Opportunities for Persons With AIDS (HOPWA), and 2506-0142 for Youthbuild.

*E. Catalog of Federal Domestic Assistance (CFDA) Numbers.* The HOME and CHDO (HOME) CFDA number is 14.239; Homeless is 14.235; HOPWA is 14.241; CDBG Entitlement Grants is 14.218; CDBG for Small Cities Program is 14.219; CDBG for States is 14.228; CDBG for Insular Areas is 14.225; CDBG—Section 108 is 14.248; Youthbuild is 14.243.

*F. Dates.* The application submission date is June 1, 2005.

*G. Additional Overview and Content Information.* Applicants interested in providing technical assistance to entities participating in HUD's community development programs should carefully review the General Section of the SuperNOFA and the information listed in this CD-TA NOFA. Funds are available to provide technical assistance for six separate program areas: HOME, CHDO (HOME), Homeless, HOPWA, CDBG, and Youthbuild. Applicants may apply for one, two, three, four, five, or all six CD-TA program areas. The application submission information is contained in this CD-TA NOFA at Section IV.B. Approximately \$30.1 million is available. No cost sharing is required. Grants will be administered under cooperative agreements with significant HUD involvement (see Section II.C of this NOFA).

**Full Text of Announcement**

**I. Funding Opportunity Description**

*A. CD-TA Purpose*

The purpose of the CD-TA program is to provide assistance to achieve the highest level of performance and results for six separate community development program areas: (1) HOME; (2) CHDO (HOME); (3) Homeless; (4) HOPWA; (5) CDBG; and (6) Youthbuild. Information about the six community development programs and their missions, goals, and activities can be found on the HUD Web site at <http://www.hud.gov>.

*B. Description of National TA and Local TA*

There are two types of technical assistance (TA) funding available in this NOFA: National TA and Local TA.

National TA activities are those that address, at a nationwide level, one or more of the CD-TA program activities and/or priorities identified in Section III.C of this NOFA. National TA activities may include the development of written products, development of on-line materials, development of training courses, delivery of training courses previously approved by HUD, organization and delivery of workshops and conferences, and delivery of direct TA as part of a national program. Applicants for National TA must also be willing to work in any HUD field office area, although work in the field office areas is likely to be a negligible portion of National TA activities. National TA activities are administered by a Government Technical Representative (GTR) and Government Technical Monitor (GTM) at HUD Headquarters.

Local TA activities also must address the CD-TA program activities and/or priorities identified in this NOFA, however the Local TA is targeted to the specific needs of the HUD community development program recipients in the field office area in which the TA is proposed. Local TA activities are limited to the development of need assessments, direct TA to HUD community development program recipients, organization and delivery of workshops and conferences, and customization and delivery of previously HUD-approved trainings. Local TA will be administered by a GTR

and GTM in the respective HUD field office.

*C. Authority*

HOME TA is authorized by the HOME Investment Partnerships Act (42 U.S.C. 12781-12783); 24 CFR part 92. CHDO (HOME) TA is authorized by the HOME Investment Partnerships Act (42 U.S.C. 12773); 24 CFR part 92. For the McKinney-Vento Act Homeless Assistance Programs TA, the Supportive Housing Program is authorized under 42 U.S.C. 11381 *et seq.*; 24 CFR 583.140; Emergency Shelter Grants, Section 8 Moderate Rehabilitation Single Room Occupancy Program, and Shelter Plus Care TA are authorized by the FY2005 HUD Appropriations Act. HOPWA TA is authorized under the FY2005 HUD Appropriations Act. CDBG TA is authorized under Title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301-5320); 24 CFR 570.402. Youthbuild TA is authorized under Title IV of the Cranston-Gonzalez National Affordable Housing Act, as amended by the Housing and Community Development Act of 1992 (42 U.S.C. 12899); 24 CFR part 585.

**II. Award Information**

*A. Available Funds*

Approximately \$30,120,000 is available for the CD-TA program. Additional funds may become available as a result of recapturing unused funds. This chart shows how the funds are divided among National TA and Local TA activities:

Program	National TA	Local TA
HOME .....	\$2,216,000	\$5,000,000
CHDO (HOME) .....	2,440,000	5,000,000
Homeless .....	6,000,000	3,000,000
HOPWA .....	2,000,000	0
CDBG .....	1,388,800	0
Youthbuild .....	3,075,200	0

The Local TA funds are divided among HUD's field office jurisdictions for the HOME, CHDO (HOME), and Homeless programs. No Local TA funds are available for HOPWA, CDBG, or Youthbuild.

The chart below shows the amounts available in dollars for Local TA by CD-TA program:

Local TA area	HOME	CHDO (HOME)	Homeless
Alabama .....	\$100,000	\$75,000	\$40,000
Alaska .....	40,000	30,000	30,000
Arkansas .....	40,000	30,000	40,000
California—Northern and Arizona, Nevada .....	300,000	300,000	300,000
California—Southern .....	300,000	400,000	275,000

Local TA area	HOME	CHDO (HOME)	Homeless
Caribbean .....	50,000	75,000	40,000
Colorado and Montana, North Dakota, South Dakota, Utah, Wyoming .....	170,000	170,000	60,000
Connecticut .....	60,000	55,000	40,000
District of Columbia area .....	60,000	50,000	50,000
Florida—Southern .....	60,000	60,000	50,000
Florida—Northern .....	150,000	100,000	70,000
Georgia .....	125,000	75,000	50,000
Hawaii .....	70,000	0	40,000
Illinois .....	275,000	125,000	145,000
Indiana .....	90,000	50,000	25,000
Kansas and Missouri—Western .....	60,000	75,000	50,000
Missouri—Eastern .....	45,000	55,000	40,000
Kentucky .....	100,000	150,000	40,000
Louisiana .....	75,000	50,000	40,000
Maryland, except District of Columbia area .....	60,000	50,000	40,000
Massachusetts, Maine, New Hampshire, Rhode Island, Vermont .....	300,000	250,000	200,000
Michigan .....	200,000	225,000	138,000
Minnesota .....	75,000	140,000	52,000
Mississippi .....	70,000	125,000	50,000
Nebraska and Iowa .....	40,000	40,000	40,000
New Jersey .....	50,000	25,000	25,000
New Mexico .....	120,000	225,000	50,000
New York—Downstate .....	410,000	482,000	250,000
New York—Upstate .....	80,000	60,000	35,000
North Carolina .....	105,000	150,000	40,000
Ohio .....	215,000	116,000	125,000
Oklahoma .....	40,000	40,000	40,000
Oregon and Idaho .....	100,000	130,000	30,000
Pennsylvania—Eastern and Delaware .....	75,000	75,000	50,000
Pennsylvania—Western and West Virginia .....	145,000	158,000	57,000
South Carolina .....	55,000	34,000	40,000
Tennessee .....	125,000	150,000	40,000
Texas—Northern .....	250,000	250,000	88,000
Texas—Southern .....	60,000	20,000	40,000
Virginia, except District of Columbia area .....	80,000	80,000	40,000
Washington .....	50,000	50,000	50,000
Wisconsin .....	125,000	200,000	55,000

### B. Performance Period

Awards will be for a period of up to 36 months. HUD, however, reserves the right to withdraw funds from a specific TA provider if HUD determines that the urgency of need for the assistance is greater in other field office jurisdictions or the need for assistance is not commensurate with the award.

### C. Terms of Award

HUD will enter into a cooperative agreement with selected applicants for the performance period. Because CD-TA awards are made as cooperative agreements, implementation entails significant HUD involvement. Significant HUD involvement is required in all aspects of TA planning, delivery, and follow-up.

In addition to the requirements listed in the General Section of the SuperNOFA, selected applicants are subject to the following requirements:

#### 1. Demand-Response System

All CD-TA awardees must operate within the structure of the demand-response system. Under the demand-

response system, TA providers are required to:

- a. When requested by a GTR, market the availability of their services to existing and potential recipients within the jurisdictions in which the assistance will be delivered;
- b. Respond to requests for assistance from the GTR;
- c. When requested by a GTR, conduct a needs assessment to identify the type and nature of the assistance needed by the recipient of the assistance;
- d. Obtain the local HUD field office's approval before responding to direct requests for technical assistance from HOME Participating Jurisdictions (PJs), Community Housing Development Organizations (CHDOs), and McKinney-Vento Act Homeless Assistance, HOPWA, and CDBG grantees; and
- e. For CHDO (HOME) TA providers, secure a letter from a PJ stating that a CHDO, or prospective CHDO to be assisted by the provider, is a recipient or intended recipient of HOME funds and indicating, at its option, subject areas of assistance that are most important to the PJ.

#### 2. Training

When conducting training sessions as part of its CD-TA activities, CD-TA providers are required to:

- a. Design the course materials as "step-in" packages so that HUD or other CD-TA providers may independently conduct the course on their own;
- b. Make the course materials available to the GTR in sufficient time for review (minimum of three weeks) and receive concurrence from the GTR on the content and quality prior to delivery;
- c. Provide all course materials in an electronic format that will permit wide distribution among TA providers, field offices, and HUD grantees;
- d. Arrange for joint delivery of the training with HUD participation when requested by the GTR;
- e. Deliver HUD-approved training courses that have been designed and developed by others on a "step-in" basis when requested; and
- f. Send trainers to approved "train-the-trainers" sessions. The costs associated with attending these required sessions are eligible under the cooperative agreement.

3. Field Office Involvement Under National TA Awards

When National TA providers are undertaking activities in field office jurisdictions, the National TA providers must work cooperatively with HUD field offices. Providers must notify the applicable HUD field office of the planned activities; consider the views or

recommendations of that office, if any; follow those recommendations, to the degree practicable; and report to the applicable field office on the accomplishments of the assistance.

III. Eligibility Information

A. Eligible Applicants

The eligible applicants for each of the six CD-TA programs are listed in the chart below. In accordance with the President's faith-based initiative, HUD welcomes the participation of eligible faith-based and other community organizations in the CD-TA programs.

Program	Eligible applicants
HOME .....	A for-profit or nonprofit professional and technical services company or firm that has demonstrated knowledge of the HOME program and the capacity to provide technical assistance services; A HOME Participating Jurisdiction (PJ); A public purpose organization, established pursuant to state or local legislation, responsible to the chief elected officer of a PJ; An agency or authority established by two or more PJs to carry out activities consistent with the purposes of the HOME program; or A national or regional nonprofit organization that has membership comprised predominately of entities or officials of entities of PJs or PJs' agencies or established organizations.
CHDO (HOME) .....	A public or private nonprofit intermediary organization that customarily provides services, in more than one community, related to the provision of decent housing that is affordable to low-income and moderate-income persons or related to the revitalization of deteriorating neighborhoods; has demonstrated experience in providing a range of assistance (such as financing, technical assistance, construction and property management assistance) to CHDOs or similar organizations that engage in community revitalization; and has demonstrated the ability to provide technical assistance and training for community-based developers of affordable housing. <b>Note:</b> Any organization funded to assist CHDOs under CD-TA may not undertake CHDO set-aside activities itself within its service area while under cooperative agreement with HUD.
Homeless .....	A state; A unit of general local government; A public housing authority; or A public or private nonprofit or for-profit organization, including educational institutions and area-wide planning organizations.
HOPWA .....	A for-profit or nonprofit organization; A state; or A unit of general local government.
CDBG .....	A state; A unit of general local government; A national or regional nonprofit organization that has membership comprised predominately of entities or officials of entities of CDBG recipients; A for-profit or nonprofit professional and technical services company or firm that has demonstrated knowledge of the CDBG program and the capacity to provide technical assistance services; or A public or private nonprofit or for-profit organization, including educational institutions and area-wide planning organizations.
Youthbuild .....	A public or private nonprofit agency that has significant prior experience in the operation of projects similar to the Youthbuild program and that has the capacity to provide effective technical assistance.

Applicants must also meet the threshold requirements of the General Section of the SuperNOFA, including the Civil Rights threshold in section III (C).

A consortium of organizations may apply for one or more CD-TA programs, but one organization must be designated as the applicant.

Applicants may propose assistance using in-house staff, sub-contractors, sub-recipients, and local organizations with the requisite experience and capabilities. Where appropriate, applicants should make use of TA providers located in the field office jurisdiction receiving services. This draws upon local expertise and persons familiar with the opportunities and resources available in the area to be served while reducing travel and other

costs associated with delivering the proposed TA services.

B. Cost Sharing or Matching

None.

C. Other

1. Eligible Activities and Priorities

Funds may be used to provide TA to prospective applicants, applicants, grantees, and project sponsors of the HOME, CHDO (HOME), Homeless, HOPWA, CDBG, and Youthbuild programs. The TA activities may include but are not limited to written information such as papers, manuals, guides, and brochures; assistance to individual communities; needs assessments; and training. The priority TA areas for each of the six program areas are:

a. HOME TA. By statute, HUD may provide HOME program technical assistance to meet specified objectives. From these objectives, HUD has identified four HOME program technical assistance priorities. These priorities that result in measurable performance outputs and outcomes are:

(1) Improve the ability of PJs to design and implement housing programs that reflect sound underwriting, management, and fiscal controls; demonstrate measurable outcomes in the use of public funds; and provide accurate and timely reporting of HOME program accomplishments.

(2) Encourage public-private partnerships that yield an increase in the amount of private dollars leveraged for HOME-assisted projects and result in an increase in the commitment and production of HOME-assisted units.

(3) Assist PJs in developing strategies that ameliorate the affordability gap between rapidly increasing housing costs and the less rapid growth in incomes among low-income households, especially among underserved populations (e.g., residents of the Colonias, homeless persons, and persons with disabilities).

(4) Assist PJs in developing strategies that increase and help sustain homeownership opportunities for low-income households—particularly low-income, minority households—and directly result in the commitment and completion of HOME-assisted units.

Some examples of measurable performance outputs and outcomes are given in Rating Factor 4.

*b. CHDO (HOME) TA.* (1) By statute, HUD may provide HOME program technical assistance to meet specified objectives. From these objectives, HUD has identified three CHDO-specific technical assistance priorities. These priorities that result in measurable performance outputs and outcomes are:

(a) Assist new CHDOs and potential CHDOs in developing the organizational capacity to own, develop, and sponsor HOME-assisted projects. A new CHDO is defined as a nonprofit organization that within three years of the publication of this NOFA was determined by a PJ to qualify as a CHDO. A potential CHDO is defined as a nonprofit organization that is expected by the PJ to qualify as a CHDO and is expected to enter into a written agreement with that PJ to own, develop, or sponsor HOME-assisted housing within 24 months of the PJ determining the organization qualifies as a CHDO. HUD welcomes the participation of otherwise eligible faith-based and community organizations.

(b) Improve the HOME program production and performance of existing CHDOs in the areas of:

(i) Program design and management, including underwriting, project financing, property management, and compliance; and

(ii) Organizational management and capacity, including fiscal controls, board development, contract administration, and compliance systems.

(c) Provide organizational support, technical assistance, and training to community groups for the establishment of community land trusts, as defined in section 233(f) of the Cranston-Gonzales National Affordable Housing Act.

(2) Additional CHDO (HOME) eligible activities are:

(a) Under the “Pass-Through” provision, CD-TA providers may propose to fund various operating

expenses for eligible CHDOs that own, develop, or sponsor HOME-assisted housing. Such operating expenses may include reasonable and necessary costs for the operation of the CHDO including salaries, wages, and other employee compensation and benefits; employee education, training and travel; rent; utilities; communication costs; taxes; insurance; equipment, materials, and supplies.

(b) CD-TA providers must establish written criteria for selection of CHDOs receiving pass-through funds. PJs must designate the organizations as CHDOs; and, generally, the organizations should not have been in existence more than three years.

CD-TA providers must enter into an agreement with the CHDO that the agreement and pass-through funding may be terminated at the discretion of HUD if no written legally binding agreement to provide assistance for a specific housing project (for acquisition, rehabilitation, new construction, or tenant-based rental assistance) has been made by the PJ with the CHDO within 24 months of initially receiving pass-through funding. The pass-through amount, when combined with other capacity building and operating support available through the HOME program, cannot exceed the greater of 50 percent of the CHDO's operating budget for the year in which it receives funds, or \$50,000 annually.

*c. Homeless TA.* Homeless TA funds are available to provide McKinney-Vento Homeless Assistance Act-funded grantees, project sponsors, and potential recipients with skills and knowledge needed to develop and operate projects and activities. TA activities are focused on these priorities that result in measurable performance outputs and outcomes:

(1) Facilitate the exchange of information between community organizations to develop and implement a community-wide discharge plan for individuals exiting publicly-funded institutions (e.g., criminal justice system, foster care system, mental health system) so that these individuals do not become homeless.

(2) Improve the ability of eligible applicants to develop and operate permanent housing projects for chronically homeless persons.

(3) Develop materials on effective grant administration for grantees and sponsors.

(4) Improve the ability of eligible grantees and sponsors in reaching out to chronically homeless persons.

(5) Improve the ability of grantees and sponsors in coordinating services available through mainstream resources

with housing units available for homeless persons.

(6) Facilitate the formation of metropolitan, regional, and statewide Homeless Management Information Systems (HMIS) and improve the ability of communities to prepare data for their Annual Homeless Assessment Reports.

(7) Develop materials on effective grant management for Emergency Shelter Grants recipients, including guidance on IDIS implementation.

(A person experiencing chronic homelessness is defined as an unaccompanied individual with a disabling condition who has been continuously homeless for a year or more or has experienced four or more sustained episodes of homelessness over the last three years.)

*d. HOPWA TA.* HOPWA funds are available for technical assistance, training, and oversight activities which can be used to provide grantees, project sponsors, and potential recipients with the skills and knowledge to effectively develop, operate, and support HOPWA-eligible project activities that result in measurable performance outputs and outcomes. TA activities are focused on these priorities:

(1) Improve the ability of grantees to develop comprehensive housing strategies, through collaborative public and private partnerships, that coordinate the use of mainstream resources and promote the long-term sustainability of HOPWA-assisted rental housing programs.

(2) Identify and train grantees and project sponsors on successful examples of how local or regional employment and re-entry discharge planning programs and efforts can complement the overall delivery and effectiveness of housing and supportive services which result in greater client self-sufficiency and independence.

(3) Develop materials and training for grantees and project sponsors (a) on implementing and achieving long-term performance outcome measures that promote housing stability, reduce the risk of homelessness, and improve access to care; and (b) on implementing sound fiscal and financial management practices, including oversight of project sponsor activities.

(4) Develop materials that promote the utilization and coordination of Homeless Management Information Systems in the provision of HOPWA-assisted housing and supportive services for homeless and chronically homeless persons and persons at-risk of homelessness who are served under this program.

(5) Provide direct TA for local HOPWA programs in coordination with

HUD field office oversight and approval of TA and training efforts to support those HOPWA-funded projects. It is estimated that up to 40 percent of HOPWA TA funds will be made available for this purpose.

*e. CDBG TA.* HUD may provide CDBG program technical assistance to meet specified objectives, in particular the facilitating of skills and knowledge in planning, developing, and administering activities under the CDBG program for recipients and other entities that may need but do not possess such skill and knowledge, including measuring programs and activities under the CDBG program. Technical assistance funds will support local and state grantees' efforts in these areas as well as support for efforts to streamline the Consolidated Plan, program management, and analytical support of information for performance measurement. TA activities that result in measurable performance outputs and outcomes are focused on the following priorities:

(1) Assist grantees' efforts to streamline the Consolidated Plan, making it more results-oriented and useful to communities in assessing their own progress toward addressing the problems of low-income areas in their communities.

(2) Improve CDBG recipient understanding of performance measurement from a national programmatic perspective.

(3) Improve recipient knowledge and skills to develop and implement local CDBG performance measurement systems.

(4) Assist recipients' development of local CDBG performance measurement systems focused on outcomes.

(5) Develop model, local protocols that ensure accurate, required program recordkeeping and performance data by recipients, sub-recipients and sub-grantees.

(6) Develop materials on effective grant administration for grantees, sub-recipients, and sub-grantees.

(7) Improve CDBG and Section 108 program knowledge through program-specific recipient training.

*f. Youthbuild TA.* Youthbuild TA funds are available to provide appropriate training, information, and technical assistance to federally funded Youthbuild programs and to assist HUD in the management, supervision, and coordination of such Youthbuild programs. TA activities that result in measurable performance outputs and outcomes are focused on the following priorities:

(1) Improve the management and implementation of Youthbuild programs

by providing on-site and telephone assistance, preparing appropriate instruction materials, and conducting training workshops on key aspects of the Youthbuild program.

(2) Improve Youthbuild program applications by providing assistance to eligible applicants in the preparation of their grant applications, giving priority to community-based organizations in the provision of this assistance.

(3) Strengthen Youthbuild program design by facilitating peer-to-peer assistance for Youthbuild grantee staff and disseminating best program practices that are identified through training workshops, peer-to-peer assistance, and on-site TA.

(4) Assist HUD in the management, supervision, and coordination of Youthbuild programs by preparing handbooks or printed materials to provide guidance to Youthbuild grantees and by collecting and analyzing performance evaluation data from Youthbuild grantees.

#### 2. DUNS Requirement

Refer to the General Section of the SuperNOFA for information regarding the DUNS requirement. Applicants need to obtain a DUNS number to receive an award from HUD.

#### 3. Other Eligibility Requirements

All applicants requesting funding from programs under this NOFA must be in compliance with the applicable threshold requirements found in the General Section of the SuperNOFA. Applicants that do not meet these requirements will be ineligible for funding.

#### 4. False Statements

An applicant's false statement in an application is grounds for denial or termination of an award and grounds for possible punishment as provided in 18 U.S.C. 1001.

#### 5. Environmental Review

Most activities under the CD-TA program are categorically excluded and not subject to environmental review under 24 CFR 50.19(b)(9) or (13), but in the case of CHDO (HOME) TA eligible activities, a proposal for payment of rent as part of CHDO operational costs will be subject to environmental review by HUD under 24 CFR part 50. If an applicant proposes to assist CHDO operating expenses that include rent, the application constitutes an assurance that the applicant and CHDO will assist HUD to comply with 24 CFR part 50; will supply HUD with all available and relevant information to perform an environmental review for the proposed

property to be rented; will carry out mitigating measures required by HUD or select an alternate property; and will not lease or rent, construct, rehabilitate, convert or repair the property, or commit or expend HUD or non-HUD funds for these activities on the property to be rented, until HUD has completed an environmental review to the extent required by 24 CFR part 50. The results of the environmental review may require that the proposed property be rejected.

### IV. Application and Submission Information

#### A. Addresses To Request Application Package

Electronic applications are to be submitted through [Grants.gov/Apply](http://Grants.gov/Apply). Applicants receiving a waiver of the electronic submission requirement should see the General Section, Appendix C for the address where to submit paper applications. The General Section provides instructions on steps required to receive a waiver and Appendix C provides the address for submitting the waiver request. Paper applications are not accepted without the applicant having received a waiver to the electronic submission requirement.

#### B. Content and Form of Application Submission

Applicants must submit a completed application for each National TA and Local TA area and program for which they are applying. For example, an applicant for National TA for HOME and for Local TA in three field office jurisdictions would submit four separate and distinct applications.

A completed application consists of an application submitted by an authorized official of the organization and containing all relevant sections of the application, as shown in the checklist below in Section IV.B.4.

#### 1. Number of Copies

This section only applies to applicants that have received a waiver of the electronic submission requirement. Applicants for National TA must submit two copies of their application to HUD Headquarters. Applicants for Local TA must submit one copy of their application to HUD Headquarters and must also send one copy of their application to the HUD field office in which their organization is applying. See Section VII.C of this NOFA for information on field office addresses. Applicants for National TA must submit two copies of the application to: HUD Headquarters;



Robert C. Weaver Federal Building; 451 Seventh Street, SW., room 7218; Washington, DC 20410; Attention: CD-TA.

## 2. Page Limitation

Narratives addressing Factors 1–5 are limited to no more than 25 typed pages. That is, reviewers will not review more than 25 pages for all five factors combined, except that the page limit does not include the Form HUD–96010, Logic Model.

## 3. Prohibition on Materials Not Required

Materials other than what is requested in this NOFA are prohibited. Reviewers will not consider resumes, charts, letters, or any other documents attached to the application.

## 4. Checklist for Application Submission

Applicants submitting electronic copies should follow the procedures in the General Section and the application submission as posted on Grants.gov. The following checklist is provided to ensure that you have submitted the submission of all the required elements.

Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD–96011, Facsimile Transmittal. For applicants receiving a waiver of the electronic submission, the paper submission must be in the order provided below. All applicants should enter the applicant name, DUNS number, and page numbers on the narrative pages of the application.

- SF–424, Application for Federal Assistance (from General Section of SuperNOFA)
- An Application Cover Page indicating in bold (a) the type of TA proposed in the application whether HOME National, HOME Local, CHDO National, CHDO Local, Homeless National, Homeless Local, HOPWA National, CDBG National, or Youthbuild National; (b) the amount of funds requested in the application; and (c) for Local TA, the jurisdiction proposed in the application.
- A one-page Summary describing (a) each major component of the proposed TA approach; (b) the proposed cost of each major component; and (c) whether the component is integrally related to another component in order to be successful.
- Narrative addressing Factor 1
- Narrative addressing Factor 2
- Narrative addressing Factor 3
- Narrative addressing Factor 4
- Narrative addressing Factor 5

- HUD–96010, Logic Model
- HUD–424–CB, Grant Application Detailed Budget Form (from General Section of SuperNOFA)
- HUD–424–CBW, Detailed Budget Worksheet for Non-Construction Projects (from General Section of SuperNOFA)
- If applying for CHDO (HOME) TA, statement as to whether the organization proposes to pass through funds to new CHDOs.
- If applying for the CHDO (HOME) TA, a certification as to whether the organization qualifies as a primarily single-state provider under section 233(e) of the Cranston-Gonzales Affordable Housing Act.
- SF–LLL, Disclosure of Lobbying Activities (from General Section of SuperNOFA)
- HUD–2880, Applicant/Recipient Disclosure/Update Report (from General Section of SuperNOFA)
- SF–424, Supplement, Survey on Equal Opportunity for Applicants
- HUD–96011, Facsimile Transmittal (for electronic applications)

## C. Submission Dates and Times

Please see Section F of the Overview Information and the General Section for submission dates and timely submission requirements.

## D. Intergovernmental Review

Intergovernmental review is not applicable to CD–TA applications.

## E. Funding Restrictions

An organization may not provide assistance to itself. An organization may not provide assistance to another organization with which it contracts or sub-awards funds to carry out activities under the TA award.

Funding from HOME and from CHDO (HOME) TA to any single eligible organization (excluding funds for organizational support and housing education “passed through” to CHDOs), whether as an applicant or sub-recipient is limited to not more than 20 percent of the operating budget of the recipient organization for any one-year period of each cooperative agreement. In addition, funding under either HOME or CHDO (HOME) TA to any single organization is limited to 20 percent of the \$17,856,000 made available for HOME and CHDO (HOME) TA in FY2005.

Not less than 40 percent of the approximately \$7,440,000 for CHDO (HOME) shall be made available for eligible TA providers that have worked primarily in one state. HUD will consider an applicant as a primarily single state TA provider if it can document that more than 50 percent of

its past activities in working with CHDOs or similar nonprofit and other organizations (on the production of affordable housing, revitalization of deteriorating neighborhoods, and /or the delivery of technical assistance to these groups) was confined to the geographic limits of a single state.

No fee or profit may be paid to any recipient or sub-recipient of an award under this CD–TA NOFA.

## F. Other Submission Requirements

The General Section of the SuperNOFA describes application submission procedures and how applicants may obtain proof of timely submission.

## V. Application Review Information

### A. Criteria

The maximum number of points to be awarded for a CD–TA application is 100. The minimum score for an application to be considered for funding is 75 with a minimum of 20 points on Factor 5. The CD–TA program is not subject to bonus points, as described in the General Section of the SuperNOFA.

Points are assigned on five factors. When addressing Factors 1–4, applicants should discuss the specific TA activities that will be carried out during the term of the cooperative agreement. Applicants should provide relevant examples to support the proposal, where appropriate. Applicants should also be specific when describing the communities, populations, and organizations that they propose to serve and the specific outcomes expected as a result of the TA.

Factor 5 relates to the capacity of the applicant and its relevant organizational experience. Rating of the “applicant” or the “applicant’s organization and staff” includes in-house staff and any sub-contractors and sub-recipients which are firmly committed to the project. In responding to Factor 5, applicants should specify the experience, knowledge, skills, and abilities of the applicant’s organization and staff, and any persons and organizations firmly committed to the project.

### 1. Rating Factor 1: Need/Extent of the Problem (10 Points)

a. For National TA applications: Sound and extensive understanding of need for TA in relation to the eligible activities and priorities listed in Section III C of this NOFA as demonstrated by objective information and/or data, such as information from HOME Snapshots, current census data, the American Housing Survey, or other relevant data sources.

b. For Local TA applications: Sound and extensive understanding of high priority needs for TA in the jurisdiction as demonstrated by objective information and/or data, such as information from HOME Snapshots, current census data, the American Housing Survey, or other relevant data sources.

In rating this factor, HUD will evaluate the extent to which the application demonstrates an understanding of the specific needs for TA and supports the description of need with reliable, program-specific, quantitative information. Applicants for HOME should, at a minimum, draw on HOME Snapshot information to demonstrate PJs' needs, in an area or nationwide, for additional training and capacity building. See <http://www.hud.gov/offices/cpd/affordablehousing/programs/home/snapshot/index.cfm>.

## 2. Rating Factor 2: Soundness of Approach (40 Points)

a. (25 points) For National TA applications: A sound approach for addressing the need for eligible TA activities in relation to the priorities listed in Section III C of this NOFA that will result in positive outcomes.

For Local TA applications: A sound approach for addressing high priority needs for TA in the jurisdiction that will result in positive outcomes.

In rating this factor, HUD will evaluate the extent to which the application presents and supports a detailed, feasible, practical approach for addressing TA needs (Local TA applications) or CD-TA program priorities (National TA applications), including techniques, timeframes, goals, and intended beneficiaries, and the likelihood that these activities will result in positive outcomes.

b. (10 points) A feasible work plan for designing, organizing, managing, and carrying out the proposed TA activities under the demand-response system.

In rating this factor, HUD will evaluate the applicant's understanding of the demand-response system and the extent to which the application demonstrates the efficiency of proposed activities.

c. (5 points) An effective assistance program to specific disadvantaged communities, populations, and/or organizations which previously have been underserved and have the potential to participate in the CD-TA program.

In rating this factor, HUD will evaluate the extent to which the applicant has identified specific disadvantaged or previously

underserved communities, populations, and organizations and has developed an effective strategy for engaging their participation in the HOME, CHDO (HOME), Homeless, HOPWA, CDBG, or Youthbuild program, as applicable.

## 3. Rating Factor 3: Leveraging Resources (10 Points)

An efficient practical method to transfer manuals, guides, assessment forms, other work products, models, and lessons learned in its CD-TA activities to other CD-TA grantees and/or HOME, CHDO (HOME), Homeless, HOPWA, CDBG, or Youthbuild program beneficiaries.

In rating this factor, HUD will evaluate the extent to which the application demonstrates a cost-effective means of sharing resources developed under the CD-TA activities with a wide audience, including sharing information with other TA providers in the CD-TA program.

## 4. Rating Factor 4: Achieving Results and Program Evaluation (10 Points)

a. (5 points) An effective, quantifiable evaluation plan for measuring performance using the Logic Model with specific outcome measures and benchmarks, including—for HOME applicants—performance improvements as measured by the HOME Snapshot indicators.

In rating this factor, HUD will evaluate the extent to which the application has an evaluation plan that includes outcomes and is specific, measurable, and appropriate in relation to the activities proposed.

b. (5 points) Successful past performance in administering HUD CD-TA programs or, for applicants new to HUD's CD-TA Programs, successful past performance in providing TA in other community development programs. Applicants should include, as applicable, increases in CPD or community development program accomplishments as a result of TA (e.g., number of homeless people or persons with HIV/AIDS receiving housing and services, efficiency or effectiveness of administration of CPD or community development programs, number of affordable housing units, HOME Snapshot indicators, timeliness of use of CPD or community development program funds).

In rating this factor, HUD will evaluate the extent to which the application demonstrates successful past performance that was timely and resulted in positive outcomes in the delivery of community development TA. HUD will also consider past performance of current CD-TA

providers, including financial and other information in HUD's files.

## 5. Rating Factor 5: Capacity of the Applicant and Relevant Organizational Experience (30 Points) (Minimum for Funding Eligibility—20 Points)

a. (10 points) Recent and successful experience of the applicant's organization in providing TA in eligible activities and to eligible entities for the HOME, CHDO (HOME), Homeless, HOPWA, CDBG, or Youthbuild CD-TA programs, as applicable.

In rating this factor, HUD will consider the extent to which the application demonstrates successful experience within the last four years of providing TA related to the applicable CD-TA program.

b. (10 points) Depth of experience in managing multiple TA tasks, to multiple entities, and in more than one geographic area.

In rating this factor, HUD will consider the extent to which the application demonstrates ability to manage TA assignments effectively.

c. (10 points) Knowledgeable key personnel skilled in providing TA in one or more of the eligible activities for HOME, CHDO (HOME), Homeless, HOPWA, CDBG, and/or Youthbuild programs, as applicable; a sufficient number of staff or ability to procure qualified experts or professionals with the knowledge, skills, and abilities to deliver the proposed level of TA in the proposed service area in a timely and effective fashion; and an ability to provide CD-TA in a geographic area larger than a single city or county.

In rating this factor, HUD will consider the extent to which the application demonstrates the organization has an adequate number of key staff or ability to procure individuals with the knowledge of effective TA approaches and knowledge of HOME, CHDO (HOME), Homeless, HOPWA, CDBG, or Youthbuild program, as applicable.

## B. Review and Selection Process

### 1. Review Types

Two types of reviews will be conducted. First, HUD will review each application to determine whether it meets threshold eligibility requirements. Second, HUD will review and assign scores to applications using the Factors for Award noted in Section V.A.

### 2. Rank Order

Once rating scores are assigned, rated applications submitted for each National TA program and for each Local TA program will be listed in rank order.

Applications within the fundable range (score of 75+ points with 20+ points for Factor 1) may then be funded in rank order under the CD-TA program and service area for which they applied.

### 3. Threshold Eligibility Requirements

All applicants requesting CD-TA must be in compliance with the applicable threshold requirements found in the General Section of the SuperNOFA and the eligibility requirements listed in Section III of this NOFA in order to be reviewed, scored, and ranked. Applications that do not meet these requirements and applications that were received after the submission deadline (see Section IV.F of the General Section of the SuperNOFA) will be considered ineligible for funding and will be disqualified.

### 4. Award Adjustment

In addition to the funding adjustment authority provided for in the General Section of the SuperNOFA, HUD reserves the right to adjust funding amounts for each CD-TA selectee. The amounts listed in the charts in Section II.A are provided to assist applicants to develop Local TA or National TA budgets and do not represent the exact amounts to be awarded. Once TA applicants are selected for award, HUD will determine the total amount to be awarded to any selected applicant based upon the size and needs of each of the selected applicant's service areas, the funds available for that area and CD-TA program, the number of other CD-TA applicants selected in that area or CD-TA program, and the scope of the TA to be provided.

Additionally, HUD may reduce the amount of funds allocated for field office jurisdictions to fund National CD-TA providers and other CD-TA providers for activities that cannot be fully budgeted for or estimated by HUD Headquarters or field offices at the time this NOFA was published. HUD may also require selected applicants, as a condition of funding, to provide coverage on a geographically broader basis than proposed in order to supplement or strengthen the CD-TA network in terms of the size of the area covered and types and scope of TA proposed.

If funds remain after all selections have been made, the remaining funds may be distributed among field offices for Local TA and/or used for National TA, or made available for other CD-TA program competitions.

## VI. Award Administration Information

### A. Award Notices

Successful applicants will receive notification from HUD in writing. Such notification is not an authorization to begin performance. Unsuccessful applicants will also receive notification from HUD in writing.

After selection, HUD requires that all selected applicants participate in negotiations to determine the specific terms of the cooperative agreement, including the budget. Costs may be denied or modified if HUD determines that they are not allowable, allocable, and/or reasonable. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant.

After selection for funding but prior to executing the cooperative agreement, the selected applicant must develop in consultation with the GTR, a Technical Assistance Delivery Plan (TADP) for each National TA award. The TADP must be approved by the GTR and delineate the tasks for each CD-TA program the applicant will undertake during the performance period. For Local TA awards and generally for National TA awards, prior to undertaking individual tasks, the selected applicant must develop in consultation with the GTR a Work Plan for specific activities. The TADP and the Work Plans must specify the location of the proposed CD-TA activities, the amount of CD-TA funding and proposed activities by location, the improved program performance or other results expected from the CD-TA activities, and the methodology to be used for measuring the success of the CD-TA. A detailed time schedule for delivery of the activities, budget summary, budget-by-task, and staffing plan must be included in the TADP and Work Plans.

### B. Administrative and National Policy Requirements

After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements. These requirements are found in 24 CFR part 84 for all organizations except states and local governments whose requirements are found in 24 CFR Part 85. Cost principles requirements are found at OMB Circular A-122 for nonprofit organizations, OMB Circular

A-21 for institutions of higher education, OMB Circular A-87 for states and local governments, and at 48 CFR 31.2 for commercial organizations. Applicants must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability.

The requirements to Affirmatively Further Fair Housing do not apply.

### C. Reporting

CD-TA awardees will be required to report to the GTR on, at a minimum, a quarterly basis unless otherwise specified in the cooperative agreement. As part of the required report to HUD, grant recipients must include a completed Logic Model (HUD 96010), which identifies output and outcome achievements.

## VII. Agency Contacts

### A. For Assistance

Applicants may contact HUD Headquarters at 202-708-3176, or they may contact the HUD field office serving their area shown in section VII.C. Persons with hearing and speech challenges may access the above numbers via TTY (text telephone) by calling the Federal Relay Service at 800-877-8339 (this is a toll-free number). Information may also be obtained through the HUD website on the Internet at <http://www.hud.gov>.

### B. List of Field Office Addresses

Applicants that receive a waiver of the electronic application submission requirements and need to submit copies of their application to HUD field offices should consult the following website for a listing of the HUD field office addresses to send Local TA applications: <http://www.hud.gov/offices/cpd/about/staff/fodirectors/index.cfm>.

At the site, the map allows the user to click on an area to obtain the field office address and other contact information.

## VIII. Other Information

### A. Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control numbers 2506-0166 and 2506-0133. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and

a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 60 hours for the application and grant administration. This includes the time for collecting,

reviewing, and reporting the data. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

*B. HUD Reform Act*

The provisions of the HUD Reform Act of 1989 that apply to the CD-TA program are explained in the General Section of the SuperNOFA.

**BILLING CODE 4210-32-P**

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**INDIAN COMMUNITY  
DEVELOPMENT BLOCK GRANT  
PROGRAM**

## Community Development Block Grant Program for Indian Tribes and Alaska Native Villages

### Overview Information

*A. Federal Agency Name:* Department of Housing and Urban Development, Office of the Assistant Secretary for Public and Indian Housing, Office of Native American Programs.

*B. Funding Opportunity Title:* Community Development Block Grant (ICDBG) Program for Indian Tribes and Alaska Native Villages.

*C. Announcement Type:* Initial Announcement.

*D. Funding Opportunity Number:* The Federal Register number for this NOFA is FR-4950-N-16. The OMB approval number for this program is 2577-0191.

*E. Catalog of Federal Domestic Assistance (CFDA) Number(s):* The Catalog of Federal Assistance (CFDA) Number for the Indian Community Development Block Grant Program is 14.862.

*F. Dates:* Application Deadline: The application submission date is June 2, 2005.

### *G. Optional, Additional Overview Content Information:*

1. Applicants for funding should carefully review the requirements identified in this Program NOFA and the General Section. Unless otherwise stated in this Program NOFA, the requirements of the General Section apply.

2. The total approximate amount of funding available for the ICDBG Program for FY2005 is \$68,427,300, less \$4,000,000 retained to fund Imminent Threat Grants, for a total of \$64,427,300. Funds that are carried over from previous fiscal years or are recaptured may also be used for grant awards under this NOFA.

3. Eligible applicants are Indian tribes or tribal organizations on behalf of Indian tribes. Specific information on eligibility is located in Section III.A. of this NOFA.

### Full Text of Announcement

#### I. Funding Opportunity Description

##### A. General

Title I of the Housing and Community Development Act of 1974, which authorizes Community Development Block Grants, requires that grants for Indian tribes be awarded on a competitive basis in accordance with selection criteria contained in a regulation promulgated by the Secretary after notice and public comment. All grant funds awarded in accordance with this NOFA are subject to the requirements of 24 CFR part 1003.

Applicants within an Area ONAP's geographic jurisdiction compete only against each other for that Area ONAP's allocation of funds.

##### B. Authority

The authority for this program is Title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301 *et seq.*) and the program regulations in 24 CFR part 1003.

##### C. Program Description

The purpose of the Community Development Block Grant Program for Indian Tribes and Alaska Native Villages (ICDBG) is the development of viable Indian and Alaska Native communities, including the creation of decent housing, suitable living environments, and economic opportunities primarily for persons with low- and moderate-incomes as defined in 24 CFR 1003.4. The Office of Native American Programs (ONAP) in HUD's Office of Public and Indian Housing administers the program.

All Federally recognized Indian Tribes and Alaska Native Villages are eligible to participate in the ICDBG Program. Tribal organizations, as described in 24 CFR 1003.5, are also eligible applicants. Only one ICDBG application may be submitted for each area within the jurisdiction of an entity eligible under 24 CFR part 1003. An application may include more than one project, but it cannot exceed the grant ceilings listed in Section IV. Projects funded by the ICDBG Program must meet the primary objective, defined at 24 CFR 1003.2, to principally benefit low- and moderate-income persons. Consistent with this objective, not less than 70 percent of the expenditures of each single purpose grant shall be for activities which meet the regulatory criteria at 24 CFR 1003.208 for:

1. Area Benefit Activities
2. Limited Clientele Activities
3. Housing Activities
4. Job Creation or Retention Activities

ICDBG funds may be used to improve housing stock, provide community facilities, improve infrastructure, and expand job opportunities by supporting the economic development of the communities, especially by nonprofit tribal organizations or local development corporations.

ICDBG single-purpose grants are distributed as annual competitive grants, in response to this NOFA. Additional information on eligible activities can be found in Section III.

ICDBG imminent threat grants are intended to alleviate or remove threats to health or safety that require an immediate solution as described at 24

CFR part 1003, subpart E. The problem to be addressed must be such that an emergency situation exists or would exist if the problem were not addressed. In accordance with the provisions of 24 CFR part 1003, subpart E, we have retained \$4,000,000 of the FY 2005 appropriation to meet the funding needs of imminent threat requests submitted to any of the Area ONAPs. The grant ceiling for imminent threat requests for FY 2004 is \$425,000. This ceiling has been established pursuant to the provisions of 24 CFR 1003.400(c).

You do not have to submit a request for imminent threat funds by the deadline established in this NOFA. The deadline applies only to applications submitted for assistance under 24 CFR part 1003, subpart D, single purpose grants. Imminent threat requests may be submitted at any time after NOFA publication, and if the following criteria are met, the request may be funded until the amount set aside for this purpose is expended:

1. Independent verification from a third party (*i.e.*, Indian Health Service, Bureau of Indian Affairs) of the existence, immediacy and urgency of the threat must be provided;
2. The threat must not be recurring in nature, *i.e.*, it must represent a unique and unusual circumstance that has been clearly identified by the tribe or village;
3. The threat must affect or impact an entire service area and not solely an individual family or household.
4. It must be established that funds are not available from other local, state, or Federal sources to address the problem. The tribe or village must verify that Federal or local agencies that would normally provide assistance for such improvements have no funds available by providing a written statement to that effect. The tribe or village must also verify in the form of a tribal council resolution (or equivalent) that it has no available funds, including Indian Housing Block Grant Funds, for this purpose.

If, in response to a request for assistance, an Area ONAP issues you a letter to proceed under the authority of 24 CFR 1003.401(a), then your application must be submitted to and approved by the Area ONAP before a grant agreement may be executed. Contact your Area ONAP office for more information on imminent threat.

#### D. Definitions Used in This NOFA

1. *Adopt.* To approve by formal tribal resolution.
2. *Assure.* As an applicant, you must state your compliance, or in the case of future actions, your intent to comply with a specific NOFA requirement.

3. *Document.* To supply supporting written information and/or data in the application that satisfies the NOFA requirement. Documentation should clearly and concisely support your response to the rating factor.

4. *Entity Other than Tribe.* A distinction is made between the requirements for point award under Rating Factor 3 if a tribe or an entity other than the tribe will assume maintenance and related responsibilities for projects other than economic development and land acquisition to support new housing. Entities other than the tribe must have the following characteristics:

(a) Must be legally distinct from the tribal government; (b) their assets and liabilities cannot be considered to be assets and liabilities of the tribal government; (c) claims against such entities cannot be made against the tribal government; and (d) must have governing boards, boards of directors, or groups or individuals similar in function and responsibility to such boards which are separate from the tribe's general council, tribal council, or business council, as applicable.

5. *Homeownership Assistance Programs.* Tribes may apply for assistance to provide direct homeownership assistance to low- and moderate-income households to: (a) Subsidize interest rates and mortgage principal amounts for low- and moderate-income homebuyers; (b) finance the acquisition by low- and moderate-income homebuyers of housing that is occupied by the homebuyers; (c) acquire guarantees for mortgage financing obtained by low- and moderate-income homebuyers from private lenders (except that ICDBG funds may not be used to guarantee such mortgage financing directly, and grantees may not provide such guarantees directly); (d) provide up to 50 percent of any down payment required from a low- and moderate-income homebuyer; or (e) pay reasonable closing costs (normally associated with the purchase of a home) incurred by a low- or moderate-income homebuyer.

6. *Leveraged Resources.* Leveraged resources are resources that you will use in conjunction with ICDBG funds to achieve the objectives of the project. Leveraged resources include, but are not limited to: Tribal trust funds; loans from individuals or organizations; business investments; private foundations; state or federal loans or guarantees; other grants; and non-cash contributions and donated services. (See Rating Factor 4 of this NOFA for documentation

requirements for point award for leveraged resources.)

7. *Microenterprise Programs.* Tribes may apply for assistance to operate programs to fund the development, expansion, and stabilization of microenterprises. Microenterprises are defined as commercial entities with five or fewer employees, including the owner. Microenterprise program activities may entail the following assistance to eligible businesses: (a) Providing credit, including, but not limited to, grants, loans, loan guarantees, and other forms of financial support for the establishment, stabilization, and expansion of microenterprises; (b) providing technical assistance, advice, and business support services to owners of microenterprises and persons developing microenterprises; and (c) providing general support, including, but not limited to, peer support programs, counseling, child care, transportation, and other similar services to owners of microenterprises and persons developing microenterprises.

8. *Operations and Maintenance (O&M) for Public Facilities and Improvements.* While various items of cost will vary in importance and significance depending on the type of facility proposed, there are items of expense related to the operation of the physical plant which must be addressed in a O&M plan (tribe assumes responsibility) or in a letter of commitment (entity other than tribe will assume these responsibilities). These items include daily or other periodic maintenance activities; repairs such as replacing broken windows; capital improvements or replacement reserves for repairs such as replacing the roof; fire and liability insurance (may not be applicable to most types of infrastructure projects such as water and sewer lines); and security (may not be applicable to many types of infrastructure projects such as roads). (Please note that while it is possible that the service provider may, in its agreement with a tribe, commit itself to cover certain or all facility O&M costs, as defined, these O&M costs do not include the program service provision costs related to the delivery of services (social, health, recreational, educational or other) which may be provided in a facility).

9. *Outcomes.* The ultimate impact you hope to achieve with the proposed project. Outcomes should be quantifiable measures or indicators and identified in terms of the change in the community, people's lives, changes in economic status, etc. Common outcomes

could include increases in percent of housing units in standard condition, homeownership rates, or employment rates.

10. *Outputs.* Outputs are the direct products of a program's activities. They are usually measured in terms of the volume of work accomplished, such as the number of low-income households served, number of units constructed or rehabilitated, linear feet of curbs and gutters installed, or number of jobs created or retained. Outputs should be clear enough to allow HUD to monitor and assess your proposed project's progress if funded.

11. *Project Cost.* The total cost to implement the project. Project costs may be covered by both ICDBG and non-ICDBG funds and resources.

12. *Standard Housing/Standard Condition.* Housing that meets the housing quality standards (HQS) adopted by the applicant. The HQS adopted by the applicant must be at least as stringent as the Section 8 HQS contained in 24 CFR 982.401 (Section 8 Tenant-Based Assistance: Housing Choice Voucher Program) unless the ONAPs approve less stringent standards based on a determination that local conditions make the use of Section 8 HQS infeasible. You may submit, before the application submission deadline, a request for the approval of standards less stringent than Section 8 HQS. If you submit the request with your application, you should not assume automatic approval by the ONAPs. The adopted standards must provide for (a) a safe house, in physically sound condition with all systems performing their intended design functions; (b) a livable home environment and an energy efficient building and systems that incorporate energy conservation measures; and (c) an adequate space and privacy for all intended household members.

13. *Tribe. Please note:* when used in this NOFA the word "tribe" means an Indian tribe, band, group or nation, including Alaska Indians, Aleuts, Eskimos, Alaska Native Villages, Alaska Native Claims Settlement Act (ANCSA) Village Corporations, and ANCSA Regional Corporations.

## II. Award Information

### A. Available Funds

The FY2005 appropriation for the ICDBG Program is \$68,427,300, less \$4,000,000 retained to fund Imminent Threat Grants, for a total of \$64,427,300. Funds that are carried over from previous fiscal years or are recaptured may also be used for grant awards under this NOFA.

### B. Allocations to Area ONAPs

The requirements for allocating funds to Area ONAPs responsible for program administration are found at 24 CFR 1003.101. Following these requirements, based on an appropriation of \$68,427,300 less \$4,000,000 for Imminent Threat grants, the allocations for FY2005 are approximately as follows:

Eastern/Woodland .....	\$7,293,860
Southern Plains .....	13,839,761
Northern Plains .....	9,175,317
Southwest .....	24,075,045
Northwest .....	3,235,327
Alaska .....	6,807,990
Total .....	64,427,300

### C. Compliance with Regulations, Guidelines, and Requirements

Applicants awarded a grant under this NOFA are required to comply with the regulations, guidelines, and requirements with respect to the acceptance and use of Federal funds for this Federally-assisted program. Also, the grantee, by accepting the grant, provides assurance with respect to the grant that:

1. It possesses the legal authority to apply for the grant and execute the proposed program.
2. The governing body has duly authorized the filing of the application, including all understandings and assurances contained in the application and has directed and authorized the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
3. It will comply with HUD general administration requirements in 24 CFR Part 95.
4. It will comply with the requirements of Title II of Public Law 90-284 (25 U.S.C. 1301), the Indian Civil Rights Act. Federally recognized Indian tribes and their instrumentalities are subject to: The requirements of Title II of the Civil Rights Act of 1964, known as the Indian Civil Rights Act; Section 109 prohibitions against discrimination based on age, sex, religion and disability; the Age Discrimination Act of 1975; and Section 504 of the Rehabilitation Act of 1973.
5. It will comply with the Indian preference provisions required in 24 CFR 1003.510.
6. It will establish written safeguards to prevent employees from using positions funded under the ICDBG programs for a purpose that is, or gives the appearance of being, motivated by private gain for themselves, their

immediate family, or business associates. Employees are not otherwise limited from benefiting from program activities for which they are otherwise eligible.

7. It will give HUD and the Comptroller General access and right to examine all books, records, papers, or documents related to the grant for a period of not less than three years after program completion or until resolution of any final audit findings.

8. Neither the applicant nor its principals are presently excluded from participation in any HUD programs, as required by 24 CFR part 24.

9. It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, implementing regulations at 49 CFR part 24 and the requirements of 24 CFR 1003.602.

10. The chief executive officer or other official of the applicant approved by HUD:

a. Consents to assume the status of a responsible Federal official under the National Environmental Policy Act of 1969 insofar as the provisions of the Act apply to the applicant's proposed program pursuant to 24 CFR 1003.605.

b. Is authorized and consents on behalf of the applicant and him/herself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his/her responsibilities as such an official.

**Note:** Applicants for whom HUD has approved a claim of incapacity to accept the responsibilities of the Federal government for purposes of complying with the environmental review requirements of 24 CFR part 58 pursuant to 24 CFR 1003.605 are not subject to the provision of paragraph 10.

11. It will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 and the regulations in 24 CFR part 135 (Economic Opportunities for Low and Very Low Income Persons) to the maximum extent consistent with, but not in derogation of, compliance with Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e(b)).

12. It will comply with the requirements of the Fire Authorization Administration Act of 1992 (Pub. L. 102-522).

13. It will provide a drug-free workplace required by 24 CFR part 24, subpart F.

14. It will comply with 24 CFR, part 4, subpart A, showing full disclosure of all benefits of the project as collected by Form HUD-2880, Applicant/Recipient Disclosure Report.

15. Prior to submission of its application to HUD, the grantee has met the citizen participation requirements which includes following traditional means of member involvement, as required in 24 CFR 1003.604.

16. It will administer and enforce the labor standards requirements prescribed in 24 CFR 1003.603.

17. The project has been developed so that not less than 70 percent of the funds received under this grant will be used for activities that benefit low- and moderate-income persons.

18. The grantee agrees to comply with Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects." Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202 is a condition of receipt of assistance under this NOFA.

### D. Period of Performance

The period of performance for any grant awarded under this NOFA must be included in the Implementation Schedule, HUD-4125 and approved by HUD.

## III. Eligibility Information

### A. Eligible Applicants

Eligible applicants are Indian tribes or tribal organizations on behalf of Indian tribes. To apply for funding you must be eligible as an Indian Tribe (or as a tribal organization), as required by 24 CFR 1003.5, by the application submission date.

Tribal organizations are permitted to submit applications under 24 CFR 1003.5(b) on behalf of eligible tribes when one or more eligible tribe(s) authorize the organization to do so under concurring resolutions. As is stated in this regulatory section, the tribal organization must itself be eligible under Title I of the Indian Self-Determination and Education Assistance Act. The Bureau of Indian Affairs (BIA) or the Indian Health Service, as appropriate, must make a determination of such eligibility. This determination must be provided to the Area ONAP by the application submission date.

If a tribe or tribal organization claims that it is a successor to an eligible entity, the Area ONAP must review the documentation to determine whether it is in fact the successor entity.

Applicants from within Alaska: Due to the unique structure of tribal entities eligible to submit ICDBG applications in Alaska, and as only one ICDBG



application may be submitted for each area within the jurisdiction of an entity eligible under 24 CFR 1003.5, a tribal organization that submits an application for activities in the jurisdiction of one or more eligible tribes or villages must include a concurring resolution from each such tribe or village authorizing the submittal of the application. Each such resolution must also indicate that the tribe or village does not itself intend to submit an ICDBG application for that funding round. The hierarchy for funding priority continues to be the IRA Council, the Traditional Village Council, the ANCSA Village Corporation, and the ANCSA Regional Corporation.

On December 5, 2003 (68 FR 68180), the BIA published a **Federal Register** notice entitled, "Indian Entities Recognized and Eligible to Receive Services From the United States Bureau of Indian Affairs." This notice provides a listing of Indian Tribal Entities in Alaska found to be Indian Tribes as the term is defined and used in 25 CFR part 83. Additionally, pursuant to Title I of the Indian Self-Determination and Education Assistance Act, ANCSA Village Corporations and Regional Corporations are also considered tribes and therefore eligible applicants for the ICDBG program.

Any questions regarding eligibility determinations and related documentation requirements for entities in Alaska should be referred to the Alaska Area ONAP prior to the application submission date. (See 24 CFR 1003.5 for a complete description of eligible applicants.)

#### B. Cost Sharing or Matching

Cost sharing or matching is not required under this grant; however, applicants who leverage this grant with other funds receive points. See Section V, (A)(3) Rating Factor 4.

#### C. Other

##### 1. HUD Requirements

Applicants for single purpose grants must comply with the HUD Threshold Requirements listed in the General Section, Section III, C. 2. in order to receive an award of funds.

##### 2. Program and Project Specific Requirements

*a. Low- and Moderate-Income Status for Rehabilitation Projects.* All households that receive grant assistance under a housing rehabilitation project must be of low- and moderate-income status.

*b. Housing Rehabilitation Cost Limits.* Grant funds spent on rehabilitation per

unit must fall within the following limits for each Area ONAP jurisdiction:  
 Eastern/Woodlands: \$35,000  
 Southern Plains: \$30,000  
 Northern Plains: \$45,000  
 Southwest: \$40,000  
 Northwest: \$40,000  
 Alaska: \$55,000

*c. Commitment to Housing for Land Acquisition To Support New Housing Projects.* For land acquisition to support new housing projects, your application must include evidence of a financial commitment and an ability to construct at least 25 percent of the housing units to be built on the land proposed for acquisition. This evidence must consist of one (or more) of the following: a firm or conditional commitment to construct (or to finance the construction of) the units; documentation that an approvable application for the construction of these units has been submitted to a funding source or entity; or, documentation that these units are specifically identified in the Indian Housing Plan (IHP), (one-Year Financial Resources Narrative; Table 2, Financial Resources, Part I, Line 1E; and Table 2, Financial Resources, Part II) submitted by or on behalf of the applicant as an affordable housing resource with a commensurate commitment of Indian Housing Block Grant (IHBG) (also known as the Native American Housing Block Grant (NAHBG) resources. If the IHP for the IHBG (also known as NAHBG) program year that coincides with the implementation of the ICDBG proposed project has not been submitted, you must provide an assurance that the IHP will specifically reference the proposed project. The IHP submission must be within three years from when the land is acquired and ready for development.

*d. Health Care Facilities.* If you propose a facility that would provide health care services funded by the Indian Health Service (IHS), you must assure that the facility meets all applicable IHS facility requirements. We recognize that tribes that are contracting services from the IHS may establish other facility standards. These tribes must assure that these standards at least compare to nationally accepted minimum standards.

##### 3. Program Related Threshold Requirements

*a. Outstanding ICDBG Obligation.* According to 24 CFR 1003.301(a), an applicant who has an outstanding ICDBG obligation to HUD that is in arrears, or one that has not agreed to a repayment schedule will be disqualified from the competition.

*b. Compliance with Fair Housing and Civil Rights Laws.* Applicants and

subrecipients that are not federally recognized Indian tribes or their instrumentalities are subject to the Civil Rights Threshold requirements found in the General Section. Federally recognized Indian tribes and their instrumentalities are subject to: the requirements of Title II of the Civil Rights Act of 1964, known as the Indian Civil Rights Act; Section 109 prohibitions against discrimination based on age, sex, religion and disability; the Age Discrimination Act of 1975; and Section 504 of the Rehabilitation Act of 1973. To be eligible to apply, there must be no outstanding violations of these civil rights provisions at the time of application.

##### 4. Project Specific Threshold Requirements

Applicants must meet all parts of the project specific threshold applicable to the proposed project. The thresholds are:

*a. Housing Rehabilitation Project Thresholds.* In accordance with 24 CFR 1003.302(a), for housing rehabilitation projects, you must adopt rehabilitation standards and rehabilitation policies before you submit an application. You must submit with the application evidence the policies and standards have been adopted in accordance with tribal law or practice. You must also provide an assurance that project funds will be used to rehabilitate HUD-assisted houses only when the homebuyer's payments are current or the homebuyer is current in a repayment agreement except in emergency situation. The ONAP Administrator on a case-by-case basis may approve exceptions to this requirement.

*b. Land Acquisition To Support New Housing Project Thresholds.* No project specific thresholds.

*c. New Housing Construction Project Thresholds.* (1) In accordance with 24 CFR 1003.302 (b), new housing construction can only be implemented when necessary through a Community Based Development Organization (CBDO). Eligible CBDOs are described in 24 CFR 1003.204(c). You must provide documentation establishing that the entity implementing your new housing construction project qualifies as a CBDO.

(2) In accordance with 24 CFR 1003.302, you must submit a current (in effect) tribal resolution adopting and identifying construction standards.

(3) In accordance with 24 CFR 1003.302, you must also include in your application documentation supporting the following:

(a) All households to be assisted under a new housing construction project must be of low- or moderate-income status;

(b) No other housing is available in the immediate reservation area that is suitable for the households to be assisted;

(c) No other sources including an IHBG (also known as NAHBG) can meet the needs of the household(s) to be served; and

(d) Rehabilitation of the unit occupied by the household(s) to be assisted is not economically feasible, or the household(s) to be housed currently is in an overcrowded house (more than one household per house), or the household to be assisted has no current residence.

*d. Homeownership Assistance Project Thresholds.* No project specific thresholds.

*e. Public Facilities and Improvements Project Thresholds.* No project specific thresholds.

*f. Economic Development Project Thresholds.* In accordance with 24 CFR 1003.302, for economic development assistance projects, you must provide a financial analysis. The financial analysis must demonstrate that the project is financially feasible and the project has a reasonable chance of success. The analysis must also demonstrate the public benefit resulting from the ICDBG assistance. The more funds you request, the greater public benefit you must demonstrate. The analysis must also establish that to the extent practicable, reasonable financial support will be committed from non-federal sources prior to disbursement of federal funds; any grant amount provided will not substantially reduce the amount of non-federal financial support for the activity; not more than a reasonable rate of return on investment is provided to the owner; and that grant funds used for the project will be disbursed on a pro-rata basis with amounts from other sources.

*g. Microenterprise Program Thresholds.* No project specific threshold.

#### 5. Public Service Projects

Because there is a statutory 15 percent cap on the amount of grant funds that may be used for public service activities, you may not receive a single purpose grant solely to fund public service activities. Your application, however, may contain a public service component for up to 15 percent of the total grant. This component may be unrelated to the other project(s) included in your application. If your application does not receive full

funding, we will reduce the public service allocation proportionately so that it comprises no more than 15 percent of the total grant award. In making such reductions, the feasibility of the proposed project will be taken into consideration. If a proportionate reduction of the public service allocation renders such a project infeasible, the project will not be funded. A complete description of Public Service Projects is located at 24 CFR 1003.201.

#### 6. Restrictions on Eligible Activities

Activities that are eligible for ICDBG funding are identified at 24 CFR part 1003, subpart C. Please note that although this subpart has not yet been revised to include the restrictions on activity eligibility that were added to Section 105 of the CDBG statute by Section 588 of the Quality Housing and Work Responsibility Act of 1998, these restrictions apply. Specifically, ICDBG funds may not be used to assist directly in the relocation of any industrial or commercial plant, facility, or operation, from one area to another, if the relocation is likely to result in a significant loss of employment in the labor market area from which the relocation occurs. Rating Factors 2 and 3 included under Section V. specify many of the activities listed as eligible under part 1003, subpart C. Those listed include new housing construction (in certain circumstances as described in Rating Factors 2 and 3 in Section V.), housing rehabilitation, land acquisition to support new housing, homeownership assistance, public facilities and improvements, economic development, and microenterprise programs. However, the following eligible activities not clearly identified by the rating factors may be proposed and rated as described below. During the past few years, many tribes have experienced high incidences of mold growth in tribal homes and buildings. Renovation of affected buildings is eligible under housing rehabilitation or public facility improvement projects. For a complete description of eligible activities, please refer to 24 CFR part 1003, subpart C.

*a. Acquisition of Property:* This activity can be proposed as Land to Support New Housing or as part of New Housing Construction, Public Facilities and Improvements, or Economic Development depending on the purpose of the land acquisition to support new construction.

*b. Assistance to Institutions of Higher Learning:* If such entities have the capacity, they can help the ICDBG grantees to implement eligible projects.

*c. Assistance to Community Based Development Organizations (CBDOs):* Grantees may provide assistance to these organizations to undertake activities related to neighborhood revitalization, community economic development, or energy conservation.

*d. Clearance, Demolition:* These activities can be proposed as part of Housing Rehabilitation, New Housing Construction, Public Facilities and Improvements, Economic Development, or Land to Support New Housing. Section 1003.201 (d) states "Demolition of HUD-assisted housing units may be undertaken only with the prior approval of HUD."

*e. Code Enforcement:* This activity can be proposed as Housing Rehabilitation. The activity must comply with the requirements at 24 CFR 1003.202.

*f. Comprehensive Planning:* This activity is eligible, and can be proposed, as part of any otherwise eligible project to the extent allowed by the 20 percent cap on the grant for planning/administration.

*g. Energy Efficiency:* Associated activities can be proposed under Housing Rehabilitation or Public Facilities and Improvements depending upon the type of energy efficiency activity.

*h. Lead Based Paint Abatement and Evaluation:* These activities can be proposed under Housing Rehabilitation.

*i. Non-Federal Share:* ICDBG funds can be used as a match for any non-ICDBG funding to the extent allowed by such funding and the activity is eligible under 24 CFR part 1003, subpart C.

*j. Privately and Publicly Owned Commercial or Industrial Buildings (real property improvements):* These activities can be proposed under Economic Development. Privately owned commercial rehabilitation is subject to the requirements at 24 CFR 1003.202.

*k. Privately Owned Utilities:* Assistance to privately owned utilities can be proposed under Public Facilities and Improvements.

*l. Removal of Architectural Barriers:* This includes removing barriers that restrict mobility and access for elderly and persons with disabilities. In addition, accommodation should be made for persons with all varieties of disabilities to enable them to benefit from these activities. This activity can be proposed under Housing Rehabilitation or Public Facilities and Improvements depending upon the type of structure where the barrier will be removed.

## 7. Application Screening

The Area ONAP will screen applications for single purpose grants. The Area ONAP will reject an application that fails this screening and will return the application unrated. The Area ONAP will accept your application if it meets all the criteria listed below as items a through f.

a. Your application is received or submitted in accordance with the requirements set forth under Application and Submission Procedures in Section IV of this Program NOFA;

b. You are eligible;

c. The proposed project is eligible;

d. Your application contains substantially all the components specified in Section IV. B. of this Program NOFA;

e. Your application shows that at least 70 percent of the grant funds are to be used for activities that benefit low- and moderate-income persons, in accordance with the requirements of 24 CFR 1003.208. For screening purposes only, HUD will use the 2000 census data if the data you submitted does not meet this screening requirement; and

f. Your application is for an amount that does not exceed the grant ceilings listed in Section IV. E.2.

## IV. Application and Submission Information

### A. Addresses to Request Application Package

The FY 2005 application is now available from [www.Grants.gov](http://www.Grants.gov). Applicants are required to submit an electronic application unless they receive a waiver to the requirement. Please see the General Section for information on electronic application submission, procedures for requesting a waiver, and timely submission and receipt requirements.

All information required to complete and return a valid application is included in the General Section and this program section. Appendices A and B in this program section include information and a list of forms required for application. Before preparing an application, applicants should carefully review the program description, ineligible activities, program and threshold requirements, and the General Section. Applicants should also review each rating factor listed in Section V, Application Review Information before writing a narrative response. Applicants should include all requested information, according to the instructions found in the NOFA and where applicable, in the General Section.

Copies of the General Section and ICDBG program section (including appendices) may be downloaded from the grants.gov website at <http://www.grants.gov/Apply>, or you may call HUD's NOFA Information Center at 800-HUD-8929 or for the hearing impaired, call 800-HUD-2209. If you experience any problems with downloading the General Section or the ICDBG program section, call the Grants.gov help desk at 800-518-GRANTS.

### B. Content and Form of Application Submission

#### 1. Application Information

To expedite the review of your application and ensure that your application is given a thorough and complete review of all responses to each of the components of the selection criteria, please indicate on the first page of each project submission, the type of project(s) being proposed: Economic Development, Homeownership Assistance, Housing Rehabilitation, Land Acquisition to Support New Housing, Microenterprise Programs, New Housing Construction or Public Facilities and Improvements. This will help to ensure that the appropriate project specific thresholds and rating subfactors will be applied. Narrative statements submitted to support your application should be individually labeled to reflect the item the narrative is responding to, e.g. Factor 1, Capacity; Factor 2, Need; etc. Any narratives and scanned documents must be submitted as a zip file, single attachment to the electronic application. Additional information regarding electronic submissions can be found in the General Section.

If you are not submitting an electronic application and have received a waiver, please use separate tabs for each rating factor and rating subfactor. In order to be rated, make sure the response is beneath the appropriate heading. Keep the responses in the same order as the Program NOFA. It is recommended that you limit your narrative explanations to 200 words or less and provide the necessary data such as a market analysis, a pro forma, housing survey data, etc., that support the response. Include all relevant material to a response under the same tab. Only include documentation that will clearly and concisely support your response to the rating criteria.

HUD suggests that you do a preliminary rating for your project, providing a score according to the point system in Section V. This will show you how reviewers might score your project.

Also, it will show you where the strengths and weaknesses of the application are located. This will help you determine where improvements can be made to your application prior to its submission.

The published **Federal Register** document is the official document that HUD uses to evaluate applications. Therefore, if there is a discrepancy between any materials published by HUD in hard copy or on [www.grants.gov](http://www.grants.gov), or on any HUD Web site, and the **Federal Register** publication of the SuperNOFA, the information published in the SuperNOFA **Federal Register** publication (including any corrections published in the **Federal Register**) prevails.

#### 2. Content of Application, Forms, and Assurances

The applicant must respond in narrative form to all five of the rating factors listed in Section V.A.3. of this Program NOFA. In addition, the applicant must submit all of the forms required in this section, along with other data listed below.

a. *Demographic data.* You may submit data that are unpublished and not generally available in order to meet the requirements of this section. Your application must contain a statement that the following criteria have been met:

(1) Generally available published data are substantially inaccurate or incomplete;

(2) Data that you submit have been collected systematically and are statistically reliable;

(3) Data are, to the greatest extent feasible, independently verifiable; and

(4) Data differentiate between reservation and BIA service area populations, when applicable.

b. *Publication of Community Development Statement.* You must prepare and publish or post the community development statement portion of your application according to the citizen participation requirements of 24 CFR 1003.604. For publication and posting purposes, you may post or publish all narrative portions of the Statement if you include a statement that indicates that the entire Community Development Statement is available for public viewing and include the location, dates, and time it will be available for review.

c. *Application Submission.* Your application must contain the items listed below.

(1) Application for Federal Assistance (SF-424);

(2) SF-424 SUPP, Supplement Survey on Ensuring Equal Opportunity for Applicants;

(3) Applicant/Recipient Disclosure/Update Report (HUD-2880);

(4) Acknowledgement of Application Receipt (HUD-2993). This form will be required only for applicants who have received a waiver of the electronic submission requirements and are submitting their paper copy application.

If the application has been submitted by a tribal organization as defined in 24 CFR 1003.5(b), on behalf of an Indian tribe, you must submit concurring resolutions from the Indian tribe stating that the tribal organization is applying on the tribe's behalf. Applicants must submit the resolution by either scanning it and attaching it as a file to your electronic application submission, or sending it via facsimile transmittal.

*The other required items are as follows:*

(5) Community Development Statement that includes:

(a) Components that address the general threshold requirement and the relevant project specific thresholds and rating factors;

(b) A schedule for implementing the project (Form HUD-4125, Implementation Schedule); and

(c) Cost information for each separate project, including specific activity costs, administration, planning, technical assistance, and total HUD share (Form HUD-4123, Cost Summary).

(6) A map showing project location, if appropriate;

(7) If the proposed project will result in displacement or temporary relocation, a statement that identifies:

(a) The number of persons (families, individuals, businesses, and nonprofit organizations) occupying the property on the date of the submission of the application (or date of initial site control, if later);

(b) The number to be displaced or temporarily relocated;

(c) The estimated cost of relocation payments and other services;

(d) The source of funds for relocation; and

(e) The organization that will carry out the relocation activities;

(8) If applicable, evidence of the disclosure required by 24 CFR 1003.606(e) regarding conflict of interest.

(9) If applicable, the demographic data statement described in Section IV.B.2.a. and Section V.A.3., Rating Factor 2 of this Program NOFA. The data accompanying the statement must identify the total number of persons benefiting from the project and the total number of low- and moderate-income

persons benefiting from the project. To be considered, supporting documentation must include all of the following: a sample copy of a completed survey form; an explanation of the methods used to collect the data, and a listing of incomes by household.

(10) Optional submissions are:

(a) Client Comments and Suggestions (HUD-2994);

(b) Logic Model, HUD-96010;

A checklist identifying these forms is located in Appendix B.

### 3. Planning and Administrative Costs

Applicants must report project planning and administration costs on Form HUD-4123, Cost Summary. Planning and administrative costs cannot exceed 20 percent of the grant. The following criteria applies to planning and administrative costs:

a. Planning and administrative activities may only be funded in conjunction with a physical development activity.

b. If you are submitting an application for more than one project, costs must be broken down by project. Submit one Form HUD-4123 for each proposed project in addition to a consolidated Form HUD-4123 that includes costs for all proposed projects.

c. Do not include project costs (*i.e.* architectural/engineering, environmental, technical assistance, staff/overhead costs) directly related to project.

### C. Submission Dates and Times

#### 1. Application Submission Deadline

The application submission deadline is June 2, 2005. Applications submitted through [www.Grants.gov/Apply](http://www.Grants.gov/Apply) must be received by Grants.gov no later than 11:59:59 Eastern time on the application submission date. If you have requested a waiver of the electronic submission requirements in the General Section, and are submitting a paper copy of your application, your completed application (one original and two copies) must be submitted to the United States Postal Service no later than 11:59:59 PM on the application submission date and be received by the designated Area Office of Native American Programs (ONAP) on or within 15 days of the application submission deadline. HUD will not accept any applications sent by e-mail or on a diskette, CD, or by facsimile. Please carefully follow the instructions in Section IV F. of the General Section for detailed information regarding application submission, delivery, and timely receipt requirements.

### D. Intergovernmental Review

Executive Order 12372, Intergovernmental Review of Federal Programs, was issued to foster intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of federal financial assistance and direct federal development. HUD implementing regulations are published in 24 CFR part 52. The Order allows each state to designate an entity to perform a state review function. The official listing of State Points of Contact (SPOC) for this review process can be found at <http://www.whitehouse.gov/omb/grants/spoc.html>. Please note that Indian tribes are not subject to the intergovernmental review process.

### E. Funding Restrictions

#### 1. Ineligible Activities

In general, any activity that is not authorized under the provisions of 24 CFR 1003.201-1003.206 is ineligible to be assisted with ICDBG grant funds. The regulations at 24 CFR 1003.207 govern ineligible activities and should be referred to for details. The following guidance is provided in determining the eligibility of other activities frequently associated with ICDBG projects.

##### a. Government Office Space.

Buildings, or portions thereof, used *predominantly* for the general conduct of government cannot be assisted with ICDBG funds. Those buildings include, but are not limited to, local government office buildings, courthouses, and other headquarters of government where the governing body meets regularly. Buildings that contain both governmental and non-governmental services can be assisted as long as the ICDBG funds are used only for the non-governmental sections. Examples of ineligible buildings are a building to house the community development division or a tribal administration building. Your Area ONAP office should be consulted for projects of this nature.

##### b. General Government Expenses.

Except as authorized in the regulations or under OMB Circular A-87, expenses required to carry out the regular responsibilities of the unit of general local government are not eligible for assistance with ICDBG funds.

##### c. Maintenance and Operation

*Expenses.* In general, any expenses associated with repairing, operating, or maintaining public facilities and services are not eligible for assistance. Specific exceptions to this general rule are operating and maintenance expenses associated with public service activities [24 CFR 1003.201(e)], office space for

program staff employed in carrying out the ICDBG program [24 CFR 1003.206(a)(4)], and interim assistance [24 CFR 1003.201(f)]. For example, where a public service is being assisted with CDBG funds, the cost of operating and maintaining that portion of the facility in which the service is located is eligible as part of the public service. Examples of ineligible operating and maintenance expenses are routine and non-routine maintenance and repair of streets, parks, playgrounds, water and sewer facilities, neighborhood facilities, senior centers, centers for persons with disabilities, parking facilities, and similar public facilities and, payment of salaries for staff, utility costs, and similar expenses necessary for the operation of public works and facilities.

*d. New Housing Construction.* The construction of new permanent residential structures and any program to subsidize or finance such new construction is ineligible unless carried out by a Community-Based Development Organization (CBDO) pursuant to 24 CFR 1003.204(a).

*e. Furnishings and Personal Property.* In general, the purchase of equipment, fixtures, motor vehicles, furnishings, or other personal property not an integral structural fixture is ineligible. Exceptions include when such purchases are necessary for use in grant administration (24 CFR 1003.206); necessary and appropriate for use in a project carried out by a CBDO (24 CFR 1003.204); used in providing a public service (24 CFR 1003.201(e)); or used as fire fighting equipment (24 CFR 1003.201(c)(1)(ii)). However, ICDBG funds may be used to pay depreciation or use allowances (in accordance with OMB Circular A-87 or A-122 as applicable).

*f. Construction Tools and Equipment.* The purchase of construction tools and equipment is generally ineligible.

However, compensation for the use of such tools and equipment through leasing, depreciation, or use allowances pursuant to OMB Circulars A-87 and A-122, as applicable, for an otherwise eligible activity is an eligible use of ICDBG funds. Exceptions include construction tools and equipment purchased for use as part of a solid waste facility (24 CFR 1003.201(c)(1)(ii)) and construction tools only (not equipment) purchased for use in a housing rehabilitation project being administered by the recipient using the force account construction method (24 CFR 1003.202(b)(8)).

*g. Income Payments.* In general, assistance shall not be used for income payments for housing or any other purpose. Income payments mean a series of subsistence-type grant payments made to an individual/family for items such as food, clothing, housing (rent/mortgage) or utilities, but excludes emergency payments made over a period of up to three months to the provider of such items or services on behalf of an individual/family. Examples of ineligible income payments include the payments for income maintenance and housing allowances.

*2. Grant Ceilings:* The authority to establish grant ceilings is found at 24 CFR 1003.100(b)(1). Grant ceilings are established for FY2005 funding at the following levels:

Area ONAP	Population	Ceiling
Eastern Woodlands.	ALL .....	\$500,000
Southern Plains.	ALL .....	800,000
Northern Plains.	ALL .....	900,000
Southwest ...	50,001+ .....	5,500,000
	10,501-50,000.	2,750,000
	7,501-10,500.	2,200,000

Area ONAP	Population	Ceiling
	6,001-7,500	1,100,000
	1,501-6,000	825,000
	0-1,500 .....	605,000
Northwest ....	ALL .....	500,000
Alaska .....	ALL .....	500,000

For the Southwest Area ONAP jurisdiction, the population used to determine ceiling amounts is the Native American population that resides on a reservation or rancheria. Please contact that office before submitting your application if you are unsure of the population level to use to determine the ceiling amount for your tribe or if you believe that the level used for previous years needs to be revised or corrected. The Southwest ONAP must approve any corrections or revisions to Native American population data before you submit your application.

*F. Other Submission Requirements*

*1. Mailing and Receipt Procedures*

Specific information regarding mailing and receipt procedures for FY 2005 is located in the General Section, Section IV, F.

*2. Addresses for Submitting Applications*

HUD will only accept mailed applications if a waiver of the electronic delivery process has been approved by HUD. Information regarding electronic submission and waivers from the electronic submission requirement is located in the General Section. If a waiver of the electronic submission requirement is granted, submit the original signed application and two copies to the appropriate Area ONAP for your jurisdiction. A list identifying each Area ONAP jurisdiction is provided below.

If you are applying from this geographic location and a waiver from the electronic submission requirements has been granted, then . . . .	Send your application to this area ONAP: (Persons with hearing and/or speech challenges may access the telephone numbers listed on this page via TTY (text telephone) by calling the Federal Relay Service at 800-877-8339 (this is a toll-free number)
All States East of the Mississippi River, Plus Iowa and Minnesota.	Eastern/Woodlands Office of Native American Programs, Grants Management Division, 77 West Jackson Blvd., Room 2400, Chicago, IL 60604-3507, Telephone: (312) 886-4532, Ext. 2815 or 800-735-3239.
Louisiana, Kansas, Oklahoma, and Texas, except West Texas.	Southern Plains Office of Native American Programs, Grants Management Division, 301 N.W. 6th Street, Suite 200, Oklahoma City, OK 73102, Telephone: (405) 609-8520.
Colorado, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming.	Northern Plains Office of Native American Programs, Grants Management Division, UMB Plaza, 1670 Broadway, 23rd Floor, Denver, CO 80202-4801, Telephone: (303) 672-5465 or 888-814-2945.
Arizona, California, and Nevada .....	Southwest Office of Native American Programs, Grants Management Division, One North Central Avenue, Suite 600, Phoenix, AZ 85004-2361, Telephone: (602) 379-7220.
New Mexico and West Texas .....	Southwest Office of Native American Programs, Grants Management Division, 625 Silver Ave., SW Suite #300, Albuquerque, NM 87102-3185, Telephone: (505) 346-6923.

If you are applying from this geographic location and a waiver from the electronic submission requirements has been granted, then . . . .	Send your application to this area ONAP: (Persons with hearing and/or speech challenges may access the telephone numbers listed on this page via TTY (text telephone) by calling the Federal Relay Service at 800-877-8339 (this is a toll-free number)
Idaho, Oregon, Washington .....	Northwest Office of Native American Programs, Grants Management Division, Federal Office Building, 909 First Avenue, Suite 300, Seattle, WA 98104-1000, Telephone: (206) 220-5270.
Alaska .....	Alaska Office of Native American Programs, Grants Management Division, 3000 C. Street, Suite 401, Anchorage, AK 99503, (907) 677-9800.

**V. Application Review Information**

*A. Criteria*

1. *RC/EZ/EC-II*: Bonus points described in the General Section for projects located in *RC/EZ/EC-II* will not be awarded under this Program NOFA.

2. *Rating Factors to Evaluate and Rate Applications*: The factors for rating and

ranking applications and the points for each factor are provided below. A maximum of 100 points may be awarded under Rating Factors 1 through 5. To be considered for funding, your application must receive a minimum of 15 points under rating factor 1 and an application score of 70 out of the possible total of 100, the maximum any

project can receive. The following summarizes the points assigned to each rating factor and each rating subfactor and lists which rating subfactors apply to which project types. Please use this table to ensure you are addressing the appropriate rating subfactor for your project.

Rating factor	Rating sub-factor	Points	Project type
1 .....	Total .....	30	Minimum of 15 Points Required.
	(1)(a) .....	10 .....	All Project Types.
	(1)(b) .....	5 or 7* .....	All Project Types.
	(1)(c) .....	3 or 8* .....	All Project Types.
	(1)(d) .....	2 or 5* .....	All Project Types.
	(2)(a) .....	2 or 0* .....	All Project Types.
	(2)(b) .....	2 or 0* .....	All Project Types.
	(2)(c) .....	2 or 0* .....	All Project Types.
	(2)(d) .....	2 or 0* .....	All Project Types.
	(2)(e) .....	2 or 0* .....	All Project Types.
2 .....	Total .....	20	All Project Types.
	1 .....	5 .....	Public Facilities and Improvements and Economic Development Projects.
	(2)(a) .....	15 .....	New Housing Construction, Housing Rehabilitation, Land Acquisition to Support New Housing, and Homeownership Assistance Projects.
	(2)(b) .....	15 .....	Microenterprise Programs.
	(2)(c) .....	15 .....	
3 .....	Total .....	35	All Project Types.
	(1) .....	14 .....	All Project Types.
	(2) .....	5 .....	By Project Type.
	(3) .....	1 .....	Public Facilities and Improvements.
	(4)(a) .....	15 .....	New Housing Construction, Housing Rehabilitation, and Homeownership Assistance Projects.
	(4)(b) .....	15 .....	Economic Development Projects.
	(4)(c) .....	15 .....	Microenterprise Programs.
	(4)(d) .....	15 .....	Land Acquisition to Support New Housing.
	(4)(e) .....	15 .....	
4 .....	Total .....	10 .....	All Project Types.
5 .....	Total .....	5 .....	All Project Types.
<i>Total</i> .....	.....	100 .....	<i>Minimum of 70 Points Required.</i>

\* The first number listed indicates the maximum number of points available to current ICDBG grantees under this subfactor. The second number indicates the maximum number of points available to new applicants.

**Rating Factor 1: Capacity of the Applicant (30 Points)**

This Factor addresses the extent to which you have the organizational resources necessary to successfully implement the proposed activities in accordance with your implementation schedule. If applicable, past

performance in administering previous ICDBG grants will be taken into consideration. You must address the existence or availability of these resources for the specific type of activity for which you are applying. You must receive a minimum of 15 points under this Factor for your proposed activity to be eligible for funding. HUD will not

rate any projects further that do not receive a minimum of 15 points under this factor. Please note: If your application is funded, you will be required to submit an annual status and evaluation report which will describe the status of completed activities and any remaining work to be done (see Section VI.C. Reporting). The

implementation schedule and/or the Logic Model, Form HUD 96010, you submit for this Factor will also be measured against actual progress if you are funded.

(1) *(20 points for current ICDBG grantees) (30 points for new applicants) Managerial, Technical, and Administrative Capability.*

Your application must include documentation demonstrating that you possess or can obtain managerial, technical, and/or administrative capability necessary to carry out the proposed project. Your application must address who will administer the project and how you plan to handle the technical aspects of executing the project in accordance with your implementation schedule. Typical documents that may be submitted include, but are not limited to, resumes of proposed staff, written summaries of qualifications and past experience, job descriptions, organizational charts and staffing plans, and references or letters of endorsement from others who have worked with the proposed staff.

(a) *(10 points). Managerial and Technical Staff.*

The extent to which your application provides documentation and describes the roles/responsibilities and the knowledge/experience of your overall proposed project director and staff, including the day-to-day program manager, consultants, and contractors in planning, managing, and implementing projects in accordance with the implementation schedule for which funding is being requested. Experience will be judged in terms of recent, relevant, and successful experience of your staff to undertake eligible program activities. In rating this Factor, HUD will consider experience within the last 5 years to be recent; experience pertaining to the specific activities being proposed to be relevant; and experience producing specific accomplishments to be successful. The more recent the experience and the more experience your own staff members who work on the project have in successfully conducting and completing similar activities, the greater the number of points you will receive for this rating Factor.

*(10 Points).* The applicant has provided documentation and adequately describes the roles/responsibilities and the knowledge/experience of its overall project director and staff, including the day-to-day program manager, consultants, and contractors in planning, managing, and implementing projects for which funding is being requested. Staff experience as described in the application is recent (within 5

years), relevant (pertains to the specific activities being proposed) and successful (has produced specific accomplishments).

*(5 Points).* The applicant has provided documentation and adequately describes the roles/responsibilities and the knowledge/experience of its overall project director and staff, including the day-to-day program manager, consultants, and contractors in planning, managing and implementing projects for which funding is being requested. However, one of the following applies: staff experience as described in the application is not recent (not within 5 years), is not relevant (does not pertain to the specific activities being proposed), or is not successful (did not produce specific accomplishments).

*(0 Points).* The applicant has not provided any documentation or adequately described the roles/responsibilities and the knowledge/experience of its overall project director and staff, including the day-to-day program manager, consultants, and contractors in planning, managing, and implementing projects for which funding is being requested or more than one of the following applies: staff experience as described in the application is not recent (not within 5 years), is not relevant (does not pertain to the specific activity being proposed), or is not successful (did not produce specific accomplishments).

(b) *(5 points for current ICDBG grantees) (7 points for new applicants) Project Implementation Plan and Program Evaluation.*

The extent to which your project implementation plan identifies the specific tasks and timelines that you and your partner contractors and/or sub grantees will undertake to complete your proposed project on time and within budget. The Project Implementation Schedule, Form HUD-4125, may serve as this required schedule, provided that it is sufficiently detailed to demonstrate that you have clearly thought out your project implementation. The extent to which your project identifies, measures, and evaluates the specific benchmarks, outputs, outcomes, and/or goals of your project that enhance community viability. The Logic Model, Form HUD-96010, may serve as the format to address this information or you may provide a different format that provides the same information.

*(5 points for current ICDBG grantees) (7 points for new applicants).* The applicant submitted a project implementation plan that clearly specifies project tasks and timelines.

The documentation identifies the steps in place to make adjustments to the work plan if tasks are not completed within established time frames. The applicant submitted clear project benchmarks, outputs, outcomes, and/or targets and identified objectively quantifiable program measures and/or evaluation process.

*(3 points for current ICDBG grantees) (4 points for new applicants).* The applicant submitted a project implementation plan that specifies project tasks and timelines. The applicant submitted project benchmarks, outputs, outcomes, and/or targets for each; however, did not clearly identify objectively quantifiable program measures and/or the evaluation process.

*(0 points for current ICDBG grantees or new applicants).* The applicant submitted a project implementation schedule that does not address all project tasks and timelines associated with the project. Project benchmarks, outputs, outcomes, and/or goals were not submitted, or if submitted, did not address either the quantifiable program measures and/or the evaluation process.

(c) *(3 points for current ICDBG grantees) (8 points for new applicants) Financial Management.*

This subfactor evaluates the extent to which your application describes how your financial management systems will facilitate effective fiscal control over your proposed project and meet the requirements of 24 CFR part 85 and 24 CFR part 1003. You must also describe how you will apply your financial management systems to the specific project for which you are applying. The application must include a tribal resolution or other written document signed by the appropriate entity according to tribal practices that adopts your financial management and/or internal control policies and procedures. The application will also be rated on the seriousness/significance of the findings related to your financial management system identified in your current audit. If you are required to have an audit but do not have a current audit, you must submit a letter from your Independent Public Accountant that is dated within the past 12 months stating that your financial management system complies with all applicable regulatory requirements. If you are not required to have an audit, you will automatically receive points for this portion of the subfactor if you provide the other information required by this subfactor. For purposes of this subfactor, a current audit is one which has been submitted to the Federal Audit Clearinghouse within 9 months of the end of the



applicant's last fiscal year, or 30 days after receipt of the audit report from the auditor, whichever comes first.

*(3 points for current ICDBG grantees) (8 points for new applicants).* The applicant clearly described how it will apply its financial management systems to the proposed project. A tribal resolution or other written document signed by the appropriate entity according to tribal practices adopting financial management or internal control policies and procedures were included with the application. The applicant's current audit does not contain any serious or significant findings related to its financial management system, or if there is no current audit, the applicant submitted a letter from its Independent Public Accountant stating that its financial management system complies with all applicable regulatory requirements.

*(2 points for current ICDBG grantees) (4 points for new applicants).* The applicant's current audit does not contain any serious or significant findings related to its financial management system, or if there is no current audit, the applicant submitted a letter from its Independent Public Accountant stating that its financial management system complies with all applicable regulatory requirements. The applicant did not describe how it would apply its financial management systems to the proposed project, or it did not submit a tribal resolution or other written document adopting financial management or internal control policies and procedures. For purposes of this subfactor, a current audit is one which has been submitted to the Federal Audit Clearinghouse within 9 months of the end of the applicant's last fiscal year, or 30 days after receipt of the audit report from the auditor, whichever comes first.

*(1 point for current ICDBG grantees) (2 points for new applicants).* The applicant's current audit does not contain any serious or significant findings related to its financial management system, or if there is no current audit, the applicant submitted a letter from its Independent Public Accountant stating that its financial management system complies with all applicable regulatory requirements. The applicant did not describe how it would apply its financial management systems to the proposed project, and it did not submit a tribal resolution or other written document adopting financial management or internal control policies and procedures.

*(0 points for current ICDBG grantees or new applicants).* The applicant's current audit included serious or significant findings related to its

financial management systems or if there is no current audit, the applicant did not submit a letter from its IPA stating its financial management systems comply with all regulatory requirements. No tribal resolution or other written document adopting financial management or internal control policies and procedures were submitted with the application, and the applicant did not describe how it would apply its financial management systems to the proposed project.

*(d) (2 points for current ICDBG grantees) (5 points for new applicants)* Procurement and Contract Management.

This subfactor evaluates the extent to which your application describes how your procurement and contract management policies and procedures will facilitate effective procurement and contract control over your proposed project and meet the requirements of 24 CFR part 85 and 24 CFR part 1003. You must also describe how you will apply your procurement and contract management systems to the specific project for which you are applying. The application must include a tribal resolution or other written document signed by the appropriate entity according to tribal practices that adopts your procurement and contract management policies and procedures. The application will also be rated on the seriousness of the findings related to procurement and contract management identified in your current financial audit. If you are required to have an audit but do not have a current audit, you must submit a letter from your Independent Public Accountant stating that your procurement and contract management system complies with all applicable regulatory requirements. If you are not required to have an audit, you will automatically receive points for this portion of the subfactor if you provide the other information required by this subfactor.

*(2 points for current ICDBG grantees) (5 points for new applicants).* The applicant clearly described how its procurement and contract management policies and procedures will facilitate effective procurement and contract control over the proposed project, and meet the requirements of 24 CFR part 85 and 24 CFR part 1003. A tribal resolution or other written document signed by the appropriate entity according to tribal practices adopting procurement and contract management policies and procedures were included with the application. The applicant's current audit does not contain any serious or significant findings related to its procurement and contract management system, or if there is no

current audit, the applicant submitted a letter from its Independent Public Accountant stating that its procurement and contract management system complies with all applicable regulatory requirements.

*(1 point for current ICDBG grantees) (4 points for new applicants).* The applicant's current audit does not contain any serious or significant findings related to its procurement or contract management system, or if there is no current audit, the applicant submitted a letter from its Independent Public Accountant stating that its procurement and contract management system complies with all applicable regulatory requirements. The applicant did not describe how it would apply its procurement and contract management systems to the proposed project, or it did not submit a tribal resolution or other written document adopting procurement and contract management policies and procedures.

*(0 points for current ICDBG grantees or new applicants).* The applicant's current audit included serious or significant findings related to its procurement and contract management systems or if there is no current audit, the applicant did not submit a letter from its IPA stating its procurement and contract management systems comply with all regulatory requirements. No tribal resolution or other written document adopting procurement or contract management policies and procedures were submitted with the application, and the applicant did not describe how it would apply its procurement and contract management systems to the proposed project.

*(2) (10 points for current ICDBG grantees) (0 points for new applicants)* Past Performance.

HUD will evaluate your experience in producing timely products and reports in any previous grant programs undertaken with HUD funds for the following performance measures. HUD reserves the right to take into account your past performance in meeting performance and reporting goals on any previous HUD awards. Applicants are not required to respond to the subfactors related to past performance. HUD will rely on information on file.

*(a) (2 points for current ICDBG grantees) (0 points for new applicants).* You have had satisfactory progress in meeting the time frames established in the HUD-approved Implementation Schedule for the ICDBG Program.

*(2 points).* The applicant has made satisfactory progress in meeting the timeframes established in the implementation schedule, or was behind schedule but the applicant has



an approved revised implementation schedule that was submitted prior to application deadline.

(0 points). The applicant has not made satisfactory progress meeting timeframes in the most recently approved implementation schedule.

(b) (2 points for current ICDBG grantees) (0 points for new applicants).

(2 points). The applicant has submitted both the Annual Status and Evaluation Reports and Federal Cash Transaction Reports for ICDBG programs in a timely manner.

(1 point). The applicant has submitted either the Federal Cash Transaction Reports or the Annual Status and Evaluation Reports for ICDBG programs in a timely manner.

(0 points). The applicant has not submitted either of the required reports in a timely manner.

(c) (2 points for current ICDBG grantees) (0 points for new applicants). You have submitted close-out documents to HUD in a timely manner. Close-out documents are required for the ICDBG Program within 90 days of the date it is determined that the criteria for close-out at 24 CFR 1003.508 have been met.

(2 points). The applicant submitted close-out documents to HUD in accordance with the timeframe and criteria at § 1003.508.

(0 points). The applicant has not submitted close-out documents to HUD as required by § 1003.508.

(d) (2 points for current ICDBG grantees) (0 points for new applicants). You have submitted annual audits in a timely fashion in accordance with the ICDBG requirements and OMB Circular A-133 and its compliance supplements.

(2 points). The applicant has submitted annual audits in accordance with ICDBG requirements and OMB Circular A-133 and its compliance supplements, or if the applicant has not been required to submit an audit, it will receive 2 points.

(0 points). The applicant has not submitted annual audits in accordance with ICDBG requirements and OMB Circular A-133 and its compliance supplements.

(e) (2 points for current ICDBG grantees) (0 points for new applicants). You have resolved in a timely manner ICDBG monitoring findings and controlled audit findings or there are no findings in current reports.

(2 points). The applicant resolved open ICDBG monitoring findings and controlled audit findings in a timely manner. If there were no open audit or ICDBG monitoring findings (current grantees only), the applicant will receive 2 points.

(0 points). The applicant has not resolved open ICDBG monitoring findings and controlled audit findings in a timely manner.

Rating Factor 2: Need/Extent of the Problem (20 points)

This factor addresses the extent to which there is a need for the proposed project to address a documented problem among the intended beneficiaries.

(1) (up to 5 points). Your application includes quantitative documentation demonstrating that the proposed project meets an essential community development need by providing outcomes that are critical to the viability of the community.

(2) (15 points). Your project benefits the neediest segment of the population, in accordance with the Program's primary objective defined at 24 CFR 1003.2. The criteria for this sub-factor vary according to the type of project for which you are applying. Please note that you may submit data that are unpublished and not generally available in order to meet the requirements of this section. However, to do so, you must submit a demographic data statement along with supporting documentation as described in Section IV.B.2.a. For documenting persons employed by the project, you do not need to submit a demographic data statement and corresponding documentation. However, you do need to submit information that describes the nature of the jobs created or retained. Such information includes but is not limited to proposed job descriptions, salaries and the number of full-time equivalent positions. If you believe jobs will be retained as a result of the ICDBG project, include information that show clearly and objectively, that jobs will be lost without the ICDBG project. Jobs that are retained only for the period of the grant will not count under this rating factor.

(a) *Public Facilities and Improvements and Economic Development Projects*. The proposed activities benefit the neediest segment of the population, as identified below. For economic development projects, you may consider beneficiaries of the project as persons served by the project and/or persons employed by the project, and jobs created or retained by the project.

(15 points). 85 percent or more of the beneficiaries are low- or moderate-income.

(10 points). At least 75 percent but less than 85 percent of the beneficiaries are low- or moderate-income.

(5 points). At least 55 percent but less than 75 percent of the beneficiaries are low- or moderate-income.

(0 points). Less than 55 percent of the beneficiaries are low- or moderate-income.

(b) New Housing Construction, Housing Rehabilitation, Land Acquisition to Support New Housing, and Homeownership Assistance Projects. The need for the proposed project is determined by utilizing data from the tribe's 2005 IHBG formula information. The ratio is based on the dollars allocated to a tribe under the IHBG Program for Need divided by the sum of the number of AIAN households in the following categories:

- Annual income less than 30 percent of median income;
- Annual income between 30 percent and 50 percent of median income;
- Annual income between 50 percent and 80 percent of median income;
- Overcrowded or without kitchen or plumbing;
- Housing cost burden greater than 50 percent of annual income;
- Housing shortage (Number of low-income AIAN households less total number of NAHASDA and Formula Current Assisted Stock).

This ratio is computed for each tribe and contained in Appendix A.

(15 points). The dollar amount for the Indian tribe is \$354–\$675 or the tribe's total FY2005 IHBG amount was \$100,000 or less and Appendix A of this NOFA indicates that the Indian tribe has no AIAN households experiencing income or housing problems.

(10 points). The dollar amount for the Indian tribe is \$67–\$1,200.

(5 points). The dollar amount for the Indian tribe is \$1,201–\$1,999.

(0 points). The dollar amount for the Indian tribe is \$2,000 or higher, or Appendix A indicates that the Indian tribe has no AIAN households experiencing income or housing problems.

(c) *Microenterprise Programs*.

A microenterprise is a business that has five or fewer employees, one or more of whom owns the enterprise. The owner(s) of the microenterprise must be low- or moderate-income and the majority of the jobs created or retained will be for low- or moderate-income persons. To evaluate need, the nature of the jobs created or retained will be evaluated. The owners of the microenterprises are low- and moderate-income and:

(15 points). All employees are low- or moderate-income.

(10 points). At least 75 percent but less than 100 percent of the employees are low- or moderate-income.

(5 points). At least 50 percent but less than 75 percent of the employees are low- or moderate-income.

(0 points). Less than 50 percent of the employees are low- and moderate-income.

**Rating Factor 3: Soundness of Approach (35 Points)**

This factor addresses the quality and anticipated effectiveness of your proposed project's outcomes in enhancing community viability and in meeting the needs you have identified in Rating Factor 2 and the commitment to sustain your proposed project. The populations that were described in demographics that documented need should be the same populations that will receive the primary benefit of the proposed project.

(1) (14 points). Description of and Rationale for Proposed Project.

(14 points). The proposed project is a viable and cost effective approach to address the needs outlined under Rating Factor 2 of your application. The proposed project is described in detail and indicates why you believe the proposed project will be most effective in addressing the identified need. The proposed outcomes for the project clearly describe how the community's viability will be enhanced, including selection of measures listed in Rating Factor 5. The application includes a description of the size, type and location of the project and a rationale for project design. The application must also include anticipated cost savings due to innovative program design or construction methods. For land acquisition to support new housing projects, you must establish that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low- and moderate-income households to benefit from the project.

(9 points). The proposed project is a viable and cost effective approach to address the needs outlined under Rating Factor 2 of the application. The project is described in detail and indicates why you believe the project will be most effective in addressing the identified need. Proposed outcomes that will enhance the community's viability are included. The application includes a description of the size, type and location of the project as well as a rationale for project design. For land acquisition to support new housing projects, the applicant has established that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low- and moderate-income households to benefit from this project. The application does not include anticipated cost savings due to innovative program design and/or construction methods.

(5 points). The proposed project is a viable and cost effective approach to address the needs outlined under Rating Factor 2 of the application. The project is described and indicates why you believe the project will be most effective in addressing the identified need. Proposed outcomes are included but do not describe how the project will enhance community viability. The application includes a description of the size, type, and location of the project. For land acquisition to support new housing projects, the applicant has established that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low- and moderate-income households to benefit from the project. The application does not include anticipated cost savings due to innovative program design and/or construction methods.

(0 points). The proposed project is not a viable and cost effective approach to address the needs outlined under Rating Factor 2 of the application. The proposed project is not described in detail with an indication of why the applicant believes the project will be most effective in addressing the identified need. Proposed outcomes describing how the project will enhance community viability are not included. For land acquisition to support new housing projects, the applicant has not established that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low- and moderate-income households to benefit from the project. The application does not include anticipated cost savings due to innovative program design and/or construction methods.

(2) (5 points). Budget and Cost Estimates.

The quality, thoroughness, and reasonableness of the proposed project budget are documented. Cost estimates must be broken down by line item for each proposed activity, including planning and administration costs, and documented. You must submit documentation listing the qualifications of the person who prepared the cost estimate.

(3) (1 point). HUD Policy Priorities.

Your application addresses the goals for "Improving Our Nation's Communities", or "Energy Star", two of HUD's 2005 Policy Priorities, as described in Section V. B. 2 of the General Section. You must describe which of these two Policy Priorities you select and describe how your activity will meet the applicable goals.

(4) (15 points). *Commitment to Sustain Activities.*

Your application demonstrates your commitment to your community's

viability by sustaining your proposed activities. The information provided is sufficient to determine that the project will proceed effectively.

The criteria for this sub-factor vary according to the type of project for which you are applying.

(a) Public Facilities and Improvement Projects.

(15 points). If a tribe assumes operation and maintenance responsibilities for the public facilities and improvements, a tribal resolution is included in the application that adopts the operation and maintenance plan and commits the necessary funds to provide for these responsibilities. In addition, the operation and maintenance plan is included in the application and addresses maintenance, repairs, insurance, security, and replacement reserves and includes a cost breakdown for annual expenses. If an entity other than the tribe commits to pay for operation and maintenance for the public facilities, a letter of commitment from the entity is included in the application that identifies the maintenance responsibilities and, if applicable, responsibilities for operations the entity will assume as well as necessary funds to provide for these responsibilities. Submission of the operation and maintenance plan is not required when an entity other than the tribe assumes operation and maintenance responsibilities. For public facility buildings only, a tribal resolution or letter of commitment is included in the application that identifies the source of and commits the necessary operating funds for any recreation, social or other services to be provided. In addition, letters of commitment from service providers are included which address both operating expenses and space needs.

(10 points). If a tribe assumes operation and maintenance responsibilities for the public facilities and improvements, a tribal resolution is included in the application that adopts the operation and maintenance plan and commits the necessary funds to provide for these responsibilities. In addition, the operation and maintenance plan is included in the application and addresses most of the following items (maintenance, repairs, insurance, security, and replacement reserves) but does not include a satisfactory cost breakdown for annual expenses. If an entity other than the tribe commits to pay for operation and maintenance for the public facilities and maintenance, a letter of commitment from the entity is included in the application that identifies the maintenance responsibilities and, if applicable,

responsibilities for operations the entity will assume but no information committing the necessary funds to provide for these responsibilities is included. Submission of the operation and maintenance plan is not required when an entity other than the tribe assumes operation and maintenance responsibilities. For community buildings only, a tribal resolution or letter of commitment is included in the application that identifies the source of and commits the necessary operating funds for any recreation, social or other services to be provided. In addition, letters of commitment from service providers are included which address both operating expenses and space needs. Information provided is sufficient to determine that the project will proceed effectively.

(5 points). If a tribe assumes operation and maintenance responsibilities for the public facilities and improvements, a tribal resolution is included in the application that adopts the operation and maintenance plan and commits the necessary funds to provide for these responsibilities, or the operation and maintenance plan is included in the application and addresses most of the following items (maintenance, repairs, insurance, security, and replacement reserves). If an entity other than the tribe commits to pay for operation and maintenance for the public facilities and maintenance, the maintenance provider is identified and, if applicable, responsibilities for operations the entity will assume, but no letter of commitment is included. For public facility buildings only, no tribal resolution or letter of commitment is included in the application that identifies the source of and commits the necessary operating funds for any recreation, social or other services to be provided. However, letters of commitment to provide services are included but they do not address operating expenses and space needs. Information provided is sufficient to determine that the project will proceed effectively.

(0 points). None of the above criteria is met.

(b) *New Housing Construction, Housing Rehabilitation, and Homeownership Assistance Projects.*

(15 points). The ongoing maintenance responsibilities are clearly identified for the tribe and/or the participants, as applicable. Any participant maintenance responsibilities are included on a statement to be signed by the participant as a condition of receiving grant assistance and the statement to be used is included in the application. If the tribe or another entity

is assuming maintenance responsibilities, then the applicant must submit either a tribal resolution or letter of commitment to that effect.

(10 points). Maintenance responsibilities are identified, but lacking in detail, and the above statement (if applicable) to be signed by the participant, or the tribal resolution or letter of commitment regarding maintenance responsibilities is submitted.

(5 points). Tribal maintenance responsibilities are identified but participant responsibilities are either not addressed or do not exist, or there is no tribal resolution or letter of commitment or statement signed by the participant.

(0 points). None of the above criteria is met.

(c) *Economic Development Projects.*

You must include information or documentation which addresses or provides all of the following in the application: a description of the organizational system and capacity of the entity that will operate the business; documents which show that formal provisions exist for separation of government functions from business operating decisions, an operating plan for the project, and the feasibility and market analysis of the proposed business activity and the financial viability of the project.

Appropriate documents to include in the application to address these items include:

(i) Articles of incorporation, by-laws, resumes of key management positions and board members for the entity who will operate the business.

(ii) Business operating plan.

(iii) Market study no more than two years old and which has been conducted by an independent entity.

(iv) Feasibility study no more than two years old which indicates how the proposed business will capture a fair share of the market, and which has been conducted by an independent entity.

(v) Detailed cost summary for the development of the project.

(vi) Five year operating or cash flow financial projections.

(vii) For the expansion of an existing business, copies of financial statements for the most recent three years (or the life of the business, if less than three years).

The submitted documentation will be evaluated to determine the project's financial chance for success. The following information must be addressed to meet this requirement:

(i) Does the business plan seem thorough and the organization structure

have quality control and responsibilities built in?

(ii) Does the business plan or market analysis indicate that a substantial market share is likely within five years?

(iii) Do the costs appear to be reasonable given projected income and information about inputs?

(iv) Does the business plan or cash flow analysis indicate that cash flow will be positive within the first year?

(v) Is the financial statement clean with no indications of concern by the auditor?

(15 points). All above documents applicable to the proposed project are included in your application and provide evidence that the project's chance for financial success is excellent.

(8 points). All or most of the above documents applicable to the proposed project are included and provide evidence that the project's chance for financial success is reasonable.

(0 points). Neither of the above criteria is met.

(d) *Microenterprise Programs.*

You must include the following information or documentation in the application that addresses or provides a description of how your microenterprise program will operate. Appropriate information to include in the application to address program operations includes:

(i) Program description. A description of your microenterprise program including the types of assistance offered to microenterprise applicants and the types of entities eligible to apply for such assistance.

(ii) Processes for selecting applicants. A description of your processes for analyzing microenterprise applicants' business plans, market studies and financial feasibility. For credit programs, you must describe your process for determining the loan terms (*i.e.* interest rate, maximum loan amount, duration, loan servicing provisions) to be offered to individual microenterprise applicants.

(15 points). All of the above information or documentation applicable to the proposed project are thoroughly addressed in the application and the chances for success are excellent.

(8 points). All or most of the above information or documentation applicable to the proposed project are addressed in the application and the chances for success are reasonable.

(0 points.) Neither of the above criteria is met.

(e) *Land Acquisition Projects to Support New Housing.*

Submissions must include the results of a preliminary investigation

conducted by a qualified independent entity demonstrating that the proposed site has suitable soil conditions for housing and related infrastructure, potable drinking water is accessible for a reasonable cost, access to utilities, vehicular access, drainage, nearby social and community services, and no known environmental problems.

(15 points.) The submissions include all of the above-mentioned items and all necessary infrastructure is in place.

(8 points.) The submissions demonstrate that the proposed site(s) is/are suitable for housing but that not all necessary infrastructure is in place. A detailed description of resources to be used and a detailed implementation schedule for development of all necessary infrastructure demonstrates that such infrastructure, as needed for proposed housing development, will be developed in time for such development, but no later than two years after site purchase.

(0 points.) Neither of the above criteria is met.

**Rating Factor 4: Leveraging Resources (10 Points)**

HUD believes that ICDBG funds can be used more effectively to benefit a larger number of Native American and Alaska Native persons and communities if projects are developed that use tribal resources and resources from other entities in conjunction with ICDBG funds. To encourage this, we will award points based on the percentage of non-ICDBG resources provided relative to project costs as follows:

Non-ICDBG resources to project costs	Points
Less than 5 percent .....	0
At least 5 percent but less than 10 percent .....	2
At least 10 percent but less than 15 percent .....	4
At least 15 percent but less than 20 percent .....	6
At least 20 percent but less than 25 percent .....	8
25 percent or more .....	10

Contributions which could be considered as leveraged resources for point award include, but are not limited to: Tribal trust funds; loans from individuals or organizations; private foundations; businesses; state or federal loans or guarantees; other grants including IHBG (also known as NAHBG) funds; donated goods and services needed for the project; land needed for the project; and, direct administrative costs. With the exception of land acquisition, funds that have been expended on the project prior to

application submission will not be counted as leverage. Applicants are reminded that environmental review requirements under 24 CFR part 58 apply to the commitment or use of both ICDBG and non-ICDBG funds in a leveraged project. See Section VI.B.a. for information related to this requirement.

Contributions that will not be considered include, but are not limited to: Indirect administrative costs as identified in OMB Circular A-87, attachment A, section F; contributions of resources to pay for anticipated operations and maintenance costs of the proposed project; and, in the cases of expansions to existing facilities, the value of the existing facility.

To be considered for point award, letters of firm or projected commitments, memoranda of understanding, or agreements to participate from any entity, including the tribe, which will be providing a contribution to the project, must accompany the application. The documentation must be received by HUD in the paper application package (if you have received a waiver of the electronic submission requirement) or for electronically submitted applications, the documentation must be scanned and submitted as part of the application documents or sent by facsimile transmittal. Applicants should follow the requirements for facsimile transmittal requirements in the General Section. All documents submitted must be received by the application submission dates and meet the timely receipt requirements to receive funding consideration.

To demonstrate the commitment of tribal resources, the application must contain a council resolution or legal equivalent that identifies and commits the tribal resources to the project, subject to approval of the ICDBG assistance. In the case of IHBG (also known as NAHBG) funds, whether the tribe or a TDHE administers them, an approved IHP must identify and commit the IHBG (also known as NAHBG) resources to the project. If the tribe/ TDHE intends to include the leveraged commitment in a future IHP, the application must contain a council resolution or legal equivalent that identifies and commits the IHBG (also known as NAHBG) resources to the project subject to the same requirements as above.

To demonstrate the commitment of public agency, foundation, or other private party resources, a letter of commitment, memorandum of understanding, and/or agreement to participate, including any conditions to which the contribution may be subject,

must be submitted with the application. All letters of commitment must include the donor organization's name, the specific resource proposed, the dollar amount of the financial or in-kind resource and method for valuation, and the purpose of that resource within the proposed project. An official of the organization legally authorized to make commitments on behalf of the organization must sign the commitment.

HUD recognizes that in some cases, firm commitments of non-tribal resources may not be obtainable by your tribe by the application submission deadline. For such projected resources, your application must include a statement from the contributing entity that describes why the firm commitment cannot be made at the current time and affirms that your tribe and the proposed project meets eligibility criteria for receiving the resource. In addition, a date by which the funding decisions will be made must be included. This date cannot be more than six months from the anticipated date of grant approval by HUD. Should HUD not receive notification of the firm commitment within 6 months of the date of grant approval, HUD will recapture the grant funds approved and will use them in accordance with the requirement of 24 CFR 1003.102.

In addition to the above requirements, for all contributions of goods, services and land, you must demonstrate that the donated items are necessary to the actual development of the project and include comparable costs that support the donation. Land valuation must be established using one of the following methods and the documentation must be contained in the application: A site specific appraisal no more than two years old; an appraisal of a nearby comparable site also no more than two years old; a reasonable extrapolation of land value based on current area realtor value guides; or, a reasonable extrapolation of land value based on recent sales of similar properties in the same area.

**Rating Factor 5: Comprehensiveness and Coordination (5 Points)**

This factor addresses the extent to which your project planning and proposed implementation reflect a coordinated, community-based process of identifying and addressing needs including assisting beneficiaries and the program to achieve self-sufficiency/ sustainability. Please note that the Logic Model, HUD Form 96010, is not required for Rating Factor 5 under the ICDBG Program. However, applicants may use this form to address program evaluation requirements under Rating

Factor 1.(1).(b) of this Program NOFA, and measurable outputs and outcomes in Section (2) of this factor.

(1) (2 points). The application addresses the extent to which you have coordinated your proposed ICDBG activities with other organizations and/or tribal departments that are not providing direct financial support to your proposed work activities, but with which you share common goals and objectives and are working toward meeting these objectives in a holistic and comprehensive manner. For example, your project is consistent with and, to the extent possible, identified in the IHP (One-Year Financial Resources Narrative; Table 2, Financial Resources, Part I., Line 1E; and, Table 2, Financial Resources, Part II) submitted by you or on your behalf for the IHBG (also known as NAHBG) Program. If the IHP for the IHBG (also known as NAHBG) program year that coincides with the implementation of the ICDBG proposed project has not been submitted, you must provide an assurance that when submitted, the IHP will specifically reference the proposed project.

(2) (3 points). Your proposed project will have measurable outputs and outcomes that will enhance community viability.

Outputs must include, where applicable:

- Number of houses rehabilitated;
- Number of jobs created or obtained;
- Square feet for any public facility;
- Number of education or job training opportunities provided;
- Number of homeownership units constructed or financed;
- Number of businesses assisted (including number of minority/Native American);
- Number of families proposed to be assisted with a drug-elimination program, or with a program to reduce or eliminate health related hazards.

Outcomes must include, where appropriate:

- Reduction in the number of families living in substandard housing;
- Increased income resulting from employment generated by project;
- Increased quality of life due to services provided by the public facility;
- Increased economic self-sufficiency of recipients of program beneficiaries;
- Increase in homeownership rates;
- Reduction of drug-related crime or health related hazards.

## B. Reviews and Selection Process

### 1. Application Selection Process

You must meet all of the applicable threshold requirements listed in Section III.C.3. and 4. Your application must

meet all screening for acceptance requirements and all identified applicant and project specific thresholds. HUD will review each application and assign points in accordance with the selection factors described in this section.

### 2. Threshold Compliance

The Area ONAP will review each application that passes the screening process to ensure that each applicant and each proposed project meets the applicant threshold requirements set forth in 24 CFR 1003.301(a) and the project specific threshold requirements set forth in 24 CFR 1003.302 and III.V.C.3 and 4 of this Program NOFA.

### 3. Past Performance

An applicant's past performance is evaluated under Rating Factor 1, Capacity of the Applicant. Applicants are encouraged to address all performance-related criteria prior to submission of an application. An applicant must score a minimum of 15 points under Rating Factor 1 in order to meet the minimum point requirements outlined below in this Program NOFA.

### 4. Rating Panels

The Area ONAP office for your jurisdiction, as listed in Section IV.F.2., will rate applications. Rating panels may be used only for the summary review, after the application is rated, as discussed in Section V.B.5. below.

### 5. Rating

The Area ONAP will review and rate each project that meets the acceptance criteria and threshold requirements. After the applications are rated, a summary review of all applications will be conducted to ensure consistency in the application rating. The summary review will be performed by either the Grants Management Director (or designee) or by a panel composed of up to three staff members.

The total points for all rating factors are 100. A maximum of 100 points may be awarded under Rating Factors 1 through 5.

### 6. Minimum Points

To be considered for funding, your application must receive a minimum of 15 points under Rating Factor 1 and an application score of 70 out of the possible total of 100.

### 7. Ranking

All projects will be ranked against each other according to the point totals they receive, regardless of the type of project or component under which the points were awarded. Projects will be

selected for funding based on the final ranking to the extent that funds are available. The Area ONAP will determine individual grant amounts in a manner consistent with the considerations set forth in 24 CFR 1003.100(b)(2). Specifically, the Area ONAP may approve a grant amount less than the amount requested. In doing so, the Area ONAP may take into account the size of the applicant, the level of demand, the scale of the activity proposed relative to need and operational capacity, the number of persons to be served, the amount of funds required to achieve project objectives, and the reasonableness of the project costs. If the Area ONAP determines that there are not enough funds available to fund a project as proposed by the applicant, it may decline to fund that project and may fund the next highest-ranking project or projects for which adequate funds are available. The Area ONAP may select, in rank order, additional projects for funding if one of the higher-ranking projects is not funded or if additional funds become available.

### 8. Tiebreakers

When rating results in a tie among projects and insufficient resources remain to fund all tied projects, the Area ONAP will approve projects that can be fully funded over those that cannot be fully funded. When that does not resolve the tie, the Area ONAP will use the following factors in the order listed to resolve the tie:

(a) The applicant that has not received an ICDBG over the longest period of time.

(b) The applicant with the fewest active ICDBGs.

(c) The project that would benefit the highest percentage of low- and moderate-income persons.

### 9. Technical Deficiencies and Pre-award Requirements

a. *Technical Deficiencies*: If there are technical deficiencies in successful applications, you must satisfactorily address these deficiencies before HUD can make a grant award. After the application submission deadline, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you to clarify an item in your application or to correct technical deficiencies. HUD may not seek clarification of items or qualities that improve the substantive quality of your response to any rating factors. In order not to unreasonably exclude applications from being rated and

ranked, HUD may contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. Examples of curable (correctable) technical deficiencies include failure to submit the proper certifications or failure to submit an application signed by an authorized official. In each case, HUD will notify applicants by facsimile or by USPS, return receipt requested. Clarifications or corrections of technical deficiencies in accordance with the information provided by HUD must be received within 14 calendar days of the date of receipt of the HUD notification. (If the submission date falls on a Saturday, Sunday, or federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or federal holiday). If the technical deficiency is not corrected within this time period, HUD will reject the application as incomplete and it will not be considered for funding.

**b. Pre-award Requirements.** Successful applicants may be required to provide supporting documentation concerning the management, maintenance, operation, or financing of proposed projects before a grant agreement can be executed. Such documentation may include additional specifications on the scope, magnitude, timing or method of implementing the project; or information to verify the commitment of other resources required to complete, operate, or maintain the proposed project. HUD will notify applicants of any pre-award requirements by fax or by USPS, return receipt required. Responses to pre-award requirements must be received by the Area ONAP within 30 calendar days of receipt of the HUD notification. No extensions will be provided. If you do not respond within the prescribed period or your response is insufficient, the Area ONAP will determine that you have not met the requirements and will withdraw the grant offer. You may not substitute new projects for those originally proposed in your application and any new information will not affect your project's rating and ranking. The Area ONAP will award, in accordance with the provisions of this Program NOFA, grant amounts that had been allocated for applicants unable to meet pre-award requirements.

#### 10. Error and Appeals

Judgments made within the provisions of this Program NOFA and the program regulations (24 CFR part 1003) are not subject to claims of error. You may bring arithmetic errors in the rating and ranking of applications to the attention of the Area ONAPs within 30

days of being informed of your score. Please see Section VI.A.3 of the General Section for further information regarding errors.

#### 11. Performance and Compliance Actions of Funding Recipients

HUD will measure and address the performance and compliance actions of funding recipients in accordance with the applicable standards and sanctions of their respective programs.

### VI. Award Administration Information

#### A. Anticipated Announcement and Award Dates

Awards are expected to be announced by October 31, 2005. Once a Congressional Release date has been obtained, a grant award letter, a grant agreement, and other forms and certifications will be mailed to the recipient for signature and return to the Area ONAP.

As soon as rating and ranking are completed and it has been determined that the applicant has complied with any pre-award requirements (see Section V.B.9.b. of this Program NOFA), the grant will be awarded. The grant agreement, which is signed by HUD and the recipient, establishes the conditions by which both the Area ONAP and the recipient must abide during the life of the grant. All grants are conditioned upon the completion of all environmental obligations and approval of release of funds by the Area ONAP in accordance with the requirements of 24 CFR part 58. HUD may impose other grant conditions if additional actions or approvals are required before the use of funds.

#### B. Administrative and National Policy Requirements

##### 1. Statutory and Regulatory Requirements

**a. Environmental Requirements.** As required by 24 CFR 1003.605, ICDBG grantees must perform environmental reviews of ICDBG activities in accordance with 24 CFR part 58 (as amended 9/29/03). Grantees and other participants in the development process may not commit or expend any ICDBG or nonfederal funds on project activities (other than those listed in 24 CFR 58.22(f), 58.34 or 58.35(b)) until HUD has approved a Request for Release of Funds and environmental certification submitted by the grantee. The expenditure or commitment of ICDBG or nonfederal funds for such activities prior to HUD approval may result in the denial of assistance for the project or activities under consideration.

**b. Indian Preference.** HUD has determined that the ICDBG program is subject to Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e(b)). The provisions and requirements for implementing this section are in 24 CFR 1003.510.

**c. Anti-discrimination Provisions.** Under the authority of Section 107(e)(2) of the CDBG statute, HUD waived the requirement that recipients comply with the anti-discrimination provisions in Section 109 of the CDBG statute with respect to race, color, and national origin. You must comply with the other prohibitions against discrimination in Section 109 (HUD's regulations for Section 109 are in 24 CFR part 6) and with the Indian Civil Rights Act.

**d. Conflict of Interest.** In addition to the conflict of interest requirements with respect to procurement transactions found in 24 CFR 85.36 and 84.42, as applicable, the provisions of 24 CFR 1003.606 apply to such activities as the provision of assistance by the recipient or sub-recipients to businesses, individuals, and other private entities under eligible activities that authorize such assistance.

**e. Economic Opportunities for Low- and Very Low-Income Persons (Section 3).** Section 3 requirements apply to the ICDBG Program, but as stated in 24 CFR 135.3(c), the procedures and requirements of 24 CFR part 135 apply to the maximum extent consistent with, but not in derogation of, compliance with Indian Preference.

#### 2. OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs

The policies, guidance and requirements of OMB Circular A-87, Cost Principles Applicable to Grants, Contracts and other Agreements with State and Local Governments; and OMB Circular A-122, Cost Principles for Nonprofit Organizations; and OMB Circular A-133, Audits of State and Local Governments, and Nonprofit Organizations; and the regulations at 24 CFR part 85, Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments apply to the award, acceptance, and use of assistance under the ICDBG program and to the remedies for noncompliance, except when inconsistent with the provisions of the Consolidated Appropriations Act, 2005 (Pub. L. 108-447; approved December 8, 2004) or the ICDBG program regulations at 24 CFR part 1003. Copies of the OMB Circulars may be obtained from EOP publications. Room 22000, New

Executive Office Building, Washington, DC 20503, telephone (202) 395-3080 (this is not a toll-free number) or (800) 877-8339 (TTY Federal Information Relay Service). Information may also be obtained from the OMB website at <http://www.whitehouse.gov/omb/circulars/index.html>.

### C. Reporting

#### 1. Post Award Reporting Requirements

a. *Quarterly Financial Reports.* Grant recipients must submit quarterly to the Area ONAP a SF-272, Federal Cash Transaction Report. The report accounts for funds received and disbursed by the recipient.

b. *Annual Status and Evaluation Report.* Recipients are required to submit this report in narrative form annually. The report is due 45 days after the end of the Federal fiscal year and at the time of grant close-out. The report must include:

(1) The narrative report must address the progress made in completing approved activities and include a list of work remaining, along with a revised implementation schedule if necessary. This should include progress on any outputs or outcomes specified in Rating Factor 5 and incorporated into the final award document;

(2) A breakdown of funds spent on each major project activity or category; and

(3) If the project has been completed, an evaluation of the effectiveness of the project in meeting the community development needs of the grantee, as well as the final outputs and outcomes.

c. *Minority Business Enterprise Report.* Recipients must submit this report on contract and subcontract activity during the first half of the fiscal year by April 10 and, by October 10 for the second half of the fiscal year.

d. *A close-out report must be submitted by the recipient within 90 days of completion of grant activities.* The report consists of the final Financial Status Report (forms SF 269 or 269A),

the final Status and Evaluation Report including outposts and outcomes agreed upon in the final award document relating to Rating Factor 5 and the Close-Out Agreement.

More information regarding these requirements may be found at 24 CFR 1003.506 and 1003.508.

### VII. Agency Contact(s)

#### A. General Questions

You should direct general program questions to the Area ONAP serving your area or to Barbara Gallegos, at 602-379-7215. Persons with speech or hearing impairments may call HUD's TTY number (202) 708-0770, or 1-800-877-8339 (the Federal Information Relay Service TTY). Other than the "800" numbers, these numbers are not toll-free. You should direct questions concerning downloading the electronic application, registering with *Grants.gov*, or other questions regarding the electronic application to the *Grants.gov* support desk at 800-518-GRANTS. You may also send an e-mail to [Support@Grants.gov](mailto:Support@Grants.gov).

#### B. Technical Assistance

Before the application submission deadline, HUD staff will be available to provide you with general guidance and technical assistance about the requirements in the General Section and this Program NOFA. However, HUD staff is not permitted to assist in preparing your application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award.

### VIII. Other Information

#### A. NOFA Training

Training for potential applicants on the requirements of the General Section and this Program NOFA will be provided by HUD via broadcast and webcast. Information on the training can be found in the General Section. The

training schedule can be found on HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

#### B. Paperwork Reduction Act Statement

The information collection requirements in this NOFA have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2577-0191. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond, to a collection of information unless the collection displays a valid OMB control number. Public reporting burden for the collection of information is estimated to average 43 hours per annum for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

*Appendix A: Data to Determine Need for Factor 2* (for applicants for New Housing Construction, Housing Rehabilitation, Land Acquisition to Support New Housing, and Homeownership Assistance Projects). For applicants submitting applications for New Housing Construction, Housing Rehabilitation, Land Acquisition to Support New Housing, and Homeownership Acquisition Projects: The need for the proposed project for Factor 2 is determined by utilizing data from the tribe's 2005 IHBG formula information. The data is contained in Appendix A. Should you disagree with this information, please consult the IHBG formula customer service center at (800) 410-8808 for the process for challenging IHBG formula data. Persons with hearing and/or speech challenges should call 1-800-505-5908 (TTY).

**BILLING CODE 4210-32-P**

**Appendix A**  
**for use in Rating Factor 2**

(IHBG Need Dollars Relative to  
Low Income Households  
and Housing Conditions, based on FY 2005 IHBG formula)

\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
ALASKA	Afognak	\$1,101		ALASKA	Cantwell	\$819
ALASKA	Ahtna, Incorporated	\$1,175		ALASKA	Chalkyitsik	\$1,226
ALASKA	Akhiok	\$1,021		ALASKA	Chanega	\$1,250
ALASKA	Akiachak	\$1,126		ALASKA	Cheesh-Na	\$955
ALASKA	Akiak	\$1,261		ALASKA	Chefornak	\$1,353
ALASKA	Akutan	\$916		ALASKA	Chevak	\$1,194
ALASKA	Alakanuk	\$1,136		ALASKA	Chickaloon	\$756
ALASKA	Alatna	\$1,228		ALASKA	Chignik	\$1,293
ALASKA	Aleknagik	\$988		ALASKA	Chignik Lagoon	\$2,083
ALASKA	Aleut Corporation	\$12,500		ALASKA	Chignik Lake	\$1,206
ALASKA	Algaaciq (St. Mary's)	\$1,450		ALASKA	Chilkat	\$731
ALASKA	Allakaket	\$1,184		ALASKA	Chilkoot	\$794
ALASKA	Ambler	\$1,112		ALASKA	Chitina	\$1,156
ALASKA	Anaktuvuk Pass	\$1,406		ALASKA	Chuatbaluk	\$1,069
ALASKA	Andreafski	\$1,010		ALASKA	Chugach Alaska Corp.	\$912
ALASKA	Angoon	\$815		ALASKA	Chuloonawick	N/A
ALASKA	Aniak	\$1,121		ALASKA	Circle	\$1,106
ALASKA	Annette Island (Metlakakla)	\$832		ALASKA	Clark's Point	\$1,174
ALASKA	Anvik	\$1,104		ALASKA	Cook Inlet Alaska Native Regional Corporation	\$830
ALASKA	Arctic Slope Regional Corp.	N/A		ALASKA	Council	N/A
ALASKA	Arctic Village	\$1,289		ALASKA	Craig	\$890
ALASKA	Atka	\$1,060		ALASKA	Crooked Creek	\$1,168
ALASKA	Atmautluak	\$1,246		ALASKA	Curyung (Dillingham)	\$1,189
ALASKA	Atkasuk (Atkasook)	\$1,824		ALASKA	Deering	\$1,237
ALASKA	Baranof Island Regional Corporation	\$808		ALASKA	Dot Lake	\$926
ALASKA	Barrow	\$1,415		ALASKA	Douglas	\$684
ALASKA	Beaver	\$1,102		ALASKA	Doyon Native Regional Corporation	\$1,010
ALASKA	Belkofski	N/A		ALASKA	Eagle	\$986
ALASKA	Bering Straits Regional Corp.	N/A		ALASKA	Eek	\$1,300
ALASKA	Bill Moore's Slough	N/A		ALASKA	Egegik	\$944
ALASKA	Birch Creek	\$1,410		ALASKA	Eklutna	\$854
ALASKA	Brevig Mission	\$1,332		ALASKA	Ekuk	N/A
ALASKA	Bristol Bay Native Corp.	N/A		ALASKA	Ekwok	\$1,155
ALASKA	Buckland	\$1,140		ALASKA	Elim	\$1,156
ALASKA	Calista Corporation	N/A		ALASKA	Emmonak	\$1,075



**Appendix A**  
**for use in Rating Factor 2**

(IHBG Need Dollars Relative to  
Low Income Households  
and Housing Conditions, based on FY 2005 IHBG formula)

\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
ALASKA	Evansville (Bettles Field)	\$1,108		ALASKA	Klawock	\$799
ALASKA	Eyak	\$993		ALASKA	Kluti Kaah (Copper Center)	\$890
ALASKA	False Pass	\$1,330		ALASKA	Knik	\$918
ALASKA	Fort Yukon	\$1,056		ALASKA	Kobuk	\$1,229
ALASKA	Gakona	\$809		ALASKA	Kokhanok	\$1,068
ALASKA	Galena	\$1,251		ALASKA	Koiganek	\$1,192
ALASKA	Gambell	\$1,239		ALASKA	Kongiganak	\$1,183
ALASKA	Georgetown	N/A		ALASKA	Koniag, Inc.	\$1,226
ALASKA	Golovin (Chinik)	\$1,271		ALASKA	Kotlik	\$1,128
ALASKA	Goodnews Bay	\$1,073		ALASKA	Kotzebue	\$1,225
ALASKA	Grayling	\$1,074		ALASKA	Koyuk	\$1,215
ALASKA	Gulkana	\$868		ALASKA	Koyukuk	\$1,124
ALASKA	Hamilton	N/A		ALASKA	Kwethluk	\$1,155
ALASKA	Healy Lake	\$1,505		ALASKA	Kwigillingok	\$1,220
ALASKA	Holy Cross	\$1,089		ALASKA	Kwinhagak (Quinhagak)	\$1,065
ALASKA	Hoonah	\$887		ALASKA	Larsen Bay	\$1,201
ALASKA	Hooper Bay	\$1,163		ALASKA	Lesnoi (Woody Island)	\$1,066
ALASKA	Hughes	\$1,121		ALASKA	Levelock	\$1,127
ALASKA	Huslia	\$1,112		ALASKA	Lime	\$1,192
ALASKA	Hydaburg	\$838		ALASKA	Lower Kalskag	\$1,125
ALASKA	Igiugig	\$1,284		ALASKA	Manley Hot Springs	\$1,193
ALASKA	Iliamna	\$1,353		ALASKA	Manokotak	\$1,131
ALASKA	Inalik (Diomedea)	\$1,267		ALASKA	Marshall	\$1,160
ALASKA	Ivanoff Bay	\$6,250		ALASKA	Mary's Igloo	N/A
ALASKA	Kaguyak	\$25,000		ALASKA	McGrath	\$1,144
ALASKA	Take	\$1,039		ALASKA	Mekoryuk	\$924
ALASKA	Kaktovik	\$1,632		ALASKA	Mentasta	\$1,027
ALASKA	Kalskag	\$1,231		ALASKA	Minto	\$1,107
ALASKA	Kaltag	\$1,045		ALASKA	Mountain Village (Asa' Carsarmiut)	\$1,022
ALASKA	Kanatak	\$1,129		ALASKA	Naknek	\$1,009
ALASKA	Karluk	\$1,486		ALASKA	NANA Corporation	N/A
ALASKA	Kasigluk	\$1,167		ALASKA	Nanwelek (English Bay)	\$983
ALASKA	Kassan	\$853		ALASKA	Napaimute	N/A
ALASKA	Kenaitze	\$822		ALASKA	Napakiak	\$1,072
ALASKA	Ketchikan	\$833		ALASKA	Napaskiak	\$1,101
ALASKA	Kiana	\$1,179		ALASKA	Nelson Lagoon	\$900
ALASKA	King Cove	\$1,219		ALASKA	Nenana	\$1,047

**Appendix A  
for use in Rating Factor 2**

(IHBG Need Dollars Relative to  
Low Income Households  
and Housing Conditions, based on FY 2005 IHBG formula)

\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
ALASKA	King Island	\$1,143		ALASKA	New Stuyahok	\$1,152
ALASKA	King Salmon Tribe	N/A		ALASKA	Newhalen	\$1,095
ALASKA	Kipnuk	\$1,104		ALASKA	Newtok	\$1,146
ALASKA	Kivalina	\$1,235		ALASKA	Nightmute	\$999

ALASKA	Nikolai	\$1,071		ALASKA	Scammon Bay	\$1,268
ALASKA	Nikolski	\$1,563		ALASKA	Selawik	\$1,172
ALASKA	Ninilchik	\$840		ALASKA	Seldovia	\$812
ALASKA	Noatak	\$1,432		ALASKA	Shageluk	\$1,055
ALASKA	Nome	\$1,177		ALASKA	Shaktoolik	\$1,028
ALASKA	Nondalton	\$1,145		ALASKA	Sheldon's Point	\$1,186
ALASKA	Noorvik	\$1,158		ALASKA	Shishmaref	\$1,271
ALASKA	Northway	\$1,052		ALASKA	Shoonaq' Tribe of Kodiak	\$895
ALASKA	Nuiqsut	\$1,389		ALASKA	Shungnak	\$1,240
ALASKA	Nulato	\$1,038		ALASKA	Skagway	\$737
ALASKA	Nunapitchuk	\$1,053		ALASKA	Sleetmute	\$1,118
ALASKA	Ohogamiut	N/A		ALASKA	Solomon	N/A
ALASKA	Old Harbor	\$1,177		ALASKA	South Naknek	\$942
ALASKA	Orutsararmuit (Bethel)	\$1,167		ALASKA	Stebbins	\$1,186
ALASKA	Oscarville	\$1,192		ALASKA	Stevens	\$1,091
ALASKA	Ouzinkie	\$1,059		ALASKA	Stoney River	\$1,071
ALASKA	Paimiut	N/A		ALASKA	Takotna	\$1,167
ALASKA	Pauloff Harbor Village	N/A		ALASKA	Tanacross	\$991
ALASKA	Pedro Bay	\$1,042		ALASKA	Tanana	\$1,147
ALASKA	Perryville	\$1,337		ALASKA	Tatitlek	\$855
ALASKA	Petersburg	\$779		ALASKA	Tazlina	\$1,101
ALASKA	Pilot Point	\$999		ALASKA	Telida	N/A
ALASKA	Pilot Station	\$1,046		ALASKA	Teller	\$1,230
ALASKA	Pitka's Point	\$1,174		ALASKA	Tetlin	\$1,155
ALASKA	Platinum	\$916		ALASKA	Tlingit Haida Central Council	\$851
ALASKA	Point Hope	\$1,653		ALASKA	Togiak	\$1,161
ALASKA	Point Lay	\$1,473		ALASKA	Toksook Bay	\$1,124
ALASKA	Port Graham	\$1,091		ALASKA	Tuluksak	\$1,051
ALASKA	Port Heiden	\$856		ALASKA	Tuntutuliak	\$1,154
ALASKA	Port Lions	\$980		ALASKA	Tununak	\$1,013
ALASKA	Portage Creek	N/A		ALASKA	Twin Hills	\$983
ALASKA	Qagan Tayagungin (Sand Point)	\$1,125		ALASKA	Tyonek	\$836
ALASKA	Qawalangin (Unalaska)	\$1,657		ALASKA	Ugashik	\$1,177
ALASKA	Rampart	\$1,281		ALASKA	Umkumiute	N/A
ALASKA	Red Devil	\$1,084		ALASKA	Unalakleet	\$1,129

**Appendix A**  
**for use in Rating Factor 2**

(IHBG Need Dollars Relative to  
Low Income Households  
and Housing Conditions, based on FY 2005 IHGB formula)

\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
ALASKA	Ruby	\$1,273		ALASKA	Unga	\$12,500
ALASKA	Russian Mission (Yukon)	\$850		ALASKA	Venetie	\$1,016
ALASKA	Saint George	\$1,289		ALASKA	Wainwright	\$1,393
ALASKA	Saint Michael	\$1,316		ALASKA	Wales	\$1,270
ALASKA	Saint Paul	\$1,256		ALASKA	White Mountain	\$1,131
ALASKA	Salamatoff	\$839		ALASKA	Wrangell	\$632
ALASKA	Savoonga	\$1,225		ALASKA	Yakutat	\$922
ALASKA	Saxman	\$965				
CHICAGO	Aroostook Band of Micmac	\$503		CHICAGO	Oneida Nation of New York	\$541
CHICAGO	Bad River Band	\$521		CHICAGO	Oneida Tribe	\$512
CHICAGO	Bay Mills Indian Community	\$612		CHICAGO	Onondaga Nation	\$708
CHICAGO	Boise Forte Band of Minnesota Chippewa	\$561		CHICAGO	Passamaquody Indian Tribe	\$494
CHICAGO	Catawba Indian Tribe	\$421		CHICAGO	Penobscot Tribe	\$528
CHICAGO	Cayuga Nation	\$618		CHICAGO	Pleasant Point	\$524
CHICAGO	Coharie State Tribe	\$446		CHICAGO	Poarch Band of Creek Indians	\$430
CHICAGO	Eastern Cherokee	\$468		CHICAGO	Pokagon Band of Potawatomi	\$529
CHICAGO	Fond Du Lac Band of Minnesota	\$575		CHICAGO	Red Cliff Band of Lake Superior Chippe	\$510
CHICAGO	Forest County Potawatami	\$1,200		CHICAGO	Red Lake Band of Chippewa	\$577
CHICAGO	Grand Portage Band of Minnesota	\$575		CHICAGO	Sac & Fox Tribe	\$465
CHICAGO	Grand Traverse Band	\$510		CHICAGO	Saginaw Chippewa	\$1,486
CHICAGO	Haliwa-Saponi State Tribe	\$475		CHICAGO	Saint Croix Chippewa	\$685
CHICAGO	Hannahville Community	\$612		CHICAGO	Sault Ste. Marie Tribe	\$481
CHICAGO	Ho-Chunk Nation	\$508		CHICAGO	Seminole Tribe	\$581
CHICAGO	Houlton Band of Maliseets	\$544		CHICAGO	Seneca Nation of New York	\$648
CHICAGO	Huron Band of Potawatomi	\$475		CHICAGO	Shakopee Sioux	\$696
CHICAGO	Keweenaw Bay Indian Community	\$643		CHICAGO	Sokagoan Chippewa Tribe	\$747
CHICAGO	Lac Courte Oreilles	\$573		CHICAGO	St. Regis Mohawk Tribe	\$587
CHICAGO	Lac Du Flambeau Band	\$549		CHICAGO	Stockbridge-Munsee Tribe	\$550
CHICAGO	Lac Vieux Desert Band	\$739		CHICAGO	Tonawanda Band of Senecas	\$530
CHICAGO	Leech Lake Band of Minnesota Chippewa	\$554		CHICAGO	Tuscarora Nation	\$472
CHICAGO	Little River Band of Ottawa	\$496		CHICAGO	Upper Sioux Indian Community	\$612
CHICAGO	Little Traverse Bay Band	\$507		CHICAGO	Waccamaw Siouan State Tribe	\$461
CHICAGO	Lower Sioux	\$980		CHICAGO	Wampanoag Tribe	\$816
CHICAGO	Lumbee State Tribe	\$463		CHICAGO	White Earth Band of Minnesota Chippewa	\$488

**Appendix A**  
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(IHBG Need Dollars Relative to  
Low Income Households  
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\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
CHICAGO	Match-e-be-nash-she-wish Band of Potta	\$473				
CHICAGO	Menominee Indian Tribe	\$600		DENVER	Blackfeet Tribe	\$558
CHICAGO	Miccosukee Tribe	N/A		DENVER	Cheyenne River Sioux	\$595
CHICAGO	Mille Lacs Band of Minnesota Chippewa	\$570		DENVER	Crow Creek Sioux	\$553
CHICAGO	Mississippi Choctaw Tribe	\$505		DENVER	Crow Tribe	\$587
CHICAGO	MOWA Band of Choctaw Indians	\$507		DENVER	Flandreau Santee Sioux	\$1,081
CHICAGO	Narragansett Tribe	\$563				

DENVER	Fort Belknap Indian Community	\$648		OKLAHOMA	Choctaw Nation	\$402
DENVER	Fort Peck Assiniboine and Sioux	\$538		OKLAHOMA	Citizen Band Potawatomi Tribe	\$416
DENVER	Ft. Berthold Affiliated Tribes	\$568		OKLAHOMA	Comanche Tribe	\$447
DENVER	Goshute Reservation	\$595		OKLAHOMA	Coushatta Tribe	\$3,333
DENVER	Lower Brule Sioux	\$637		OKLAHOMA	Delaware Tribe	\$432
DENVER	Northern Arapahoe	\$522		OKLAHOMA	Delaware Tribe of Indians (Eastern)	\$437
DENVER	Northern Cheyenne	\$627		OKLAHOMA	Eastern Shawnee Tribe	\$611
DENVER	NW Band of Shoshone Nation	\$535		OKLAHOMA	Fort Sill Apache Tribe	\$427
DENVER	Oglala Sioux of Pine Ridge Reservation	\$616		OKLAHOMA	Iowa Tribe of Kansas and Nebraska	\$453
DENVER	Omaha Tribe	\$635		OKLAHOMA	Iowa Tribe of Oklahoma	\$401
DENVER	Ponca Tribe of Nebraska	\$491		OKLAHOMA	Jena Band of Choctaw	\$394
DENVER	Rocky Boy Chippewa-Cree	\$601		OKLAHOMA	Kaw Tribe	\$390
DENVER	Rosebud Sioux	\$644		OKLAHOMA	Kialegee Tribal Town	\$388
DENVER	Salish and Kootenai Tribes	\$479		OKLAHOMA	Kickapoo Tribe	\$436
DENVER	Santee Sioux Tribe	\$572		OKLAHOMA	Kickapoo Tribe of Oklahoma	\$389
DENVER	Shoshone Tribe of the Wind River Reser	\$558		OKLAHOMA	Kiowa Tribe	\$414
DENVER	Sisseton-Wahpeton Sioux	\$603		OKLAHOMA	Loyal Shawnee	\$398
DENVER	Skull Valley Band of Goshute	N/A		OKLAHOMA	Miami Tribe	\$383
DENVER	Southern Ute Tribe	\$505		OKLAHOMA	Modoc Tribe	\$3,125
DENVER	Spirit Lake Sioux Tribe	\$594		OKLAHOMA	Muskogee (Creek) Nation	\$387
DENVER	Standing Rock Sioux	\$595		OKLAHOMA	Osage Tribe	\$354
DENVER	Turtle Mountain Band of Chippewa	\$635		OKLAHOMA	Otoe-Missouria Tribe	\$382
DENVER	Uintah & Ouray Ute Indian	\$501		OKLAHOMA	Ottawa Tribe	\$379
DENVER	Utah Paiute Tribe	\$581		OKLAHOMA	Pawnee Tribe	\$421
DENVER	Ute Mountain Tribe	\$507		OKLAHOMA	Peoria Tribe	\$520
DENVER	Winnebago Tribe	\$582		OKLAHOMA	Ponca Tribe	\$385
DENVER	Yankton Sioux	\$560		OKLAHOMA	Prairie Band of Potawatomi	\$624

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\*N/A = No income or  
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Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
				OKLAHOMA	Quapaw Tribe	\$356
OKLAHOMA	Absentee-Shawnee	\$560		OKLAHOMA	Sac and Fox of Missouri	\$3,125
OKLAHOMA	Alabama-Coushatta	\$442		OKLAHOMA	Sac and Fox Tribe	\$416
OKLAHOMA	Alabama-Quassarte Tribal Town	\$387		OKLAHOMA	Seminole Nation	\$390
OKLAHOMA	Apache Tribe	\$464		OKLAHOMA	Seneca-Cayuga	\$369
OKLAHOMA	Caddo Tribe	\$409		OKLAHOMA	Texas Band of Kickapoo Indians	\$418
OKLAHOMA	Cherokee Nation	\$405		OKLAHOMA	Thlopthlocco Tribal Town	\$391
OKLAHOMA	Cheyenne-Arapaho Tribes	\$433		OKLAHOMA	Tonkawa Tribe	\$507
OKLAHOMA	Chickasaw	\$398		OKLAHOMA	Tunica-Biloxi Tribe	\$465
OKLAHOMA	Chitimacha Tribe	\$532		OKLAHOMA	United Keetoowah	\$399

OKLAHOMA	Wichita Tribe	\$507		PHOENIX	Ely Shoshone	\$647
OKLAHOMA	Wyandotte	\$418		PHOENIX	Enterprise Rancheria	\$613
				PHOENIX	Ewiiapaayp Band of Kumeyaay	N/A
PHOENIX	Acoma Pueblo	\$595		PHOENIX	Fallon Paiute-Shoshone	\$558
PHOENIX	Agua Caliente Band of Cahuilla	\$612		PHOENIX	Fort Bidwell	\$1,250
PHOENIX	Ak-Chin	\$462		PHOENIX	Fort Independence	\$1,087
PHOENIX	Alturas Rancheria	N/A		PHOENIX	Fort McDermitt Paiute and Shoshone	\$533
PHOENIX	Auburn Rancheria	\$671		PHOENIX	Fort McDowell Yavapai Nation	\$571
PHOENIX	Augustine Band of Cahuilla	N/A		PHOENIX	Fort Mojave Tribe	\$624
PHOENIX	Barona Group of Capitan Grande	\$1,699		PHOENIX	Gila River	\$608
PHOENIX	Berry Creek Rancheria	\$634		PHOENIX	Graton Rancheria	\$833
PHOENIX	Big Lagoon Rancheria	\$714		PHOENIX	Greenville Rancheria	\$572
PHOENIX	Big Pine Band	\$652		PHOENIX	Grindstone Rancheria	\$633
PHOENIX	Big Sandy Rancheria	\$640		PHOENIX	Guidiville Rancheria	\$631
PHOENIX	Big Valley Rancheria	\$678		PHOENIX	Havasupai	\$954
PHOENIX	Blue Lake Rancheria	\$1,389		PHOENIX	Hoopa Valley	\$674
PHOENIX	Bridgeport Paiute Indian Colony	\$862		PHOENIX	Hopi	\$597
PHOENIX	Buena Vista Rancheria	\$3,571		PHOENIX	Hopland Rancheria	\$627
PHOENIX	Cabazon Band	N/A		PHOENIX	Hualapai	\$720
PHOENIX	Cahuilla Band	\$710		PHOENIX	Inaja Band	N/A
PHOENIX	California Valley	N/A		PHOENIX	Ione Band of Miwok Indians	\$665
PHOENIX	Campo Band	\$697		PHOENIX	Isleta Pueblo	\$402
PHOENIX	Cedarville Rancheria	\$862		PHOENIX	Jackson Rancheria	N/A
PHOENIX	Chemehuevi	\$561		PHOENIX	Jamul Indian Village	N/A
PHOENIX	Chicken Ranch Rancheria	N/A		PHOENIX	Jemez Pueblo	\$506
PHOENIX	Chico Rancheria	\$615		PHOENIX	Jicarilla Reservation	\$542
PHOENIX	Cloverdale Rancheria	\$666		PHOENIX	Kaibab Band of Paiute	\$488

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(IHBG Need Dollars Relative to  
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\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
PHOENIX	Cochiti Pueblo	\$460		PHOENIX	Karuk	\$644
PHOENIX	Cocopah Tribe	\$499		PHOENIX	La Jolla Band	\$718
PHOENIX	Cold Springs Rancheria	\$659		PHOENIX	La Posta Band	\$833
PHOENIX	Colorado River Indian Tribes	\$698		PHOENIX	Laguna Pueblo	\$485
PHOENIX	Colusa Rancheria	\$521		PHOENIX	Las Vegas Colony	\$725
PHOENIX	Cortina Rancheria	\$632		PHOENIX	Laytonville Rancheria	\$849
PHOENIX	Coyote Valley Band	\$673		PHOENIX	Lone Pine Paiute-Shoshone	\$642
PHOENIX	Death Valley Timba-Sha	\$553		PHOENIX	Los Coyotes Band of Cahuilla	\$573
PHOENIX	Dry Creek Rancheria	\$668		PHOENIX	Lovelock Colony	\$600
PHOENIX	Duck Valley Shoshone-Paiute	\$492		PHOENIX	Lower Lake Rancheria	\$1,471
PHOENIX	Duckwater Shoshone	\$553		PHOENIX	Lytton Rancheria of California	\$665
PHOENIX	Elk Valley Rancheria	\$431				

PHOENIX	Manchester Point Arena	\$666		PHOENIX	San Ildefonso Pueblo	\$418
PHOENIX	Manzanita Band	\$1,471		PHOENIX	San Juan Pueblo	\$546
PHOENIX	Mesa Grande Band	\$693		PHOENIX	San Juan So Paiute Tribe	\$570
PHOENIX	Mescalero Reservation	\$550		PHOENIX	San Manuel Band	\$1,724
PHOENIX	Middletown Rancheria	\$682		PHOENIX	San Pasqual Band	\$646
PHOENIX	Moapa Band of Paiute	\$683		PHOENIX	San Rosa Band of Cahuilla	\$862
PHOENIX	Mooretown Rancheria	\$619		PHOENIX	Sandia Pueblo	\$441
PHOENIX	Morongo Band of Cahuilla	\$1,614		PHOENIX	Santa Ana Pueblo	\$485
PHOENIX	Nambe Pueblo	\$532		PHOENIX	Santa Clara Pueblo	\$457
PHOENIX	Navajo Nation	\$588		PHOENIX	Santa Rosa Rancheria	\$719
PHOENIX	North Fork Rancheria	\$645		PHOENIX	Santa Ynez Band of Chumash	\$1,250
PHOENIX	Paiute-Shoshone of Bishop Colony	\$522		PHOENIX	Santa Ysabel Reservation	\$517
PHOENIX	Pala Bank	\$615		PHOENIX	Santo Domingo Pueblo	\$493
PHOENIX	Pascua Yaqui Tribe	\$616		PHOENIX	Scotts Valley (Pomo)	\$676
PHOENIX	Paskenta Band of Nomlaki Indian	\$575		PHOENIX	Sherwood Valley Rancheria	\$690
PHOENIX	Pauma Band	\$615		PHOENIX	Shingle Springs Rancheria	\$833
PHOENIX	Pechanga Band	\$607		PHOENIX	Smith River Rancheria	\$618
PHOENIX	Picayune Rancheria	\$642		PHOENIX	Soboba Band	\$954
PHOENIX	Picuris Pueblo	\$485		PHOENIX	Stewarts Point Rancheria	\$667
PHOENIX	Pinoleville Rancheria	\$652		PHOENIX	Sulphur Bank Rancheria	\$676
PHOENIX	Pit River Tribe	\$625		PHOENIX	Summit Lake Paiute Tribe	N/A
PHOENIX	Pojoaque Pueblo	\$423		PHOENIX	Susanville Rancheria	\$572
PHOENIX	Potter Valley Rancheria	\$649		PHOENIX	Sycuan Band	\$2,381
PHOENIX	Pyramid Lake Paiute	\$514		PHOENIX	Table Bluff Rancheria	\$616
PHOENIX	Quartz Valley Reservation	\$681		PHOENIX	Table Mountain Rancheria	N/A
PHOENIX	Quechan Tribe	\$614		PHOENIX	Taos Pueblo	\$494

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\*N/A = No income or  
housing problems

Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
PHOENIX	Ramona Band	N/A		PHOENIX	Te-Moak	\$591
PHOENIX	Redding Rancheria	\$623		PHOENIX	Tesuque Pueblo	\$441
PHOENIX	Redwood Valley Rancheria	\$647		PHOENIX	Tohono O'Odham Nation	\$616
PHOENIX	Reno-Sparks Colony	\$454		PHOENIX	Tonto Apache of Arizona	\$478
PHOENIX	Resighini Rancheria	N/A		PHOENIX	Torres-Martinez Band of Cahuilla	\$585
PHOENIX	Rincon Reservation	\$649		PHOENIX	Tule River Indian Tribe	\$859
PHOENIX	Robinson Rancheria	\$705		PHOENIX	Tulomne Rancheria	\$603
PHOENIX	Rohnerville Rancheria	\$640		PHOENIX	Twenty Nine Palms Band	N/A
PHOENIX	Round Valley Reservation	\$654		PHOENIX	Upper Lake Rancheria	\$671
PHOENIX	Rumsey Rancheria	\$1,042		PHOENIX	Utu Utu Gwaiti Paiute	\$577
PHOENIX	Salt River Plma-Maricopa	\$581		PHOENIX	Viejas Group of Capitan Grande	\$730
PHOENIX	San Carlos Apache	\$603		PHOENIX	Walker River Paiute Tribe	\$596
PHOENIX	San Felipe Pueblo	\$527		PHOENIX	Washoe Tribe	\$609
PHOENIX	Apache)	\$601		SEATTLE	Lummi Tribe	\$607
PHOENIX	Winnemucca Colony	\$1,111		SEATTLE	Makah Indian Tribe	\$606
PHOENIX	Yavapai-Apache (Camp Verde)	\$717		SEATTLE	Muckleshoot Indian Tribe	\$618
PHOENIX	Yavapai-Prescott	\$3,125		SEATTLE	Nez Perce Tribe	\$520
PHOENIX	Yerington Paiute Tribe	\$517		SEATTLE	Nisqually Indian Community	\$674
PHOENIX	Yomba Shoshone Tribe	\$694		SEATTLE	Nooksack Tribe	\$615
PHOENIX	Ysleta Del Sur	\$483		SEATTLE	Port Gamble Indian Community	\$619
PHOENIX	Yurok Tribe	\$638		SEATTLE	Puyallup Tribe	\$622
PHOENIX	Zia Pueblo	\$514		SEATTLE	Quileute Tribe	\$668
PHOENIX	Zuni Tribe	\$549		SEATTLE	Quinault Tribe	\$623
				SEATTLE	Samish Nation	\$597
SEATTLE	Burns-Paiute Colony	\$538		SEATTLE	Sauk-Suiattle Indian Tribe	\$652
SEATTLE	Chehalis Confederated Tribes	\$732		SEATTLE	Shoalwater Bay Tribe	\$615
SEATTLE	Coeur D'Alene Tribe	\$606		SEATTLE	Siletz Confederated Tribes	\$594
SEATTLE	Colville Confederated Tribes	\$551		SEATTLE	Skokomish Indian Tribe	\$638
SEATTLE	Coos Bay Confederated Tribes	\$582		SEATTLE	Snoqualmie	\$596
SEATTLE	Coquille Indian Tribe	\$600		SEATTLE	Spokane Tribe	\$506
SEATTLE	Cow Creek Tribes	\$576		SEATTLE	Squaxin Island Tribe	\$650
SEATTLE	Cowlitz Tribe	\$571		SEATTLE	Stillaguamish Tribe	\$597
SEATTLE	Fort Hall Shoshone-Bannock	\$525		SEATTLE	Suquamish Tribal Council	\$636
SEATTLE	Grand Ronde Confederated Tribe	\$593		SEATTLE	Swinomish Indians	\$791
SEATTLE	Hoh Indian Tribe	\$681		SEATTLE	Tulalip Tribes	\$723
SEATTLE	Jamestown S'Klallam Tribe	\$602		SEATTLE	Umatilla Confederated Tribes	\$703
SEATTLE	Kalispel Indian Community	\$587		SEATTLE	Upper Skagit Tribe	\$653

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Office	Tribe	Need \$/ Income + Conditions 2005		Office	Tribe	Need \$/ Income + Conditions 2005
SEATTLE	Klamath Indian Tribe	\$554		SEATTLE	Warm Springs Confederated Tribes	\$679
SEATTLE	Kootenai Tribe	\$3,125		SEATTLE	Yakima Indian Nation	\$703
SEATTLE	Lower Elwha Tribal Community	\$630				



**Appendix B: Forms.**

**The following forms are required for your ICDBG application.**

**2005 ICDBG APPLICATION CHECKLIST**

1. \_\_\_ Application for Federal Assistance (SF-424).
2. \_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880).
3. \_\_\_ Acknowledgment of Application Receipt (HUD-2993).
4. \_\_\_ Client Comments and Suggestions (HUD-2994), optional.
5. \_\_\_ If applicable, concurring resolutions from the Tribe(s) if the application is prepared by a "Tribal Organization" for one or more eligible applicants.
6. \_\_\_ Community Development Statement that includes:
  - 6a \_\_\_ Components addressing relevant threshold requirements and rating factors.
  - 6b \_\_\_ Cost information by project, including specific activity costs, administration, planning, and technical assistance (if any), other dollars to be included in the project, and total HUD share. (Use of HUD-4123, Cost Summary, is required).
  - 6c \_\_\_ A schedule for implementing the project. (Use of HUD-4125, Implementation Schedule, is required).
7. \_\_\_ If applicable, a map showing project location.
8. \_\_\_ If applicable, displacement or temporary relocation information.
9. \_\_\_ If applicable, evidence of public disclosure (24 CFR 1003.606, Conflict of Interest).
10. \_\_\_ If applicable, survey and demographic data statement (see sample in Appendix B).
11. \_\_\_ Logic Model, HUD 96010 (optional for use with Factor 1 and Factor 5).
12. \_\_\_ Survey on Ensuring Equal Opportunity for Applicants, SF-424 Supplement
  1. Application for Federal Assistance (SF-424). **IMPORTANT:** Previous versions of 424 and HUD-424 are obsolete. Please use the SF-424 form included in this application package and fill in all the required information.
    - The Catalog of Federal Domestic Assistance (CFDA) number for the ICDBG Program is 14.862.

- In Section 16, check the box 16b-No.
2. Applicant/Recipient Disclosure/Update Report (HUD-2880). This form is required and must be completed and submitted by all applicants to comply with Section 102 of the HUD Reform Act of 1989 (Public Law 101-235). Please note the following:
    - If the amount of assistance requested from HUD, states, and units of general local governments for the project in your application is less than \$200,000 (in total), you are only required to complete Part I, (1) and (2) of the form. References in the instructions to the form to HUD housing projects do not apply to ICDBG funded housing activities; therefore, the applicant should check “no” under Section 1 (2).
    - If the \$200,000 threshold is met or exceeded, Part II must list all other Federal, state or local funds requested (or to be provided to the project) regardless of amount.
    - References in the instructions to the form to HUD housing projects do not apply to ICDBG funded housing activities. Therefore, the applicant should check the "No" box under Part I (2) and sign where indicated.
    - Interested parties (as defined in the instructions to the form) must only be listed in Part III if their monetary interest in the project will exceed \$50,000 or 10 percent of the assistance requested, whichever is less. However, these dollar or percentage thresholds do not apply to consultants who have assisted in the preparation of the application. They must be listed no matter what the dollar amount of their contract with the applicant.
    - For Part V--Report on Sources and Uses of Funds--please note that if information on sources and uses of all funds has been provided elsewhere in the application (such as on Form HUD 4123, Cost Summary), it is not necessary to repeat the information in Part V. However, you must note on Form 2880, where the information is located in the application.
  3. Acknowledgment of Application Receipt (HUD-2993). Applicants complete the top section of the form. Area ONAPs complete the bottom section. All applicants must submit this form to HUD.
  4. Client Comments and Suggestions (HUD-2994). Complete this form should you have comments and recommendations for improvements to the Program NOFA document. It is optional to complete this HUD form.
  5. If applicable, concurring resolutions from the Indian Tribe(s) if a “Tribal Organization” prepares the application for one or more eligible applicants. Such resolutions are required from an otherwise eligible applicant if a tribal organization applies on its behalf. See 24 CFR 1003.5(b) of the Program regulations for additional information.

## 6. Community Development Statement

6a. Components that address the relevant threshold requirements and rating factors. This section of your application should include information necessary to address any general thresholds, project specific thresholds established for the type of project for which your Tribe has applied, and rating factors. Be specific to address all aspects of each relevant criterion and thresholds. It is important that these items be addressed as completely as possible since you may not submit additional information to address them once the application is submitted. If there are any questions regarding what project specific thresholds apply or under what rating factors your project will be rated, please contact the Area ONAP that serves your community for clarification prior to the submission of the application. Please refer to Section IV.E.3 and 4 of the Program NOFA for a description of the program and project specific thresholds. No required or optional form applies.

6b. Cost information by project. This is a very straightforward requirement. The use of form HUD-4123, Cost Summary, is required. Please make sure that the detailed cost estimates provided in the application component that provides the description of the project are accurately reflected in the cost summary.

An estimate of indirect costs may be included on the cost summary, but only if the indirect cost negotiation agreement is submitted with the application. Please note, since the cost of an OMB Circular A-133 audit is an indirect cost item, if an amount is entered on the cost summary for indirect cost, a separate amount for audit should not be included. As is indicated above, the total of administrative costs (direct and indirect) and planning costs cannot exceed 20 percent of the total grant award. Also as indicated, the amount provided for technical assistance activities cannot exceed ten percent of the grant award.

6c. A schedule for implementing the project. This application component should demonstrate that the project can be completed in a timely manner. The use of form HUD-4125, Implementation Schedule, is required. In completing this form please note that a project is defined as the item proposed for funding, e.g., the construction of a community building. In addition, for each project (except planning and technical assistance), there will be at least three component activities: Preparation and completion of an environmental review; construction (or rehabilitation) activities; and, project administration. Each of these component activities will have milestones that will be projected and tracked. If funds have been requested for technical assistance or a planning project, these activities should be treated as separate projects.

7. If applicable, submit a map showing project location. For most types of projects, a map that identifies the location of the proposed project and its service area will aid in the review of your application. Please remember that certain of the individuals involved in the review of your application may have no personal knowledge of your community and a map with this information will assist them in their review.
8. If applicable, submit displacement or temporary relocation information. If the proposed project will result in displacement or temporary relocation, a statement that identifies (a)

the number of persons (families, individuals, businesses and nonprofit organizations) occupying the property on the date of the submission; (b) the number to be displaced or temporarily relocated; (c) the estimated cost of relocation payments and other services; (d) the source of funds for relocation; and (e) the organization that will carry out the relocation activities must be included. Please note that ICDBG funds may be used to pay for eligible costs related to temporary relocation or displacement (see § 1003.602 for a description of grantee responsibilities).

9. If applicable, evidence of public disclosure. This is a required application component for housing rehabilitation or new housing construction if the proposed recipient of such assistance was a covered person as defined in 24 CFR 1003.606(c). See 24 CFR 1003.606(e) for requirements.

10. If applicable, submit a survey and demographic data statement. The primary objective of the ICDBG Program is that not less than 70 percent of the funds of each single purpose grant must be used for activities that benefit low- and moderate-income persons.

One way to meet this objective is to demonstrate that at least 51 percent of the persons who will benefit from the proposed project are of low- or moderate-income status (for other ways, see discussion below). HUD will use the best available demographic data to determine compliance with the 51 percent requirement. Applicants can rely on published data or conduct their own survey if they believe that generally published data is substantially inaccurate or incomplete. Sometimes (see below) the applicant has no choice but to submit a survey. If this is the case, you must state in your application that the survey and demographic data is true and correct to the best of your knowledge. To do this, you may submit a signed copy of the sample Survey and Demographic Data Statement attached below or you may submit an equivalent statement. The Area ONAP that serves your community has available low- and moderate-income limits by household size for your area. Contact that office for a copy of this information.

Identified below are common situations when you may want to use published data or when you might want to generate your own data. If you believe that your project does not fit one of these situations, please contact the Area ONAP that serves your community.

- **Use of Published Data.** You may want to use already published data when the benefits accrued to your community from your project are area-wide. Area-wide activities are those such as a community center that would serve the entire village or reservation. Census Bureau data has been used by some applicants to determine the percentage of low- and moderate-income persons by geographic area. The Area ONAP that serves your community may be able to provide this information for your area.
- **Applicant Generated Data.** There are circumstances under which an applicant **MUST** prepare and submit demographic data to meet the low- and moderate- income person benefit requirement. These cases include:

- For activities with area-wide benefits, if the service area is one that is listed as having less than 51 percent low- and moderate-income persons, but the applicant feels that the published data is inaccurate; other demographic data can be submitted for review. If the reliability of this information can be verified, HUD will use it. In addition, there will often be situations in which census data is not available for the service area of an area-wide benefit activity.
- For activities benefiting a small, discrete area of the community (such as a water/sewer extension), information must be provided to establish that at least 51 percent of the persons to be served are of low- or moderate-income status.
- For housing rehabilitation projects: All single-family units to be rehabilitated must be occupied by low- or moderate-income households.
- For new housing construction projects: All proposed beneficiary households must be of low- or moderate-income status.

HUD will review and accept demographic data provided by an applicant, if it is determined that the generally available, published data are substantially inaccurate or incomplete; the data provided has been collected systematically; and, to the greatest extent feasible, the data is independently verifiable. If HUD does not accept the data provided, the best available data will be used.

There are two special cases where the 70 percent objective can be demonstrated in alternative ways than listed above. The first case involves Economic Development Projects. The 51 percent low- or moderate-income benefit requirement can be demonstrated in one of two ways:

- By determining how many of the total number of jobs being created or retained will be available to or are held by low- and moderate-income persons. Availability is determined by the type and degree of skills required to qualify for the jobs created, as well as actions to be taken to insure that low- and moderate-income persons receive first consideration for the jobs.
- If the purpose of the project were to provide goods or services to an area in which at least 51 percent resident households are of low- or moderate-income status, the income characteristics of the service area would have to be documented as indicated above.

The second case involves groups presumed to be principally of low- or moderate- income status. Certain groups are presumed by HUD to be composed principally but not entirely of low- or moderate-income persons [see §1003.208(b)(1)(i)]. These groups are abused children, battered spouses, the elderly, handicapped persons, homeless persons, illiterate persons, and migrant farm workers. Proposed projects that would exclusively serve one of these groups automatically demonstrate the 51 percent low- or moderate-income benefit requirement.

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Please note that the presumption of benefit will not affect point award under the "Need/Extent of the Problem" rating factor for public facilities and improvements and economic development. The award of points under these factors will be based on the provision in the application of beneficiary income information by household size.

11. Logic Model, HUD 96010 (optional for use to respond to Factor 1). References in instructions of the form to Rating Factor 5 are not applicable. Instead, this form may be used to address Rating Factor 1(b), Project Implementation Plan and Program Evaluation, and Rating Factor 5, Comprehensiveness and Coordination.
12. Survey on Ensuring Equal Opportunity for Applicants, SF-424 Supplement. If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

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SAMPLE SURVEY AND DEMOGRAPHIC DATA STATEMENT

Applicant: \_\_\_\_\_

Project:\* \_\_\_\_\_

The following demographic data is submitted for purposes of evaluating our application to the Indian Community Development Block Grant Program. By submitting this information with our application, we state we are in compliance with all of the following:

- ❖ Generally available, published data are substantially inaccurate or incomplete.
- ❖ Data provided have been collected systematically and are statistically reliable.
- ❖ Data provided are, to the greatest extent feasible, independently verifiable and data differentiate between reservation and BIA service area populations, when applicable.

In accordance with Section IV.B. of the Program NOFA, we have also submitted the following:

- ❖ Total number of persons benefiting from your proposed project.  
(Include both native and non-native persons served)
- ❖ Number of persons benefiting who are low- and moderate-income.
- ❖ A sample copy of a completed survey form (see attachment).
- ❖ An explanation of the methods used to collect the data (see attachment).
- ❖ A listing of incomes by household (see attachment).

\_\_\_\_\_  
(President) (Chairperson) (Title-Other)

\_\_\_\_\_  
(Secretary) (Clerk)

\* A separate survey and demographic data statement (or its equivalent) must be submitted for each project that includes applicant generated data unless the service area is the same for each of the different projects. In such instances, a separate statement need not be submitted.

**Cost Summary**Indian Community Development Block  
Grant (ICDBG)U.S. Department of Housing  
and Urban Development  
Office of Public and Indian HousingOMB Approval No. 2577-0191  
(exp. 8/31/2006)

See Instructions and Public Reporting Statement on back.

1. Name of Applicant (as shown in Item 5, Standard Form 424)		2. Application/Grant Number (to be assigned by HUD upon submission)	
<input type="checkbox"/> <b>Original</b> (check here if this is the first submission to HUD)	<input type="checkbox"/> <b>Revision</b> (check here if submitted with implementation schedule as part of pre-award requirements)	<input type="checkbox"/> <b>Amendment</b> (check here if submitted after HUD approval of grant)	Date (mm/dd/yyyy)
4. <b>Project Name &amp; Project Category</b> (see instructions on back)  a	<b>ICDBG</b> Amount Requested for each activity b	<b>Program Funds</b> (in thousands of \$)	
		<b>Other</b> Other Source Amount for each activity c	<b>Other</b> Source of Other Funds for each activity d
	\$	\$	
<b>5. Administration</b> a. General Management and Oversight			
b. Indirect Costs: Enter indirect costs to be charged to the program pursuant to a cost allocation plan.			
c. Audit: Enter estimated cost of Program share of A-133 audits.			
<b>Administration Total *</b>	0.00	0.00	
<b>6. Planning</b> The Project description must address the proposed use of these funds.			
<b>7. Technical Assistance</b> Enter total amount of ICDBG funds requested for technical assistance. **			
<b>8. Sub Total</b> Enter totals of columns b. and c.	\$ 0.00	\$ 0.00	
<b>9. Grand Total</b> Enter sum of column b. plus column c.			\$ 0.00

\* The total of items 5 and 6 cannot exceed 20% of the total ICDBG funds requested.

\*\* No more than 10% of ICDBG funds requested may be used for technical assistance. If funds are requested under this line item, a separate project description must accompany the application to describe the technical assistance the application intends to obtain. Only technical assistance costs associated with the development of a capacity to undertake a specific funded program activity are eligible (24 CFR 1003.206).



Public reporting burden for this collection of information is estimated to average 40 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.

This collection of information requires that each eligible applicant submit information to enable HUD to select the best projects for funding during annual competitions for the ICDBG Program. The information will be used by HUD to determine whether applications meet minimum screening eligibility requirements and application submission requirements. Applicants provide general information about the project which is preliminary to the review of the applicant's response to the criteria for rating the application. The information is essential for HUD in monitoring grants to ensure that grantees are making proper use of Federal dollars. Responses to the collection are required by Section 105 of the Department of Housing and Urban Development Reform Act (P.L. 101-235) as amended by the Cranston-Gonzales National Affordable Housing Act of 1990. The information requested does not lend itself to confidentiality.

**Instructions for Item 4.**

**Project Name and Project Type**

Participants enter the project name and the name of one of the following three categories of activities:

- Housing
- Community Facilities
- Economic Development

Also enter the component name if applicable. Use a separate Cost Summary sheet (form HUD-4123) for each project included in the application.

Examples of categories and/or components including examples of eligible activities are listed below.

**Housing**

**Rehabilitation Component**

- Rehabilitation
- Demolition

**Land to Support New Housing Component**

**New Housing Construction Component**

**Community Facilities**

**Infrastructure Component**

- Water
- Sewer
- Roads and Streets
- Storm Sewers

**Buildings Component**

- Health Clinic
- Daycare Center
- Community Center
- Multi-purpose Center

**Economic Development**

- Commercial (wholesale, retail)
- Industrial
- Motel/Hotel
- Restaurant
- Agricultural Development

OMB Approval No. 2577-0191  
(exp. 8/31/2006)

**U.S. Department of Housing  
and Urban Development**  
Office of Public and Indian Housing

**Implementation Schedule**  
Indian Community Development Block Grant (ICDBG)

See Instructions and Public Reporting Statement on back.  
Submit a separate implementation schedule for each project category.

1. Name of Applicant (as shown in Item 5, Standard Form 424) \_\_\_\_\_ 3.  Original (First submission to HUD) \_\_\_\_\_ Date (mm/dd/yyyy) \_\_\_\_\_  
 Pre-Award Submission \_\_\_\_\_  
 Amendment (submitted after grant approval) \_\_\_\_\_

2. Application/Grant Number (to be assigned by HUD) \_\_\_\_\_

4. Name of Project (as shown on form HUD-4123, item 4) \_\_\_\_\_ 5. Effective Date (mm/dd/yyyy) \_\_\_\_\_ Expected Completion Date (mm/dd/yyyy) \_\_\_\_\_

6. Environmental Review Status  
 **Exempt** (As described in 24 CFR 58.34)  **Under Review** (Review underway; findings not yet made)  **Finding of No Significant Impact** (Finding made that request for release of funds for project is not an action which may significantly affect the environment.)  
 **EIS Required** (Finding that project may significantly affect environment or EIS automatically required by 24 CFR 58.37)  **Not Started** (Review not yet begun)  **Categorically Excluded** (Environmental review completed; certification and request for release of funds being prepared for submission.)  **Categorically Excluded** (as described in 24 CFR 58.35)  
 7. Tribal Fiscal Year (mm/dd/yyyy) \_\_\_\_\_

8. Task List  
 (List tasks such as environmental assessment, acquisition, etc.) \_\_\_\_\_  
 9. Schedule.  
 Use Calendar Year (CY) quarters. Fill-in the CY below. See detailed instructions on back.

	CY								Date (mm/dd/yyyy) (if exceeds 8th Qtr)
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	5th Qtr.	6th Qtr.	7th Qtr.	8th Qtr.	

10. Planned Drawdowns by Quarter (Enter amounts non-cumulatively) \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ Total 0.00

11. Cumulative Drawdown (If more than one page, enter total on last page only) \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ 0.00 \$ Total 0.00

Previous editions are obsolete form HUD-4125 (12/97)

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0191), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600. 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 collection of information requires that each eligible applicant submit information to enable HUD to select the best projects for funding during annual competitions for the ICDBG Program. The information will be used by HUD to determine whether applications meet minimum screening eligibility requirements and application submission requirements. Applicants provide general information about the project which is preliminary to the review of the applicant's response to the criteria for rating the application. The information is essential for HUD in monitoring grants to ensure that grantees are making proper use of Federal dollars. Responses to the collection are required by Section 105 of the Department of Housing and Urban Development Reform Act (P.L. 101-235) as amended by the Cranston-Gonzales National Affordable Housing Act of 1990. The information requested does not lend itself to confidentiality.

**Instructions for Item 9 Schedule:** Use Calendar Year (CY) quarters. Fill-in the CY below. If the project begins in May, for example, enter under "1st Qtr.," A (April), M (May), J (June). Indicate time period required to complete each activity, e.g., acquisition, by entering "X" under the months it will begin and end. Draw a horizontal line from the first to the second "X". If the completion date will extend beyond the 8th quarter, enter date in the far right column and attach an explanation.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITIES AND COLLEGES  
PROGRAMS**

**HISTORICALLY BLACK COLLEGES AND  
UNIVERSITIES (HBCU) PROGRAM**

Billing Code 4210-32-C

## Historically Black Colleges and Universities (HBCU) Program Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

B. *Funding Opportunity Title:* Historically Black Colleges and Universities (HBCU) Program.

C. *Announcement Type:* Initial announcement.

D. *Funding Opportunity Numbers:* The **Federal Register** Number for this Notice Of Funding Availability (NOFA) is FR-4950-N-12. The OMB Approval Number for this program is 2528-0235.

E. *Catalog of Federal Domestic Assistance (CFDA) Number:* The CFDA Number for this program is 14.520.

F. *Dates:* The application submission date is May 25, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

### G. *Additional Overview Content Information:*

1. *Purpose of the Program:* The Historically Black Colleges and Universities (HBCU) Program assists Historically Black Colleges and Universities expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing and economic development, principally for persons of low- and moderate-income consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

2. *Award Information:* In Fiscal Year (FY) 2005, approximately \$9.92 million has been made available by the Consolidated Appropriations Act, 2005 (Pub L. 108-447) plus \$3.327 million in previously unobligated funds are available for this program. HUD will award two kinds of grants under this program; First Time HBCU Grants and Previously Funded HBCU Grants.

a. First Time HBCU Grants will be awarded to applicants who have never received an HBCU grant to undertake eligible work. The maximum amount a First Time HBCU applicant can request for award is \$400,000 for a maximum three-year (36 months) grant performance period.

b. Previously Funded HBCU Grants will be awarded to applicants that have received funding under previous HBCU grant competitions. The maximum amount a Previously Funded HBCU applicant can request for award is \$600,000 for a maximum three-year (36 months) grant performance period.

In order to ensure that First Time HBCU applicants receive awards in this competition, approximately \$2.4 million will be made available to fund First Time HBCU applicants. In addition, approximately, \$10.8 million will be made available to fund Previously Funded HBCU applicants. (See Appendix C of this NOFA for a list of Previously Funded and Unfunded HBCUs.) If funding designated for First Time HBCU applicants remains after all eligible First Time HBCU applicants are awarded, the remaining funds will be made available to fund eligible Previously Funded HBCU applicants.

3. *Eligible Applicants:* Historically Black Colleges and Universities that meet the definition of Historically Black Colleges and Universities as determined by the Department of Education in 34 CFR 608.2 in accordance with that Department's responsibilities under Executive Order 13256, dated February 12, 2002, are eligible to apply for funding under this program. Applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education.

## Full Text of Announcement

### I. Funding Opportunity Description

The purpose of the Historically Black Colleges and Universities (HBCU) Program is to assist Historically Black Colleges and Universities expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low- and moderate-income, consistent with the purpose of the Title I of Housing and Community Development Act of 1974, as amended.

For the purposes of this program, the term "locality" includes any city, county, township, parish, village, or other general political subdivision of a state, or the U.S. Virgin Islands where the institution is located.

A "target area" is the area within the locality in which the institution will implement its proposed HBCU grant. If an institution wants to provide services/activities in a location other than the target area of that institution an applicant must provide justification for why they want to do so.

#### A. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub L. 108-447; approved December 8, 2004). This program is being implemented through this NOFA and the policies governing its operation are contained herein.

### B. Modifications

Listed below are major modifications from the Fiscal Year (FY) 2004 program-funding announcement:

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further discussion.

2. The 15 percent cap on the total grant amount that can be used on public service activities that benefit low- and moderate-income persons can now be waived. Institutions seeking to devote more than 15 percent of the grant funds to public service activities must formally request in writing a waiver of this requirement.

The written request must include the following information: (1) The basis for the request; (2) a description of the proposed public service activities; (3) the dollar amount dedicated to the proposed public service activities; and (4) a statement describing how the proposed activities meet the Community Development Block Grant eligibility requirements and national objectives. Waiver requests must be addressed to the Assistant Secretary for Policy, Development and Research at 451 Seventh Street SW., Room 8100, Washington, DC 20410-6000. The institution's Chief Executive Officer or the appropriate designee must sign the written request. It also must include the name, mailing address and e-mail address of the person to whom the response should be directed.

To avoid a delay in the process, waiver requests should be sent by United States Postal Service Express Mail. Applicants should retain a receipt for the mailing showing the date submitted to the Postal Service. The waiver request must be received at HUD no later than thirty days prior to the application submission date. Waiver requests that are not received thirty days prior to the application submission date will not be considered for approval. In the event a waiver is granted, the application must be received no later than the application submission date.

3. Letters, memoranda of understanding, or agreements in response to Factor 4 now can be dated no earlier than nine months prior to the date of this published NOFA, but must be received no later than the application submission date.

4. First Time HBCU applicants can now request \$400,000 for a maximum three-year (36 month) grant performance period.

5. Previously Funded HBCU applicants can now request \$600,000 for a maximum three-year (36 month) grant performance period.

## II. Award Information

In Fiscal Year (FY) 2005, approximately \$9.92 million is made available for this program, plus \$3.327 million in previously unobligated funds. HUD will award two kinds of grants under this program, First Time HBCU Grants and Previously Funded HBCU Grants.

A. First Time HBCU Grants will be awarded to applicants who have never received an HBCU grant to undertake eligible work. The maximum amount a First Time HBCU applicant can request for award is \$400,000 for a maximum three-year (36 months) grant performance period.

B. Previously Funded HBCU Grants will be awarded to applicants that have received funding under previous HBCU grant competitions. The maximum amount a Previously Funded HBCU applicant can request for award is \$600,000 for a maximum three-year (36 months) grant performance period.

In order to ensure that First Time HBCU applicants receive awards in this competition, approximately \$2.4 million will be made available to fund First Time HBCU applicants. Approximately \$10.8 million will be made available to fund Previously Funded HBCU applicants that have received funding under previous HBCU competitions. If funding remains after all eligible First Time HBCU applicants are awarded, the remaining funds will be made available to fund eligible Previously Funded HBCU applicants. (See Appendix C of this NOFA for a list of Previously Funded and Unfunded HBCUs).

## III. Eligibility Information

### A. Eligible Applicants

Historically Black Colleges and Universities as determined by the U.S. Department of Education in 34 CFR 608.2 in accordance with that Department's responsibilities under Executive Order 13256, dated February 12, 2002, are eligible to apply for funding under this program. All applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education.

### B. Cost Sharing or Matching

None required.

### C. Other

1. *Eligible Activities.* Eligible activities are listed in 24 CFR part 570, subpart C, particularly §§ 570.201 through 570.206. Information regarding these activities can be found at: <http://www.hudclips.org> (click on the Code of

Federal Regulations for detailed information).

a. Examples of eligible activities include, but are not limited to:

- (1) Acquisition of real property;
- (2) Clearance and demolition;
- (3) Rehabilitation of residential

structures including lead-based paint hazard evaluation and reduction and making accessibility and visitability modifications in accordance with the requirements of Section 504 of the Rehabilitation Act of 1973;

(4) Public facilities and improvements, such as water and sewer facilities and streets compliance with accessibility requirements including Section 504 of the Rehabilitation Act of 1973, the Fair Housing Act, and the American with Disabilities Act of 1990;

(5) Special economic development activities described at 24 CFR 570.203 and assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;

(6) Assistance to community-based development organizations (CBDO) to carry out a CDBG neighborhood revitalization, community economic development, or energy conservation projects, in accordance with 24 CFR 570.204. This could include activities in support of a HUD-approved local entitlement grantee, CDBG Neighborhood Revitalization Strategy (NRS) or HUD-approved State CDBG Community Revitalization Strategy (CRS);

(7) Public service activities such as those general support activities that can help to stabilize a neighborhood and contribute to sustainable redevelopment of the area, including but not limited to such activities as those concerned with employment, crime prevention, child care, health services, drug abuse, education, fair housing counseling, energy conservation, homebuyer down payment assistance, or recreational needs;

(8) Payments of reasonable grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports). Detailed explanations of these costs are provided in the OMB circular (A-21 Cost Principals for Educational Institutions) that can be accessed at the White House Web site, <http://www.whitehouse.gov/omb/circulars/index.html>; and

(9) Fair housing services designed to further the fair housing objectives of the Fair Housing Act (42 U.S.C. 3601-20) by making all persons, without regard to race, color, religion, sex, national origin,

familial status and/or disability aware of the range of housing opportunities available to them;

b. Eligible activities that may be funded under this program are those eligible activities that meet both the Community Development Block Grant (CDBG) Program national objectives and eligibility requirements.

c. The three national objectives of the Community Development Block Grant program are:

(1) Benefit to low- or moderate-income persons;

(2) Aid in the prevention or elimination of slums or blight; and

(3) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more national objectives are provided at 24 CFR 570.208.

d. The CDBG publication entitled "Community Development Block Grant Program Guide to National Objectives and Eligible Activities for Entitlement Communities" describes the CDBG regulations, and a copy can be obtained from HUD's NOFA Information Center at 800-HUD-8929 or 800-HUD-2209 for the hearing-impaired.

2. *Audit Requirements.* Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in Federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

3. *Threshold Requirements Applicable to all Applicants.* All applicants must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified:

a. The applicant must meet the eligibility requirements as defined in Section III.A. Eligible Applicants.

b. The maximum amount a First Time HBCU applicant can request for award is \$400,000. The maximum amount a Previously Funded HBCU applicant can request for award is \$600,000.

c. Institutions with two or more active HBCU grants who have drawn down less than 50 percent of the funding for each active grant three weeks prior to the program's application submission date are ineligible to apply for a grant under this NOFA. It is the applicant's responsibility to make sure this requirement is met.

d. Only one application can be submitted per institution. If multiple applications are submitted, all will be disqualified.

e. Applicants must receive a minimum score of 75 points to be considered for funding.

f. An applicant must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement.)

g. Electronic applications must be received by grants.gov no later than 11:59:59 p.m. eastern time on May 25, 2005. See the General Section for information on application submission and timely receipt requirements.

4. *Program Requirements.* In addition to the program requirements listed in Section III.C of the General Section, applicants must meet the following program requirements:

a. All funds awarded are for a three-year (36 months) grant performance period.

b. Applicants that claim leveraging from *any source*, including their own institution, must provide letters of firm commitment, memoranda of understanding, or agreements evidencing the extent and firmness of the commitment of leveraging from other federal (e.g., Department of Education, AmeriCorps Programs, etc.), state, or local governments, and other private/public sources (including the applicant's own resources). These documents must follow the outline provided in Section V, Application Review Information, "Factor 4: Leveraging Resources" of this NOFA. Please refer to the General Section for further discussion on electronic submission of required documentation.

c. Applicants must ensure that not less than 51 percent of the aggregated expenditures of the grant benefit low- and moderate-income persons under the criteria specified in 24 CFR 570.208(a) or 570.208(d)(5) or (6).

d. *Site Control.* Where grant funds will be used for acquisition, rehabilitation, or new construction an applicant must demonstrate site control. Funds may be recaptured or deobligated from applicants that cannot demonstrate control of a suitable site within one year after the initial notification of award.

e. *Environmental Requirements.* Selection for award does not constitute approval of any proposed sites. Following selection for award, HUD will perform an environmental review of properties proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property, and not commit or expend HUD or local funds for these program activities with respect to any eligible property until HUD's written approval of the property is received. In supplying HUD with environmental information, applicants should use the same guidance as provided in the HUD Notice CPD-99-01 entitled "Field Environmental Review Processing for HUD Colonias Initiative (HCI) Grants" issued January 27, 1999.

The General Section provides further discussion of the environmental requirements. Further information and assistance on HUD's environmental requirements is available at <http://www.hud.gov/offices/cpd/energyenviro/energyenviro/index.cfm>.

f. *Labor Standards.* Institutions and their sub-grantees, contractors and subcontractors must comply with the labor standards (Davis-Bacon) requirements referenced in 24 CFR 570.603.

g. *Economic Opportunities for Low- and Very-Low Income Persons (Section 3).* The provisions of Section 3 of the Housing and Urban Development Act of 196 (12 U.S.C. 1701u) apply to this NOFA. Regulations may be found at 24 CFR part 135.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section and Program Section of the published

NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or e-mail your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting email notification of funding opportunities or downloading the application and should be done as soon as you download the application from the Grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

##### B. Content and Form of Application Submission

1. *Forms.* The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. The electronic version of the NOFA contains all forms required for submission.

a. Application for Federal Assistance (SF-424);

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

f. Applicant/Recipient Disclosure/Update Report (HUD-2880);

g. Program Logic Model (HUD-96010);

h. Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;

i. Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;

j. Response Sheet Performance Narrative (HUD-40076) Previously Funded HBCU Applicant Only;

k. Budget-By-Activity (HUD-40076);

l. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit an electronic application need to include this form

with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so;

m. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. In providing comments, please be as specific as possible. General Statements that the NOFA is better than before but needs improvement does not provide HUD with the type of information that will allow us to improve the process. Applicants are not required to complete this form; and

n. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

2. *Certifications and Assurances.* Please read the General Section for detailed information on all Certifications and Assurances. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the application in the following order:

a. *SF-424, Application for Federal Assistance.* Please remember the following:

(1) The full grant amount (entire three-years) should be entered, not the amount for just one year;

(2) Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact. This is the person who will

receive the reviewers' comments; therefore, please ensure the accuracy of the information;

(3) The Employer Identification/Tax ID number;

(4) The DUNS Number;

(5) The Catalog of Federal Domestic Assistance Number for this program is 14.520;

(6) The project's proposed start date and completion date. For the purpose of this application, the program start date should be November 1, 2005; and

(7) The signature of the Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist.* Applicants should use the checklist to ensure that they have all the required elements of their application submission.

Applicants receiving a waiver of the electronic application submission must include a copy of the checklist in their application submission. Applicants submitting an electronic application do not have to submit the checklist in their application. The checklist can be found in the NOFA (See Attachment A).

c. *Abstract.* Applicants must include no more than a two-page summary of the proposed project. Please include the following:

(1) A clear description of the proposed project activities, the target population that will be assisted, and the impact this project will have on the institution;

(2) A statement that the institution is an eligible institution because it is a two-or four-year fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education;

(3) The designated contact person, including phone number, facsimile number, and e-mail address. (This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information);

(4) University's name, department, mailing address, telephone number, facsimile number, and e-mail address; and

(5) The principal investigator, if different from the designated contact person, for the project, including phone number, facsimile number, and e-mail address.

d. *Narrative statement addressing the Factors.* HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications.

The narrative statement is the main source of information. Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are subfactors each subfactor must be presented separately, with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor. The narrative section of an application must not exceed 75 pages, doubled spaced (excluding forms, budget narrative, assurances, commitment letters, memoranda of understanding, agreements, and abstract). Each page of the narrative must include the applicant's name and be numbered. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

e. *Budget.* The budget submission must include the following:

(1) *HUD-424-CB, "Grant Application Detailed Budget."* This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also submit this form to reflect the total cost for the entire grant performance period (Grand Total).

(2) *HUD-40076-HBCU, "Response Sheet, Budget-By-Activity."* This form must be used to document the entire three-year grant performance period. The form should include a listing of tasks to be completed for each activity necessary to be performed to implement the program, the overall costs for each activity, and the cost from each funding source. The budget-by-activity should clearly indicate the HUD grant amount and identify the source and dollar amount of the leveraged funds, if any.

Make sure that the amount shown on the SF-424, HUD-424-CB, HUD-40076-HBCU and all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on all forms so that all items are included in the total. If there is an inconsistency between any of the budget forms required, the HUD-424-CB will be used. All budget forms must be fully



completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(3) *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for any line item over \$5,000 cumulative. For example, an applicant proposes to construct a building using HUD funding totaling \$200,000. The following costs estimate reflects this total. Foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, finishing work \$35,000, and landscaping \$10,000. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used and included. When an applicant proposes to use a consultant, the applicant must indicate whether there is a formal written agreement. For each consultant, please provide the name, if known, hourly or daily rate, and the estimated time on the project. Applicants must submit a cost estimate based on historical data from the institution and/or from a qualified firm (e.g., Architectural or Engineering), vendor, and/or qualified individual (e.g., independent architect) other than the institution for projects that involve rehabilitation of residential, commercial and/or industrial structures, and/or acquisition, construction, or installation of public facilities and improvements. Such an entity must be involved in the business of housing rehabilitation, construction and/or management. Equipment and contracts cannot be presented as a total estimated costs. For equipment, applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract.

(4) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants should include a copy of their indirect cost rate agreement with their application. Please refer to Section IV.F of the General Section for further discussion on electronic submission of required documentation. Applicants who are selected for funding that do not have an approved indirect cost rate agreement (established by the cognizant federal agency, Certified Public Account, or auditor) will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate

and assist applicants in having a rate established.

f. *Appendix.* Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of commitment, memoranda of understanding and agreements for funds/resources in response to Factor 4 and other required forms in this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant SHOULD NOT submit general support letters or resumes or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

#### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. eastern time on or before May 25, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

#### E. Funding Restrictions

Ineligible CDBG Activities are listed at 24 CFR 570.207. Funding may only be provided to applicants that meet the standards for eligible applicants in Section III.A. Ineligible activities include but are not limited to:

1. Curriculum development and/or expansion of an institution's existing curriculum;
2. General government expenses; and
3. Political activities.

#### F. Other Submission Requirements

1. *Application Submission and Receipt Procedure.* Please read the General Section carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirements.* Please refer to the General Section for further discussion.

### V. Application Review Information

#### A. Criteria

1. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (25 Points).* This factor addresses the extent to which the institution has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the proposal demonstrates:

a. *Knowledge and Experience For First Time Applicants (25 Points) For Previously Funded Applicants (10 Points).* The knowledge and experience possessed by the proposed project director and staff, including the day-to-day program manager, consultants (including technical assistance providers), and contractors in planning and managing this kind of program for which funding is being requested. Applicants must clearly identify the following: key project team members, titles (e.g., project manager/coordinator, etc.), respective roles for the project staff, and a brief description of their relevant experience. Experience will be judged in terms of recent and relevant knowledge and skills of the staff to undertake the proposed eligible program activities. HUD will consider experience within the last five (5) years to be recent and experience pertaining to similar activities to be relevant.

b. *Past Performance (15 Points) For Previously Funded Grant Applicants Only.* This subfactor will evaluate the extent to which an applicant has performed successfully under all previously completed and open HUD/HBCU grants. Applicants must demonstrate this by providing the following information on the HUD-40076-HBCU "Response Sheet: (Performance Narrative) for each HBCU grant they have received:

- (1) A detailed list outlining the achievement of specific tasks, measurable objectives and specific outcomes consistent with the approved timeline/work plan in previous grants;
- (2) Comparison of proposed leveraged funds and/or resources in a previous grant with what was actually leveraged;
- (3) A list of all HUD/HBCU grants received, including the dollar amount awarded and the amount expended as of the date of this application. The HUD-40076-HBCU "Response Sheet" (Performance Narrative) form is located in Appendix C at the end of this NOFA.

The form should be filled out completely; and

(4) A detailed list outlining the timeliness and completeness of complying with all the HBCU reporting requirements. In addressing timeliness, compare when reports were due with when they were actually submitted.

HUD will also review an applicant's past performance in managing funds, including, but not limited to: the ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; and receipt of promised leveraged funds. In evaluating past performance, HUD reserves the right to deduct up to five (5) points from this rating score as a result of the information obtained from HUD's records (*i.e.*, progress and financial reports, monitoring reports, Logic Model submissions, and amendments), including the timely submission of required progress reports.

2. *Rating Factor 2: Need/Extent of the Problem (10 Points)*. This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need(s) in the target area. The need(s) described must be relevant to the activities for which funds are being requested. The proposal will be evaluated on the extent to which the level of need for the proposed activities and the importance of meeting the need(s) are documented.

In rating this factor, HUD will consider data collected within the last five (5) years to be current. To the extent that the targeted community's Five Year Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, applicants should include references to these documents in response to this factor.

If the proposed activities are not covered under the scope of the Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), indicate this clearly in the proposal and use other sound data sources to identify the level of need and the importance in meeting the need.

Applicants must use statistics or other analyses contained in at least one or more current data sources that are sound and reliable. The data provided must be specific to the area where the proposed project activities will be carried out. Sources for localized data can be found at <http://www.ffiec.gov>.

Other reliable data sources include, but are not limited to, Census reports, HUD Continuum of Care gap analysis and its E-MAP (To find additional

information go to HUD's Web site: <http://www.hud.gov/emaps>), law enforcement agency crime reports, Public Housing Agencies' Comprehensive Plans, community needs analyses such as provided by the United Way, the applicant's institution, and other sound and reliable sources. Needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements may also be addressed.

3. *Rating Factor 3: Soundness of Approach (45 Points)*. This factor addresses the quality and effectiveness of the proposed work plan, the commitment of the institution to sustain the proposed activities, and actions regarding HUD's priorities, goals and objectives, and affirmatively furthering fair housing.

This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

a. *(35 Points) Quality of the Work Plan*. This subfactor will be evaluated on the extent to which an applicant provides a clear detailed description of the proposed project and anticipated accomplishments.

(1) *(25 Points) Specific Services and/or Activities*. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project and anticipated accomplishments.

(a) Applicants must provide a clear description of the proposed activities and address the following:

(i) Describe each proposed activity and the task required to successfully implement and complete the proposed project in measurable terms (*e.g.*, the number of persons to trained and employed; houses to be rehabilitated; or minority-owned businesses to be started, etc.);

(ii) List how each proposed activity meets one of the following Community Development Block Grant (CDBG) Program national objectives:

- Benefit low- and moderate-income persons;
- Aid in the prevention or elimination of slums or blight; or
- Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more objective are provided at 24 CFR 570.208;

(b) Outline the major tasks required (in sequential order) to successfully

implement and complete the proposed program activities. Include target completion dates for each activity/task (in 6 month intervals, up to thirty-six (36) months); and

(c) Identify the individuals, as described in Factor 1, who will be responsible for completing each activity/task.

(2) *(10 Points) Describe clearly how each proposed activity will:*

(a) Expand the role of the institution in its community;

(b) Address the needs identified in Factor 2;

(c) Relate to and not duplicate other activities in the target area. Duplicative effort will be acceptable only if an applicant can demonstrate through documentation that there is a population in need that is not being served; and

(d) Involve and empower citizens of the target area in the proposed project (particularly through a committee that is representative of the target community).

b. *(2 Points) Involvement of the Faculty and Students*. The applicant must describe the extent to which it proposes to integrate the institution's students and faculty into proposed project activities.

c. *(3 Points) HUD Policy Priorities*. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities that will help the Department achieve its goals and objectives in FY 2006, when the majority of grant recipients will be reporting programmatic results and achievements. In addressing this subfactor, HUD will evaluate the extent to which a program will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed. Applicants that just list a priority will receive no points.

Each policy priority addressed has a point value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 3. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 3 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barrier" found in the

General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

d. (5 Points) *Affirmatively Furthering Fair Housing*. This subfactor will be evaluated on the extent to which an applicant describes how it proposes to undertake activities designed to affirmatively further fair housing opportunities for individuals on the basis of race, color, national origin, sex, religion, familial status, or disability.

For example:

(1) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services or lending;

(2) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or

(3) Providing housing mobility counseling services.

4. *Rating Factor 4: Leveraging Resources (8 Points)*. This factor addresses the ability of the applicant to secure resources that can be combined with HUD's grant funds to achieve the program's purpose.

In evaluating this factor, HUD will consider the extent to which the applicant established partnerships with other entities to secure additional resources to increase the effectiveness of the proposed project activities.

Resources may include funding or in-kind contributions, such as services or equipment, allocated for the purpose(s) of the grant. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities. Applicants may also establish partnerships with other program funding recipients to coordinate the use of resources in the target area. Overhead and other institutional costs (e.g., salaries, indirect costs, etc.) that the institution has waived may be counted. Examples of potential sources for outside assistance include:

- Federal, state, and local governments;
- Local or national nonprofit organizations;
- Financial institutions and/or private businesses;
- Foundations;
- Faith-based and other community-based organizations;

For each cash or in-kind contribution to the program a letter of commitment, memorandum of understanding, or agreement must be provided that shows the extent and firmness of the commitment of leveraged funds (including any commitment of resources from the applicant's own institution) in order for these resources to count in determining points under this factor.

Resources will not be counted for which there is no commitment letter, memorandum of understanding, or agreement, or quantified level of commitment. Letters, memoranda of understanding, or agreements must be submitted on the provider's letterhead and be included with the application package. (Applicants submitting paper copy applications must place all letters, memoranda of understanding, or agreements in the Appendix. Applicants submitting these items electronically must follow the submission directions in Section IV.F of the General Section.) The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than nine months prior to this published NOFA. Applications that do not include evidence of leveraging or address all items as outlined below will receive zero (0) points for this Factor.

A firm commitment letter, memorandum of understanding, or agreement must address the following:

- a. The cash amount contributed or dollar value of the in-kind goods and/or services committed (If a dollar amount and use is not shown, the source will not be counted);
- b. A specific description of how each contribution is to be used toward one of the proposed activities;
- c. The date the contribution will be made available and a statement that describes the duration of the contribution;
- d. Any terms or conditions affecting the commitment, other than receipt of a HUD grant; and
- e. The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. Please remember that only items eligible for funding under this program can be considered.

5. *Rating Factor 5: Achieving Results and Program Evaluation (12 Points)*. This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their performance to achieve the program's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring

performance and determining that objectives and goals have been achieved. The Logic Model is a summary of the narrative statements presented in Factors 1–4. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements.

"Outcomes" are benefits accruing to the community during or after participation in the HBCU program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include increased employment opportunities in the target community by a certain percentage, increased incomes/wages or other assets for persons trained, or enhanced family stability through the creation of affordable housing opportunities (e.g., increased assets to families and communities through the development of affordable housing).

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the program's activities. Examples of outputs are the number of new affordable housing units, the number of homes that have been renovated, and the number of facilities that have been constructed or rehabilitated. Outputs should produce outcomes for the program. At a minimum, an applicant must address the following activities in the evaluation plan:

- a. Measurable outputs to be accomplished (e.g., the number of persons to be trained and employed; houses to be built pursuant to 24 CFR 570.207 or rehabilitated; minority-owned businesses to be started);
- b. Measurable outcomes the grant will have on the community in general and the target area or population; and
- c. The impact the grant will have on assisting the university to obtain additional resources to continue this type of work at the end of the grant performance period.

This information must be placed on a HUD-96010, Program Outcome Logic Model form. Applicants may use as many copies of this form as required. It will not be included in the page count requirement. A narrative is not required. However, if a narrative is provided, those pages will be included in the page count. Additional information on this form and how to use it can be found in the General Section.

#### B. Review and Selection Process

##### 1. Application Selection Process.

Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Rating Factors" listed in Section V.A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. *Rating Panels.* To review and rate applications HUD may establish panels, which may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

3. *Ranking.* HUD will fund applications in rank order, until all available program funds are awarded. In order to be funded, an applicant must receive a minimum score of 75 points out of a possible 102 points, which includes up to two bonus points that may be awarded for activities conducted in the RC/EZ/EC-II, as described in the General Section. If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 1, Capacity of the Applicant and Relevant Organizational Experience shall be selected. If there is still a tie, the application with the most points for Factor 2, 4 and then 5 shall be selected in that order until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down an award offer, HUD will make an award to the next highest-ranking application. If funds remain after all selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

4. *Correction to Deficient Applications.* The General Section provides the procedures for correction to deficient applications.

### C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before September 30, 2005.

## VI. Award Administration Information

### A. Award Notice

After all selections have been made, HUD will notify all winning applications in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section.

### B. Administrative and National Policy Requirements

For further discussion of this matter, please refer to Section VI.B. in the General Section.

1. *Debriefing.* The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Ophelia Wilson; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8130; Washington, DC 20410-6000. Applicants may also write to Ms. Wilson via email at [Ophelia\\_Wilson@hud.gov](mailto:Ophelia_Wilson@hud.gov).

2. *Administrative.* Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Governmentwide Regulations Applicable to Financial Assistance Programs.* The General Section provides further discussion on this matter.

4. *Executive Order 13202, Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects.* See the General Section for further discussion.

5. *Procurement of Recovered Materials.* See Section III.C.4 of the General Section for further discussion.

6. *Code of Conduct.* See the General Section for further discussion.

### C. Reporting

All grant recipients under this NOFA are required to submit quarterly progress reports. The progress reports shall consist of two components, a narrative that must reflect the activities undertaken during the reporting period and a financial report that reflects costs incurred by budget line item, as well as

a cumulative summary of costs incurred during the reporting.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed Logic Model form (HUD-96010), which identifies output and outcome achievements.

## VII. Agency Contacts

Applicants may contact Ophelia Wilson at (202) 708-3061, extension 4390 or Susan Brunson at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service (TTY) at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Ms. Wilson via email at [Ophelia\\_Wilson@hud.gov](mailto:Ophelia_Wilson@hud.gov), and/or Ms. Brunson at [Susan\\_S.\\_Brunson@hud.gov](mailto:Susan_S._Brunson@hud.gov).

## VIII. Other Information

### Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0235. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 356 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly, semi-annual and final reports. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

## APPENDIX C

### Historically Black Colleges and Universities Unfunded by HUD During Fiscal Years 1991-2004

#### Alabama

Concordia College  
Selma University  
Trenholm State Technical College

#### Florida

Florida Memorial College

#### Georgia

Morehouse School of Medicine  
Paine College

*Michigan*

Lewis College of Business

*Ohio*

Wilberforce University

*Pennsylvania*

Cheyney University of Pennsylvania

*South Carolina*Clinton Junior College  
Denmark Technical College  
Morris College*Virginia*

Virginia University of Lynchburg

*Tennessee*

Knoxville College

*Texas*

Southwestern Christian College

**Historically Black Colleges and Universities Previously Funded By HUD During Fiscal Years 1991-2004***Alabama*Alabama A&M University  
Alabama State University  
Bishop State Community College  
Gadsden State Community College  
J.F. Drake Technical College  
Lawson State Community College  
Miles College  
Oakwood College  
Stillman College  
Talladega College  
Tuskegee University  
C.A. Fredd Technical College*Arkansas*Arkansas Baptist College  
Philander Smith College  
Shorter College  
University of Arkansas at Pine Bluff*Delaware*

Delaware State University

*District of Columbia*Howard University  
University of the District of Columbia*Florida*

Bethune-Cookman College

Edward Waters College  
Florida A&M University*Georgia*Albany State University  
Clark Atlanta University  
Fort Valley State University  
Interdenominational Theological Center  
Morehouse College  
Morris Brown College  
Savannah State University  
Spelman College*Kentucky*

Kentucky State University

*Louisiana*Dillard University  
Grambling State University  
Southern University A & M College  
System at Baton Rouge  
Southern University at Shreveport  
Southern University at New Orleans  
Xavier University of New Orleans*Maryland*Bowie State University  
Coppin State College  
Morgan State University  
University of Maryland Eastern Shore*Mississippi*Alcorn State University  
Coahoma Community College  
Jackson State University  
Mississippi Valley State University  
Rust College  
Tougaloo College  
Hinds Community College*Missouri*Harris-Stowe State College  
Lincoln University*North Carolina*Barber-Scotia College  
Bennett College  
Elizabeth City State University  
Fayetteville State University  
Johnson C. Smith University  
Livingstone College  
North Carolina A&T State University  
North Carolina Central UniversitySt. Augustine's College  
Shaw University  
Winston Salem State University*Ohio*

Central State University

*Oklahoma*

Langston University

*Pennsylvania*

Lincoln University

*South Carolina*Allen University  
Benedict College  
Claflin College  
South Carolina State University  
Voorhees College*Tennessee*Fisk University  
Lemoyne-Owen College  
Meharry Medical College  
Tennessee State University  
Lane College*Texas*Huston-Tillotson College  
Jarvis Christian College  
Paul Quinn College  
Prairie View A&M University  
Saint Philip's College  
Texas Southern University  
Texas College  
Wiley College*Virginia*Hampton University  
Norfolk State University  
Saint Paul's College  
Virginia State University  
Virginia Union University*West Virginia*West Virginia State University  
Bluefield State College*U.S. Virgin Islands*

University of the Virgin Islands

BILLING CODE 4210-32-P

Attachment A---Application Checklist HBCU  
Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF- 424 “Application For Federal Assistance”

\_\_\_\_\_ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

\_\_\_\_\_ Abstract (must include no more than a two-page summary of the proposed project)

**Indicate the page number where each of the Factors is located:**

Narrative Statement Addressing the Factors for Award

The narrative including tables and maps must not exceed 75 pages (excluding forms, abstracts, budget narrative, assurances, commitment letters, memorandum of understanding, and agreements) double-spaced with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font.

\_\_\_\_\_ Factor I

\_\_\_\_\_ HUD-40076, “Response Sheet Performance Narrative” (Previously Funded HBCU Applicants Only)

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

\_\_\_\_\_ HUD-96010 “Logic Model”

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB” Grant Application Detailed Budget.”  
 \_\_\_\_\_ HUD-40076-HBCU “Budget-By-Activity” (*Section Only*)

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total  
 three-year grant period)

\_\_\_\_\_ Indirect Cost Rate (if applicable)

\_\_\_\_\_ Letters of commitment, memoranda of understanding, or agreements

### **Attachment B (All Required Forms)**

The following forms are required for submission. All required forms are contained in the electronic application package.

\_\_\_\_\_ Application for Federal Assistance (SF-424);

\_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

\_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL);

\_\_\_\_\_ America's Affordable Communities Initiative (HUD-27300), if applicable;

\_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);

\_\_\_\_\_ Program Logic Model (HUD-96010);

\_\_\_\_\_ Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;

\_\_\_\_\_ Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;

\_\_\_\_\_ Acknowledgement of Applicant Receipt (HUD-2993) Only applicants that submit paper applications; and

\_\_\_\_\_ Client Comments and Suggestions (HUD-2994).

\_\_\_\_\_ Response Sheet Performance Narrative (HUD-40076)--*Previously Funded HBCU Applicants Only*)

\_\_\_\_\_ Budget-By-Activity—*Section Only*- (HUD-40076-HBCU

\_\_\_\_\_ Facsimile Transmittal Cover Page (HUD 96011) to be used when sending electronic application third party documentation and faxes to HUD. Do not use this form if you received a waiver of the electronic submission requirement and are submitting a hard copy application. Items received by fax as part of a paper copy submission will not be considered.

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## Historically Black Colleges and Universities

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OMB Approval No. 2506-0122 (exp. 4/30/2007)

The information collection requirements contained in this application have been approved by the Office of Management and Budget (OMB) under the paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). 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.

Information is requested in accordance with the regulatory authority contained in each program rule. The information will be used to rate applications, determine eligibility, and to establish grant amounts.

Selection of applications for funding is based on rating factors listed in the Notice of Fund Availability (NOFA), which is published each year. The information collected in the application form will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 44 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.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements.

**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)





**RESPONSE SHEET**

Applicant Name: \_\_\_\_\_

**Budget-By-Activity** The information that the applicant supplies on this form will be reviewed in conjunction with the narrative response and other documentation for the budget submission requirement.

Activity No.	List Activity and Tasks for Each Activity	Source of Funds					Total
		HUD HBCU Grant	Other Federal	State	Local	Private	
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
	Subtotal	\$	\$	\$	\$	\$	\$
	Costs of Administering Grant	\$	\$	\$	\$	\$	\$
	Percent of Total	%	%	%	%	%	%
	*Total	\$	\$	\$	\$	\$	\$

\*Must equal amounts on SF-424.

**RESPONSE SHEET**

**The information requested below is to be provided by Previously-funded HBCUs only.**

Applicant should duplicate this page as necessary.

**Performance Narrative.** The following information is to be provided for HUD HBCU grant(s). The information will be reviewed in conjunction with the two latest progress reports for the grant(s) which are also to be submitted in response to this subfactor.

The following information is requested for **each** HUD/HBCU grant that you have received since 1991.

Applicant Name \_\_\_\_\_

Grant Number \_\_\_\_\_

Grant start date (grant agreement, HUD-1044, executed) \_\_\_\_\_

Grant end date \_\_\_\_\_

Amount of HUD Grant funds awarded \$ \_\_\_\_\_

Amount of HUD Grant funds expended \$ \_\_\_\_\_

Balance of Grant funds to be spent \$ \_\_\_\_\_

Total cost of project \$ \_\_\_\_\_

Amount contributed by partners \$ \_\_\_\_\_

Partner percentage of total cost \_\_\_\_\_ %

Partner Name \_\_\_\_\_

Amount Contributed \$ \_\_\_\_\_

Partner Name \_\_\_\_\_

Amount Contributed \$ \_\_\_\_\_

Partner Name \_\_\_\_\_

Amount Contributed \$ \_\_\_\_\_

Partner Name \_\_\_\_\_

Amount Contributed \$ \_\_\_\_\_

**Grant Goals and Objectives**

**RESPONSE SHEET**

Applicant Name \_\_\_\_\_

**Performance Narrative.** (continued)

Were / are Grant Goals and Objectives being met? Yes \_\_\_\_ No \_\_\_\_

Total number of Grant tasks \_\_\_\_\_

Total number of persons to be served by completion of this Grant \_\_\_\_\_

**For the following questions, please enter a date that is no earlier than the publication date of this SuperNOFA.**

Total number of Grant tasks completed as of (enter date) \_\_\_\_\_

Percentage of Grant tasks completed as of (enter date) \_\_\_\_\_

Total number of persons served as of (enter date) \_\_\_\_\_

List measurable results as of (enter date) \_\_\_\_\_

Were / are Grant Target dates and Schedules being met? Yes \_\_\_\_ No \_\_\_\_

Impediments or delays in implementation encountered \_\_\_\_\_

Other comments:

**RESPONSE SHEET**

Applicant Name \_\_\_\_\_

**Performance Narrative.** (continued)

Total number of HUD / HBCU Grants you have received \_\_\_\_\_

<b>Grant Number</b>	<b>Amount of Grant</b>
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
<b>Total</b>	\$ _____

Briefly describe the impact that the total amount of HUD/HBCU funds listed above have had on your community.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITIES AND COLLEGES  
PROGRAMS**

**HISPANIC-SERVING INSTITUTIONS  
ASSISTING COMMUNITIES (HSIAC)  
PROGRAM**

## Hispanic-Serving Institutions Assisting Communities (HSIAC) Program

### Overview Information

A. *Federal Agency Name*: Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

B. *Funding Opportunity Title*: Hispanic-Serving Institutions Assisting Communities (HSIAC) Program.

C. *Announcement Type*: Initial announcement.

D. *Funding Opportunity Numbers*: The **Federal Register** Number for this Notice Of Funding Availability (NOFA) is FR-4950-N-11. The OMB Approval Number for this program is 2528-0198.

E. *Catalog of Federal Domestic Assistance (CFDA) Number*: The CFDA Number for this program is 14.514.

F. *Dates*: The application submission date is June 13, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

### G. *Additional Overview Content Information*:

1. *Purpose of the Program*: The Hispanic-Serving Institutions Assisting Communities (HSIAC) Program assists Hispanic-Serving Institutions (HSI) expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low- and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

2. *Award Information*: In Fiscal Year (FY) 2005, approximately \$6.64 million has been made available for this program by the Consolidated Appropriations Act, 2005 (Pub L. 108-447). The maximum amount an applicant can request for award is \$600,000 for a maximum three-year (36 months) grant performance period.

3. *Eligible Applicants*: Nonprofit Hispanic-Serving Institutions that meet the definition of an HSI established in Title V of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244; enacted October 7, 1998) are eligible to apply for funding under this program. In order to meet this definition, at least 25 percent of the full-time undergraduate students enrolled in an institution must be Hispanic and not less than 50 percent of these Hispanic students must be low-income individuals. Institutions are not required to be on the list of eligible HSIs prepared by the U.S. Department of Education. However, an institution that is not on the list is required to provide

a statement in the application that the institution meets the U.S. Department of Education's statutory definition of an HSI. In addition, all applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. HUD also intends to fund at least two eligible HSIAC applications (applications that received a minimum score of 75 points) that serve Colonias (as defined in the General Section). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If less than two fundable applications are eligible for award these funds will be made available to award additional HSIAC grants.

### Full Text of Announcement

#### I. Funding Opportunity Description

The purpose of the Hispanic Serving Institutions Assisting Communities (HSIAC) Program is to assist Hispanic Serving Institutions (HSI) expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing and economic development, principally for persons of low- and moderate-income consistent with the purpose of the Title I of the Housing and Community Development Act of 1974, as amended.

For the purpose of this program, the term "locality" includes any city, county, township, parish, village, or other general political subdivision of a state, Puerto Rico, or the U.S. Virgin Islands where the institution is located.

A "target area" is the area within the locality in which the institution will implement its proposed HSIAC grant.

#### A. Authority

HUD's authority for making this funding available under this NOFA is Pub. L.108-447. This program is being implemented through this NOFA and the policies governing its operation are contained herein.

#### B. Modifications

Listed below are major modifications from the Fiscal Year (FY) 2004 program-funding announcement:

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further discussion.

2. Letters, memoranda of understanding, or agreements in response to Factor 4 now can be dated no earlier than nine months prior to the date of this published NOFA and

received no later than the application due date.

#### II. Award Information

In Fiscal Year (FY) 2005, approximately \$6.64 million is made available under this NOFA. The maximum amount an applicant can request for award is \$600,000 for a maximum three-year (36 months) grant performance period.

#### III. Eligibility Information

##### A. Eligible Applicants

Nonprofit Hispanic-serving institutions that meet the definition of an HSI of higher education established in Title V of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244; enacted October 7, 1998) are eligible to apply for funding under this program. In order to meet this definition, at least 25 percent of the full-time undergraduate students enrolled in an institution must be Hispanic and not less than 50 percent of these Hispanic students must be low-income individuals. Institutions are not required to be on the list of eligible HSIs prepared by the U.S. Department of Education. However, an institution that is not on the list is required to provide a statement in the application that the institution meets the U.S. Department of Education's statutory definition of an HSI as cited above. In addition, all applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education.

HUD intends to fund at least two eligible HSIAC applications that propose to serve Colonias (as defined in the General Section). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If fewer than two applications are eligible for award these funds will be made available to award additional HSIAC grants.

##### B. Cost Sharing or Matching

None Required.

##### C. Other

1. *Eligible Activities*. Eligible activities are listed in 24 CFR part 570, subpart C, particularly §§ 570.201 through 570.206. Information regarding these activities can be found at: <http://www.hudclips.org> (click on the Code of Federal Regulations for detailed information).

a. Examples of eligible activities include, but are not limited to:

- (1) Acquisition of real property;
- (2) Clearance and demolition;

(3) Rehabilitation of residential structures including lead-based paint hazard evaluation and reduction and making accessibility and visitability modifications in accordance with the requirements of Section 504 of the Rehabilitation Act of 1973;

(4) Public facilities and improvements, such as water and sewer facilities and streets compliance with accessibility requirements, including Section 504 of the Rehabilitation Act of 1973, the Fair Housing Act, and the American with Disabilities Act of 1990;

(5) Relocation payments and other assistance for permanently and temporarily relocated individuals, families, businesses, nonprofit organizations, and farm operations where the assistance is:

(a) Required under the provisions of 24 CFR 570.606(b) or (c); or

(b) Determined by the grantee to be appropriate under the provisions of 24 CFR 570.606(d);

(6) Direct homeownership assistance to low- and moderate-income persons, as provided in section 105(a) (25) of the Housing and Community Development Act of 1974;

(7) Special economic development activities described at 24 CFR 570.203 and assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;

(8) Assistance to community-based development organizations (CBDO) to carry out a CDBG neighborhood revitalization, community economic development, or energy conservation project, in accordance with 24 CFR 570.204. This could include activities in support of a HUD-approved local entitlement grantee, CDBG Neighborhood Revitalization Strategy (NRS) or HUD-approved State CDBG Community Revitalization Strategy (CRS);

(9) Public service activities such as general support activities that can help to stabilize a neighborhood and contribute to sustainable redevelopment of the area, including but not limited to such activities as those concerned with employment, crime prevention, child care, health services, drug abuse, education, fair housing counseling, energy conservation, homebuyer down payment assistance, or recreational needs;

(10) Up to 20 percent of the grant may be used for payments of reasonable grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports). Detailed explanations of these

costs are provided in OMB circular A-21 Cost Principals for Educational Institutions that can be accessed at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>;

(11) Fair housing services designed to further the fair housing objectives of the Fair Housing Act (42 U.S.C. 3601-20) by making all persons, without regard to race, color, religion, sex, national origin, familial status and/or disability aware of the range of housing opportunities available to them; and

(12) Activities designed to promote training and employment opportunities (e.g., Neighborhood Networks in federally assisted or insured housing and employment opportunities for lower income persons in connection with Assisted Projects).

b. Eligible activities that may be funded under this program are those activities that meet both a Community Development Block Grant (CDBG) Program national objectives and eligibility requirements.

c. The three national objectives of the Community Development Block Grant program are:

(1) Benefit to low- or moderate-income persons;

(2) Aid in the prevention or elimination of slums or blight; and

(3) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more national objectives are provided at 24 CFR 570.208.

d. The CDBG publication entitled "Community Development Block Grant Program Guide to National Objectives and Eligible Activities for Entitlement Communities" describes the CDBG regulations, and a copy can be obtained from HUD's NOFA Information Center at 800-HUD-8929 or 800-HUD-2209 for the hearing-impaired.

2. *Audit Requirements.* Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in Federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

3. *Threshold Requirements Applicable to all Applicants.* All applicants must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified:

a. The applicant must meet the eligibility requirements as defined in Section III.A, Eligible Applicants.

b. The applicant may request no more than \$600,000 for award.

c. Only *one* application can be submitted per campus. If multiple applications are submitted, all will be disqualified.

d. An individual campus that is one of several campuses of the same institution may apply separately as long as the applicant's campus has a separate administrative and budget structure.

e. Institutions that received an HSIAC grant in FY 2004 are not eligible to submit an application under this NOFA. If an institution received an HSIAC grant in FY 2001, FY 2002, or FY 2003, the institution may apply under this NOFA as long as it: (a) Proposes a different activity (activities) in their current project location, or proposes replicating their current project in a new location and (b) has drawn down at least 75 percent of the previous grant funds at least three weeks prior to this program's application submission date. It is the applicant's responsibility to make sure that these requirements are met.

f. Applicants must receive a minimum score of 75 points to be considered for funding.

g. An applicant must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement.)

h. Electronic applications must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on June 13, 2005. See the General Section for information on application submission and timely receipt requirements.

4. *Program Requirements.* In addition to the program requirements listed in Section III.C of the General Section, applicants must meet the following program requirements:

a. All funds awarded are for a three-year (36 months) grant performance period.

b. Applicants that claim leveraging from *any source*, including their own institution, must provide letters of firm commitment, memoranda of understanding, or agreements evidencing the extent and firmness of



commitment of leveraging from other federal (e.g., Department of Labor, AmeriCorps Programs), state, or local governments, and other public/private sources (including the applicant's own resources). These documents must follow the outline provided in Section V, Application Review Information "Factor 4: Leveraging Resources" of this NOFA. Please refer to Section IV.F of the General Section for further instructions on how to submit these third party documents via the electronic submission process.

c. Applicants must ensure that not less than 51 percent of the aggregated expenditures of a grant award are used to benefit low- and moderate-income persons under the criteria specified in 24 CFR 570.208(a) or 570.208(d)(5) or (6).

d. Site Control. Where grant funds will be used for acquisition, rehabilitation, or new construction an applicant must demonstrate site control. Funds may be recaptured or deobligated from applicants that cannot demonstrate control of a suitable site within one year after the initial notification of award.

e. Environmental Requirements. Selection for award does not constitute approval of any proposed sites. Following selection for award, HUD will perform an environmental review of properties proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property, and not commit or expend HUD or local funds for these program activities with respect to any eligible property until HUD's written approval of the property is received. In supplying HUD with environmental information, applicants should use the same guidance as provided in the HUD Notice CPD-99-01 entitled "Field Environmental Review Processing for HUD Colonias Initiative (HCI) Grants" issued January 27, 1999. The General Section provides further discussion of the environmental requirements. Further information and

assistance on HUD's environmental requirements is available at: <http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm>.

f. Labor Standards. Institutions and their sub-grantees, contractors, and subcontractors must comply with the labor standards (Davis-Bacon) requirements referenced in 24 CFR 570.603.

g. Economic Opportunities for Low- and Very-Low Income Persons (Section 3).

The provisions of Section 3 of the Housing and Urban Development Act of 196 (12 U.S.C. 1701u) apply to this NOFA. Regulations may be found at 24 CFR part 135.

#### **IV. Application and Submission Information**

##### *A. Addresses To Request Application Package*

Applicants may download the instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or email your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting email notification of funding opportunities or downloading the application and should be done as soon as you download the application from the Grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

##### *B. Content and Form of Application Submission*

1. *Forms*. The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. The electronic

version of the NOFA contains all forms required for submission.

a. Application for Federal Assistance (SF-424);

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

f. Applicant/Recipient Disclosure/Update Report (HUD-2880);

g. Program Logic Model (HUD-96010);

h. Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;

i. Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;

j. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so;

k. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. In providing comments, please be as specific as possible. General Statements that the NOFA is better than before but needs improvement does not provide HUD with the type of information that will allow us to improve the process. Applicants are not required to complete this form; and

l. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and

then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

**2. Certifications and Assurances.**

Please read the General Section for detailed information on all Certifications and Assurance. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the application in the following order:

a. *SF-424, Application for Federal Assistance.* Please remember the following:

(1) The full grant amount (entire three years) should be entered, not the amount for just one year;

(2) Include the name, title, address, telephone number, facsimile number, and email address of the designated contact. This is the person who will receive the reviewers' comments. Please ensure the accuracy of the information;

(3) The Employer Identification/Tax ID;

(4) The DUNS Number;

(5) The Catalog of Federal Domestic Assistance Number for this program is 14.514;

(6) The project's proposed start date and completion date. For the purpose of this application, the program start date should be November 1, 2005; and

(7) The signature of the Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist.* Applicants should use the checklist to ensure that they have all the required elements of their application submission.

Applicants receiving a waiver of the electronic application submission must include a copy of the checklist in their application submission. Applicants submitting an electronic application do not have to submit the checklist. The checklist can be found in the NOFA (See Attachment A).

c. *Abstract.* Applicants must include no more than a two-page summary of the proposed project. Please include the following:

(1) A clear description of the proposed project activities, the target population that will be assisted, and the impact this project will have on the institution;

(2) A statement that the institution is an eligible institution because it is a two-or four-year fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education;

(3) A statement that the institution meets the definition of an Hispanic Serving Institution: at least 25 percent of the full-time undergraduate students enrolled in an institution must be Hispanic and not less than 50 percent of these Hispanic students must be low-income individuals;

(4) The designated contact person, including phone number, facsimile number, and email address (This is the person who will receive the reviewers' comments. Please ensure the accuracy of the information);

(5) University's name, department, mailing address, telephone number, facsimile number, and email address; and

(6) The principal investigator, if different from the designated contact person, for the project, including phone number, facsimile number, and email address.

d. *Narrative statement addressing the Factors.* HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is the main source of information. Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are subfactors, each subfactor must be presented separately, with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor. The narrative section of an application must not exceed 75 pages, doubled spaced (excluding forms, budget narrative, assurances, commitment letters, memoranda of understanding, agreements, and abstract). Each page of the narrative must include the applicant's name and be numbered. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

e. *Budget.* The budget submission must include the following:

(1) *HUD-424-CB, "Grant Application Detailed Budget."* This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also submit this form to reflect the total cost for the entire grant performance period (Grand Total).

Make sure that the amount shown on the SF-424, the HUD-424-CB, and all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on the HUD-424-CB form so that all items are included in the total. If there is an inconsistency between any of the budget forms required, the HUD-424-CB will be used. All budget forms must be fully completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for any line item over \$5,000 cumulative. For example, an applicant proposes to construct a building using HUD funding totaling \$200,000. The following costs estimate reflects this total. Foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, finishing work \$35,000, and landscaping \$10,000. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used and included. All direct labor or salaries must be supported with mandated city/state pay scales, the Davis-Bacon rate, (if applicable) or other documentation. (See the General Section for how to submit this information electronically). When an applicant proposes to use a consultant, the applicant must indicate whether there is a formal written agreement. For each consultant, please provide the name, if known, hourly or daily rate, and the estimated time on the project. Applicants must submit a cost estimate based on historical data from the institution and/or from a qualified firm (e.g., Architectural or Engineering), vendor, and/or qualified individual (e.g., independent architect) other than the institution for projects that involve rehabilitation of residential, commercial and/or industrial structures, and/or acquisition, construction, or installation of public facilities and improvements.

Such an entity must be involved in the business of housing rehabilitation, construction and/or management. Equipment and contracts cannot be presented as a total estimated cost. For equipment, applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract.

(3) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants should include a copy of their indirect cost rate agreement with their application. Please refer to Section IV.F of the General Section for further discussion on electronic submission of required documentation. Applicants who are selected for funding that do not have an approved indirect cost rate agreement (established by the cognizant Federal agency, Certified Public Account, or auditor) will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and assist applicants with the process of establishing a final rate.

f. *Appendix.* Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of commitment, memoranda of understanding and agreements for funds/resources in response to Factor 4 and other required forms in this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant SHOULD NOT submit general support letters, resumes, or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

#### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. Eastern time on or before June 13, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

#### E. Funding Restrictions

Ineligible CDBG Activities are listed at 24 CFR 570.207. Funding may only be provided to applicants that meet the standards for eligible applicants in Section III. A. Ineligible activities include but are not limited to:

- a. Curriculum development and/or expansion of an institution's existing curriculum;
- b. General government expenses;
- c. Political activities; and
- d. Planning and administrative activities that would result in a grantee exceeding the 20 percent cost limitation on such activities.

#### F. Other Submission Requirements

1. *Application Submission and Receipt Procedure.* Please read the General Section carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirement.* Please refer to the General Section for further discussion.

### V. Application Review Information

#### A. Criteria

1. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (25 Points).* This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the proposal demonstrates:

- a. *Knowledge and Experience For First Time Applicants (25 Points) For Previously Funded Applicants (10 Points).* The knowledge and experience possessed by the proposed project director and staff, including the day-to-day program manager, consultants (including technical assistance providers), and contractors in planning and managing this kind of program for which funding is being requested. Applicants must clearly identify the following: key project team members, titles (e.g., project manager/coordinator, etc.), respective roles for the project staff, and a brief description of their relevant experience. Experience will be judged in terms of recent and relevant knowledge and skills of the staff to undertake eligible program activities. HUD will consider experience within the last five (5) years to be recent and

experience pertaining to similar activities to be relevant.

b. *Past Performance (15 Points) For Previously Funded Grant Applicants Only.* This subfactor will evaluate the extent to which an applicant has performed successfully under all previously completed and open grants HUD/HSIAC grants. Applicants must demonstrate this by providing the following information:

- (1) A detailed list outlining the achievement of specific tasks, measurable objectives, and specific outcomes consistent with the approved timeline/work plan in previous grants;
- (2) Comparison of the proposed required leveraged funds and/or resources in previous grants with what was actually leveraged;
- (3) A list of all HUD/HSIAC grants received, including the dollar amount awarded and the amount expended as of the date of this application; and
- (4) A detailed list outlining the timeliness and completeness of complying with all the HSIAC reporting requirements. In addressing timeliness, compare when reports were due with when they were actually submitted.

HUD will also review an applicant's past performance in managing funds, including, but not limited to: The ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; and receipt of promised leveraged funds. In evaluating past performance, HUD reserves the right to deduct up to five (5) points from this rating score as a result of the information obtained from HUD's records (i.e., progress and financial reports, monitoring reports, Logic Model submissions, and amendments), including the timely submission of required progress reports.

2. *Rating Factor 2: Need/Extent of the Problem (10 Points).* This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need(s) in the target area. The need(s) described must be relevant to the activities for which funds are being requested. The proposal will be evaluated on the extent to which the level of need for the proposed activities and the importance of meeting the need(s) are documented.

In rating this factor, HUD will consider data collected within the last five (5) years to be current. To the extent that the targeted community's Five Year Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, applicants should include references to

these documents in the response to this factor.

If the proposed activities are not covered under the scope of the Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), indicate this clearly in the proposal and use other sound data sources to identify the level of need and the urgency in meeting the need.

Applicants must use statistics or other analyses contained in at least one or more current data sources that are sound and reliable. The data provided must be current and specific to the area where the proposed project activities will be carried out. Sources for localized data can be found at <http://www.ffiec.gov>.

Other reliable data sources include, but are not limited to, Census reports, HUD Continuum of Care gap analysis and its E-MAP (<http://www.hud.gov/emaps>), law enforcement agency crime reports, Public Housing Agencies' Comprehensive Plans, community needs analyses such as provided by the United Way, the applicant's institution, and other sound and reliable appropriate sources. Needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements may also be addressed.

**3. Rating Factor 3: Soundness of Approach (45 Points).** This factor addresses the quality and effectiveness of the proposed work plan, the commitment of the institution to sustain the proposed activities, actions regarding HUD's priorities, goals and objectives, and affirmatively furthering fair housing.

This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

a. (34 Points) Quality of the Work Plan. This subfactor will be evaluated on the extent to which an applicant provides a clear detailed description of the proposed project and anticipated accomplishments.

(1) (24 Points) Specific Services and/or Activities. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project.

(a) Applicants must provide a clear description of the proposed activities and address the following:

(i) Describe each proposed activity to successfully implement and complete the proposed project in measurable terms (e.g., the number of persons to be trained and employed; houses to be built or rehabilitated; or minority owned businesses to be started, etc.);

(ii) List how each proposed activity meets one of the following Community

Development Block Grant (CDBG) Program national objectives:

- Benefit low- and moderate-income persons;
- Aid in the prevention or elimination of slums or blight; or
- Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more objective are provided at 24 CFR 570.208;

(b) Outline the major tasks required (in sequential order) to successfully implement and complete the proposed program activities. Include target completion dates for each activity/task (in 6 month intervals, up to 36 months); and

(c) Identify the individuals, as described in Factor 1, who will be responsible for completing each activity/task.

(2) (10 Points) Describe clearly how each proposed activity will:

(a) Expand the role of the institution in its community;

(b) Address the needs identified in Factor 2;

(c) Relate to and not duplicate other activities in the target area. Duplicative effort will be acceptable only if an applicant can demonstrate through documentation that there is a population in need that is not being served; and

(d) Involve and empower citizens of the target area in the proposed project.

b. (5 Points) Involvement of the Faculty and Students. The applicant must describe the extent to which it proposes to integrate the institution's students and faculty into proposed project activities.

c. (3 Points) HUD Policy Priorities. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which will help the Department achieve its goals and objectives in FY 2006, when the majority of grant recipients will be reporting programmatic results and achievements. In addressing this factor, HUD will evaluate the extent to which a program will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed. Applicants that just list a priority will receive no points.

Each policy priority addressed has a point value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 3. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 3 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

d. (3 Points) Affirmatively Furthering Fair Housing. This subfactor will be evaluated on the extent to which an applicant describes how it proposes to undertake activities designed to affirmatively further fair housing opportunities for individuals on the basis of race, color, national origin, sex, religion, familial status, or disability. For example:

(1) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services or lending;

(2) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or

(3) Providing housing mobility counseling services.

**4. Rating Factor 4: Leveraging Resources (8 Points).** This factor addresses the ability of the applicant to secure resources that can be combined with HUD's grant funds to achieve the program's purpose.

In evaluating this factor, HUD will consider the extent to which the applicant established partnerships with other entities to secure additional resources to increase the effectiveness of the proposed project activities.

Resources may include funding or in-kind contributions, such as services or equipment, allocated for the purpose(s) of the grant. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities. Applicants may also establish

partnerships with other program funding recipients to coordinate the use of resources in the target area. Overhead and other institutional costs (e.g., salaries, indirect costs, etc.) that the institution has waived may be counted. Examples of potential sources for outside assistance include:

- Federal, state, and local governments.
- Local or national nonprofit organizations.
- Financial institutions and/or private businesses.
- Foundations.
- Faith-based and other community-based organizations.

For each cash or in-kind contribution to the program a letter of commitment, memorandum of understanding, or agreement must be provided that shows the extent and firmness of the commitment of leveraged funds (including any commitment of resources from the applicant's own institution) in order for these resources to count in determining points under this factor. Resources will not be counted for which there is no commitment letter, memorandum of understanding, or agreement, or quantified level of commitment. (Applicants submitting paper copy applications must place all letters, memoranda of understanding, or agreements in the Appendix. Applicants submitting these items electronically must follow the submission directions in Section IV.F of the General Section.) The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than nine months prior to this published NOFA. Letters, memoranda of understanding, or agreements must be submitted on the provider's letterhead in accordance with the instructions in the General Section. Applicants that do not provide the documentation evidencing the leveraging or address all items as outlined below will receive zero (0) points for this Factor.

a. A firm commitment letter, memorandum of understanding, or agreement must address the following:

(1) The cash amount contributed or dollar value of the in-kind goods and/or services committed (If a dollar amount and use is not shown, the source will not be counted);

(2) A specific description of how the contribution is to be used toward one of the proposed activities;

(3) The date the contribution will be made available and a statement that describes the duration of the contribution;

(4) Any terms or conditions affecting the commitment, other than receipt of a HUD grant; and

(5) The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. Please remember that only items eligible for funding under this program can be counted.

*5. Rating Factor 5: Achieving Results and Program Evaluation (12 Points).*

This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their performance to achieve the program's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved. The Logic Model is a summary of the narrative statements presented in Factors 1-4. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements.

"Outcomes" are benefits accruing to institutions and/or communities during or after participation in the HSIAC program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include increased employment opportunities in the target community by a certain percentage, or enhanced family stability through the creation of affordable housing opportunities.

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the program's activities. Examples of outputs are the number of new affordable housing units, the number of homes that have been renovated, and the number of community facilities that have been constructed or rehabilitated. Outputs should produce outcomes for the program. At a minimum an applicant must address the following activities in the evaluation plan:

a. Measurable outputs to be accomplished, e.g., the number of persons to be trained and employed; houses to be built (pursuant to 24 CFR 570.207) or rehabilitated; minority-owned businesses to be started;

b. Measurable outcomes the grant will have on the community in general and the target area or population; and

c. The impact the grant will have on assisting the university to obtain additional resources to continue this type of work at the end of the grant performance period.

This information must be placed on a HUD-96010, Program Outcome Logic Model form. Applicants may submit as many copies of this form as required. It will not be included in the page count requirement. A narrative is not required. However, if a narrative is provided, those pages will be included in the page count. Additional information on this form and how to use it can be found in the General Section.

*B. Review and Selection Process*

*1. Application Selection Process.*

Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Rating Factors" listed in Section V, A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. *Rating Panels.* To review and rate applications, HUD may establish panels, which may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

3. *Ranking.* HUD will fund applications in rank order, until all available program funds are awarded. In order to be funded, an applicant must receive a minimum score of 75 points out of a possible 102 points, which includes up to two bonus points that may be awarded for activities conducted in the RC/EZ/EC-II communities, as described in the General Section. If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 1, Capacity of the Applicant and Relevant Organizational Experience, shall be selected. If there is still a tie, the application with the most points for Factors 2, 4 and then 5 shall be selected, in that order, until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees.

HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down an award offer, HUD will make an award to the next highest-ranking application. If funds remain after all

selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

4. *Correction to Deficient Applications.* The General Section provides the procedures for correction to deficient applications.

#### C. *Anticipated Announcement and Award Dates*

Announcements of awards are anticipated on or before September 30, 2005.

### VI. Award Administration Information

#### A. *Award Notice*

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section.

#### B. *Administrative and National Policy Requirements*

For additional information regarding these requirements, please refer to Section VI.B in the General Section.

1. *Debriefing.* The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Madlyn Wohlman-Rodriguez; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8130; Washington, DC 20410-6000. Applicants may also write to Ms Wohlman-Rodriguez via email at [Madlyn\\_S.\\_Wohlman-Rodriguez@hud.gov](mailto:Madlyn_S._Wohlman-Rodriguez@hud.gov), and

2. *Administrative.* Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost

Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Governmentwide Regulations Applicable to Financial Assistance Programs.* The General Section provides further discussion.

4. *Executive Order 13202, Preservation of Open Competition and Government Neutrality Towards Government Contractors Labor Relations on Federal and Federally Funded Construction Projects.* See the General Section for further discussion.

5. *Procurement of Recovered Materials.* The General Section provides further discussion of the federal law governing the procurement of recovered materials.

6. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP).* See the General Section for further discussion.

7. *Code of Conduct.* See the General Section for further discussion.

#### C. *Reporting*

All grant recipients under this NOFA are required to submit semi-annual progress reports. The progress reports shall consist of two components, a narrative that must reflect the activities undertaken during the reporting period and a financial report that reflects costs incurred by budget line items, as well as a cumulative summary of costs incurred during the reporting period.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed Logic Model (HUD 96010), which

identifies output and outcome achievements.

### VII. Agency Contacts

Applicants may contact Madlyn Wohlman-Rodriguez at (202) 708-3061, extension 5939 or Susan Brunson, at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service (TTY) at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Ms. Rodriguez via e-mail at [Madlyn\\_S.\\_Wohlman-Rodriguez@hud.gov](mailto:Madlyn_S._Wohlman-Rodriguez@hud.gov), and/or Ms. Brunson at [Susan\\_S.\\_Brunson@hud.gov](mailto:Susan_S._Brunson@hud.gov).

### VIII. Other Information

#### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0198. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 59 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application semi-annual and final reports. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

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## **Attachment A---Application Checklist/HSIAC**

### Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF- 424 “Application For Federal Assistance”

\_\_\_\_\_ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

\_\_\_\_\_ Abstract (must include no more than a two-page summary of the proposed project)

**Indicate the page number where each of the Factors is located:**

Narrative Statement Addressing the Factors for Award.

The narrative including tables and maps must not exceed 75 pages, (excluding forms, abstracts, budget narrative, assurances, commitment letters, memorandum of understanding, and agreements) double-spaced with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font.

\_\_\_\_\_ Factor I

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

\_\_\_\_\_ HUD-96010 “Logic Model”

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB” Grant Application Detailed Budget.”

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total three-year grant period)

\_\_\_\_\_ Indirect Cost Rate (if applicable)

\_\_\_\_\_ Letters of commitment, memoranda of understanding, or agreements)

**Attachment B (All Required Forms)**

The following forms are required for submission. All required forms are contained in the electronic application package.

\_\_\_\_\_ Application for Federal Assistance (SF-424);

\_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

\_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL);

\_\_\_\_\_ America's Affordable Communities Initiative (HUD-27300), if applicable;

\_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);

\_\_\_\_\_ Program Logic Model (HUD-96010);

\_\_\_\_\_ Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;

\_\_\_\_\_ Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;

\_\_\_\_\_ Acknowledgement of Applicant Receipt (HUD-2993), Only applicants that submit paper applications;

\_\_\_\_\_ Client Comments and Suggestions (HUD-2994); and

\_\_\_\_\_ Facsimile Transmittal Cover Page (HUD 96011) to be used when sending electronic application third party documentation and faxes to HUD. Do not use this form if you received a waiver of the electronic submission requirement and are submitting a hard copy application. Items received by fax as part of a paper copy submission will not be considered.



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITIES AND COLLEGES  
PROGRAMS**

**ALASKA NATIVE/NATIVE HAWAIIAN  
INSTITUTIONS ASSISTING  
COMMUNITIES PROGRAM (AN/NHIAC)**

## Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program

### Overview Information

*A. Federal Agency Name:* Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

*B. Funding Opportunity Title:* Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program.

*C. Announcement Type:* Initial announcement.

*D. Funding Opportunity Numbers:* The **Federal Register** Number for this Notice Of Funding Availability (NOFA) is FR-4950-N-09. The OMB Approval Number for this program is 2528-0205.

*E. Catalog of Federal Domestic Assistance (CFDA) Number:* The CFDA Number for this program is 14.515.

*F. Dates:* The application submission deadline shall be on or before June 16, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

### *G. Additional Overview Content Information:*

1. *Purpose of the Program:* The Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program assists Alaska Native/Native Hawaiian Institutions (AN/NHI) of higher education expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low- and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

2. *Award Information:* In Fiscal Year (FY) 2005, approximately \$3.9 million has been made available for this program by the Consolidated Appropriations Act, 2005 (Pub. L. 108-447) plus \$267,000 in previously unobligated funds are available for this program. The maximum amount an applicant can request for award is \$800,000 for a maximum three-year (36 months) grant performance period. Approximately \$2.1 million is being made available for Alaska Native Institutions (ANIs) and \$2.1 million is being made available for Native Hawaiian Institutions (NHIs). If funding remains after all eligible ANI applicants are awarded, the remaining funds will be made available to fund eligible NHI applicants. If funding remains after all eligible NHI applicants are awarded, the remaining funds will be made available to fund eligible ANI applicants.

### Full Text Of Announcement

#### I. Funding Opportunity Description

The purpose of the Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program is to assist Alaska Native/Native Hawaiian Institutions (AN/NHI) of higher education expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low- and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

##### *A. Authority*

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2004). This program is being implemented through this NOFA and the policies governing its operation are contained herein.

##### *B. Modifications*

Listed below are major modifications from the Fiscal Year (FY) 2004 program-funding announcement:

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further discussion.

2. Letters, memoranda of understanding, or agreements in response to Factor 4 now can be dated no earlier than nine months prior to the date of this published NOFA and received no later than the application submission date.

#### II. Award Information

In Fiscal Year (FY) 2005, approximately \$3.9 million is made available for this program, plus \$267,000 in previously unobligated funds. HUD will award grants under this program to Alaska Native Institutions (ANI) and Native Hawaiian Institutions (NHI). The maximum amount an applicant can request for award is \$800,000 for a maximum three-year (36 months) grant performance period. Approximately \$2.1 million is being made available for ANIs. If funding remains after all eligible ANI applicants are awarded, the remaining funds will be made available to fund eligible NHI applicants. Approximately \$2.1 million is being made available for NHIs. If funding remains after all eligible NHI applicants are awarded, the remaining funds will be made available to award eligible ANI applicants.

### III. Eligibility Information

#### *A. Eligible Applicants*

Nonprofit Alaska Native and Native Hawaiian Institutions of Higher Education that meet the definitions of Alaska Native and Native Hawaiian Institutions of Higher Education established in title III, part A, section 317 of the Higher Education Act of 1965, as amended by the Higher Education Amendments of 1998 (Pub. L. 105-244; enacted October 7, 1998) are eligible to apply for funding under this program. Institutions are not required to be on the list of eligible AN/NHIs prepared by the U.S. Department of Education. However, an institution that is not on the list is required to provide a statement in the application that the institution meets the U.S. Department of Education's statutory definition of an AN/NHI institution. In order to meet the definition of an Alaska Native Institution, at least 20 percent of the undergraduate headcount enrollment must be Alaska Native students. If an applicant is a Native Hawaiian institution, at least 10 percent of the undergraduate headcount enrollment must be Native Hawaiian students in order to meet this definition. In addition, applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. If an applicant is one of several campuses of the same institution, the applicant may apply separately from the other campuses as long as the campus has a separate administrative structure and budget and meets the enrollment test outlined above. All applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education.

#### *B. Cost Sharing or Matching*

None required.

#### *C. Other*

1. *Eligible Activities:* Eligible activities include, but are not limited to:

- a. Acquisition of real property;
- b. Clearance and demolition;
- c. Rehabilitation of residential structures and compliance with the accessibility requirements contained in Section 5 of the Rehabilitation Act of 1973;
- d. Acquisition, construction, reconstruction, rehabilitation, or installation of public facilities and improvements, such as water and sewer facilities and streets; including lead-based paint hazard evaluation and reduction and compliance with the accessibility requirements contained in Section 504 of the Rehabilitation Act of

1973 and Americans with Disabilities Act of 1990;

e. Direct homeownership assistance to low- and moderate-income persons, as provided in section 105(a)(25) of the Housing and Community Development Act of 1974;

f. Special economic development activities described at 24 CFR 570.203 and assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;

g. Assistance to community-based development organizations (CBDO) to carry out neighborhood revitalization, community economic development, or energy conservation projects, in accordance with 24 CFR 570.204. This could include activities in support of a HUD-approved local entitlement grantee, CDBG Neighborhood Revitalization Strategy (NRS) or HUD-approved State CDBG Community Revitalization Strategy (CRS);

h. Public service activities such as general support activities that can help to stabilize a neighborhood and contribute to sustainable redevelopment of the area, including but not limited to such activities as those concerned with employment, crime prevention, child care, health services, drug abuse, education, fair housing counseling, energy conservation, homebuyer down payment assistance, or recreational needs;

i. Fair housing services designed to further the fair housing objectives of the Fair Housing Act (42 U.S.C. 3601–20) by making all persons, without regard to race, color, religion, sex, national origin, family status, and/or disability aware of the range of housing opportunities available to them;

j. Up to 20 percent of the grant may be used for payments of reasonable grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports). Detailed explanations of these costs are provided in the OMB circulars that can be accessed at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>; and

k. Activities designed to promote training and employment opportunities (e.g., Neighborhood Networks in federally-assisted or insured housing and employment opportunities for lower income persons in connection with assisted projects).

Eligible activities that may be funded under this program are those activities that meet both the Community Development Block Grant (CDBG)

Program national objectives and eligibility requirements.

a. The three national objectives of the Community Development Block Grant program are:

(1) Benefit to low- or moderate-income persons;

(2) Aid in the prevention or elimination of slums or blight; and

(3) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more of these objectives are provided at 24 CFR 570.208.

The CDBG publication entitled “Community Development Block Grant Program Guide to National Objectives and Eligible Activities for Entitlement Communities” describes the CDBG regulations, and a copy can be obtained from HUD’s NOFA Information Center at 800–HUD–8929 or 800–HUD–2209 for the hearing- or speech-impaired.

2. *Audit Requirements.* Applicants must ensure that their most current A–133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in Federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

3. *Threshold Requirements Applicable to all Applicants.* All applicants must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified.

a. The applicant must meet the eligibility requirements as defined in Section III.A, “Eligible Applicants.”

b. The applicant may request no more than \$800,000 for award.

c. Only *one* application can be submitted per campus. If multiple applications are submitted, all will be disqualified.

d. An individual campus that is one of several campuses of the same institution may apply separately as long as the applicant’s campus has a separate administrative and budget structure.

e. Institutions that received grants in FY 2004 are not eligible to submit an application under this NOFA.

f. Applicants must receive a minimum score of 75 points to be considered for funding.

g. An applicant must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement).

h. Electronic applications must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on June 16, 2005. See the General Section for information on application submission and timely receipt requirements.

4. *Program Requirements.* In addition to the program requirements listed in Section III.C of the General Section, applicants must meet the following program requirements:

a. All funds awarded are for a three-year (36 months) grant performance period.

b. Applicants that claim leveraging from *any source*, including their own institution, must provide letters of firm commitment, memoranda of understanding, or agreements evidencing the extent and firmness of the commitment of leveraging from other federal (e.g., Department of Education, AmeriCorps Programs, etc.), state, or local governments, and other public/private sources (including the applicant’s own resources). These documents must follow the outline provided in Section V, Application Review Information, “Factor 4: Leveraging Resources” of this NOFA. Please refer to Section IV.F of the General Section for further instructions on how to submit these third party documents via the electronic submission process.

c. Applicants must ensure that not less than 51 percent of the aggregated expenditures of a grant award are used to benefit low- and moderate-income persons under the criteria specified in 24 CFR 570.208(a) or 570.208(d)(5) or (6).

d. *Site Control.* Where grant funds will be used for acquisition, rehabilitation, or new construction, an applicant must demonstrate site control. Funds may be recaptured or deobligated from applicants that cannot demonstrate control of a suitable site within one year after the initial notification of award.

e. *Environmental Requirements.* Selection for award does not constitute approval of any proposed sites. Following selection for award, HUD will perform an environmental review of properties proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may

require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property, and not commit or expend HUD or local funds for these program activities with respect to any eligible property until HUD's written approval of the property is received. In supplying HUD with environmental information, applicants should use the same guidance as provided in the HUD Notice CPD-99-01 entitled "Field Environmental Review Processing for HUD Colonias Initiative (HCI) Grants" issued January 27, 1999.

The General Section provides further discussion of the environmental requirements. Further information and assistance on HUD's environmental requirements is available at: <http://www.hud.gov/offices/cpd/energyenvirom/environment/index.cfm>.

f. Labor Standards. Institutions and their subgrantees, contractors, and subcontractors must comply with the labor standards (Davis-Bacon) requirements referenced in 24 CFR 570.603.

g. Economic Opportunities for Low- and Very-Low Income Persons (Section 3).

The provisions of Section 3 of the Housing and Urban Development Act of 196 (12 U.S.C. 1701u) apply to this NOFA. Regulations may be found at 24 CFR Part 135.

#### IV. Application and Submission Information

##### A. Address To Request Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov./Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or e-mail your questions to [Support@Grants.gov](mailto:Support@Grants.gov).

The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting e-mail notification of funding opportunities or downloading the application and should be done as soon as you download the application from the Grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

##### B. Content and Form of Application Submission

1. *Forms*. The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. The electronic version of the NOFA contains all forms required for submission.

a. Application for Federal Assistance (SF-424);

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

f. Applicant/Recipient Disclosure/Update Report (HUD-2880);

g. Program Logic Model (HUD-96010);

h. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Applicants are not required to complete this form;

i. Certification of Consistency with the Consolidated Plan (HUD-2991);

j. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver

to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so; and

k. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

##### 2. *Certifications and Assurances*.

Please read the General Section for detailed information on all Certifications and Assurance. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the application in the following order:

a. SF-424, *Application for Federal Assistance*. Please remember the following:

(1) The full grant amount (entire three-years) should be entered, not the amount for just one year;

(2) Include the name, title, address, telephone number, facsimile number, and email address of the designated contact. This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information;

(3) The Employer Identification/Tax ID number;

(4) The DUNS Number;

(5) The Catalog of Federal Domestic Assistance Number for this program is 14.515;

(6) The project's proposed start date and completion date. For the purpose of this application, the program start date should be November 1, 2005; and

(7) The signature of the Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a legally binding agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist.* Applicants should use the checklist to ensure that they have all the required components of their application. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application submission. The checklist is found in Attachment A of this NOFA.

c. *Abstract.* Applicants must include the following:

(1) A clear description of the proposed project activities, the target population that will be assisted, and the impact this project will have on the institution;

(2) A statement that the institution is an eligible institution because it is a two- or four-year fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education;

(3) A statement that the institution meets the definition of an Alaska Native Institution, at least 20 percent of the undergraduate headcount enrollment must be Alaska Native students. If an applicant is a Native Hawaiian institution, in order to meet this definition, at least 10 percent of the undergraduate headcount enrollment must be Native Hawaiian students;

(4) The designated contact person, including phone number, facsimile number, and email address. (This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information);

(5) University's name, campus, mailing address, telephone number, facsimile number, and e-mail address; and

(6) The principal investigator, if different from the designated contact person, for the project, including phone number, facsimile number, and email address.

d. *Narrative statement addressing the Rating Factors.* HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is the main source of information.

Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are subfactors, each subfactor must be presented separately,

with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor. The narrative section of an application must not exceed 75 pages, doubled spaced (excluding forms, budget narrative, assurances, commitment letters, memoranda of understanding, agreements, and abstract). Each page of the narrative must include the applicant's name and be numbered. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

e. *Budget.* The budget submission must include the following:

(1) HUD-424-CB, "Grant Application Detailed Budget." This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also submit this form to reflect the total cost for the entire grant performance period (Grand Total).

Make sure that the amount shown on Form SF-424, the HUD-424-CB and on all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on the Form HUD-424-CB so that all items are included in the total. If there is any inconsistency between any of the required forms the HUD-424-CB will be used. All budget forms must be fully completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for any line item over \$5,000 cumulative. For example, an applicant proposes to construct a building using HUD funding totaling \$200,000. The following costs estimate reflects this total. Foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, finishing work \$35,000, and landscaping \$10,000. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used and included. (See the General Section for how to submit this information electronically). When an

applicant proposes to use a consultant, the applicant must indicate whether there is a formal written agreement. For each consultant, please provide the name, if known, hourly or daily rate, and the estimated time on the project. Applicants must submit a cost estimate based on historical data from the institution and/or from a qualified firm (e.g., Architectural or Engineering), vendor, and/or qualified individual (e.g., independent architect) other than the institution for projects that involve rehabilitation of residential, commercial and/or industrial structures, and/or acquisition, construction, or installation of public facilities, and improvements. Such an entity must be involved in the business of housing rehabilitation, construction, and/or management. Equipment and contracts cannot be presented as a total estimated cost. For equipment, applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract.

(3) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants should include a copy of their indirect cost rate agreement with their application. Please refer to Section IV.F of the General Section for further discussion on electronic submission of required documentation. Applicants who are selected for funding that do not have an approved indirect cost rate agreement (established by the cognizant federal agency, Certified Public Account, or auditor) will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and assist applicants with the process of establishing a final rate.

f. *Appendix.* Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of commitment, memoranda of understanding and agreements for funds/resources in response to Factor 4 and other required forms in this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant SHOULD NOT submit general support letters, resumes, or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. Eastern time on or before the application June 16, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

### D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

### E. Funding Restrictions

Ineligible CDBG Activities are listed at 24 CFR 570.207. Funding may only be provided to applicants that meet the standards for eligible applicants in Section III.A. Ineligible activities include but are not limited to:

1. New construction of public housing;
2. General government expenses;
3. Political activities;
4. Planning and administrative activities that would result in a grantee exceeding the 20 percent cost limitation on such activities; and
5. Development and/or expansion of an institution's existing curriculum when it is primarily to enhance the institution rather than to achieve the specific goals/objectives of the proposed project.

### F. Other Submission Requirements

1. *Application Submission and Receipt Procedure.* Please read the General Section carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirements.* Please refer to the General Section for further discussion.

## V. Application Review Information

### A. Criteria

1. *Rating Factor 1. Capacity of the Applicant and Relevant Organizational Experience (25 Points).* This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor,

HUD will consider the extent to which the proposal demonstrates:

a. *Knowledge and Experience For First Time Applicants (25 Points) For Previously Funded Applicants (13 Points).* The knowledge and experience possessed by the proposed project director and staff, including the day-to-day program manager, consultants (including technical assistance providers), and contractors in planning and managing this kind of project for which funding is being requested. Applicants must clearly identify the following: key project team members, titles (e.g., project manager/coordinator, etc.), respective roles for the project staff and a brief description of their relevant experience. Experience will be judged in terms of recent and relevant knowledge and skills of the staff to undertake eligible program activities. HUD will consider experience within the last five (5) years to be recent and experience pertaining to similar activities to be relevant.

b. *Past Performance (12 Points) For Previously Funded Applicants Only.* This subfactor will evaluate the extent to which an applicant has performed successfully under all previously completed and open HUD/AN/NHIA grants. Applicants must demonstrate this by providing the following information:

- (1) A detailed list outlining the achievement of specific tasks, measurable objectives, and specific outcomes consistent with the approved timeline/work plan in previous grants;
- (2) Comparison of proposed leveraged funds and/or resources in previous grants to what was actually leveraged;
- (3) A list of all HUD/AN/NHIA grants received, including the dollar amount awarded and the amount expended as of the date of this application; and
- (4) A detailed list outlining the timeliness and completeness of complying with all the AN/NHIA reporting requirements. In addressing timeliness compare when reports were due with when they were actually submitted. HUD will also review an applicant's past performance in managing funds, including, but not limited to: the ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; and receipt of promised leveraged funds. In evaluating past performance, HUD reserves the right to deduct up to five (5) points from this rating score as a result of the information obtained from HUD's records (i.e., progress and financial reports, monitoring reports, Logic Model

submissions, and amendments), including the timely submission of required progress reports.

2. *Rating Factor 2: Need/Extent of the Problem (10 Points).* This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need(s) in the target area. The need(s) described must be relevant to the activities for which funds are being requested. The proposal will be evaluated on the extent to which the level of need for the proposed activities and the importance of meeting the need(s) are documented.

Applicants must use statistics and analyses contained in at least one or more current data sources that are sound and reliable. The data provided must be current and specific to the area where the proposed project activities will be carried out. Sources for localized data can be found at: <http://www.ffiec.gov>.

In rating this factor, HUD will consider data collected within the last five (5) years to be current. To the extent that the targeted community's Five (5) Year Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, applicants should include references to these documents in the response to this factor.

Other reliable data sources include, but are not limited to, Census reports, HUD Continuum of Care gap analysis and its E-MAP (<http://www.hud.gov/emaps>), law enforcement agency crime reports, Public Housing Agencies' Comprehensive Plans, community needs analyses such as provided by the United Way, the applicant's institution, and other sound and reliable appropriate sources. Needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements may also be addressed.

3. *Rating Factor 3: Soundness of Approach (45 Points).* This factor addresses the quality and effectiveness of the proposed work plan, the commitment of the institution to sustain the proposed activities, actions regarding HUD's priorities, goals and objectives, and affirmatively furthering fair housing.

This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following.

- a. (35 Points) *Quality of the Work Plan.* This subfactor will be evaluated on the extent to which an applicant provides a clear detailed description of the proposed project and anticipated accomplishments.

(1) (30 Points) Specific Services and/or Activities. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project.

(a) Applicants must provide a clear description of the proposed activities and address the following:

(i) Describe each proposed activity to successfully implement and complete the proposed project in measurable terms (e.g., the number of homes that will be renovated, the number of jobs created, etc.);

(ii) List how each proposed activity meets one of the following Community Development Block Grant (CDBG) Program national objectives:

- Benefit low- and moderate-income person;
- Aid in the prevention or elimination of slums or blight; or
- Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR 570.208;

(b) Outline the major tasks required (in sequential order) to successfully implement and complete the proposed project activities. Include the target completion dates for these tasks (in 6 month intervals, up to 36 months); and

(c) Identify the individuals, as described in Factor 1, who will be responsible and accountable for completing each task.

(2) (5 Points) Describe clearly how each proposed activity will:

(a) Expand the role of the institution in its community;

(b) Address the needs identified in Factor 2;

(c) Relate to and not duplicate other activities in the target area. Duplicative effort will be acceptable only if an applicant can demonstrate through documentation that there is a population in need that is not being served; and

(d) Involve and empower citizens of the target area in the proposed project.

b. (4 Points) Involvement of the faculty and students. The applicant must describe the extent to which it proposes to integrate the institution's students and faculty into proposed project activities.

c. (3 Points) HUD Policy Priorities. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which help the

Department achieve its goals and objectives in FY 2006, when the majority of grant recipients will be reporting programmatic results and achievements. In addressing this factor, HUD will evaluate the extent to which a program will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed. Applicants that just list a priority will receive no points.

Each policy priority addressed has a point value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 3. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 3 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

d. (3 Points) Affirmatively Furthering Fair Housing. This subfactor will be evaluated on the extent to which an applicant describes how it proposes to undertake activities designed to affirmatively further fair housing opportunities for individuals on the basis of race, color, national origin, sex, religion, familial status, or disability. For example:

(1) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services or lending;

(2) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or

(3) Providing housing mobility counseling services.

4. *Rating Factor 4: Leveraging Resources (8 Points)*. This factor addresses the ability of the applicant to secure resources that can be combined

with HUD's grant funds to achieve the program's purpose.

In evaluating this factor, HUD will consider the extent to which the applicant established partnerships with other entities to secure additional resources to increase the effectiveness of the proposed project activities.

Resources may include funding or in-kind contributions, such as services or equipment, allocated for the purpose(s) of the grant. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities. Applicants may also establish partnerships with other program funding recipients to coordinate the use of resources in the target area. Overhead and other institutional costs (e.g., salaries, indirect costs, etc.) that the institution has waived may be counted. Examples of potential sources for outside assistance include:

- Federal, state, and local governments.
- Public Housing Agencies.
- Local or national nonprofit organizations.
- Financial institutions and/or private businesses.
- Foundations.
- Faith-based and other community-based organizations.

For each cash or in-kind contribution to the program a letter of commitment, memorandum of understanding, or agreement must be provided that shows the extent and firmness of the commitment of leveraged funds (including any commitment of resources from the applicant's own institution) in order for these resources to count in determining points under this factor. Resources will not be counted for which there is no commitment letter, memorandum of understanding, or agreement, or quantified level of commitment. (Applicants submitting paper copy applications must place all letters, memoranda of understanding, or agreements in the Appendix. Applicants submitting these items electronically must follow the submission directions in Section IV.F of the General Section.) The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than nine months prior to this published NOFA. Letters, memoranda of understanding, or agreements must be submitted on the provider's letterhead in accordance with the instructions in the General Section. Applicants that do not provide the documentation evidencing the leveraging or address all items as outlined below will receive zero (0) points for this Factor.

A firm commitment letter, memorandum of understanding, or agreement must address the following:

(1) The cash amount contributed or dollar value of the in-kind goods and/or services committed (If a dollar amount and use is not shown, the source will not be counted);

(2) A specific description of how each contribution is to be used toward the proposed activities;

(3) The date the contribution will be made available and a statement that describes the duration of the contribution;

(4) Any terms or conditions affecting the commitment, other than receipt of a HUD Grant; and

(5) The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. Please remember that only items eligible for funding under this program can be funded.

5. *Rating Factor 5: Achieving Results and Program Evaluation (12 Points)*. This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their performance to achieve the program's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved. The Logic Model is a summary of the narrative statements presented in Factors 1-4. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements.

"Outcomes" are benefits accruing to institutions of higher education and/or communities during or after participation in the AN/NHIAC program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include increased community development in the target community by a certain percentage, increased employment opportunities in the target community by a certain percentage, increased incomes/wages or other assets for persons trained, and or enhanced family stability through the creation of affordable housing opportunities.

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the program's activities. Examples of outputs are the number of new affordable housing units, the number of homes that have been renovated, and the number of facilities

that have been constructed or rehabilitated. Outputs should produce outcomes for the program. At a minimum, an applicant must address the following activities in the evaluation plan:

a. Measurable outputs to be accomplished (e.g., the number of persons to be trained and employed; houses to be built pursuant to 24 CFR 570.207 or rehabilitated; minority-owned businesses to be started);

b. Measurable outcomes the grant will have on the community in general and the target area or population; and

c. The impact the grant will have on assisting the university to obtain additional resources to continue this type of work at the end of the grant performance period.

This information must be placed on a HUD-96010, Program Outcome Logic Model form. Applicants may submit as many copies of this form as required. It will not be included in the page count. A narrative is not required. However, if a narrative is provided, those pages will be included in the page count. Additional information on this form and how to use can be found in the General Section.

#### B. Review and Selection Process

1. *Application Selection Process*. Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Rating Factors" listed in Section V.A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. *Rating Panels*. To review and rate applications, HUD may establish panels, which may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

3. *Ranking*. HUD will fund applications in rank order, until all available program funds are awarded. In order to be funded, an applicant must receive a minimum score of 75 points out of a possible 100 points for Factors 1 through 5. The RC/EZ/EC-II bonus points described in the General Section do not apply to this NOFA. If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 1, Capacity of the Applicant and Relevant Organizational Experience, shall be selected. If there is

still a tie, the application with the most points for Factors 2, 4 and then 5 shall be selected, in that order, until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees.

HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down an award offer, HUD will make an award to the next highest-ranking application. If funds remain after all selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

4. *Correction to Deficient Applications*. The General Section provides the procedures for correction to deficient applications.

#### C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before September 30, 2005.

### VI. Award Administration Information

#### A. Award Notices

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section.

#### B. Administrative and National Policy Requirements

For additional information regarding these requirements, please refer to Section VI.B. in the General Section.

1. *Debriefing*. The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Sherone Ivey; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington DC 20410. Applicants may also write to Ms. Ivey via e-mail at [Sherone\\_E\\_Ivey@hud.gov](mailto:Sherone_E_Ivey@hud.gov).

2. *Administrative*. Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access



the OMB circulars at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs*. The General Section provides further discussion.

4. *Executive Order 13202, Preservation of Open Competition and Government Neutrality Towards Government Contractors Labor Relations on Federal and Federally Funded Construction Projects*. See the General Section for further discussion.

5. *Procurement of Recovered Materials*. See the General Section for further discussion.

6. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP)*. See the General Section for further discussion.

7. *Code of Conduct*. See the General Section for further discussion.

#### C. Reporting

All grant recipients under this NOFA are required to submit quarterly progress reports. The progress reports

shall consist of two components, a narrative that must reflect the activities undertaken during the reporting period and a financial report that reflects costs incurred by budget line item, as well as a cumulative summary of cost incurred during the reporting period.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed Logic Model form (HUD-96010), which identifies output and outcome achievements.

#### VII. Agency Contacts

Applicants may contact Sherone Ivey at (202) 708-3061, extension 4200 or Susan Brunson at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service TTY at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Ms. Ivey via email at [Sherone\\_E.\\_Ivey@hud.gov](mailto:Sherone_E._Ivey@hud.gov), and/or Ms. Brunson at [Susan\\_S.\\_Brunson@hud.gov](mailto:Susan_S._Brunson@hud.gov).

#### VIII. Other Information:

##### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0205. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 59 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly, and final reports. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

BILLING CODE 4210-32-P

**Attachment A--Application Checklist AN/NHIAC**

## Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants submitting an electronic application do not need to submit the checklist with their applications. Applicants that receive a waiver of the electronic application requirement must include a copy of the checklist with their applications.

**Check of to ensure these items have been included in the application:**

\_\_\_\_\_ SF-424 "Application For Federal Assistance"

\_\_\_\_\_ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

\_\_\_\_\_ Abstract (must include no more than a two-page summary of the proposed project)

**Indicate the page number where each of the Factors are located:**

Narrative Statement Addressing the Factors for Award.

The narrative including tables and maps must not exceed 75 pages, (excluding forms, abstracts, budget narrative, assurances, commitment letters, memorandum of understanding, and agreements) double-spaced with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font.

\_\_\_\_\_ Factor I

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

\_\_\_\_\_ HUD-96010 "Logic Model"

**Check of to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB" Grant Application Detailed Budget"

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total three - year grant period)

\_\_\_\_\_ Indirect Cost Rate (if applicable)

\_\_\_\_\_ Letters of commitment, memoranda of understanding, or agreements)

**Attachment B (All Required Forms)**

The following forms are required for submission. All required forms are contained in the electronic application package.

\_\_\_\_\_ Application for Federal Assistance (SF-424);

\_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

\_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL);

\_\_\_\_\_ America's Affordable Communities Initiative (HUD-27300), if applicable;

\_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);

\_\_\_\_\_ Program Logic Model (HUD-96010);

\_\_\_\_\_ Certification of Consistency with the Consolidated Plan (HUD-2991)

\_\_\_\_\_ Acknowledgement of Applicant Receipt (HUD-2993) Only for applicants that submit paper applications;

\_\_\_\_\_ Client Comments and Suggestions (HUD-2994); and

\_\_\_\_\_ Facsimile Transmittal Cover Page (HUD 96011) to be used when sending electronic application third party documentation and faxes to HUD. Do not use this form if you received a waiver of the electronic submission requirement and are submitting a hard copy application. Items received by fax as part of a paper copy submission will not be considered.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITIES AND COLLEGES  
PROGRAMS**

**TRIBAL COLLEGES AND UNIVERSITIES  
PROGRAM (TCUP)**

Billing Code 4210-32-C

BILLING CODE 4210-32-C

## Tribal Colleges and Universities Program

### Overview Information

A. *Federal Agency Name*: Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

B. *Funding Opportunity Title*: Tribal Colleges and Universities Program (TCUP).

C. *Announcement Type*: Initial announcement.

D. *Funding Opportunity Numbers*: The **Federal Register** Number for this Notice of Funding Availability (NOFA) is FR-4950-N-13. The OMB Approval Number for this program is 2528-0215.

E. *Catalog of Federal Domestic Assistance (CFDA) Number*: The CFDA Number for this program is 14.519.

F. *Dates*: The application submission date is June 16, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

### G. *Additional Overview Content Information*:

1. *Purpose of the Program*. The Tribal Colleges and Universities Program (TCUP) assists Tribal Colleges and Universities (TCU) to build, expand, renovate, and equip their own facilities.

2. *Award Information*: In Fiscal Year (FY) 2005, approximately \$2.976 million has been appropriated by the Consolidated Appropriations Act, 2005 (Pub. L. 108-447). The maximum amount an applicant can request for award is \$600,000 for a maximum three-year (36 months) grant performance period.

3. *Eligible Applicants*: Tribal Colleges and Universities that meet the definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244, approved October 7, 1998) are eligible to apply for funding under this program. Institutions must be accredited or provide a statement in the abstract of the application that states the institution is a candidate for accreditation by a regional institutional accrediting association recognized by the U.S. Department of Education.

### Full Text of Announcement

#### I. Funding Opportunity Description

The purpose of this program is to assist Tribal Colleges and Universities (TCU) to build, expand, renovate, and equip their own facilities.

#### A. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005

(Pub. L. 108-447; approved December 8, 2004). This program is being implemented through this NOFA and the policies governing its operation are contained herein.

#### B. Modifications

Listed below are major modifications from the Fiscal Year (FY) 2004 program-funding announcement.

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further discussion.

2. Letters, memoranda of understanding, or agreements in response to Factor 4 now can be dated no earlier than nine months before the date of this published NOFA and received no later than the application submission date.

#### II. Award Information

In Fiscal Year (FY) 2005, approximately \$2.976 million is made available under this NOFA. The maximum amount an applicant can request for award is \$600,000 for a maximum three-year (36 months) grant performance period.

#### III. Eligibility Information

##### A. Eligible Applicants

Tribal Colleges and Universities that meet the definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244, enacted October 7, 1998) are eligible to apply for funding under this program. Institutions must be accredited, or provide a statement in their application that verifies the institution is a candidate for accreditation, by a regional institutional accrediting association recognized by the U.S. Department of Education.

##### B. Cost Sharing or Matching

None required.

##### C. Other

1. *Eligible Activities*. Eligible activities include building, expanding, renovating, and equipping facilities owned by the institution (a long-term lease for five years or more in duration is considered an acceptable form of ownership under this program). Buildings for which TCUP funding is used that also serve the community are eligible; however, the facilities must be predominantly (at least 51 percent of the time) for the use of the institution (e.g., students, faculty, and staff). Examples of eligible activities include, but are not limited to:

a. Building a new facility (e.g., classrooms, administrative offices,

Health and Cultural centers, gymnasium, technology centers, etc.);  
b. Renovating an existing or acquired facility;

c. Expanding an existing or acquired facility;

d. Equipping university facilities (e.g., lab equipment, library books, furniture, etc.); or

e. Property acquisition; and

f. Applicants can use up to 20 percent of the grant for payments of reasonable grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports). A detailed explanation of these costs is provided in the OMB circulars that can be accessed at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

Each activity proposed for funding must meet at least one of the following Community Development Block Grant (CDBG) Program national objectives:

- Benefit low- and moderate-income persons;

- Aid in the prevention or elimination of slums or blight; or

- Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs.

Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR 570.208. The CDBG publication entitled "Community Development Block Grant Program Guide to National Objectives and Eligible Activities for Entitled Communities" describes the CDBG regulations, and a copy can be obtained from HUD's NOFA Information Center at 800-HUD-8929 or 800-HUD-2209 for the hearing-impaired.

2. *Audit Requirements*. Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with their application.) Grantees that expend \$500,000 or more in Federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

3. *Threshold Requirements Applicable to All Applicants*. All applicants must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and

ranked. Applications that do not meet these requirements are considered ineligible for funding and will be disqualified.

a. The applicant must meet the eligibility requirements as defined in Section III.A. Eligible Applicants.

b. The applicant may request no more than \$600,000 for award.

c. Only *one* application can be submitted per campus. If multiple applications are received, all will be disqualified.

d. An individual campus that is one of several campuses of the same institution may apply separately as long as the applicant's campus has a separate administrative and budget structure.

d. Institutions that received grants in FY 2004 are not eligible to apply under this NOFA.

e. Applicants must receive a minimum score of 75 points to be considered for funding.

f. An applicant must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement).

h. Electronic applications must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on June 16, 2005. See the General Section for information on application submission and timely receipt requirements.

4. *Program Requirements.* In addition to the standard requirements listed in Section III.C. of the General Section, applicants must meet the following program requirements:

a. All funds awarded are for a three-year (36 months) grant performance period.

b. While communitywide use of a facility (that is purchased, equipped, leased, renovated or built) is permissible under this program, the facility must be predominantly for the use of the institution (*i.e.*, it must be used by the staff, faculty, and/or students at least 51 percent of the time).

c. Applicants that claim leveraging from *any source* (*e.g.*, Tribal, Federal and/or state governments, Tribally Designated Housing Entities, foundations, etc.), including their own institution, must provide letters of firm commitment, memoranda of understanding, or agreements evidencing the extent and firmness of the commitment. These documents must follow the outline provided in Section V. Application Review Information "Factor 4: Leveraging Resources" of this NOFA. Please refer to Section IV.F of the General Section for further instruction on how to submit these third party documents via the electronic submission process.

d. If a TCU is a part or instrumentality of a federally recognized tribe, the applicant must comply with the Indian Civil Rights Act (25 U.S.C. 1301 *et seq.*) and all other applicable civil rights statutes and authorities as set forth in 24 CFR 1000.12. If the TCU is not a part or instrumentality of a federally recognized tribe the applicant must comply with the Fair Housing Act (42 U.S.C. 3601–19) and implementing regulations at 24 CFR part 100 *et seq.*, Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d–2000d–4) (Nondiscrimination in Federally Assisted Programs) and implementing regulations at 24 CFR part 1, and Section 109 of Title One of the Housing and Community Development Act of 1974 (HCDA), as amended, with respect to nondiscrimination on the basis of age, sex, religion, or disability and implementing regulations at 24 CFR part 6.

e. *Labor Standards.* Institutions and their subgrantees, contractors and subcontractors must comply with the labor standards (Davis-Bacon) requirements referenced in 24 CFR 570.603. However, in accordance with HCDA section 107(e)(2), the Secretary waives the provisions of HCDA section 110 with respect to the TCUP program for grants to a TCU that is part of a tribe, *i.e.*, a TCU that is legally a department or other part of a tribal government, but not a TCU that is established under tribal law as an entity separate from the tribal government. If a TCU is not part of a tribe, the labor standards of HCDA section 110, as referenced in 24 CFR 570.603, apply to activities under the grant to the TCU.

f. *Environmental Requirements.* Selection for award does not constitute approval of any proposed sites. Following selection for award, HUD will perform an environmental review of activities proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property and not commit or expend HUD or local funds

for these program activities with respect to any eligible property until HUD's written approval of the property is received. In supplying HUD with environmental information, applicants should use the same guidance as provided in the HUD Notice CPD–99–01 entitled "Field Environmental Review Processing for HUD Colonia Initiative (HCI) Grants" issued January 27, 1999.

Further information and assistance on HUD's environmental requirements is available at: <http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm>.

g. *Site Control.* Where grant funds will be used for acquisition, rehabilitation, or new construction an applicant must demonstrate site control. Funds may be recaptured or deobligated from applicants that cannot demonstrate control of a suitable site within one year after the initial notification of award.

h. *Economic Opportunities for Low- and Very-Low Income Persons* (Section 3). The provisions of Section 3 of the Housing and Urban Development Act of 196 (12 U.S.C. 1701u) apply to this NOFA. Regulations are located at 24 CFR part 135.

#### IV. Application and Submission Information

##### A. Address To Request Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information, you may call the Grants.gov Support desk toll free, 800–518–GRANTS or email your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting email notification of funding opportunities or downloading the application and should be done as soon as you download the application

from the Grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

#### B. Content and Form of Application Submission

1. *Forms.* The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. The electronic version of the NOFA contains all forms required for submission.

- a. Application for Federal Assistance (SF-424);
- b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);
- c. Grant Application Detailed Budget (HUD-424-CB);
- d. Disclosure of Lobbying Activities (SF-LLL);
- e. America's Affordable Communities Initiative (HUD-27300), if applicable;
- f. Applicant/Recipient Disclosure/Update Report (HUD-2880);
- g. Program Logic Model (HUD-96010);
- h. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so;
- i. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Applicants are not required to complete this form; and
- j. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF-424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to

provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

#### 2. *Certifications and Assurances.*

Please read the General Section for detailed information on all the Certifications and Assurances. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. *Applicants submitting paper copy applications should submit the application in the following order:*

- a. SF-424, *Application for Federal Assistance.* Please remember the following:
  - (1) The full grant amount (entire three-years) should be entered, not the amount for just one year;
  - (2) Include the name, title, address, telephone number, facsimile number, and email address of the designated contact. This is the person who will receive the reviewer comments; therefore, please ensure the accuracy of the information;
  - (3) The Employer Identification/Tax ID number;
  - (4) The DUNS Number;
  - (5) The Catalog of Federal Domestic Assistance Number for this program is 14.519;
  - (6) The project's proposed start and completion dates. For the purpose of this application the program start date should be November 1, 2005; and
  - (7) The signature of the Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist.* Applicants should use the checklist to ensure that they have all the required elements of their application submission requirements. Applicants receiving a waiver of the electronic application submission requirement must include a copy of the checklist in their application submission. Applicants submitting an electronic application do not have to submit the checklist in their application. The checklist is found in the NOFA (See Attachment A).

c. *Abstract.* Applicants must include the following:

- (1) A clear description of the proposed project activities, the target population that will be assisted, and the impact this project will have on the institution;

(2) A statement that the institution is an eligible institution because it is a two-or four-year fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education; or the applicant is a candidate for accreditation by a regional instructional accrediting association recognized by the U.S. Department of Education, including the name of the accrediting agency;

(3) The designated contact person, including phone number, facsimile number, and email address (This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information);

(4) University's name, mailing address, telephone number, facsimile number and email address; and

(5) The project director, if different from the designated contact person for the project, including phone number, facsimile number, and email address.

d. *Narrative statement addressing the Rating Factors.* HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is the main source of information.

Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address the factor fully. Please do not repeat material in response to the five factors; instead focus on how well the proposal responds to each of the factors. In factors where there are subfactors, each subfactor must be presented separately, with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor. The narrative section of an application must not exceed 75 pages, doubled spaced (excluding forms, budget narrative, assurances, commitment letters, memoranda of understanding, agreements, and abstract). Each page of the narrative must be numbered and include the applicant's name. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

e. *Budget.* The budget submission must include the following:

- (1) HUD-424-CB, "*Grant Application Detailed Budget.*" This budget form shows the total budget by year and by line item for the program activities to be

carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also submit this form to reflect the total cost for the entire grant performance period (Grand Total).

Make sure that the amount shown on the SF-424, HUD-424-CB, and all other required program forms is consistent and the totals are correct. Remember to check the addition in totaling the categories on the HUD-424-CB form so that all items are included in the total. All budget forms must be fully completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* Applicants must submit a narrative that explains how the applicant arrived at the cost estimates for any line item over \$5,000 cumulative. For example, an applicant proposes to construct an addition to an existing building, which will cost approximately \$200,000. The following cost estimate reflects this total: Foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, interior finishing work \$35,000 and landscaping \$10,000. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used and included. All direct labor or salaries must be supported with mandated city/state pay scales, Davis-Bacon wage rates, tribally designated wage rate (if applicable) or other documentation (See the General Section of how to submit this information electronically). When an applicant proposes to use a consultant, the applicant must indicate whether there is a formal written agreement. For each consultant, please provide the name, if known, hourly or daily fee, and the estimated time on the project. Applicants must submit a cost estimate based on historical data from the institution and/or from a qualified firm (e.g., Architectural or Engineering firm), vendor and/or qualified individual (e.g., independent architect) other than the institution for projects that involve rehabilitation of residential, commercial and/or industrial structures, and/or acquisition, construction, or installation of public facilities and improvements. Such an entity must be involved in the business of rehabilitation, construction, and/or management. Equipment and contracts cannot be presented as a total estimated figure. For equipment,

applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract.

(3) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants should include a copy of their indirect cost rate agreement with their application. Please refer to Section IV.F of the General Section for instructions on how these documents are to be submitted to HUD using the electronic submission process. Applicants who are selected for funding that do not have an approved indirect cost rate agreement (established by the cognizant Federal agency, Certified Public Account, or auditor) will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and assist applicants with the process of establishing a final rate.

f. *Appendix.* Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of commitment, memoranda of understanding and agreements for funds/resources in response to Factor 4 and other required forms in this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant SHOULD NOT submit general support letters, resumes, or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

#### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. Eastern time on or before June 16, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. Intergovernmental Review

This program is excluded for an Intergovernmental Review.

#### E. Funding Restrictions

Ineligible activities for funding under this program include, but are not limited to the following:

1. Renovation of a facility in which the facility is not used at least 51 percent of the time by the institution;
2. Rental space to another entity that operates a small business assistance center;
3. Building of a new facility, where the activities are for non-students or the activities are primarily run by an outside entity;
4. Using more than 20 percent of the grant for payments of grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports);
5. Public services, or program delivery type activities; and
6. Curriculum development and or expansion on an institution's existing curriculum.

#### F. Other Submission Requirements

1. Application Submission and Receipt Procedure. Please read the General Section carefully and completely for the electronic submission and receipt procedures for all applications because failure to comply may disqualify your application.
2. Waiver of Electronic Submission Requirements. Please refer to Section IV.F. of the General Section for further discussion.

### V. Application Review Information

#### A. Criteria

1. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (25 Points).* This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the applicant demonstrates:

- a. Knowledge and Experience. *For First Time Applicants (25 Points) For Previously Funded Applicants (15 Points).* The knowledge and experience possessed by the proposed project director and staff, including the day-to-day program manager, consultants (including technical assistance providers), and contractors in planning and managing the kind of projects for which funding is being requested. Applicants must clearly identify the following: key project team members, titles (e.g., project manager/coordinator, etc.), respective roles for the project staff, and a brief description of their



relevant experience. Experience will be judged in terms of recent and relevant knowledge and skills of the staff to undertake eligible program activities. HUD will consider experience within the last five (5) years to be recent and experience pertaining to similar activities to be relevant.

b. Past Performance (10 Points) *For Previously Funded Grant Applicants Only*. This subfactor will evaluate the extent to which an applicant has performed successfully under all previously completed and open HUD/TCUP grants. Applicants must demonstrate this by providing the following information:

(1) A detailed list outlining the achievement of specific tasks, measurable objectives, and specific outcomes consistent with the approved timeline/work plan in previous grants;

(2) Comparison of the proposed leveraged funds and/or resources in previous grants with what was actually leveraged;

(3) A list of all HUD/TCUP grants received, including the dollar amount awarded and the amount expended as of the date of this application; and

(4) A detailed list outlining the timeliness and completeness of complying with all the TCUP reporting requirements. In addressing timeliness compare when reports were due with when they were actually submitted.

HUD will also review an applicant's past performance in managing funds, including, but not limited to: The ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; and receipt of promised leveraged funds. In evaluating past performance, HUD reserves the right to deduct up to five (5) points from this rating score as a result of the information obtained from HUD's records (*i.e.*, progress and financial reports, monitoring reports, Logic Model submission, and amendments), including timely submission of required progress reports.

2. *Rating Factor 2: Need/Extent of the Problem (10 Points)*. This factor addresses the extent to which there is a need for funding the proposed project activities and an indication of the importance of meeting the need(s). The need(s) described must be relevant to activities for which funds are being requested. The proposal will be evaluated on the extent to which the level of need for the proposed project activities and the importance of meeting the need(s) are documented.

Applicants must use statistics and analyses contained in at least one or more current data sources that are

sound and reliable. The data provided must be current and specific to the area where the proposed project activities will be carried out. Reliable sources of data may include information that describes the need, such as a need to have a building renovated because it is 50 years old and is deteriorating; a new computer lab has been built, but the computers are obsolete; a library has been expanded, but the books are outdated, etc. When presenting data, include the source and date of the information.

3. *Rating Factor 3: Soundness of Approach (45 Points)*. This factor addresses the quality and effectiveness of the proposed work plan. There must be a clear relationship between the proposed activities and the need(s) identified in Factor 2 for an applicant to receive points for this factor.

This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

a. (40 Points) *Quality of Work Plan*. This subfactor will be evaluated on the extent to which an applicant provides a clear detailed description of the proposed project and anticipated accomplishments. Specifically, HUD will examine the proposed activities and determine to what extent the project activities are measurable (*e.g.*, the number of classrooms added, the increase in enrollment), result in improvement to the institution as a result of the project activities (*e.g.*, fifty more students will be receiving computer literacy training, etc.), and how well the applicant demonstrates that these objectives will be achieved by the proposed management plan and team.

(1) (35 Points) *Specific Services and/or Activities*. The work plan must:

(a) Provide a clear description of all the proposed activities;

(b) Outline major tasks in sequential order (*e.g.*, complete environmental review requirement, develop plans and specifications, advertise bids, etc.) necessary to successfully implement the proposed project, and target completion dates for the tasks;

(c) Identify the individuals, as described in Factor 1, who will be responsible for completing the identified tasks; and

(d) Describe the measurable objectives that will be realized as a result of implementing the proposed project.

(2) (5 Points) Describe clearly how each proposed project activity will:

(a) Address the needs identified in Factor 2;

(b) Relate to and not duplicate other activities in the target area; and

(c) Meet one of the following Community Development Block Grant (CDBG) Program national objectives:

(1) Benefit low- and moderate-income persons;

(2) Aid in the prevention or elimination of slums or blight; or

(3) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR 570.208.

b. (2 Points) *Involvement of the Faculty and Students*. The applicant must describe the extent to which it proposes to integrate the institution's students and faculty into proposed project activities.

c. (3 Points) *HUD Policy Priorities*. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and help the Department achieve its goals and objectives in FY 2006, when the majority of grant recipients will be reporting programmatic results and achievement. In addressing this factor, HUD will evaluate the extent to which a program will further and support HUD priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority will be addressed. Applicants that just list a priority will receive no points.

Each policy priority addressed has a point value of one point, with the exception of the policy priority related to remove regulatory barriers to affordable housing, which has a value of up to 2 points. The total number of points available to applicants that address policy priorities is

3. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 3 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

4. *Rating Factor 4: Leveraging Resources (8 Points)*. This factor addresses the ability of the applicant to secure resources that can be combined with HUD's grant funds to achieve the program's purpose.

In evaluating this factor, HUD will consider the extent to which the applicant established partnerships with other entities to secure additional resources to increase the effectiveness of the proposed program activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated for the purpose(s) of the grant. Resources may be provided by governmental entities (e.g., Tribal, Federal, and/or state governments), public or private nonprofit organizations, for-profit private organizations, or other entities. Overhead and other institutional costs (e.g., salaries, indirect costs) that the institution has waived may be counted. Examples of potential sources for outside assistance include:

- Tribal, Federal, state, and local governments.
- Tribally Designated Housing Entities.

• Local or national nonprofit organizations.

- Banks and/or private businesses.
- Foundations.
- Faith-based and other community-based organizations.

For each cash or in-kind contribution, a letter of commitment, memorandum of understanding, or agreement must be provided that shows the extent and firmness of the commitments of leveraged funds (including any commitment of resources from the applicant's own institution) in order for these resources to count in determining points under this factor. Resources will not be counted for which there is no commitment letter, memorandum of understanding or agreement or quantified level of commitment. Letters, memoranda of understanding, or agreements must be submitted from the provider on the provider's letterhead and included in the application package. (Applicants submitting paper copy applications must place all letters, memoranda of understanding, or agreements in the Appendix. Applicants submitting these items electronically must follow the submission directions in Section IV.F of the General Section.) The date of the letter, memorandum of understanding, or agreement from the CEO of the provider's organization must be dated no earlier than nine months prior to the date of this published NOFA. Letters, memoranda of understanding or agreements must be submitted on the provider's letterhead

in accordance with the instructions in the General Section. Applicants that do not include evidence of leveraging or address all the items listed below will receive zero (0) points for this Factor.

a. A firm commitment letter, memorandum of understanding or agreement must address the following:

- (1) The cash amount contributed or dollar value of the in-kind goods and/or services committed (If a dollar amount and use is not shown, the source will not be counted);
- (2) A specific description of how each contribution is to be used toward the proposed activities;
- (3) The date the contribution will be made available and a statement that describes the duration of the contribution;
- (4) Any terms or conditions affecting the commitment, other than receipt of a HUD grant; and
- (5) The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. Please remember that only items eligible for funding under this program can be counted.

5. *Rating Factor 5: Achieving Results and Program Evaluation (12 Points)*. This factor reflects HUD's goal to embrace high standards of management and accountability. The factor measures the applicant's commitment to assess their performance to achieve the project's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome-oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved. The Logic Model is a summary of the narrative statements presented in Factors 1–4. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements.

"Outcomes" are benefits accruing to institutions of higher education during or after participation in the TCUP program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include an increased number of campus facilities (e.g., newly built or renovated), an increased number of classroom spaces available, or an increased student enrollment and graduation rate.

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the project's activities. Examples of outputs are the number of new facilities renovated, or the number of new dormitories built. Outputs should produce outcomes for the

project. At a minimum, an applicant must address the following activities in the evaluation plan:

- a. Short-and-long term outputs to be achieved;
- b. Measurable outcomes the grant will have on the university or the target population;

This information must be placed on a HUD-96010, Program Outcome Logic Model form. Applicants may submit as many copies of this form as required. It will not be included in the page count. A narrative is not required. However, if a narrative is provided, those pages will be included in the page count. Additional information on this form and how to use can be found in the General Section.

#### *B. Review and Selection Process*

##### *1. Application Selection Process.*

Two types of reviews will be conducted:

- a. A threshold review to determine an applicant's basic eligibility; and
- b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Rating Factors" listed in Section V.A. above. Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. *Rating Panels.* To review and rate applications, HUD may establish panels that may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

3. *Ranking.* HUD will fund applications in rank order, until all available program funds are awarded. In order to be funded, an applicant must receive a minimum score of 75 points out of a possible 100 points. The RC/EZ/EC-II bonus points described in the General Section do not apply to this NOFA. If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 1, Capacity of the Applicant and Relevant Organizational Experience, shall be selected. If there is still a tie, the application with the most points for Factor 2, 4, and 5 shall be selected in that order until the tie is broken. HUD reserves the right to select out of rank order to provide for geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the

next highest-ranking application. If an applicant turns down the award offer, HUD will make the same determination for the next highest-ranking application. If funds remain after all selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

4. *Corrections to Deficient Applications.* The General Section provides the procedures for corrections to deficient applications.

#### C. *Anticipated Announcement and Award Dates*

Announcements of awards are anticipated on or before September 30, 2005.

### VI. Award Administration Information

#### A. *Award Notice*

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further information about award administration, please refer to the General Section.

#### B. *Administrative and National Policy Requirements*

For additional information regarding these requirements, please refer to Section VI.B. in the General Section.

1. *Debriefing.* The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Sherone Ivey; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington, DC 20410-6000. Applicants may also write to Ms. Ivey via email at [Sherone\\_E\\_Ivey@hud.gov](mailto:Sherone_E_Ivey@hud.gov).

2. *Administrative.* Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants

and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Government Wide Regulations Applicable to Financial Assistance Programs.* The General Section provides discussion of OMB circulars and governmentwide regulations.

4. *Code of Conduct.* See the General Section for further discussion.

5. *Procurement of Recovered Materials.* See Section III.C. of the General Section for further discussion.

6. *Executive Order 13202, Preservation of Open Competition and Government Neutrality Toward Government Contractors' Labor Relations of Federal and Federally Funded Construction Projects.* See the General Section for further discussion if applicable.

7. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP).* See the General Section for further discussion.

#### C. *Reporting*

All grant recipients under this NOFA are required to submit quarterly progress reports. The progress reports shall consist of two components, a narrative that must reflect the activities undertaken during the reporting period and a financial report that reflects costs incurred by budget line item, as well as a cumulative summary report during the reporting period.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed

Logic Model (HUD-96010), which identifies output and outcome achievements.

### VII. Agency Contacts

Applicants may contact Sherone Ivey at (202) 708-3061, extension 4200, or Susan Brunson at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service TTY at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Ms. Ivey via email at [Sherone\\_E\\_Ivey@hud.gov](mailto:Sherone_E_Ivey@hud.gov), and Ms. Brunson at [Susan\\_S\\_Brunson@hud.gov](mailto:Susan_S_Brunson@hud.gov).

### VIII. Other

#### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0215. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 68 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

BILLING CODE 4210-32-P

**Attachment A---Application Checklist TCUP**

## Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF- 424 "Application For Federal Assistance"

\_\_\_\_\_ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

\_\_\_\_\_ Abstract (must include no more than a two-page summary of the proposed project)

**Indicate the page number where each of the Factors is located:**

Narrative Statement Addressing the Factors for Award.

The narrative including tables and maps must not exceed 75 pages, (excluding forms, abstracts, budget narrative, assurances, commitment letters, memorandum of understanding, and agreements) double-spaced with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font.

\_\_\_\_\_ Factor I

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

\_\_\_\_\_ HUD-96010 "Logic Model"

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB" Grant Application Detailed Budget."

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total three-year grant period)

\_\_\_\_\_ Indirect Cost Rate (if applicable)

\_\_\_\_\_ Letters of commitment, memoranda of understanding, or agreements)

Attachment B (All Required Forms)

The following forms are required for submission. All required forms are contained in the electronic application package.

\_\_\_\_\_ Application for Federal Assistance (SF-424);

\_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

\_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL);

\_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);

\_\_\_\_\_ Program Logic Model (HUD-96010);

\_\_\_\_\_ Acknowledgement of Applicant Receipt (HUD-2993) Only applicants that submit paper applications;

\_\_\_\_\_ Client Comments and Suggestions (HUD-2994); and

\_\_\_\_\_ Facsimile Transmittal Cover Page (HUD 96011) to be used when sending electronic application third party documentation and faxes to HUD. Do not use this form if you received a waiver of the electronic submission requirement and are submitting a hard copy application. Items received by fax as a part of the paper copy submission will not be considered.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITIES AND COLLEGES  
PROGRAMS**

**COMMUNITY OUTREACH  
PARTNERSHIPS CENTERS (COPC)**

Billing Code 4210-32-C

## The Community Outreach Partnership Centers (COPC) Program

### Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

B. *Funding Opportunity Title:* Community Outreach Partnership Centers (COPC) Program.

C. *Announcement Type:* Initial announcement.

D. *Funding Opportunity Numbers:* The **Federal Register** Number for this Notice of Funding Availability (NOFA) is FR-4950-N-10. The OMB Approval Number for this program is 2528-0180.

E. *Catalog of Federal Domestic Assistance (CFDA) Number:* The CFDA Number for this program is 14.511.

F. *Dates:* The application submission date is June 23, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

### G. *Additional Overview Content Information:*

1. *Purpose of the Program.* The Community Outreach Partnership Centers (COPC) Program provides funds to two-year and four-year colleges and universities to establish and operate COPCs to address the problems of urban areas.

2. *Award Information.* In Fiscal Year (FY) 2005, approximately \$6.64 million has been appropriated by the Consolidated Appropriations Act, 2005 (Pub. L. 108-447). HUD will award two kinds of grants under this program, First Time Grants and New Directions Grants.

a. First Time Grants will be awarded to applicants who have never received a COPC grant to undertake eligible work. The maximum amount an applicant can request for award is \$400,000 for a maximum three-year (36 months) grant performance period.

b. New Directions Grants will be awarded to applicants who have previously received a COPC grant to undertake new directions in their activities. Applicants are only eligible to receive one New Directions Grant. The maximum amount an applicant can request for award is \$200,000 for a maximum two-year (24 months) grant performance period.

HUD will use up to \$5.2 million to fund approximately (13) First Time Grants and up to \$1.4 million to fund approximately seven (7) New Directions Grants.

3. *Eligible Applicants:* Public or private nonprofit institutions granting two- or four-year degrees that are accredited by a national or regional

accrediting agency recognized by the U.S. Department of Education are eligible to apply. A consortium of eligible institutions may also apply for funding under this program, as long as one institution is designated the lead applicant.

(**Note:** Institutions that participated in a COPC grant as a member of a consortium are eligible to apply for a New Grant if they received 25 percent or less of the funding from the earlier grant). HUD intends to fund at least two eligible COPC New First Time Grant applications (applications that receive a minimum score of 75 points) that serve Colonias (as defined in the General Section). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If less than two fundable applications are eligible for award, these funds will be used to award additional COPC grants.

### Full Text of Announcement

#### I. Funding Opportunity Description

The purpose of the Community Outreach Partnership Centers (COPC) program is to assist in establishing or carrying out outreach and applied research activities that address problems of urban areas. The program also seeks to encourage structural change, both within an institution and in the way the institution relates to its neighbors.

A. Funding under this program shall be used to establish and operate local Community Outreach Partnership Centers (COPCs). The five key concepts that a COPC Program should include are:

1. Outreach activities and technical assistance to address multidimensional urban problems;
2. Empowerment efforts that engage community-based organizations and residents as partners with the institution throughout the life of the project and beyond;
3. Applied research related to the project's outreach activities (Note: Applicants are not required to undertake any research as part of their project and may apply for a project that is totally outreach focused);
4. Assistance to target communities primarily from the faculty, students, and to a limited extent by neighborhood residents and community-based organizations funded by the university; and
5. Support from the university's senior officials to make the program part of the institution's broader effort to meet its urban mission.

#### B. Authority

The COPC program is authorized under the Community Outreach

Partnership Act of 1992 (42 U.S.C. 5307 note; the "COPC Act"). The COPC Act is contained in section 851 of the Housing and Community Development Act of 1992 (Pub. L. 102-550, approved October 28, 1992) (HCD Act of 1992). Section 801(c) of the HCD Act of 1992 authorized \$7.5 million for each year of the 5-year demonstration to create Community Outreach Partnership Centers as authorized in the COPC Act. The Consolidated Appropriations Act, 2005 (Pub. L. 108-447) continues this program beyond the initial five-year demonstration by providing funding for Community Outreach Partnership Centers for FY 2005. This program is being implemented through this NOFA and the policies governing its operation are contained herein.

#### C. Modifications

Listed below are major modifications from the FY 2004 program-funding announcement:

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further discussion.
2. Applicants that apply as a Consortium must include a memorandum of understanding or agreement signed by each of the Chief Executive Officers of the institutions involved. The document must describe all the members of the Consortium, outline each institution's roles and responsibilities, and how much funding each institution will receive from the grant. (Applicants must place the memorandum of understanding or agreement in the Appendix.)
3. Letters, memoranda of understanding, or agreements in response to Factor 4 now can be dated no earlier than nine months prior to the date of this published NOFA and received no later than the application submission date.

#### II. Award Information

In Fiscal Year (FY) 2005, approximately \$6.64 million is being made available under this program. HUD will award two kinds of grants under this program, First Time Grants and New Directions Grants.

A. First Time Grants will be awarded to applicants who have never received a COPC grant to undertake eligible work. The maximum amount an applicant can request for award is \$400,000 for a maximum three-year (36 months) grant performance period.

B. New Directions Grants will be awarded to applicants who have previously received a COPC grant to undertake new directions in their

activities. The maximum amount an applicant can request for award is \$200,000 for a maximum two-year (24 months) grant performance period.

HUD will use up to \$5.2 million to fund approximately (13) First Time Grants and up to \$1.4 million to fund approximately seven (7) New Directions Grants.

### III. Eligibility Information

#### A. Eligible Applicants

Public or private nonprofit institutions granting two- or four-year degrees that are accredited by a national or regional accrediting agency recognized by the U.S. Department of Education are eligible to apply for funding under this program. A Consortium of eligible institution may also apply, as long as one institution is designated the lead applicant. Applicants that apply as a Consortium must include a memorandum of understanding or agreement signed by each of the Chief Executive Officers of the institution involved. The document must describe all the members of the Consortium, outline each institution's roles and responsibilities, and how much funding each institution will receive from the grant. (Applicants must place the memorandum of understanding or agreement in the Appendix if submitting a paper copy application or following the submission instructions in the General Section for electronic copy submission. **Note:** Institutions that participated in a COPC grant as a member of a Consortium are eligible to apply for a First Time Grant if they received 25 percent or less of the earlier grant funds.) HUD intends to fund at least two eligible COPC First Time Grant applications (applications that receive a minimum score of 75 points) that serve Colonias (as defined in the General Section). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If less than two fundable applications are eligible for award these funds will be used to award additional COPC grants.

#### B. Cost Sharing or Matching

Applicants are required to meet the following match requirements:

##### 1. First Time Grant Applicants Match Requirements.

a. *Research Activities.* 50 percent of the total project costs of establishing and operating research activities.

b. *Outreach Activities.* 25 percent of the total project costs of establishing and operating outreach activities.

##### 2. New Directions Grant Applicants Match Requirements.

a. *Research Activities.* 60 percent of the total project costs of establishing and operating research activities.

b. *Outreach Activities.* 35 percent of the total project costs of establishing and operating outreach activities.

For each match, cash or in-kind contribution to the program, applicants must submit a signed letter of commitment (See Section V, Application Review Information, Factor 4: Leveraging Resources). Applicants may not count as match any costs that would be ineligible for funding under the program (e.g., housing rehabilitation). In previous competitions, some applicants incorrectly based their match calculations on the Federal grant amount only. An applicant's match is evaluated as a percentage of the total cost of establishing and operating research and outreach activities, not just the Federal grant amount.

Assume that the total project cost for a First Time COPC Grant was \$710,000, with \$110,000 for research and \$600,000 for outreach. Note that this project meets the requirement that no more than one-quarter of the total project costs be allocated for research as defined in Section III, Eligibility Information, Other. The total amount of the required match would be \$205,000. The research match would be \$55,000 ( $\$110,000 \times 50$  percent) and the outreach match would be \$150,000 ( $\$600,000 \times 25$  percent). The Federal grant requested would be \$400,000 ( $\$710,000$  minus the match of \$310,000). In calculating the match, administrative costs should be applied to the appropriate attributable outreach or research component.

#### C. Other

1. *Eligible Activities.* COPC Programs may combine outreach activities with research (if applicable) and work with communities and local governments to address the multidimensional problems that beset urban areas. Examples of urban problems include, but are not limited to homeownership, economic development, neighborhood revitalization, health care, job training, education, crime prevention, planning, the environment, and capacity building.

a. Outreach activities, technical assistance, and information exchange activities must be designed to address specific urban problems in designated communities and neighborhoods served by the grant.

b. Research activities (if applicable, research activities are not required) must have a clear near-term potential and practical application for solving specific, significant urban problems in

designated communities and neighborhoods, including evaluation of the effectiveness of the outreach activities and how they relate to HUD programs. Applicants must have the capacity to apply the research results directly to the proposed outreach activities outlined in the application's work plan. In addition, applicants must work with communities and local institutions, including neighborhood groups, local governments, and other appropriate community stakeholders, in applying these results to real-life urban problems.

(1) Examples of outreach activities include, but are not limited to:

(a) Assistance to communities to improve consolidated housing and community development plans and to eliminate impediments to the design and implementation of such plans;

(b) Innovative use of funds to provide direct technical expertise and assistance to local community groups, residents, and other appropriate community stakeholders to resolve local problems such as homelessness, housing discrimination, and impediments to fair housing choice;

(c) Technical assistance in business start-up activities for low- and moderate-income individuals and organizations, including business start-up training and technical expertise and assistance, mentor programs, assistance in developing small loan funds, business incubators, etc;

(d) Technical assistance to local public housing agencies on welfare-to-work initiatives and physical transformations of public or assisted housing, including development of accessible and visitable housing;

(e) Job training and other training projects, such as workshops, seminars, and one-on-one and on-the-job training; and

(f) Assistance to communities in eliminating or reducing excessive, unnecessary or duplicative regulations, processes or policies that restrict the development or rehabilitation of affordable housing (For further discussion of Regulatory Barriers see the General Section.)

c. Funds for faculty development, including paying for course time or summer support, to enable faculty members to work with the COPC.

d. Funds for stipends or salaries for students (but the program cannot cover tuition and fees) while students are working with the COPC.

e. Up to 20 percent of the grant may be used for payments of reasonable grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD



reports). Detailed explanations of these costs are provided in the Office of Management and Budget (OMB) circulars that can be accessed at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

f. Activities to carry out the "Program Requirements" as defined in this NOFA. These activities may include leases for office space in which to house the Community Outreach Partnership Center, under the following conditions:

(1) The lease must be for existing facilities not requiring rehabilitation or construction;

(2) No repairs or renovations of the property may be undertaken with Federal funds; and

(3) Properties in the Coastal Barrier Resource System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased with Federal funds.

g. Components of the program may address metropolitan or regional strategies. Applicants must clearly demonstrate how:

(1) Strategies are directly related to what the targeted neighborhoods and neighborhood-based organizations have decided is needed; and

(2) Neighborhoods and neighborhood organizations are involved in both the development and implementation of the metropolitan or regional strategies.

2. *Audit Requirements.* Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

3. *Threshold Requirements Applicable to All Applicants.* All applicants must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified. There will be two separate competitions, one for First Time Grant applicants and one for New Directions Grant applicants.

a. The applicant must meet the eligibility requirements as defined in Section III.A, Eligible Applicants.

b. The maximum amount an applicant applying for a First Time Grant can

request for award is \$400,000. The maximum amount an applicant applying for a New Directions Grant can request for award is \$200,000.

c. Applicants must meet the program's statutory match requirement (the requirement is defined in Section III.B Cost Sharing or Matching).

d. First Time Grant applications must be multifaceted. For purposes of this grant, multifaceted means an applicant must address three or more distinct urban problems and propose at least one distinct activity for each of the problems identified. For instance, an applicant might identify inadequate educational systems for grades K-12 as an urban problem and propose a program to train parents to successfully influence change and become involved in the public school system as the distinct activity. The applicant might address a second urban problem relating to unemployment of youth released from the local juvenile justice detention center and propose a counseling and job placement program. The third urban problem the applicant might address is inadequate social service for homeless families. The proposed activity would be to coordinate with or become part of a local Continuum of Care to conduct surveys to develop a strategy and create an implementation plan to more efficiently address the needs identified. Single or dual-purpose applications are not eligible and will be disqualified. For example, an applicant proposes: (1) A program to train residents for employment in the energy assistance industry; (2) a model curriculum for incorporating energy conservation into public school science programs; and (3) a program to assist local nonprofit organizations to conduct home energy assessments. Although all three activities are distinct, they address the same urban issue—energy conservation.

e. New Directions Grant applications must address two urban problems and undertake at least one activity for each of these problems. Applicants must also demonstrate that the proposed activities either implement new eligible projects in the current target neighborhood(s) or implement eligible projects in a new target neighborhood(s). Single purpose applications are not eligible and will be disqualified.

f. New Directions Grant applicants must have drawn down at least 75 percent of the grant funds from any previous COPC award three weeks prior to the program's application submission date to be eligible to apply for a New Directions Grant. It is the applicant's responsibility to make sure that this requirement is met.

g. Applicants who were a member of a consortium and received more than 25 percent of the earlier funding are not eligible to apply for a First Time Grant. However, applicants may submit an application for a New Directions Grant (applicants may submit an application individually or as part of the old consortium).

h. Only one First Time Grant or New Directions application will be eligible for funding from an institution. If multiple applications are submitted, all will be disqualified. However, different campuses of the same university system are eligible to apply, even if one campus has already received COPC funding, if they have an administrative and budgeting structure independent of other campuses in the system.

i. Applicants may be part of only one consortium or submit only one application, or all applications will be disqualified. HUD will hold the applicant responsible for ensuring that neither the applicant nor any part of their institution, including specific faculty, participates in more than one application.

j. Programs must operate in an urban area. The statute creating COPC is very specific that programs address the problems of urban areas. HUD uses the Census definition of an urban area: a single geographic place (e.g., a city, town, or village, but not a county) with a population of 2,500 or more. Applicants cannot meet this test by aggregating several places smaller than the population threshold in order to meet this requirement. (However, because of the size of the grant and the three-year performance period, HUD encourages applicants to target activities in a minimum number of definable neighborhoods or communities.)

k. In order to ensure that the primary focus of the proposed project is on outreach, there is a limit on the amount of money that can be budgeted for research costs for this program. No more than 25 percent of the total project costs (Federal share plus matching funds) can be spent on research activities.

However, applicants are not required to undertake any research as part of their project and may apply for a project that is totally outreach focused.

l. Applicants must receive a minimum score of 75 points to be considered for funding.

m. An applicant must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement.)

n. Electronic applications must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on the June

23, 2005. See the General Section for information on application submission and timely receipt requirements.

4. *Program Requirements.* In addition to the requirements listed in Section III.C of the General Section, applicants must meet the following program requirements:

a. All funds awarded under this program to First Time Grant applicants are awarded for a three-year (36 months) grant performance period. All funds awarded under this NOFA to New Directions grant applicants are awarded for a two-year (24 months) grant performance period;

b. Employ the outreach and research resources of the institution to solve specific urban problems identified by communities served by the Center;

c. Establish and coordinate outreach activities in areas identified in the application as the communities to be served by the Center;

d. Establish a community advisory committee comprised of representatives of local institutions and residents of the communities to be served to assist in identifying local needs and advise on the development and implementation of strategies to address those issues;

e. Facilitate public service projects in the communities served by the Center;

f. Act as both a national and a regional/local clearinghouse for dissemination of information;

g. Develop instructional programs, convene conferences, and provide training for local community leaders, when appropriate;

h. Grant funds will pay for activities conducted directly, rather than passing funds to other entities (in order for an application to be competitive no more than 25 percent of the grant funds should be passed through to other entities); and

i. Applicants must seek to provide access to program benefits and information to individuals who may be limited English proficient through translation and interpretive services in accordance to HUD's LEP Recipient Guidance published in the **Federal Register** on December 19, 2003.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission.

If you have difficulty accessing the information you may call the Grants.gov Support desk toll free (800-518-GRANTS) or emailing your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting e-mail notification of funding opportunities or downloading the application and should be done as soon as you download the application from the Grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

##### B. Content and Form of Application Submission

1. *Forms.* The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. The electronic version of the NOFA contains all forms required for submission.

a. Application for Federal Assistance (SF-424);

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

f. Applicant/Recipient Disclosure/Update Report (HUD-2880);

g. Community Outreach Partnership Center Program Matching Requirements (HUD-30001);

h. Community Outreach Partnership Center Program Breakdown of Outreach and Research Activities (HUD-30002);

i. Verification of Match (HUD-30011);

j. Program Logic Model (HUD-96010);

k. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in

our continuing efforts to improve the competitive grant process. In providing comments, please be as specific as possible. General statements that the NOFA is better than before but needs improvement do not provide HUD with the type of information that will allow us to improve the process. Applicants are not required to complete this form;

l. Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;

m. Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;

n. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so; and

o. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

##### 2. Certifications and Assurances.

Please read the General Section for detailed information on all Certifications and Assurances. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the application in the following order:

a. SF-424, *Application for Federal Assistance*. Please remember the following:

(1) The full grant amount (First Time Grant applicants' entire three-years and New Directions applicants' entire two-years) should be entered, not the amount for just one year;

(2) Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated

contact. This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information;

(3) The Employer Identification/Tax ID;

(4) The DUNS Number;

(5) The Catalog of Federal Domestic Assistance Number for this program is 14.511;

(6) The project's proposed start date and completion date. For the purpose of this application, the program start date should be November 1, 2005; and

(7) The signature of an Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist.* Applicants should use the checklist to ensure that they have all the elements required in their application submission.

Applicants receiving a waiver of the electronic application submission requirements must include a copy of the checklist in their application submission. Applicants submitting an electronic application do not have to submit the checklist in their application. The checklist can be found in the NOFA (See Attachment A).

c. *Abstract.* Applicants must include no more than a two-page summary of the proposed project. Please include the following:

(1) A clear description of the proposed project activities, the target population that will be assisted, and the impact this project will have on the institution;

(2) A statement that the institution is an eligible institution because it is a two- or four-year fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education;

(3) The designated contact person, including phone number, facsimile number, and e-mail address (This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information);

(4) University's name, department, mailing address, telephone number, facsimile number, and e-mail address; and

(5) The principal investigator, if different from the designated contact person, for the project, including phone number, facsimile number, and e-mail address.

d. *Narrative statement addressing the Rating Factors.* HUD will use the

narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is the main source of information.

Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are subfactors, each subfactor must be presented separately, with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor. The narrative section of an application must not exceed 75 pages, doubled spaced (excluding forms, budget narrative, commitment letters, memoranda of understanding, agreements, and abstract). Each page of the narrative must include the applicant's name and be numbered. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

e. *Budget.* The budget submission must include the following form:

(1) *HUD-424-CB "Grant Application Detailed Budget."* This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also submit this form to reflect the total cost for the entire grant performance period (Grand Total).

Make sure that the amount shown on the SF-424, the HUD-424-CB, and all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on all forms so that all items are included in the total. If there is an inconsistency between any of the budget forms required, the HUD-424-CB will be used. All budget forms must be fully completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for any line item, including match items, over \$5,000. For example, a van rental, \$150 per month × 36 months equals \$5,400. The proposed cost

estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used and included. When an applicant proposes to use a consultant, the applicant must indicate whether there is a formal agreement or written procurement policy. For each consultant, please provide the name, if known, hourly or daily rate, and the estimated time on the project. For equipment, applicants must provide a list by type and cost for each item and explain how it will be used. Applicants using contracts must provide an individual description and cost estimate for each contract.

(3) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants should include a copy of their indirect cost rate agreement with their application. Please refer to Section IV.F of the General Section for instructions on how these documents are to be submitted to HUD using the electronic submission process.

Applicants who are selected for funding that do not have an approved indirect cost rate agreement (established by the cognizant Federal agency, Certified Public Account, or auditor) will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and enter into an agreement to have one established.

f. *Match and Research Compliance.* All applicants must include the following forms:

(1) *HUD-30001, "Community Outreach Partnership Centers Matching Requirements."* This form should show how the match requirements have been met. Under each category, list the specific project activities. Only the dollar totals for research and outreach activities should be listed; costs by activity do not need to be listed. For the purpose of this form, administrative costs should be allocated between research and outreach activities, as appropriate. Applicants must provide letters, memoranda of understanding or agreements that show the extent and firmness of commitments of leveraged funds (including an applicant's own resources) in order for these resources to count. Any resource for which there is no commitment letter will not be counted, nor will the resource be counted without the proposed level of commitment being quantified. Each letter must include the specific dollar amount and the use of the funds. If a dollar amount and use is not shown, the

source cannot be counted toward the match requirement in Factor 4. This form is included in Appendix B.

(2) HUD-30002, "Community Outreach Partnership Centers Breakdown of Outreach and Research Activities." This form is used to demonstrate that the applicant has not allocated more than 25 percent of the total budget (including Federal and matching funds) to research activities. This form is included in Appendix B.

For purposes of this form, all costs (including administrative costs) must be categorized or apportioned as either research or outreach, as appropriate.

(Note: While indirect costs can count toward meeting the required match, they will not be used to calculate the match percentage above the match requirement. Only direct costs can count in this factor). Letters, memoranda of understanding, and agreements must be signed by an authorized representative of the funding source. If any matching sources are for more than one year, the commitment letter, memorandum of understanding, or agreement must state the number of years, the per year commitment, and the total commitment. Only items eligible for program funding can be counted as match. Include matching documentation at the end of the narrative statement addressing the Factors for Award and note in this section a list of the letters that have been placed there.

(3) HUD-30011, "Verification of the Match." Applicants must include a multiple page worksheet (included in Appendix B) to determine if a sufficient match has been provided. This worksheet must be included in the application. Please note on this form by each commitment listed if the match is an inside or outside match commitment. Electronic filers should use the PureEdge Electronic form found on the Grants.gov application package. Paper copy filers should use this form found on HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

g. Appendix. Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of commitment, memoranda of understanding, and agreements for funds/resources in response to Factor 4 and all other required forms for this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant SHOULD NOT submit general support letters or resumes or

other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

Applicants applying as a Consortium must include a memorandum of understanding or agreement signed by each of the Chief Executive Officers of the institutions involved. The document must describe all the members of the Consortium, outline each institution's roles and responsibilities, and describe how much funding each institution will receive from the grant.

#### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. Eastern time on June 23, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

#### E. Funding Restrictions

1. Activities such as, but not limited to, the following are ineligible for funding:

a. Research activities that account for more than 25 percent of the total project cost (federal share plus match) and/or that have no clear and immediate practical application for solving urban problems or do not address specific problems in designated communities and neighborhoods or have any specific link to HUD programs.

b. Any type of construction, rehabilitation, or other physical development costs.

c. Costs used for routine operations and day-to-day administration of institutions of higher education, local governments, or neighborhood groups.

2. Funding may only be provided to applicants that meet the standards for eligible applicants in Section III.A.

#### F. Other Submission Requirements

1. Application Submission and Receipt Procedure. Please read the General Section carefully and completely for the submission and receipt procedures for all applications

because failure to comply may disqualify your application.

2. *Wavier of Electronic Submission Requirements*. Please refer to the General Section for further discussion.

### V. Application Review Information

#### A. Criteria

1. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)*. This factor addresses the extent to which the institution has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the proposal demonstrates:

a. Knowledge and Experience. *For First Time Applicants (20 Points) For New Directions Grant Applicants (10 Points)*. The knowledge and experience possessed by the proposed project director and staff, including the day-to-day program manager, consultants (including technical assistance providers), and contractors in planning and managing the kind of program for which funding is being requested. Applicants must clearly identify the following: Key project team members, titles (e.g., project manager/coordinator, etc.), respective roles for the project staff, and a brief description of their relevant experience. Experience will be judged in terms of recent and relevant knowledge and skills of the staff to undertake eligible program activities. HUD will consider experience within the last five (5) years to be recent and experience pertaining to similar activities to be relevant. The more recent and substantial the experience of the staff, particularly the institution's own staff who will work on the project have in successfully conducting and completing similar activities, the higher the number of points an applicant can receive for this rating factor. The following areas will be evaluated:

(1) Outreach activities in communities to solve or ameliorate significant urban issues;

(2) Projects with community-based organizations or local governments;

(3) Solving community problems that have a direct bearing on the proposed activities and that make a national contribution to solving long-term and immediate urban problems/issues; and

(4) Research activities (if applicable) that have a practical application to significant urban issues.

b. Past Performance (10 points) *New Directions Grant Applicants Only*. This subfactor will evaluate the extent to which an applicant has performed successfully under a previous COPC

grant. Applicants must demonstrate this by providing the following information:

(1) A detailed list outlining the achievement of specific tasks, measurable objectives and outcomes consistent with the approved timeline/work plan in previously awarded grant;

(2) Comparison of proposed required match funds and resources in a previous grant with what was actually matched; and

(3) A detailed list outlining the timeliness and completeness of complying with all the COPC reporting requirements. In addressing timeliness compare when reports were due with when they were actually submitted.

HUD will also review an applicant's past performance in managing funds, including, but not limited to: the ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; and receipt of promised match funds. In evaluating past performance, HUD reserves the right to deduct up to five (5) points from this rating score as a result of the information obtained from HUD's records (*i.e.*, progress and financial reports, monitoring reports, Logic Model submissions, and amendments), including the timely submission of required progress reports.

2. *Rating Factor 2: Need/Extent of the Problem (10 Points)*. This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need(s) in the target area. The need(s) described must be relevant to the activities for which funds are being requested. The proposal will be evaluated on the extent to which the level of need for the proposed activities and the importance of meeting the need(s) are documented.

In rating this factor, HUD will consider data collected within the last five (5) years to be current. To the extent that the targeted community's Five Year Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, applicants should include references to these documents in response to this factor.

Applicants must use statistics or other analyses contained in at least one or more current data sources that are sound and reliable. Sources for localized data can be found at: <http://www.fjiec.gov>.

Other reliable sources of data include, but are not limited to, Census reports, HUD Continuum of Care gap analysis and its E-Map (To find additional information go to HUD's Web site:

<http://www.hud.gov/emaps>), law enforcement agency crime reports, Public Housing Agencies' Comprehensive Plans, community needs analyses such as provided by the United Way, the applicant's institution, and other sound and reliable appropriate sources. Needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements may also be addressed.

The data used must be specific to the area where the proposed activities will be carried out (not the entire locality or state). Remember, the statute creating COPC is very specific that the program addresses problems of an urban area: a single geographic place (*e.g.*, a city, town, or village, but not a county) with a population of 2,500 or more. (However, because of the size of the grant and the three-year period of performance, HUD encourages applicants to target activities in a minimum number of definable neighborhoods or communities.)

3. *Rating Factor 3: Soundness of Approach (40 Points)*. This factor addresses the quality and effectiveness of the proposed work plan. There must be a clear relationship between proposed activities and community needs for an applicant to receive points for this factor. This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

a. *Quality of Work Plan (26 Points)*.

(1) *Specific Services and/or Activities*. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project. HUD will consider the probability of success of the program, the significance of the tasks identified, how realistic are the proposed time frames, and who will be responsible for completing each proposed activity. (Note: applicants are not required to undertake research as part of the grant.)

(a) Describe a clear outreach agenda and demonstrate this by providing the following:

(i) Identifiable outreach activities;

(ii) Required tasks to be completed (in sequential order) for each proposed activity;

(iii) Target completion date for each proposed task/activity to be successfully implemented (in six-month intervals); and

(iv) The staff member, as described in Factor 1, who will be responsible and accountable for completing each task.

(b) Describe how the project will:

(i) Involve the institution as a whole (*i.e.*, variety of academic disciplines and administrative offices);

(ii) Provide for on-site or frequent presence in the target area; and

(iii) Ensure proposed activities do not duplicate outreach activities by the institution or others for the target area previously completed or currently underway.

(c) Applicants proposing research activities must describe a clear research agenda that applies the proposed research results directly to the proposed outreach activities and demonstrate this by providing the following:

(i) Identifiable research activities and outcomes (*e.g.*, reports, surveys, etc.);

(ii) Required tasks to be completed (in sequential order) for each proposed activity;

(iii) Time necessary for each proposed task/activity to be successfully implemented (in six-month intervals) and target completion date; and

(iv) The staff member, as described in Factor 1, who will be responsible for research activities and accountable for completing each task;

(v) Ensure that the proposed research is tied to the proposed outreach agenda (*e.g.*, a proposed study of the extent of housing abandonment in a neighborhood is followed by a plan for reusing this housing demonstrates a link between the proposed research and outreach strategies); and

(vi) Describe how the research does not duplicate the research by the institution or others for the target area previously completed or currently underway. If similar research is underway, describe how the proposed research agenda would complement it.

b. (5 Points) *Community Involvement*. The applicant must describe the extent to which it proposes to integrate the community as partners in the planning and implementation of proposed program activities. In reviewing this subfactor, HUD will look at the extent to which:

(1) One or more Community Advisory Committees have been formed that represent the community's diversity (including businesses, community groups, residents, and others) and will serve to develop and implement strategies to address the needs identified in Factor 2. In addressing this subfactor, applicants must provide evidence that such a committee(s) has been in place and what groups are represented, or that commitments have been secured from the appropriate persons to serve on a committee(s), rather than just describing generally the types of people whose involvement will be sought.

(2) The committee(s) and partners play an active role in all stages of the project and not serve as merely advisors or monitors.

(3) The outreach agenda includes training projects for local community leaders to increase their capacity to direct their organizations or undertake various kinds of community development projects.

c. (5 Points) Dissemination Strategies.

In reviewing this subfactor, HUD will assess the applicant's demonstrated ability to disseminate results of outreach and research activities to other COPCs and communities. In addition, the scope and quality of the applicant's plan to disseminate information results, strategies, and lessons learned through such means as conferences, cross-site technical assistance, Web sites, publications, etc. will be assessed. (Note: Applicants must make materials available in alternative formats for persons with disabilities (e.g., Braille, audio, large type) upon request, and provide materials in languages other than English that are common in the community, if speakers of these languages are found in significant numbers and come into frequent contact with the program.)

d. (2 Points) Affirmatively Further Fair Housing. This subfactor will be evaluated on the extent to which an applicant describes how they propose to undertake activities designed to affirmatively further fair housing opportunities for individuals on the basis of race, color, national origin, sex, religion, familial status, or disability. For example:

(1) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending;

(2) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or

(3) Providing housing mobility counseling services.

e. (2 Points) HUD Policy Priorities.

HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities that will help the Department achieve its goals and objectives in FY2006, when the majority of grant recipients will be reporting programmatic results and achievements. In addressing this subfactor, HUD will evaluate the extent to which a program will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority

selected will be addressed. Applicants that just list a priority will receive no points.

Each policy priority addressed has a value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 2. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 2 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barrier" found in the General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

4. *Rating Factor 4: Matching Resources and Institutionalization of Program (20 Points)*. This factor addresses the ability of the applicant to secure resources and make the program activities part of the institution's on-going mission. In evaluating this factor, HUD will consider the extent to which the applicant established partnerships with other entities (other than HUD) to secure additional resources to increase the effectiveness of the proposed program activities.

a. *Matching Resources (10 Points)*. This subfactor addresses the applicant's ability to secure community resources combined with HUD's grant funds to achieve the program's purpose. Resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of the grant being sought. External resources (those acquired from outside the college or university) may be provided by governmental entities (only block grants or formula grants will be considered, no direct grants), public or private nonprofit organizations, for-profit private organizations, or other entities willing to establish partnerships. Applicants may also establish partnerships with funding recipients in other grant programs to coordinate the use of resources in the target area. Please note that the value of the time of individuals serving on an applicant program advisory board cannot be counted as an in-kind contribution. Applicants may count overhead and other institutional costs (e.g., salaries, indirect costs, etc.) that the institution has waived. In evaluating

this subfactor, HUD will allocate points as follows:

(1) (5 Points) will be awarded for a match that is 25 percent or more over the required match, as described in Section V, Application Review Information. Fewer points will be assigned depending on the extent of the match coverage provided. Matching funds must be provided unconditionally in order to be counted for this subfactor.

HUD is concerned that applicants should be providing hard dollars as part of their matching contributions to enhance the tangible resources going into targeted neighborhoods. Thus, while indirect costs can count toward meeting the required match, they will not be used in calculating match coverage. Only direct costs can count in this factor.

(2) (5 Points) will be awarded for the extent to which applicant documents that matching funds are provided from eligible external sources other than the institution (e.g., funds from the city, including CDBG, other state or local government agencies, public or private organizations, or foundations). Federal funds can be used for the match as long as the funds are not a result of a direct Federal grant, but are block or formula grant funds that allow states or local governments allocation authority. Fewer points will be assigned depending on the amount of the outside match.

For each match, cash or in-kind contribution, a letter of commitment, memorandum of understanding, or agreement must be provided that shows the extent and firmness of the commitment of leveraged funds (including any commitment of resources, as well as an indirect cost considered an internal match) in order for the resources to count in determining points under this factor. Resources will not be counted for which there is no commitment letter, memorandum of understanding, or agreement, nor quantified level of commitment. Letters, memoranda of understanding, or agreements must be submitted on the provider's letterhead and be submitted as part of the application package. (Applicants submitting paper copy applications must place all letters, memoranda of understanding, or agreements in the Appendix. Applicants submitting these items electronically must follow the submission directions in Section IV.F of the General Section.) The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than nine months prior to the date of this published NOFA. Applications that do not include

evidence of matching or address all items described below will receive zero (0) points for this Factor and will be disqualified.

a. A firm commitment letter, memorandum of understanding, or agreement must address the following:

(1) The cash amount contributed or dollar value of the in-kind goods and/or services committed (If a dollar amount and use is not shown, the source will not be counted toward the match requirement);

(2) A specific description of how the match is to be used toward one of the proposed program activities;

(3) The date the match will be made available and a statement that describes the duration of the contribution. If any of the matching sources are for more than one year, the commitment letter, memorandum of understanding, or agreement must state the number of years, the per year commitment, and the total commitment. Without this statement, HUD will assume that the commitment is for only one year;

(4) Any terms or conditions affecting the commitment, other than receipt of a HUD grant;

(5) The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. Please remember that only items eligible for funding under this program can be considered as a match; and

(6) Internal match provided by an applicant must be documented by a letter, memorandum of understanding, or agreement; describes the requirements outlined above; and be signed by the appropriate executive officer authorized to commit funds and/or goods and/or services. See the General Section for instructions on how to submit these documents to HUD using the electronic submission process.

b. *Institutionalization* (10 Points). This subfactor looks at how the institution plans to make the COPC function and related activities a part of its urban mission and ensure funding in the future by sources other than HUD.

(1) *First Time Grant Applicants*. In reviewing this subfactor for a First Time Grant, HUD will consider the extent to which the First Time Grant applicant addresses the institution's capacity and commitment to undertake outreach activities. HUD will evaluate the following:

(a) COPC activities as they relate to the institution's urban mission;

(b) Support and involvement of the institution's executive leadership (e.g., department chairs, deans, etc.), faculty, staff and students from across many disciplines in order to demonstrate the

institution's commitment to these kinds of activities;

(c) Commitment of the institution to establish a climate that rewards faculty and staff for work in COPC neighborhoods by including this work in decisions affecting rank, tenure, and promotion;

(d) Benefit to students through the implementation of service learning programs or professional training at the institution that are reflected in the curriculum (rather than just volunteer activities);

(e) Commitment to a formal organizational structure within the university related to outreach and community partnerships as reflected in the university's budget and planning documents of the university.

(2) *New Directions Applicants*. In reviewing this subfactor for a New Directions Grant, HUD will consider the extent to which the New Directions applicant's proposed project will sustain the institutional capacity and commitment of the institution to undertake outreach activities. HUD will evaluate the following:

(a) Increases in the number of faculty undertaking this kind of work;

(b) Increases in the number of courses linked to outreach activities and the number of students taking these courses; and

(c) Formal changes in institutional policies related to support of outreach.

5. *Rating Factor 5: Achieving Results and Program Evaluation (10 Points)*. This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their performance to achieve the program's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved. The Logic Model is a summary of the narrative statements presented in Factors 1–4. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements, but does not have to be as detailed.

“Outcomes” are benefits accruing to institutions of higher education and/or communities during or after participation in the COPC program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes are increased business start-up in the target community by a certain percentage, or increased family financial stability (e.g., increased assets to families and

communities through the development of incubators).

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. “Outputs” are the direct products of the program's activities. Examples of outputs are the number of new businesses developed, the number of students involved in service learning activities, the number of new courses an institution developed that focus on community outreach activities, the number of newly formed partnerships that aid in community capacity building. Outputs should produce outcomes for the program. At a minimum, an applicant must address the following activities in the evaluation plan:

a. Specific time-phased short- and long-term measurable outputs to be accomplished.

b. Measurable outcomes the grant will have on the community in general and the target area or population.

c. The impact the grant will have on the long-term commitment of the university to the faculty and students to provide opportunities to continue this type of work.

d. The impact the grant will have on assisting the university to obtain additional resources to continue this type of work at the end of the grant performance period.

This information must be placed under this section on a HUD-96010 Program Outcome Logic Model form. Applicants may submit as many copies of this form as required. It will not be included in the page count requirement. A narrative is not required. However, if a narrative is provided, those pages will be included in the page count. Additional information on this form and how to use it can be found in the General Section.

#### *B. Review and Selection Process*

##### *1. Application Selection Process.*

Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the “Rating Factors” listed in Section V.A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. *Rating Panels*. To review and rate applications, HUD may establish panels which may include experts or consultants not currently employed by



HUD. These individuals may be included to obtain certain expertise.

3. *Ranking.* HUD will fund applications in rank order until all available program funds are awarded. In order to be funded, an applicant must receive a minimum score of 75 points out of a possible 102 points, which includes up to two bonus points that may be awarded for activities conducted in the RC/EZ/EC-II communities, as described in the General Section. If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 1, Capacity of the Applicant and Relevant Organizational Experience, shall be selected. If there is still a tie, the application with the most points for Factors 2, 4 and then 5 shall be selected in that order until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees. In addition, HUD intends to fund at least two eligible COPC First Time Grant applications that serve Colonias (as defined in the General Section). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If less than two fundable applications are eligible for award these funds will be made available to award additional COPC grants.

HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make the same determination for the next highest-ranking application. If funds remain after all selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

4. *Correction to Deficient Applications.* The General Section provides the procedures for correction to deficient applications.

#### C. *Anticipated Announcement and Award Dates*

Announcements of awards are anticipated on or before September 30, 2005.

## VI. Award Administration Information

### A. *Award Notice*

After all selections have been made, HUD will notify all winning applications in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section.

### B. *Administrative and National Policy Requirements*

For information regarding these requirements, please refer to Section VI.B the General Section.

1. *Debriefing.* The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Kinnard Wright; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington, DC 20410-6000. Applicants may also write to Mr. Wright via e-mail at [Kinnard\\_D.\\_Wright@hud.gov](mailto:Kinnard_D._Wright@hud.gov).

2. *Administrative.* Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Governmentwide Regulations Applicable to Financial Assistance Programs.* The General Section provides further discussion.

4. *Code of Conduct.* See the General Section for further discussion.

5. *Recovered Materials.* The General Section provides further.

6. *Environmental requirements.* In accordance with 24 CFR 50.19(b) of the HUD regulations, activities under the COPC program are categorically excluded from the requirements of the National Environment Policy Act and are not subject to environmental review under related laws and authorities.

### C. *Reporting*

All grant recipients under this NOFA are required to submit semi-annual

progress reports. The progress reports shall consist of two components, a narrative that must reflect the activities undertaken during the reporting period and a financial report that reflect costs by budget line item, as well as a cumulative summary of costs incurred during the reporting period.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed Logic Model (HUD-96010), which identifies output and outcome achievements.

## VII. Agency Contacts

Applicants may contact Kinnard Wright at (202) 708-3061, extension 7495 or Susan Brunson, at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service (TTY) at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Mr. Wright via e-mail at [Kinnard\\_D.\\_Wright@hud.gov](mailto:Kinnard_D._Wright@hud.gov), and/or Ms. Brunson at [Susan\\_S.\\_Brunson@hud.gov](mailto:Susan_S._Brunson@hud.gov).

## VIII. Other Information

### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0180. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 144 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly, semi-annual and final reports. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

BILLING CODE 4210-32-P



## Attachment A---Application Checklist COPC

### Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF- 424 “Application For Federal Assistance”

\_\_\_\_\_ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

\_\_\_\_\_ Abstract (must include no more than a two-page summary of the proposed project)

**Indicate the page number where each of the Factors is located:**

Narrative Statement Addressing the Rating Factors.

The narrative including tables and maps must not exceed 75 pages, (excluding forms, abstracts, budget narrative, assurances, commitment letters, memorandum of understanding, and agreements) double-spaced with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font.

\_\_\_\_\_ Factor I

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

\_\_\_\_\_ HUD-96010 “Logic Model”

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB” Grant Application Detailed Budget.”

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total grant period)

- \_\_\_\_\_ Indirect Cost Rate (if applicable)
- \_\_\_\_\_ Match and Compliance Forms
- \_\_\_\_\_ HUD-30001, Community Outreach Partnership Center Program Matching Requirements
- \_\_\_\_\_ HUD-30002, Community Outreach Partnership Center Program Breakdown of Outreach and Research Activities
- \_\_\_\_\_ HUD-30011 or HUD-30012, Verification of Match
- \_\_\_\_\_ Letters of commitment, memoranda of understanding, or agreements

**Attachment B (All Required Forms)**

The following forms are required for submission. All required forms are contained in the electronic application package.

- \_\_\_\_\_ Application for Federal Assistance (SF-424);
- \_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);
- \_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);
- \_\_\_\_\_ America's Affordable Communities Initiative (HUD-27300), if applicable;
- \_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);
- \_\_\_\_\_ Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990), if applicable;
- \_\_\_\_\_ Certification of Consistency with the Consolidated Plan (HUD-2991), if applicable;
- \_\_\_\_\_ Acknowledgement of Applicant Receipt (Only applicants who submit paper applications (HUD-2993);
- \_\_\_\_\_ Client Comments and Suggestions (HUD-2994);
- \_\_\_\_\_ Community Outreach Partnership Center Program Matching Requirements (HUD-30001);
- \_\_\_\_\_ Community Outreach Partnership Center Program Breakdown of Outreach and Research Activities (HUD-30002);
- \_\_\_\_\_ Verification of Match (HUD-30011 or HUD-30012); and
- \_\_\_\_\_ Facsimile Transmittal Cover Page (HUD 96011) to be used when sending electronic application third party documentation and faxes to HUD. This form is not to be used for paper copy submissions and items received by fax, as a part of the paper copy submission will not be considered.

Community Outreach  
Partnership Centers Program  
**Matching Requirements**

**U.S. Department of Housing  
and Urban Development**  
Office of Policy Research  
and Development

OMB Approval No. 2528-0180  
(exp. 05/31/2006)

	Federal Share \$	Match \$	Total Cost \$	Match as Percent of Total Cost
Research Activities: (list)				
Subtotal				%
Outreach Activities: (list)				
Subtotal				%
<b>Total</b>				

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The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts for the Community Outreach Partnership Centers (COPC) program.

Total public reporting burden for collection of this information is estimated to average 80 hours. This includes 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 submitted in response to the notice of funding availability for the COPC program and HSI-WSP program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

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**Community Outreach  
Partnership Centers Program  
Breakdown of Outreach and  
Research Activities**

**U.S. Department of Housing  
and Urban Development**  
Office of Policy Research  
and Development

OMB Approval No. 2528-0180  
(exp. 05/31/2006)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts for the Community Outreach Partnership Centers (COPC) program.

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The information submitted in response to the notice of funding availability for the COPC program and HSI-WSP program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

	Total Cost \$	Percent of Total Project Cost
Total Research Activities		%
Total Outreach Activities		%
Total		

**Verification of Match**

U.S. Department of Housing  
and Urban Development  
Office of Policy Development and Research

OMB Approval No. 2528-0180  
(exp. 5/31/2006)

**Public reporting burden** for this collection of information is estimated to average 5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information collection on this form is utilized to calculate and verify the amount of matching resources a percentage of total project costs. Public Law 100-242, section 501, authorizes this collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a current valid OMB control number.

Check appropriate box.

**New Grants**

**New Directions Grants**

**Record of Match Commitments**

List of matching resources

Check if commitment letter is  
included and activity is eligible  
for match

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_
- 6. \_\_\_\_\_
- 7. \_\_\_\_\_
- 8. \_\_\_\_\_

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**Verification of Match (cont'd.)**
**CALCULATION OF MATCH (New Directions Grants ONLY)****1. REQUIRED MATCH****A. Research Total Project Cost:**

$$\frac{\text{_____}}{\text{(Grant request for Research)}} + \frac{\text{_____}}{\text{(Match for Research)}} = \frac{\text{_____}}{\text{(Research Total Project Cost)}}$$

Research match should be:

$$\frac{\text{_____}}{\text{(Research Total Project Costs)}} \times 60\% = \frac{\text{_____}}{\text{(Required Research Match)}}$$

**B. Outreach Total Project Costs:**

$$\frac{\text{_____}}{\text{(Grant request for Outreach)}} + \frac{\text{_____}}{\text{(Match for Outreach)}} = \frac{\text{_____}}{\text{(Outreach Total Project Costs)}}$$

Outreach match should be:

$$\frac{\text{_____}}{\text{(Research Total Project Costs)}} \times 35\% = \frac{\text{_____}}{\text{(Required Research Match)}}$$

**C. Required Total Match:**

$$\frac{\text{_____}}{\text{(Required Research Match)}} + \frac{\text{_____}}{\text{(Required Outreach Match)}} = \frac{\text{_____}}{\text{(Required Total Match)}}$$

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**Verification of Match (cont'd.)**
**CALCULATION OF MATCH (New Grants ONLY)****2. REQUIRED MATCH****A. Research Total Project Cost:**

$$\frac{\text{_____}}{\text{(Grant request for Research)}} + \frac{\text{_____}}{\text{(Match for Research)}} = \frac{\text{_____}}{\text{(Research Total Project Cost)}}$$

Research match should be:

$$\frac{\text{_____}}{\text{(Research Total Project Costs)}} \times 50\% = \frac{\text{_____}}{\text{(Required Research Match)}}$$

**B. Outreach Total Project Costs:**

$$\frac{\text{_____}}{\text{(Grant request for Outreach)}} + \frac{\text{_____}}{\text{(Match for Outreach)}} = \frac{\text{_____}}{\text{(Outreach Total Project Costs)}}$$

Outreach match should be:

$$\frac{\text{_____}}{\text{(Research Total Project Costs)}} \times 25\% = \frac{\text{_____}}{\text{(Required Research Match)}}$$

**C. Required Total Match:**

$$\frac{\text{_____}}{\text{(Required Research Match)}} + \frac{\text{_____}}{\text{(Required Outreach Match)}} = \frac{\text{_____}}{\text{(Required Total Match)}}$$



**3. ACTUAL MATCH FOR STATUTORY PURPOSES:**

**COUNT ONLY THOSE ITEMS WHICH ARE ELIGIBLE AND FOR WHICH THERE ARE COMMITMENT LETTERS, USING THE FORM HUD-30001. THAT FORM AND THE FIRST PART OF THIS WORKSHEET SHOULD CONFORM.**

**Research match provided:** \_\_\_\_\_

**Outreach match provided:** \_\_\_\_\_

**Total match provided:** \_\_\_\_\_

**Match provided is more than match required:**

YES

NO

**4. ACTUAL MATCH FOR FACTOR 4 PURPOSES:**

Actual total match provided from #2 above: \_\_\_\_\_

Minus indirect match:                    **-**                    \_\_\_\_\_

Actual total match for following calculations:                    **=**                    \_\_\_\_\_

**5. MATCH OVERAGE**

Total Actual Match (w/o indirect costs) from #3                    **=**                    \_\_\_\_\_  
Total Required Match from 1.C

(As long as the number produces is more than 1, use only the amount to the right of the decimal point to determine overage. If the number is less than 1, there is no match overage and you are not eligible for any points under this subfactor.)

**6. MATCH FROM OUTSIDE SOURCES**

Total Match from Outside Sources                    **=**                    \_\_\_\_\_  
Total Actual Match (w/o indirect costs) from #3

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**STUDENT RESEARCH AND STUDY  
PROGRAMS**

**Early Doctoral Student Research Grant  
Program**

**Doctoral Dissertation Research Grant  
Program**

## The Early Doctoral Student Research Grant Program and Doctoral Dissertation Research Grant Program

### Overview Information

*A. Federal Agency Name:* Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

*B. Funding Opportunity Title:* The Early Doctoral Student Research Grant (EDSRG) Program and the Doctoral Dissertation Research Grant (DDRG) Program.

*C. Announcement Type:* Initial announcement.

*D. Funding Opportunity Number:* The Federal Register Number for this Notice Of Funding Availability (NOFA) is FR4950-N-07. The OMB Approval Numbers for the programs in this NOFA are as follows:

1. Early Doctoral Student Research Grant Program is 2528-0216.

2. Doctoral Dissertation Research Grant Program is 2528-0213.

*E. Catalog of Federal Domestic Assistance (CFDA) Number(s):* The CFDA Numbers for the programs in this NOFA are as follows:

1. Early Doctoral Student Research Grant Program is 14.517

2. Doctoral Dissertation Research Grant Program is 14.516

*F. Dates:* The application submission deadline shall be on or before May 18, 2005. Please be sure to read the General Section for electronic submission and receipt requirements.

*G. Optional, Additional Overview Content Information:* 1. Purpose of the University Partnership Dissertation Programs:

*a. Early Doctoral Student Research Grant (EDSRG) Program.* The purpose of the EDSRG program is to enable doctoral students enrolled at accredited institutions of higher education recognized by the U.S. Department of Education to cultivate their research skills through the preparation of research manuscripts that focus on policy-relevant housing and urban development issues.

*b. Doctoral Dissertation Research Grant (DDRG) Program.* The purpose of the DDRG program is to enable Ph.D. candidates enrolled at accredited institutions of higher education recognized by the U.S. Department of Education to complete their research and dissertations on policy-relevant housing and urban development issues.

2. *Award Information:* In Fiscal Year (FY) 2005, approximately \$550,000 has been made available for the following Office of University Partnerships (OUP) dissertation programs.

*a. Early Doctoral Student Research Grant Program—*Approximately \$150,000 is available for funding under this program. The maximum grant performance period is 12 months. The performance period will commence on the effective date of the grant agreement. The maximum amount that can be requested by a doctoral student for award is \$15,000.

*b. Doctoral Dissertation Research Grant Program—*Approximately \$400,000 is available for funding under this program. The maximum grant performance period is 24 months. The performance period will commence on the effective date of the grant agreement. The maximum amount that can be requested by a doctoral student for award is \$25,000.

If funding remains after all eligible EDSRG doctoral students are awarded, the remaining funds will be made available to fund eligible DDRG doctoral students. If funding remains after all eligible DDRG doctoral students are awarded, the remaining funds will be made available to fund eligible EDSRG doctoral students.

3. *Eligible Applicants.* Eligible applicants are accredited institutions of higher education recognized by the U.S. Department of Education that sponsor doctoral students who meet the following program requirements:

*a. Early Doctoral Student Research Grant Program.* Doctoral students applying for funding under this program must meet the following requirements:

(1) Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled as a full-time student in an accredited doctoral program;

(2) Have a major or concentration within a field related to housing and urban development;

(3) Have not taken the preliminary/comprehensive examinations;

(4) Completed at least two semesters or three terms of a doctoral studies program (depending on the course structure of the institution);

(5) Have an assigned faculty advisor to supervise the research manuscript;

(6) Submit a letter of support from the assigned faculty advisor in the doctoral student's department; and

(7) Provide a support letter from the institution. This support may not replace support or assistance the institution would otherwise provide to the student.

*b. Doctoral Dissertation Research Grant Program.* Doctoral students applying for funding under this program must meet the following requirements:

(1) Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled an accredited doctoral program;

(2) Have an approved dissertation proposal;

(3) Provide documentation from the dissertation committee chairperson that states the feasibility of the following:

(a) By the application due date, the student's dissertation proposal will be accepted by the full dissertation committee;

(b) The student will have an assigned dissertation advisor;

(c) By September 1, 2005, the student will have satisfactorily completed all other written and oral Ph.D.

requirements, including all examinations and defense of the proposal, except the dissertation; and

(d) The proposed dissertation can be prepared and delivered within the two-year grant period.

(4) Provide a support letter from the institution. This support may not replace support or assistance the institution would otherwise provide to the student.

### Full Text of Announcement

#### I. Funding Opportunity Description

##### *A. Early Doctoral Student Research Grant (EDSRG) Program*

The purpose of the EDSRG program is to enable doctoral students enrolled at an accredited institution of higher education recognized by the U.S. Department of Education to cultivate their research skills through the preparation of research manuscripts that focus on policy-relevant housing and urban development issues. The FY 2005 EDSRG program seeks to fund research studies that may impact federal problem solving and policymaking and that are relevant to HUD's policy priorities and annual goals and objectives (See the General Section for discussion of these priorities and annual goals and objectives).

##### *B. Doctoral Dissertation Research Grant (DDRG) Program*

The purpose of the DDRG program is to enable Ph.D. candidates enrolled at accredited institutions of higher education recognized by the U.S. Department of Education to complete their research and dissertations on policy-relevant housing and urban development issues. The FY 2005 DDRG program seeks to fund research studies that may impact federal problem solving and policymaking and that are relevant to HUD's policy priorities and annual

goals and objectives (See the General Section for discussion of these priorities and annual goals and objectives).

### C. Topics

Examples of topics addressing these issues (applicable to both the EDSRG and DDRG programs) include but are not limited to:

#### 1. Increase Homeownership Opportunities

- a. Increase Minority Homeownership.
- b. Simplify the Home Buying Process (RESPA reform) and Reduce Settlement Costs.
- c. Set Appropriate Housing Goals for the GSEs.
- d. Counter Predatory Lending.
- e. Help Low-Income Homeowners Avoid Default and Foreclosure.
- f. Evaluate Housing Counseling.

#### 2. Promote Decent Affordable Housing

- a. Reduce Regulatory Barriers to the Development of Affordable Housing, as well as All Forms of Multifamily Housing.
- b. Develop Creative Strategies for Expanding the Availability of Affordable Housing.
- c. Strengthen the Delivery of HUD-Funded Rental Assistance and Assistance Provided Through the Low-Income Housing Tax Credit.
- d. Promote Self-Sufficiency Among Residents of Public and Assisted Housing.
- e. Meet the Housing-Related Needs of the Elderly.
- f. Meet the Housing-Related Needs of Persons with Disabilities.
- g. Improve Housing Quality and Affordability through Technology and Design.

#### 3. Strengthen Communities

- a. End Chronic Homelessness.
- b. Prevent Homelessness.
- c. Strengthen Cities.
- d. Meet the Housing and Community and Economic Development Needs of Residents of High-Needs Areas, including the Colonias, Appalachia, the Mississippi Delta, and Indian Country.

#### 4. Ensure Equal Opportunity In Housing

- a. Reduce Housing Discrimination.
- b. Improve Housing Accessibility for Persons with Disabilities.

#### 5. Embrace High Standards of Ethics, Management, and Accountability

- a. Reduce Fraud, Waste, and Abuse in HUD-Funded Programs.
- b. Improve the Effectiveness of HUD Programs Through Program Evaluations and Performance Measurement.

#### 6. Promote Participation of Faith-Based and Community Organizations

- a. Strengthen the Capacity of Faith-Based and Community Organizations.

#### D. Modifications

There is one major modification from the Fiscal Year (FY) 2004 program-funding announcement. In FY 2005, applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further information regarding submitting your application electronically.

#### E. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2004). These programs are undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970. They are being implemented through this NOFA and the policies governing their operation are contained herein.

### II. Award Information

In Fiscal Year (FY) 2005, approximately \$550,000 is made available for the Office of University Partnerships (OUP) dissertation programs as follows:

#### A. Early Doctoral Student Research Grant Program

Approximately \$150,000 will be made available for funding under this program. The maximum grant performance period is 12 months. The performance period will commence on the effective date of the grant agreement. The maximum amount that can be requested by a doctoral student for award is \$15,000.

#### B. Doctoral Dissertation Research Grant Program

Approximately \$400,000 will be made available for funding under this program. The maximum grant performance period is 24 months. The performance period will commence on the effective date of the grant agreement. The maximum amount that can be requested by a doctoral student for award is \$25,000.

If funding remains after all eligible EDSRG doctoral students are awarded, the remaining funds will be made available to fund eligible DDRG doctoral students. If funding remains after all eligible DDRG doctoral students are awarded, the remaining funds will be made available to fund eligible EDSRG doctoral students.

### III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants are accredited institutions of higher education recognized by the U.S. Department of Education that sponsor doctoral students. The institution must address the following program requirements:

1. *Early Doctoral Student Research Grant Program*. Doctoral students applying for funding under this program must meet the following requirements:
  - a. Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled as a full-time student in an accredited doctoral program;
  - b. Have not taken the preliminary/comprehensive examinations;
  - c. Have completed at least two semesters or three terms of a doctoral studies program (depending on the course structure of the institution);
  - d. Have an assigned faculty advisor to supervise the research manuscript (provide the advisor's name, address, phone number, facsimile number, and email address);
  - e. Submit a letter of support from the assigned faculty advisor of the doctoral student that confirms that the student meets all of the conditions above and that the proposed research manuscript can be completed within the one-year grant period; and
  - f. Provide a support letter from the institution that includes in detail the type of support the university is providing. Such support might include tuition waivers, office space, computer time, assumption of indirect costs, or similar items the doctoral student might need in order to complete the required product. This support may not replace support or assistance the institution would otherwise provide to the student.
2. *Doctoral Dissertation Research Grant Program*. Doctoral students applying for funding under this program must meet the following requirements:
  - a. Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled in an accredited doctoral program;
  - b. Have an approved dissertation proposal;
  - c. Provide letter from the dissertation committee chairperson that confirms the following:
    - (1) By the application due date, the student's dissertation proposal has been accepted by the full dissertation committee and the student has been assigned a dissertation advisor (provide

the advisor's name, address, phone number, facsimile number, and email address);

(2) By September 1, 2005, the student will have satisfactorily completed all other written and oral Ph.D. requirements, including all examinations and defense of the proposal, except the dissertation; and

(3) The proposed dissertation can be prepared and delivered within the two-year grant period.

d. Provide a support letter from the institution that includes in detail the type of support the university is providing. Such support might include tuition waivers, office space, computer time, assumption of indirect costs, or similar items the student might need in order to complete the required product. This support may not replace support or assistance the institution would otherwise provide to the student.

#### B. Cost Sharing or Matching

None Required.

#### C. Other

##### 1. Eligible Activities

Grant funds awarded for programs under this NOFA must be used to support direct costs incurred in the timely completion of the research product. Eligible costs include stipends, computer software, purchase of data, travel expenses to collect data, transcription services, and compensation for interviews.

##### 2. Audit Requirements

Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR Part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

##### 3. Threshold Requirements Applicable to All Applicants

All applicants and doctoral students must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified.

a. The doctoral student must meet the eligibility requirement for the program

for which they are requesting funding as defined in Section III.A, Eligible Applicants;

b. University sponsorship. The university shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the university and from the university to the approved doctoral student, and that further provides all required certifications and assurances. The university shall agree to provide as the Principal Investigator under the Grant Agreement a faculty advisor or chairperson of the doctoral student's dissertation committee who shall supervise the student's work under the Grant Agreement;

c. The student has provided a letter from the faculty advisor or chairperson of the doctoral student's dissertation committee confirming the applicant is eligible as outlined in Section III A, Eligible Applicants;

d. The student's institution has provided a letter agreeing to provide support and outlines the specific type of support they will provide as part of this grant as defined in Section III A, Eligible Applicants;

e. The student has requested no more funding than the grant maximum allocated for the program from which they are requested funding as outlined in Section II, Award Information;

f. Only *one* application package can be submitted per doctoral student. Students who have received funding in the past are not eligible to receive funding under the same program.

g. Applications must receive a minimum score of 75 points to be considered for funding;

h. The University (the official applicant on behalf of the student) must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement); and

i. Electronic applications must be received by [grants.gov](http://grants.gov) no later than 11:59:59 p.m. eastern time on May 18, 2005. See the General Section for information on application submission and timely receipt requirements.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

Applicants may download the instructions to the application found on the [grants.gov](http://www.Grants.gov) Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your

application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or e-mail your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting e-mail notification of funding opportunities or downloading the application and should be done as soon as you download the application from the [grants.gov](http://grants.gov) Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

##### B. Content and Form of Application Submission

###### 1. Forms.

The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. All required forms are contained in the electronic application package.

a. Application for Federal Assistance (SF-424);

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

f. Applicant/Recipient Disclosure/Update Report (HUD-2880);

g. Program Logic Model (HUD-96010);

h. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Applicants are not required to complete this form;

i. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants

that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so; and

j. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

## 2. Certifications and Assurances.

Please read the General Section for detailed information on all Certifications and Assurance. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the applications in the following order:

a. *SF-424, Application for Federal Assistance*. Please remember the following:

(1) The name of the applicant for these programs is the University. Please make sure that the University's address is listed on this form (not the student's information);

(2) Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact person. This is the University contact who will receive all information pertinent to this grant;

(3) The total grant amount requested;

(4) The University's Employer Identification/Tax ID;

(5) The DUNS Number;

(6) The Catalog of Federal Domestic Assistance Number for the program from which you are requesting funding;

(a) Early Doctoral Student Research Grant Program is 14.517

(b) Doctoral Dissertation Research Grant Program is 14.516.

(7) The signature of the Authorized Organization Representative (AOR) who

has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

### b. *Table of Contents*

c. *Application Checklist*. Doctoral students should use the checklist to ensure that they have all the required components of the application. Students submitting an electronic application do not have to submit the checklist.

Students who receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application. The checklist is found in the NOFA (See Attachment A).

c. *Executive Summary* (700 words or less). The Executive Summary should, at a minimum, include a summary of the proposed research project that addresses the following information:

(1) Specific purpose of the manuscript/dissertation;

(2) Methodology being used; and

(3) How the student meets the eligibility criteria for the program from which she/he is requesting funding.

In addition, include the following information:

(1) Student's address, telephone number, facsimile number, and e-mail address at the university;

(2) The faculty/chairperson advisor's name, title, department, address, telephone number, facsimile number, and e-mail address. This person will serve as the Principal Investigator for this grant; and

(3) The designated university contact person, including phone number, facsimile number, and e-mail address.

### d. *Narrative Statement Addressing the Rating Factors*

HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is the main source of information.

Therefore, it is very important that the student becomes fully familiar with the rating factors for the program from which he/she is requesting funding. The narrative should be numbered in accordance with each factor and subfactor. Please do not repeat material in response to the four factors; instead, focus on how well the proposal responds to each of the factors. Make sure to address each factor and subfactor and provide sufficient information about every element. The application narrative, bibliographies, and any supporting references must not exceed 20 pages in length (excluding forms, assurances, budget narrative, Table of Contents, Executive Summary,

agreements, and letters) and must be submitted on 8 1/2 by 11-inch paper, double-spaced on one side of the paper, with one inch margins (from the top, bottom, left, and right side of the document) and printed in standard Times New Roman 12-point font. Each page must be numbered and the name of the student and university on each page. The double-spacing requirement applies to the narrative section of the application (excluding references, bibliographies, agreements, and letters). Please note that although submitting pages in excess of the page limit will not disqualify the application, HUD will not consider the information on any excess page. This exclusion may result in a lower score or failure to meet a threshold requirement.

*Support Letters*—For doctoral students submitting electronic applications, please refer to Section IV.F of the General Section for further instructions on how third party documents are to be submitted to HUD via the electronic submission process.

(1) *Faculty Advisor/Dissertation Advisor Support Letter*. This letter must provide a statement from the doctoral student's faculty advisor or chairperson of the doctoral student's dissertation committee verifying the doctoral student has met all the eligibility criteria described in Section III.A, Eligible Applicant.

(2) *University Support Letter*. This letter must provide a statement from the appropriate official at the university that describes in detail the type of support the University will be providing, as described in Section III.A, Eligible Applicant. Please remember that this support may not replace support or assistance that the institution would otherwise provide the student.

g. *Budget*. The budget submission must include the following:

(1) *HUD-424-CB, "Grant Application Detailed Budget"*. This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately.

Make sure that the amount shown on the SF-424, the HUD-424-CB and on all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on the Form HUD-424-CB so that that all items are included in the total. The budget form must be fully completed. If there is any inconsistency between any required forms, the HUD-424-CB will be used. If this correction puts an application over the grant maximum, the doctoral student will not be able to correct the

amount requested and the application will be disqualified. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the doctoral student arrived at the cost estimates. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed.

h. *Appendix.* Doctoral students receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters and other required forms in this section. For doctoral students submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using electronic submission process. An applicant SHOULD NOT submit general support letters, resumes, or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

#### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. eastern time on or before May 18, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. Intergovernmental Review

These programs are excluded from an Intergovernmental Review.

#### E. Funding Restrictions

1. Funding may only be provided to doctoral students who meet the standards for eligible applicants outlined in Section III. A.

2. Grant funds awarded for programs under this NOFA may not be used to pay for tuition, computer hardware, or meals.

#### 3. Early Doctoral Student Research Grant (EDSRG) Program

Three thousand dollars of the grant funds will be held until the doctoral student's research manuscript has been completed and accepted for presentation at a conference or publication in a refereed journal by the end of the grant period, or a committee of three faculty members (including the faculty sponsor, as the principal investigator of the grant) has determined and certified to HUD that the manuscript is of high quality and worthy of submission to conferences or journals, and two copies of the research product are submitted to HUD in their final version.

#### 4. Doctoral Dissertation Research Grant (DDRG) Program

Six thousand dollars of the grant funds will be held until the doctoral student's dissertation has been completed, approved by the committee, and two final copies are submitted to HUD.

5. Institutions that have had previously awarded grants under these programs terminated for non-performance and have outstanding funds owed to HUD resulting from the termination will be excluded from competition until the outstanding funds are repaid. (Applicants must comply with the Delinquent Federal Debt Requirement as defined in the General Section.)

#### F. Other Submission Requirements

1. Application Submission and Receipt Procedure. Please read the General Section of the SuperNOFA carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify a doctoral student's application.

2. Waiver of Electronic Submission Requirements. Please refer to Section IV.F4 of the General Section for further discussion.

### V. Application Review Information

#### A. Criteria

##### 1. Rating Factor 1

*Capacity to do the Research (20 Points).* In reviewing this factor, HUD will determine the extent to which:

a. The student's skills and experience are relevant to the proposed research manuscript/dissertation (e.g., course work, teaching, research projects, and presentations);

b. The student provides a research outline that identifies the preliminary steps that have been undertaken (e.g., literature review, research hypotheses,

questions to be answered) to produce the proposed manuscript/dissertation; and

c. *For Early Doctoral Program Applicants only;* The proposed research will help to further the student's research skills (i.e., it is relevant to the kind of projects the student will continue to work on as she/he earns his/her Ph.D.).

d. *For Doctoral Dissertation Research Applicants only;* The doctoral student's previous research experience (e.g., graduate-level research projects, presentations at conferences, publications, etc.) is relevant to and supportive of the proposed dissertation.

##### 2. Rating Factor 2

*Need for the Research (35 Points).* In reviewing this factor, HUD will determine the extent to which the proposed research manuscript/dissertation will produce policy-relevant information that is directly related to HUD's research priorities and/or annual goals and objectives (i.e., the research that will be produced could have an effect on HUD's strategic goals and programs and policies to achieve these goals). The more direct the relationship is between the doctoral student's manuscript/dissertation and one of these topics, the higher number of points awarded. For example a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance. For a full list and explanation of the research priorities and/or annual goals, please refer to the General Section.

##### 3. Rating Factor 3

*Soundness of Approach (35 Points).* This factor addresses the quality and effectiveness of the proposed research design and methodology and the actions regarding HUD's policy priorities. This factor will be evaluated based on the extent to which the proposed work plan will demonstrate the following:

a. *Quality of Research (33 Points).* (1)

The research design and methodology proposed is likely to produce data and information that will successfully answer the research hypothesis; and

(2) The methodology proposed is sound and generally accepted by the relevant research community and is in line with research already completed or existing publications in the field as they relate to the scholarly standard for the research questions.

b. *HUD Policy Priorities (2 Points).* An important purpose of these programs is

to fund research that may impact federal problem solving and policymaking and is relevant to HUD's policy priorities and annual goals and objectives. (See General Section for further discussion). HUD encourages doctoral students to undertake research that will assist the Department in implementing its policy priorities and which help the Department achieve its goals and objectives in FY 2006. In addressing this factor, HUD will evaluate the extent to which the research will further and support HUD's priorities. The quality of a student's response to one or more of HUD's priorities will determine the score a doctoral student can receive. Students must describe how each policy priority they selected will be addressed. Students who just list a priority will receive no points.

Each policy priority addressed has a value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to students who address policy priorities is two. It is up to the student to determine which of the policy priorities they elect to address to receive the available 2 points. To receive points for efforts to remove regulatory barriers to affordable housing, a student must submit a completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. This form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

#### 4. Rating Factor 4 Issuance of the Research Product (10 Points)

In reviewing this factor, HUD will determine the following:

- a. *For Early Doctoral Program Applicants only.* The extent to which the proposed research manuscript will be completed within the grant performance period and be suitable for presentation at a conference or publication in a refereed journal.
- b. *For Doctoral Dissertation Program Applicants only.* The extent to which the proposed research can feasibly be prepared and delivered to HUD by the end of the grant performance period.
- c. Students must demonstrate the feasibility of completing their research within the grant performance period by providing the following information:
  - (1) Major tasks involved in completing the proposed research;

(2) Indicate the sequence in which these tasks will be performed; and

(3) Identify any key individuals responsible for carrying out any proposed activities. The sequence and duration of this effort should be presented in quarterly (3 month) intervals for the entire life of the grant (use of a milestone chart to present this information is recommended).

(4) Efforts on the part of the doctoral student who proposes extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of site visits within the grant period) will be determined less feasible for completion within the allotted grant performance period. For example, if the proposed methodology is based on information that may not be publicly available until after the end of the grant period (e.g., Census information), or a data collection plan that will take longer than the allotted grant performance period is proposed, zero points will be awarded for this factor.

(5) HUD will also evaluate the student's plan to disseminate the research through other means (e.g., seminars, university publications, or relevant electronic means).

#### B. Review and Selection Process

##### 1. Application Selection Process

Two types of reviews will be conducted:

- a. A threshold review to determine an applicant's basic eligibility; and
- b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Rating Factors" listed in Section V.A above.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

##### 2. Rating Panels

To review and rate applications, HUD may establish panels which may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

##### 3. Ranking

In order to be funded, an application must receive a minimum score of 75 points out of a possible 100 for Factors 1 through 5. The RC/EZ/EC-II communities, two bonus points described in the General Section, do not apply to this NOFA. HUD will fund applications under each program in rank order, until all available program funds are awarded. If two or more

applications have the same number of points, the application with the higher points for Factor 1, Capacity to do the Research, shall be selected. If there is still a tie, the application with the higher points for Factor 2, Need for the Research, shall be selected. HUD reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make the same determination for the next highest-ranking application.

#### 4. Correction to Deficient Applications

The General Section provides the procedures for correction to deficient applications.

#### C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before September 30, 2005.

### VI. Award Administration Information

#### A. Award Notices

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section.

#### B. Administrative and National Policy Requirements

For additional information regarding these requirements, please refer to the General Section.

1. *Debriefing.* The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to Armand Carriere; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington, DC 20410. Applicants may also write to Mr. Carriere via e-mail at [Armand\\_W\\_Carriere@hud.gov](mailto:Armand_W_Carriere@hud.gov).

2. *Environmental Requirements.* The provision of assistance under these programs is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under 24 CFR 50.19(b)(1) and (b)(9).

3. *Administrative.* Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of



Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at: [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).

### C. Reporting Requirements

All recipients of grant funds for programs in this NOFA are required to submit a report, halfway through the grant period, on the progress to date that has been made toward completion of the research product and the likelihood that it will be completed on time.

HUD requires that funded recipients collect racial and ethnic beneficiary data. HUD has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, applicants should use form HUD-27061, Racial and Ethnic Data Reporting Form

or a comparable form, or a comparable electronic data system for this purpose.

### VII. Agency Contacts

Doctoral students may contact Armand Carriere, Office of University Partnerships at (202) 708-3061, extension 3181 or Susan Brunson at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service TTY at 800-877-8339. Except for the "800" number, these telephone numbers are not toll-free. Students may also reach Mr. Carriere via the Internet at [Armand\\_W.\\_Carriere@hud.gov](mailto:Armand_W._Carriere@hud.gov) and/or Ms. Brunson at [Susan\\_S.\\_Brunson@hud.gov](mailto:Susan_S._Brunson@hud.gov).

### VIII. Other Information

#### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction

Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0216 (for the Early Doctoral Student Research Grant Program) and 2528-0213 (for the Doctoral Dissertation Research Grant Program). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 44 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, semi-annual reports, and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

**BILLING CODE 4210-32-P**

**Attachment A--Application Checklist  
EDSRG and DDRGP**

This checklist identifies application submission requirements. Doctoral students are requested to use this checklist when preparing an application to ensure submission of all required elements. Students submitting an electronic application do not have to submit the checklist. Students that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF-424 "Application for Federal Assistance"

\_\_\_\_\_ Table of Contents

\_\_\_\_\_ Application Checklist (if applicable)

\_\_\_\_\_ Executive Summary (700 words or less)

**Indicate the page number where each of the Rating Factors are located:**

Narrative Statement Addressing the Rating Factors.

The application narrative must not exceed 20 pages in length (excluding required forms, assurances, table of contents, executive summary, budget narrative, commitment letters, memorandum of understanding, and agreements) double-spaced on one side of the paper, with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font).

\_\_\_\_\_ Factor I

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB, Grant Application Detailed Budget

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total three-year grant period) \_\_\_\_\_ Support Letters

\_\_\_\_\_ Faculty Advisor/Dissertation Advisor

\_\_\_\_\_ University

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**Attachment B (All Required Forms)**

The following forms are required for submission. Copies of these forms are included in Appendix A of the **General Section**. All required forms are contained in the electronic application package.

- \_\_\_\_\_ Application for Federal Assistance (SF-424).
- \_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);
- \_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL);
- \_\_\_\_\_ America's Affordable Communities Initiative (HUD-27300), if applicable;
- \_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);
- \_\_\_\_\_ Program Logic Model (HUD-96010); and
- \_\_\_\_\_ Client Comments and Suggestions (HUD-2994), if applicable.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**STUDENT RESEARCH AND STUDY  
PROGRAMS**

**COMMUNITY DEVELOPMENT WORK  
STUDY PROGRAM**

Billing Code 4210-32-C

## Community Development Work Study Program

### Overview Information

*A. Federal Agency Name:* Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships

*B. Funding Opportunity Title:* Community Development Work Study Program (CDWSP).

*C. Announcement Type:* Initial announcement.

*D. Funding Opportunity Number:* The Federal Register Number for this Notice of Funding Availability (NOFA) is FR-4950-N-08. The OMB approval number for this program is 2528-0185.

*E. Catalog of Federal Domestic Assistance (CFDA) Number:* The CFDA Number for this program is 14.512.

*F. Dates:* The application submission date is May 18, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

### *G. Additional Overview Content Information:*

1. *Purpose of the Program:* The Community Development Work Study Program (CDWSP) funds two-year grants to accredited institutions of higher education, Area Planning Organizations (APOs), and states applying on behalf of institutions to provide assistance to economically disadvantaged and minority graduate students who participate in a community development work study program. Students must be U.S. citizens or lawful permanent residents (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) and enrolled full-time in a graduate community building academic degree program. Grants will cover the academic period August 2005 through August 2007.

2. *Award Information:* In Fiscal Year (FY) 2005, approximately \$2.8 million has been made available for this program, plus \$391,144 in previously unobligated FY 2004 funds. The grant performance period is two years (24 months). The performance period will commence on the effective date of the grant agreement. Institutions may request no more than \$15,000 per year per student for a total of \$30,000 for a two-year (24 months) grant performance period. The minimum number of students that can be assisted under this program per participating institution is three. The maximum number of students that can be assisted under this program per participating institution is five. The maximum amount an

institution can request for funding is \$150,000.

3. *Eligible Applicants:* Organizations are eligible if they are:

a. An accredited institution of higher education recognized by the U.S. Department of Education that offers a graduate degree in a community development academic program;

b. An Area Planning Organization (APO) (Additional information and locations of APOs can be accessed at the following Web site, <http://www.narc.org>.) applying on behalf of two or more eligible accredited institutions recognized by the U.S. Department of Education that offer a graduate degree in a community development academic program. These institutions must also be located in the same Standard Metropolitan Statistical Area (SMSA) or non-SMSA as the APO (in accordance with the regulations at 24 CFR 570.415, institutions of higher education are permitted to choose whether to apply independently or through an APO); or

c. A state applying on behalf of two or more eligible accredited institutions recognized by the U.S. Department of Education that offer a graduate degree in a community development academic program and that are located in the state.

### Full Text of Announcement

#### I. Funding Opportunity Description

The Community Development Work Study Program (CDWSP) funds two-year grants to accredited institutions of higher education, Area Planning Organizations (APOs), and states applying on behalf of institutions to provide assistance to economically disadvantaged and minority graduate students who participate in a community development work study program.

#### A. Authority

HUD's authority for making funding available under this NOFA is Section 107(c) of the Housing and Community Development Act of 1974 (42 U.S.C. 5301 *et seq.*). Regulations for the program appear at 24 CFR 570.415.

#### B. Modifications

Listed below are major modifications to the Fiscal Year (FY) 2004 program-funding announcement:

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further information regarding submitting your application electronically.

2. The procedure for institutions to apply for funding under this NOFA has changed. See Section III.A. of this NOFA for details.

3. If an applicant is an APO or State the application narrative must not exceed 85 pages in length including any supplemental photocopies or excerpts from official publications of the educational institution or department (excluding forms and assurances, Executive Summary, agreements and letters).

#### C. Program Definitions

1. *Area Planning Organizations (APO)*—An organization authorized by law or by interlocal agreement to undertake planning and other activities for a metropolitan or non-metropolitan area. For an organization operating in a non-metropolitan area to be considered an APO, its jurisdiction must cover at least one county. Additional information and locations of APOs can be accessed at the following Web site <http://www.narc.org>.

2. *Economically disadvantaged and minority students*—Students who satisfy all applicable guidelines established at the participating institution to measure financial need for academic scholarship or loan assistance, including, but not limited to, students who are Black, American Indian/Alaskan Native, Hispanic, or Asian/Pacific Island, and including students with disabilities.

3. *Student*—An individual enrolled in an eligible full-time academic program. He/she must be a first-year student in a two-year graduate program. Students enrolled in Ph.D. programs are ineligible.

#### II. Award Information

In Fiscal Year (FY) 2005, approximately \$2.8 million, plus \$391,144 in previously unobligated FY 2004 funds is made available under this NOFA. Institutions may request no more than \$15,000 per year per student for a total of \$30,000 for a two-year (24 months) grant performance period. The performance period will commence on the effective date of the grant agreement. The minimum number of students that can be assisted per participating institution is three. The maximum number of students that can be assisted under this program is five per participating institution. The maximum amount of funding an institution can request is \$150,000.

#### III. Eligibility Information

##### A. Eligible Applicants

Organizations are eligible if they are:

1. An accredited institution of higher education recognized by the U.S.

Department of Education that offers a graduate degree in a community development academic program;

2. An APO (Additional information and locations of APOs can be accessed at the following Web site, <http://www.narc.org>.) applying on behalf of two or more eligible accredited institutions recognized by the Department of Education that offer a graduate degree in a community development academic program. These institutions must also be located in the same Standard Metropolitan Statistical Area (SMSA) or non-SMSA as the APO (in accordance with the regulations at 24 CFR 570.415, institutions are permitted to choose whether to apply independently or through an APO); or

3. A state applying on behalf of two or more eligible accredited institutions recognized by the Department of Education that offer a graduate degree in a community development academic program that are located in the state.

4. Accredited institutions located in a state may apply independently even if the state is applying. However, if the institution is also included in the application of the State or APO then the separate individual application from that institution will be disregarded. Additionally, if an institution is included in the application of both an APO and a State, then the reference to the institution in the application of the State will be stricken. The State's application will then be ineligible if fewer than two institutions remain as participants in the State's application.

#### B. Cost Sharing or Matching

None Required.

#### C. Other

##### Audit Requirements

Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR Part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

##### 2. Threshold Requirements Applicable to All Applicants

All applicants must comply with the threshold requirements as defined in the General Section and the requirements listed below to be evaluated, rated, and

ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified:

a. The applicant must meet the eligible requirement as defined in Section III.A, Eligible Applicants.

b. Applicants must comply with all statutory and regulatory requirements applicable to this program. CDWSP regulations can be found at 24 CFR 570.415. Copies of the regulations are available on request from <http://www.HUDUSER.org>.

c. An eligible community building academic program includes, but is not limited to, accredited graduate degree programs in community and economic development, community planning, community management, community organizing, public administration, public policy, urban economics, urban management, and urban planning.

d. The minimum number of students that may be assisted per participating institution is three. If an APO or state receives assistance for a program that is conducted by two or more institutions, each participating institution must have a minimum of three students per program. The maximum number of students that can be assisted under this program is five per participating institution. The applicant may request no more than \$150,000 for award.

e. Only *one* application can be submitted per institution. If multiple applications are submitted, all will be disqualified. If a single institution application is also included in the application of an APO or state, then the individual application of the institution will be disregarded. Additionally, if an institution is included in the application of both an APO and a state, then the reference to the institution in the application of the state will be stricken. The state's application will then be ineligible if fewer than two institutions remain as participants in the state's application.

f. Applicants must receive a minimum score of 75 points to be considered for funding.

g. An applicant must have a DUNS Number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement.)

h. Electronic applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on May 18, 2005. See the General Section for information on application submission and timely receipt requirements.

##### 3. Program Requirements

In addition to the standard requirements listed in Section III.C of

the General Section, applicants must meet the following program requirements:

a. All funds awarded under this program must be spent during a two-year (24 months) grant performance period.

b. Applicants must have on file a signed agreement with each student that covers the purpose of the work placement, responsibilities of both parties, including financial support and work components. This agreement should also address the student's responsibilities as described in the program regulations that can be found at 24 CFR 570.415.

c. Applicants must have on file a signed agreement with each work placement agency that covers the purpose of the work placement, and the respective roles of all parties. Among other matters determined to be appropriate, this agreement should address the work placement agency's responsibilities described in the program regulations that can be found at 24 CFR 570.415.

d. Where the recipient is an APO or State, the recipient and each participating institution must execute a written agreement incorporating their mutual responsibilities under the CDWSP program. Applicants must have on file a copy of all executed agreements.

(Note: HUD does not provide a model or sample format for any of these agreements).

#### IV. Application and Submission Information

##### A. Address to Request Application Package

Applicants may download the instructions to the application found on the grants.gov Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or e-mail your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration

process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting e-mail notification of funding opportunities or downloading the application and should be done as soon as you download the application from the grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

#### *B. Content and Form of Application Submission*

##### 1. Forms

The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. All required forms are contained in the electronic application package.

- a. Application for Federal Assistance (SF-424);
- b. Survey of Ensuring Equal Opportunity for Applicants (SF-424 Supplement);
- c. Disclosure of Lobbying Activities (SF-LLL);
- d. America's Affordable Communities Initiative (HUD-27300), if applicable;
- e. Applicant/Recipient Disclosure/Update Report (HUD-2880);
- f. Program Logic Model (HUD-96010);
- g. Community Development Work Study Program Student Data Sheets Budget (HUD-30007);
- h. Community Development Work Study Program Student Budget Sheet (HUD-30015);
- i. Budget Cover Sheet for State/Area-Wide Planning Organizations Budget Summary Sheet (HUD-30014) if applicable only for states and APOs; and
- j. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help HUD to assess whether the changes made to this document have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Applicants are not required to complete this form;
- k. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit electronic application need to include this form with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so; and

l. *Facsimile Transmittal Cover Page (HUD 96011)*. This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF-424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

2. *Certifications and Assurances*. Please read the General Section for detailed information on all the Certifications and Assurances. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the application in the following order:

- a. *SF-424, Application for Federal Assistance*. Please remember the following:
  - (1) The full grant amount for the entire two years should be entered, not the amount for just one year;
  - (2) Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact. This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information;
  - (3) The Employer Identification/Tax ID;
  - (4) The DUNS Number;
  - (5) The Catalog of Federal Domestic Assistance Number for this program is 14.512;
  - (6) The project's proposed start date and completion date. For the purpose of this application, the program start date should be September 1, 2005; and
  - (7) The signature of the Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist*. Applicants should use the checklist to ensure that they have all the required components of their application. Applicants

receiving a waiver of the electronic submission must include the completed checklist in their application.

Applicants submitting an electronic application do not have to submit the checklist in their application. The checklist can be found in the NOFA (See Attachment A).

c. *Executive Summary*. Applicants must include an Executive summary that is no more than three pages in length. The Executive Summary must, at a minimum, describe:

- (1) The academic degree programs for which the students will be selected;
- (2) The type of work placement agencies (including specific examples) that have committed to participate in the program (students cannot be placed at a federal government agency);
- (3) The plans and resources/facilities for administering the program and assisting students to pursue post-academic or community building opportunities; and
- (4) The contact person and the address where correspondence and all other information should be sent. If this is not included, all information will be forwarded to the address and the official named on the Form SF-424.

d. *Designation of Applicable Graduate Degree Program(s) Form HUD-30013 (Community Development Work Study Program Designation of Applicable Graduate Academic Degree Program)*. Review carefully the regulations that can be found at 24 CFR 570.415 dealing with eligible types of degree programs before completing this form. If the proposed program is other than one listed as an eligible degree program, please contact Madlyn Wohlman-Rodriguez for additional guidance. See Section VII below for contact information.

e. *Narrative statement addressing the Rating Factors*. HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is the main source of information. Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are subfactors, each subfactor must be presented separately, with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of each subfactor. The application narrative

must not exceed 50 pages in length including any supplemental photocopies or excerpts from official publications of the educational institution or department (excluding forms and assurances, Executive Summary, agreements and letters) unless the applicant is an APO or State. If an applicant is an APO or State the application narrative must not exceed 85 pages including any supplemental photocopies or excerpts from official publications of the educational institution or department (excluding forms and assurances, Executive Summary, agreements and letters). Each page of the narrative must be numbered and include the applicant's name. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

f. *Budget.* Use the budget form HUD-30015 (Community Development Work Study Program Student Budget Sheet) for the August 2005 through August 2007 funding period. An APO or State must also complete the HUD-30014 (Community Development Work Study Program State/Area Planning Organization Budget Summary). Please provide any necessary back-up documentation (e.g., pages from course catalogues listing the fees) to demonstrate concisely that the amounts requested are reasonable and customary. Applicants are not required to submit documentation for the administrative allowance amount. Any anticipated increases to these project costs should be included and an explanation for the basis of the increases provided. If documentation is not included, the award amount will be based on current tuition rates, regardless of any subsequent tuition increase. HUD will not increase the amount of the grant once awarded to reflect any tuition or fee increases that have not been set forth in the application. Also, HUD will not cover any costs exceeding the per-student maximum.

g. *Appendix.* Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of support, agreements, and other required forms in this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant should not submit general support letters, resumes, or other back-up

materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

#### C. *Submission Dates and Times*

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. eastern time on or before May 18, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. *Intergovernmental Review*

This program is excluded from an Intergovernmental Review.

#### E. *Funding Restrictions*

Funding may only be provided to applicants that meet the standards for eligible applicants defined in Section III.

#### F. *Other Submission Requirements*

1. *Application Submission and Receipt Procedure.* Please read the General Section carefully and completely for the electronic submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirements.* Please refer to Section IV.F. of the General Section for further discussion.

### V. *Application Review Information*

#### A. *Criteria*

1. *Rating Factor 1: Capacity of the Academic Program and Relevant Past Experience (25 Points)*

This factor addresses the extent to which an applicant's academic program has the capacity to prepare students for careers in community building. In evaluating this factor, HUD will consider:

a. *Capacity of the Academic Program.* For First Time Applicants (20 Points). For Previously Funded Applicants (15 Points). Applicants must describe the quality of the academic program the institution offers (or in the case of an application from an APO or state, those offered by the institutions included in

the application) including, without limitation, the following:

(1) The course offerings in terms of their depth and emphasis on applied coursework; and

(2) Qualifications of the faculty, such as the number of relevant Ph.D.s, specific accomplishments and the percentage of their time devoted to teaching and research in community building.

As a supplement to the narrative response, applicants can include photocopies of excerpts from official publications of the educational institution or department. Please make sure to place these documents after the narrative and include them in the page count. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process.

b. *Rates of Graduation.* For First Time Applicants (5 Points). For Previously Funded Applicants (10 Points). HUD will evaluate the graduation rates of students previously enrolled in a community building academic degree program, specifically (where applicable), graduation rates from any previously funded CDWSP academic programs or similar programs. This factor measures the rate of graduation for all applicable years and awards points based on the extent to which the applicant exceeds a 50 percent graduation rate each applicable year. Previously funded CDWSP programs should include copies of the final Community Development Work Study Program Student Data Sheet, HUD-30007, for each previously enrolled student who received assistance from the program in the last six years. These documents must be submitted electronically.

2. *Rating Factor 2: Need for the Program (10 Points).* This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need. In responding to this factor, HUD will evaluate the applicant's commitment to meeting the needs of economically disadvantaged and minority students as demonstrated by the institution's policies and plans, past efforts and successes recruiting, enrolling, and financially assisting economically disadvantaged and minority students, including the provision of reasonable accommodations for students with disabilities. If the applicant is an APO or state, HUD will consider the demonstrated commitment of each accredited institution of higher



education on whose behalf the APO or state is applying.

### 3. Rating Factor 3: Soundness of Approach (45 Points)

This factor addresses the quality and effectiveness of the proposed student work placement assignments.

a. *Quality of the Work Placement Assignments (13 Points)*. HUD will evaluate the extent to which participating students will receive a variety of work placement assignments. (**Note:** Students cannot be placed with a federal government agency.) The assignments should provide practical and useful experience to students participating in the program and further the participating students' preparation for professional careers in community building. In rating this subfactor, HUD will consider the variety of work placement agencies, and the variety of projects/experiences at each agency and overall. Applicants must also include a description of the plan for rotating students among work placement agencies. In addition, for each placement applicants must outline the educational objectives of the placement, the nature of the supervision, the standard of evaluation, and the student's commitment under the work placement agreement.

**Note:** Students engaging in community building projects through an institution of higher education (rather than being directly supervised by local work placement sites) may do so only through a HUD-funded Community Outreach Partnership Center (COPC), which will be considered a work placement agency even if the community building projects are undertaken with or through a separate organization or entity. Accordingly, students engaging in community building through an institution of higher education's outreach center should do so during only part of their academic program and should rotate to other work placement agency responsibilities as well. In order to receive higher points on this subfactor, applicants must propose at least three different work placement experiences for each student (typically, one each school year and one during the summer between the two school years) and include executed agreements with their proposed work study sites, rather than just listing the sites.

b. *Effectiveness of Program Administration (15 Points)*. HUD will evaluate the degree to which the applicant will be able to effectively coordinate and administer the program. HUD will allocate the maximum points available under this criterion equally among the following three considerations, except that the maximum points available under this criterion will be allocated equally only between (1) and (2), if the applicant has

not previously administered a CDWSP-funded program. If an applicant received a CDWSP grant in FY 2001 or before and has not received one since, the applicant is considered a new applicant for the purposes of this factor. Applicants must include a Management Work Plan (it should be included under this subfactor) that addresses the following details at a minimum:

(1) The strength and clarity of the plan for placing CDWSP students on rotating work placement assignments and for monitoring CDWSP students' progress both academically and in their work placement assignments. In addition, include plans, procedures, schedules, and preferably a milestone chart that indicates the sequence in which these tasks will be performed, noting areas of work that will be performed simultaneously and continually during the life of the grant, along with the name of the responsible individual. Also, include plans for recruiting and selecting students, monitoring and guidance of students academic progress, coordinating and monitoring student work placement agencies, and other matters deemed significant;

(2) The key personnel responsible for administering, managing, and evaluating the project; the experience, responsibilities, available time, and authority of the individual who will coordinate and administer the program; and

(3) The effectiveness of prior coordination and administration of a CDWSP-funded program, where applicable. In addressing this factor, applicants should describe the timeliness of report submissions. Applicants should review their prior CDWSP grant agreements and reports and compare when reports were due with when the reports actually were submitted. Applicants should also describe their timeliness in expending grant funds. Applicants are encouraged to provide a chart that outlines report submissions for each grant by the submission date and the pattern of drawing down of funds. HUD will also review an applicant's past performance in managing funds, including, but not limited to: the ability to account for funding appropriately; timely use of funds received from HUD; and meeting performance targets for completion of the grant. In evaluating past performance, HUD reserves the right to deduct up to five points from this rating score as a result of the information obtained from HUD's records (*i.e.*, progress reports, including Logic Model submissions, amendments and financial

reports), including the timely submission of required progress reports.

c. *Likelihood of Fostering Students' Permanent Employment in Community Building (15 Points)*. HUD will evaluate the extent to which the proposed program will lead participating students directly and immediately to permanent employment in community building. Include a statement that describes, at a minimum, the following:

(1) Past success (in the last four years) in placing graduates (particularly CDWSP-funded and similar program graduates, where applicable) in permanent employment in community building; and

(2) How the institution will assist students (particularly students in CDWSP-funded and similar programs, where applicable) in finding permanent employment in community building. Include the amount/type of faculty/staff time and institutional resources that will be devoted to assisting students.

d. *HUD Policy Priorities (2 Points)*.

HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which will help the Department achieve its goals and objectives in FY 2006, when the majority of grant recipients will be reporting programmatic results and achievements. In addressing this subfactor, HUD will evaluate the extent to which an applicant will provide students with work place assignments that undertake specific activities that will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities to determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed.

*Applicants that just list a priority will receive no points.* Each policy priority addressed has a point value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 2. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 2 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the

electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

4. *Rating Factor 4: Leveraging Resources (10 points)*. HUD will evaluate the applicant's commitment and ability to assure that CDWSP students will receive sufficient financial assistance above and beyond the CDWSP funding to complete their academic program in a timely manner and without working in excess of 20 hours a week during the school year. When addressing this issue, delineate the full costs budgeted annually per student (including living expenses, fees, etc), explain the basis for the budget and how the financial assistance package offered to each CDWSP student will meet that budget. Applicants must explain how variations in the budget needs and emergency financial needs will be addressed among students. Loans are less preferred than grants because of the burden placed on the student to repay them. Therefore, higher points will be given to applicants that provide assistance in the form of grants rather than loans.

5. *Rating Factor 5: Achieving Results and Program Evaluation (10 Points)*. This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their performance to achieve the project's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome-oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved. The Logic Model is a summary of the narrative statements presented in Factors 1–4. Therefore, the information submitted on the Logic Model form should be consistent with the information contained in the narrative statements.

"Outcomes" are benefits accruing to students in the program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include the number of students that complete the program and/or the number of students that obtained full-time employment.

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the program's activities. An example of output is the number of placements a student has during the course of the grant. Outputs should produce outcomes for the program.

All performance indicators should be objectively quantifiable and measure actual achievements against anticipated

achievements. Applicants must also describe the steps that will be taken to make adjustments to the work plan if performance targets are not met within the established time frame associated with each activity. At a minimum, the evaluation plan should address the following activities:

- a. Student recruitment;
- b. Student completion of degree program; and
- c. Long-term placement after graduation (1 year after graduation).

This information must be placed under this section on a HUD–96010, Program Outcome Logic Model form. Applicants may submit as many copies of this form as required. It will not be included in the page count requirement. A narrative is not required for this factor. However, if a narrative is provided, those pages will be included in the page count. Additional information on how to use this form can be found in the General Section.

#### *B. Review and Selection Process*

##### 1. Application Selection Process

Two types of reviews will be conducted.

- a. A threshold review to determine an applicant's basic eligibility; and
- b. A technical review based on the "Rating Factors" listed above.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

##### 2. Rating Panels

To review and rate applications, HUD may establish panels which may include persons not currently employed by HUD. These individuals may be included to obtain certain expertise.

##### 3. Ranking

HUD will fund applications in rank order, until all available program funds are awarded. In order to be funded, an application must receive a minimum score of 75 points. The maximum number of points available for this program is 100. The RC/EZ/EC–II communities, two bonus points described in the General Section, do not apply to this program. HUD may make awards out of rank order to achieve geographic diversity, and may provide assistance to support a number of students that is less than the number requested under an application or a lower funding level per student, in order to provide assistance to as many highly ranked applications as possible. If there is a tie in the point scores of two applications, the rank order will be determined by the scores on Rating

Factor 3 entitled "Soundness of Approach." The application with the higher points on this factor will be given the higher rank. If there is still a tie, the rank order will be determined by the applicant's scores on Rating Factor 1 entitled "Capacity of the Applicant's Academic Program and Relevant Past Experience." The application with the most points for this selection factor will be given the higher rank. If there is still a tie, the application with the most points for Factors 2, 4, and then 5 shall be selected in that order until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees.

HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funding remains after all selections have been made, the remaining funds will be carried over to the next funding cycle.

##### 4. Correction to Deficient Applications

The General Section provides the procedures for correction to deficient applications.

#### *C. Anticipated Announcement and Award Dates*

Announcements of awards are anticipated on or before September 30, 2005.

### **VI. Award Administration Information**

#### *A. Award Notice*

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section.

#### *B. Administrative and National Policy Requirements*

For information regarding these requirements, please refer to Section VI.B in the General Section.

##### 1. Debriefing

The General Section provides the procedures for requesting a debriefing. All requests for a debriefing must be made in writing and submitted to Madlyn Wohlman-Rodriguez, Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington, DC 20410–6000. Applicants may also write to Ms. Wohlman-Rodriguez at [Madlyn\\_S.\\_Wohlman@hud.gov](mailto:Madlyn_S._Wohlman@hud.gov).

##### 2. Administrative

Grants awarded under this NOFA will be governed by the provisions of 24 CFR

part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

### 3. OMB Circulars and Government-Wide Regulations Applicable to Financial Assistance Programs

The General Section provides further discussion on this matter.

### 4. Environmental Requirements

In accordance with 24 CFR 50.19 (b)(3) and (b)(9) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

### 5. Code of Conduct

See the General Section for further discussion.

### C. Reporting

All grant recipients under this NOFA are required to submit semi-annual

progress reports. The progress reports shall consist of two components, a narrative (including forms) that must reflect the activities undertaken during the reporting period and a financial report that reflects costs incurred during the reporting period, as well as a cumulative summary.

For each reporting period, as part of the required report to HUD, a grant recipient must include a completed Logic Model (HUD-96010), which identifies output and outcome achievements.

HUD requires that funded recipients collect racial and ethnic beneficiary data. HUD has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, applicants should use form HUD-27061, Racial and Ethnic Data Reporting Form or a comparable form, or a comparable electronic data system for this purpose.

### VII. Agency Contacts

Applicants may contact Madlyn Wohlman-Rodriguez at (202) 708-3061, extension 5939 or Susan Brunson, at (202) 708-3061, extension 3852. Person with speech or hearing impairments may call the Federal Information Relay Service TTY at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Ms. Rodriguez via e-mail at

*Madlyn\_S.\_Wohlman-Rodriguez@hud.gov*, and/or Ms. Brunson at *Susan\_S.\_Brunson@hud.gov*.

### VIII. Other Information

#### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0185. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 60 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, semi-annual reports, and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

**BILLING CODE 4210-32-P**

## Attachment A---Application Checklist

**CDWSP**  
Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF- 424 "Application For Federal Assistance"

\_\_\_\_\_ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

\_\_\_\_\_ Executive Summary (no more than three (3) pages in length)

\_\_\_\_\_ HUD-30013, Community Development Work Study Program Designation of Applicable Degree Program

**Indicate the page number where each of the Factors is located:**

Narrative Statement Addressing the Rating Factors.

The narrative including any supplemental photocopies or excerpts from official publications of the educational institution or department (excluding forms and assurances, Executive Summary, agreements and letters) must not exceed 50 pages in length unless the applicant is an APO or State. If an applicant is an APO or State the application narrative must not exceed 85 pages including any supplemental photocopies or excerpts from official publications of the educational institution or department (excluding forms and assurances, Executive Summary, agreements and letters), double-spaced on one side of the paper, with one inch margins (from the top, bottom, left and right) and printed in standard Times New Roman 12-point font.

\_\_\_ Factor I

\_\_\_ Factor II

\_\_\_ Factor III

\_\_\_ Management Workplan (Include in narrative)

\_\_\_ Factor IV

\_\_\_ Factor V

\_\_\_\_\_ HUD-96010 "Logic Model"

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD-30007 "Community Development Work Study Program Student Data Sheets"

\_\_\_\_\_ HUD-30015, "Community Development Work Study Program Student Budget Sheet"

\_\_\_\_\_ HUD-30014, "Budget Cover Sheet for State/Area-Wide Planning Organizations Budget Summary Sheet (applicable only for States and APOs)"

\_\_\_\_\_ Recipient/Student Binding Agreement (No form provided)

\_\_\_\_\_ Recipient/Work Placement Agreement (No form provided)

\_\_\_\_\_ Letters of commitment, memoranda of understanding, or agreements) \_\_\_\_\_

**Attachment B (All Required Forms)**

The following forms are required for submission. All required forms are contained in the electronic application package.

\_\_\_\_\_ HUD-30013, Community Development Work Study Program Designation of Applicable Degree Program

\_\_\_\_\_ HUD-30015, "Community Development Work Study Program Student Budget Sheet"

\_\_\_\_\_ HUD-30014, "Budget Cover Sheet for State/Area-Wide Planning Organizations Budget Summary Sheet (applicable only for States and APOs)"

\_\_\_\_\_ HUD-27300 "America's Affordable Communities Initiative Removal of Regulatory Barriers" (if applicable)

\_\_\_\_\_ HUD Form 2880, Applicant/Recipient Disclosure Update Report

\_\_\_\_\_ HUD Form 2993, Acknowledgement of Application Receipt (not required for electronically submitted application)

\_\_\_\_\_ HUD Form 2994, Client Comments and Suggests (not required)

**Community Development Work  
Study Program  
Student Data Sheet**

**U.S. Department of Housing  
and Urban Development**  
Office of University Partnerships

OMB Approval No. 2528-0175  
(exp. 10/31/2003)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts for the Community Development Work Study Program, (CDWSP). Total reporting burden for collection of this information is estimated to average 1 hour. This includes time for reviewing instructions, searching existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information submitted in response to the notice of funding availability for CDWSP is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub. L. 101-235, approved December 15, 1989, U.S.C. 3545). The agency may not conduct or sponsor, and a person is not required to, a collection of information unless the collection displays a valid control number.

Institution: \_\_\_\_\_ Grant #: CDWS \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

Date of Report : \_\_\_\_\_ Interim: \_\_\_\_\_ Final: \_\_\_\_\_

Student: \_\_\_\_\_ Gender: \_\_\_\_\_

Ethnicity: (Select one) Hispanic or Latino  Not Hispanic or Latino

Race: (Select one or more)

American Indian or Alaska Native  Asian  Black or African-American   
Native Hawaiian or Other Pacific Islander  White

Date Student Entered Program: \_\_\_\_\_

Degree/Major/Concentration: \_\_\_\_\_

Hours Required for Degree: \_\_\_\_\_ Qtr. Hrs. or \_\_\_\_\_ Semester Hrs.

Hours Completed Through Reporting Period: \_\_\_\_\_ Cumulative GPA: \_\_\_\_\_

Work Placements: Initial  Second  Third   
(Check appropriate placement)

Agency Name: \_\_\_\_\_

Position: \_\_\_\_\_

Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

Date Student Will Graduate/Did Graduate From Program: \_\_\_\_\_

Date Student Withdrew\* From Program Without Completion: \_\_\_\_\_

Grant Funds Expended Through This Reporting Period:

Administrative Allowance	_____
Work Stipend	_____
Tuition and Fees	_____
Additional Supprt	_____

\* An explanation of students's withdrawal must accompany the Student Data Sheet

**Community Development Work  
Study Program  
Designation of Applicable  
Graduate Academic Degree Program**

**U.S. Department of Housing  
and Urban Development**  
Office of University Partnerships

OMB Approval No. 2528-0175  
(exp. 10/31/2003)

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To be eligible for participation in the Community Development Work Study Program (CDWSP), an institution must have a graduate academic degree program in one of the relevant fields as defined in the program's regulations. Closely examine the definitions of "community building" and "community building academic program" in the regulations and, if in doubt, speak with the program staff in the Office of University Partnerships before preparing an application.

Below are the degree programs that the institution has determined as eligible programs to implement this CDWSP grant.

Academic Degree Program(s)

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Attached are photocopies of excerpts from an official publication of the educational institution(s) or department setting forth the degree requirements and listing the courses applicable for the particular academic program(s) to which this grant will apply.

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Signature of Dean (or Equivalent) of Academic Department Granting Degree(s)

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**Community Development Work  
Study Program  
State/Areawide Planning Organization  
Budget Summary Sheet**

**U.S. Department of Housing  
and Urban Development**  
Office of University Partnerships

OMB Approval No. 2528-0175  
(exp.10/31/2003)

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Name of State/Areawide Planning Organization: \_\_\_\_\_

Date Submitted: \_\_\_\_\_

**Total Application Budget**

Administrative Allowance: \_\_\_\_\_

Work Stipend: \_\_\_\_\_

Tuition and Fees: \_\_\_\_\_

Additional Support: \_\_\_\_\_

**TOTAL** \_\_\_\_\_

Total number of students \_\_\_\_\_

Participating Institutions of Higher Education:

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**Community Development Work  
Study Program  
Student Budget Sheet**

**U.S. Department of Housing  
and Urban Development**  
Office of University Partnerships

OMB Approval No. 2528-0175  
(exp. 10/31/2003)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine Eligibility, and establish grant amounts for the Community Development Work Study Program, (CDWSP). Total reporting burden for collection of this information is estimated to average 1 hour. This includes time for reviewing instructions, searching existing data resources, gathering and maintaining the data needed, completing and reviewing the collection of information. The information submitted in response to the notice of funding availability for CDWSP is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, U.S.C. 3545). The agency may not conduct or sponsor, and a person is not required to, a collection of information unless the collection displays a valid control number.

Name of Institution of Higher Education \_\_\_\_\_ Date Submitted: \_\_\_\_\_

CATEGORY	YEAR ONE (Per Student)		YEAR TWO (Per Student)		Number of Students		TOTAL (Both years, All students)
	Resident	Non-Resident	Resident	Non-Resident	Resident	Non-Resident	
<b>Administrative Allowance</b> (Maximum = \$1,000)							
<b>Work Stipend</b> (Maximum = \$9,000)							
<b>Tuition, Fee and Additional Support</b> (Maximum = \$5,000)							
<b>Totals</b>							

Total requested **per resident student** for the two **years combined**: \$ \_\_\_\_\_  
 Total requested **non resident student** for the two **years combined**: \$ \_\_\_\_\_

The requested **WORK STIPEND** is based on the prevailing hourly rate of \$ \_\_\_\_\_ for initial entry positions in the community and economic development field for graduate students multiplied by \_\_\_\_\_ hours per semester/quarter multiplied by semesters/quarters and if applicable, \_\_\_\_\_ hours during the summer for the yearly per student total work stipend.

The request **TUITION AND FEES per resident student** for the two **years combined**: \$ \_\_\_\_\_

The request **TUITION AND FEES resident student** for the two **years combined**: \$ \_\_\_\_\_

To support the request above, a tuition and fee schedule is attached to this document:

Yes  No

**ADDITIONAL SUPPORT** may cover books and other educational supplies (\$ \_\_\_\_\_), travel expenses for the students (\$ \_\_\_\_\_), Professional association dues (\$ \_\_\_\_\_), and other, i.e., computer diskettes \_\_\_\_\_ (\$ \_\_\_\_\_).

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**FAIR HOUSING INITIATIVES  
PROGRAMS**

**Fair Housing – Private Enforcement Initiative  
(PEI)**

**Fair Housing Education and Outreach  
Initiative (EOI)**

**Fair Housing Organizations Initiative (FHOI)**

## Fair Housing Initiatives Program

### Overview Information:

A. *Federal Agency Name:* U.S. Department of Housing and Urban Development, Office of Fair Housing and Equal Opportunity

B. *Funding Opportunity Title:* Fair Housing Initiatives Program (FHIP)

C. *Announcement Type:* Initial Announcement

D. *Funding Opportunity Number:* The OMB Approval Number is: 2539-0033. The **Federal Register** number for this NOFA is: FR-4950-N-18.

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s):* Private Enforcement Initiative (PEI) 14.408; Fair Housing Organizations Initiative (FHOI) 14.408; Education and Outreach Initiative (EOI) 14.408.

F. *Dates:* The application submission date shall be on or before May 23, 2005. Please see the General Section for information on electronic submission and timeliness requirements.

### G. *Optional, Additional Overview Content Information*

1. For FY2005, FHIP electronic applications will be available on [www.Grants.gov/Find](http://www.Grants.gov/Find) and Apply. For further instructions on electronic application submission requirements using Grants.gov, please read the General Section of the SuperNOFA.

2. FHIP funds are used to increase compliance with the Fair Housing Act (the Act) and with substantially equivalent state and local fair housing laws. Approximately \$18,040,000 in FY 2005 funds and any potential recapture is allocated to three (3) initiatives as follows:

a. Private Enforcement Initiative (PEI) \$13,000,000

b. Education and Outreach Initiative (EOI) \$3,940,000

c. Fair Housing Organizations Initiative (FHOI) \$1,100,000

3. HUD expects to award a cost reimbursable cooperative agreement or grant agreement to each applicant selected for award. Upon completion of negotiations, HUD reserves the right to use the funding instrument it determines is most appropriate.

4. Eligible applicants are Qualified Fair Housing Enforcement Organizations (QFHOs) and Fair Housing Enforcement Organizations (FHOs); see 24 CFR 125.103; public or private, for-profit or not-for-profit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices (including entities that will be established as a result of receiving an award under this FHIP

NOFA); agencies of state or local governments; and agencies that participate in the Fair Housing Assistance Program (FHAP).

5. Except for applicants under FHOI and the PEI-Performance Based Funding Component (PBFC), applicants may not submit multiple applications under this NOFA.

6. Applicants awarded funding under the PEI—(PFBC) will not be eligible to submit applications for additional FHIP funding for FY 2006 and FY 2007.

Applicants awarded funding under this component will be eligible to apply for funding in FY 2008.

7. If you are interested in applying for funding under the Fair Housing Initiatives Program (FHIP), please review carefully the General Section of the SuperNOFA (hereafter, the General Section), the FHIP Authorizing Statute (Sec. 561 of the Housing and Community Development Act of 1987, as amended), the FHIP Regulations (24 CFR 125.103-501).

8. For planning purposes, assume a start date no later than September 19, 2005.

## Full Text of Announcement

### I. Funding Opportunity Description

**Authority.** Section 561 of the Housing and Community Development Act of 1987, as amended, (42 U.S.C. 3616) established the FHIP and the implementing regulations are found at 24 CFR part 125.

#### A. *FHIP Initiatives and Components*

The FHIP assists fair housing activities that increase compliance with the Act and with substantially equivalent fair housing laws administered by State and local government agencies under the Fair Housing Assistance Program (FHAP).

1. **Private Enforcement Initiative (PEI).** This Initiative assists private, tax-exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Act and substantially equivalent State and local fair housing laws. Under this Initiative, there are two Components, the General Component and the Performance Based Funding Component (PBFC). The PBFC is being established to award high performing enforcement organizations with continuous funding for a three-year period that will assist agencies in implementing strategic plans and developing long-term systemic investigations.

2. **Education and Outreach Initiative (EOI).**

This Initiative assists projects that inform the public about their rights and obligations under the Act and

substantially equivalent State and local fair housing laws. Applications are solicited for this Initiative under the EOI-Regional/Local/Community-Based Program (R/L/C-B)—in which activities are conducted on a regional/local/community-based level.

Applicants who apply under EOI R/L/C-B may apply under one of four (4) Components, as follows: EOI-General Component; EOI Disability Component; EOI Asian/Pacific Islander Fair Housing Awareness Component; or the Minority Serving Institutions Component.

All applications submitted under EOI are required to describe a complaint referral process that should result in referrals to HUD of fair housing complaints and other information regarding discriminatory housing practices.

3. **Fair Housing Organizations Initiative (FHOI).**

This Initiative provides assistance to a project (sponsoring organization) that will establish or build the capacity of a start up fair housing organization to become a viable fair housing enforcement organization that will conduct fair housing activities in underserved areas (as defined in Section I. B.1. "Program Definitions" below) rural areas and/or areas with new immigrants (especially racial and ethnic minorities who are not English-speaking or have limited English proficiency.) This is accomplished with the assistance of a sponsoring organization. The sponsoring organization must submit the application and must certify that the sponsored organization has the ability to become a QFHO or FHO. The period of performance for the award of funds to assist in capacity building activities is renewable for a period of up to three years, based upon successful performance of the sponsored organization. Funds are distributed to the sponsored organization by the sponsoring organization. All fund distributions are based on the performance of both the sponsoring and the sponsored organization.

#### B. *Other*

1. **Program Definitions.** The definitions that apply to this FHIP section of the NOFA are as follows:

a. **Broad-based proposals** are those that include activities that are not limited to a single fair housing issue but instead, cover multiple issues related to housing discrimination covered under the Act, such as: rental, sales and financing of housing. (See also Full Service Projects below).

b. **Complaint** means the person, including the Assistant Secretary for

Fair Housing and Equal Opportunity at HUD, who files a complaint under Section 810 of the Fair Housing Act.

c. *Disability Advocacy Groups* means organizations that traditionally have provided for the civil rights of persons with disabilities. This would include organizations such as Independent Living Centers and cross-disability legal services groups. Such organizations must be experienced in providing services to persons with a broad range of disabilities, including physical, cognitive, and psychiatric/mental disabilities. Such organizations must demonstrate actual involvement of persons with disabilities throughout their activities, including on staff and board levels.

d. *Enforcement proposals* are potential complaints under the Act that are timely, jurisdictional, and well-developed, that could reasonably be expected to become enforcement actions if an impartial investigation found evidence supporting the allegations and the case proceeded to a resolution with HUD or FHAP Agency involvement.

e. *Fair Housing Act* means Title VIII of the Civil Rights Act of 1968 as amended by the Fair Housing Amendments Act of 1988 (42 U.S.C. 3600–3620).

f. *Fair Housing Assistance Program (FHAP) Agencies* mean State and local fair housing enforcement government agencies that receive FHAP funds because they administer laws deemed substantially equivalent to the Act, as described in 24 CFR part 115.

g. *Fair Housing Enforcement Organization (FHO)* means an organization engaged in fair housing activities as defined in 24 CFR 125.103.

h. *Full-service projects* must include the following enforcement-related activities in your project application: interviewing potential victims of discrimination; analyzing housing-related issues; taking complaints; testing; evaluating testing results; conducting preliminary investigations; conducting mediation; enforcing meritorious claims through litigation or referral to administrative enforcement agencies; and disseminating information about fair housing laws.

i. *Grassroots organizations* (See General Section).

j. *Jurisdiction* means that the complaint must be timely filed; the complainant must have standing; the respondent and the dwelling involved (where the complaint involves a provision or denial of a dwelling) must be covered by the Act; and the subject matter or issue, and the basis of the alleged discrimination, must constitute illegal practices as defined by the Act.

k. *Meritorious claims* means enforcement activities by an organization that resulted in lawsuits, consent decrees, legal settlements, HUD and/or substantial equivalent agency (under 25 CFR 115.6) conciliations and organization initiated settlements with the outcome of monetary awards for compensatory and/or punitive damages to plaintiffs or complaining parties, or other affirmative relief, including the provision of housing (24 CFR 125.103).

l. *Minority Serving Institutions* (See General Section).

m. *Operating budget* means your organization's total planned budget expenditures from all sources, including the value of in-kind and monetary contributions, in the period for which funding is requested.

n. *Qualified Fair Housing Enforcement Organization (QFHO)* means an organization engaged in fair housing activities as defined in 24 CFR 125.103.

o. *Regional/Local/Community-Based Activities* are defined at 24 CFR 125.301(a) & (d).

p. *Rural Areas*, eligible Rural Area means the following:

(1) A non-urban place having fewer than 2,500 inhabitants (within or outside of the metropolitan areas).

(2) A county or parish with an urban population of 20,000 inhabitants or less

(3) Territory, including its persons and housing units, in rural portions of "extended cities". The Census Bureau identifies the rural portions of extended cities.

(4) Open Country that is not part of or associated with an urban area. The USDA describes "open country" as a site separated by open space from any adjacent densely populated urban area. Open space includes undeveloped land, agricultural land, or sparsely settled areas, but does not include physical barriers (such as rivers and canals), public parks, commercial and industrial developments, small areas reserved for recreational purposes, or open space set aside for future development.

(5) Any place with a population not in excess of 20,000 and not located in a Metropolitan Statistical Area.

q. *Traditional Civil Rights Organizations* mean non-profit organizations or institutions and/or private entities with a history and primary mission of securing Federal civil rights protection for groups and individuals protected under the Act or substantially equivalent State or local laws and that are engaged in programs to reduce discriminatory housing practices.

r. *Underserved Areas* mean jurisdictions where there are no Fair

Housing Initiatives Program or Fair Housing Assistance Program agencies and where either no public or private fair housing enforcement organizations exist or the jurisdiction is not sufficiently served by one or more public or private enforcement fair housing organizations and there is a need for service.

s. *Underserved Populations* mean groups of individuals who fall within one or more of the categories protected under the Act or who are also:

(1) of an immigrant population (especially racial and ethnic minorities who are not English-speaking or limited English proficiency);

(2) in rural populations,

(3) the homeless,

(4) persons with disabilities who can be historically documented to have been subject to discriminatory practices not having been the focus of Federal, State or local fair housing enforcement efforts, and

(5) areas that are heavily impacted with minorities and there is inadequate protection and ability to provide service from the state or local government or private fair housing organizations.

## II. Award Information

For Fiscal Year 2005, \$20,000,000 is appropriated for the Fair Housing Initiatives Program (FHIP). Of this amount, approximately \$18,040,000 is being made available on a competitive basis to eligible organizations responding to this FHIP program section of the SuperNOFA. The amount available for each initiative or component and the maximum amount of funds that can be awarded for each award are specified as follows:

### A. Private Enforcement Initiative (PEI)

Approximately \$13,000,000 is allocated under two Components: (1) Approximately \$8,100,000 under the General Component; maximum award is \$275,000 per grant, project duration is 12-18 months and (2) Approximately \$4,900,000 under the Performance Based Funding Component (PBFC); the maximum award is \$275,000 per year for a three-year duration (a total of \$825,000), based upon appropriations.

### B. Education and Outreach Initiative (EOI)

Approximately \$3,940,000 is allocated to 4 components under this initiative for EOI, the estimated number of awards is: The maximum award is \$100,000 for the R/L/CB Program and the project duration is 12–18 months. The components are as follows:

1. EOI-General Component.

Approximately \$2,340,000 is allocated.

2. EOI-Disability Component.

Approximately \$800,000 is allocated.

3. Asian and Pacific Islander Fair Housing Awareness Component.

Approximately \$400,000 is allocated, and

4. Fair Housing and Minority Serving Institutions Component. Approximately \$400,000 is allocated.

*C. Fair Housing Organizations Initiative (FHOI)*

Approximately \$1,100,000 is allocated; project duration is three years. The maximum award is \$1,100,000 allocated over a three-year period at up to \$366,666 per year. For FHOI the estimated number of awards is one (1).

*D. Award Instrument*

The type of funding instrument HUD may offer a successful applicant which sets forth the relationship between HUD and the grantee will be a grant or cooperative agreement, where the principal purpose is the transfer of funds, property, services, or anything of value to the applicant to accomplish a public purpose. Upon completion of negotiations, HUD reserves the right to use the funding instrument it determines is most appropriate. The agreement will identify the eligible activities to be undertaken, financial controls, and special conditions, including sanctions for violations of the agreement. HUD will determine the type of instrument under which the award will be made and monitor progress to ensure that the grantee has achieved the objectives set out in the agreement. Failure to meet such objectives may be the basis for HUD determining the agreement to be in default and exercising available sanctions, including suspension, termination, and/or the recapture of funds. Also HUD may refer violations or suspected violations to enforcement offices within HUD, the Department of Justice, or other enforcement authorities.

If awarded as a Cooperative Agreement, HUD will also exercise the right to have substantial involvement by: conducting quarterly reviews and approval of all proposed deliverables documented in the applicant's Work Plan or Statement of Work (SOW), and determining whether the agency meets all certification and assurance requirements under the grant, cooperative agreement, etc. HUD will conduct this performance assessment, in part, by using the Logic Model

submitted by the applicant and approved by HUD in the award agreement (rating Factor 5). If upon completion of this assessment by the Government Technical Representative (GTR) a determination is made that the quarterly requirements have not been met, the grantee will be obligated to provide additional information or make modifications to its work plan and activities, as necessary, in a timeframe to be established by the GTR.

*E. Project Starting Period*

For planning purposes, assume a start date no later than September 19, 2005.

**III. Eligibility Information**

*A. Eligible Applicants*

1. Private Enforcement Initiative (PEI)

*a. Eligible Applicants.* Eligible applicants are fair housing enforcement organizations (FHOs) with at least one year of experience in complaint intake, complaint investigation, testing for fair housing violations, and meritorious claims in the two years prior to the filing of this application (24 CFR 125.401(b)(2)) and Qualified Fair Housing Enforcement Organizations (QFHOs) with at least two years of enforcement-related experience, as noted above, and meritorious claims in the three years prior to filing this application, (24 CFR 125.103). All applicants claiming QFHO and FHO status are required to be a 501(c)(3) tax-exempt organization and also to submit with their application a copy of its Letter of Determination from the Internal Revenue Service (IRS) in support of its 501(c)(3) tax-exempt status.

*Additional Requirements—PEI Performance Based Funding Component.*

In addition to the above, applicants to the PBFIC must have received: (1) two years of excellent performance reviews for FHIP awards made in FY's 2002 and 2003; and (2) a minimum score of 95 for their most recent (FY '02 or FY '03) performance assessment received from your Government Technical Representative.

*b. Eligible Activities include:*

(1) Complaint intake of allegations of housing discrimination, testing, evaluating testing results, or providing other investigative and complaint support for administrative and judicial enforcement of fair housing laws.

(2) Investigations of individual complaints and systemic housing discrimination for further enforcement processing by HUD, through testing and other investigative methods;

(3) Mediation or other voluntary resolution of allegations of fair housing discrimination after a complaint has been filed; and

(4) Litigating fair housing cases including procuring expert witnesses.

*c. Eligibility of Successor*

*Organization.* HUD recognizes that QFHOs and FHOs may merge with each other or other organizations. The merger of a QFHO or an FHO with a new organization, that has a separate Employer Identification Number (EIN), does not confer QFHO or FHO status upon the successor. To determine whether the successor organization meets the eligibility requirements for this Initiative, HUD will look at the enforcement-related experience of the successor organization (based upon the successor organization's EIN). The successor organization is not eligible to apply under this Initiative unless it establishes in its application that it is a private, tax-exempt organization with the requisite two years of enforcement related experience for a QFHO or one year experience for an FHO.

2. Education and Outreach Initiative

*a. Eligible Applicants.* Eligible applicants are QFHOs; FHOs; public or private, for-profit or not-for-profit organizations or institutions or other public or private entities that are formulating or carrying out programs to reduce discriminatory housing practices; agencies of State or local governments; and agencies that participate in the FHAP. If you are a disability advocacy group, or an organization that partners with or substantially provides activities for grassroots, faith-based or other community-based organizations, minority universities or institutions, or traditional civil rights organizations, you are encouraged to apply under this Initiative.

*b. Eligible Activities:* The following are eligible activities for the components under EOI: conducting educational symposia or other training; developing innovative fair housing activities or materials into languages applicable to your community throughout your project area; providing outreach and information on fair housing through printed and electronic media; developing fair housing curricula; providing outreach to persons with disabilities and their support organizations and service housing providers; and working with homeless activists or persons to determine if fair housing plays a part in their homeless condition, and the general public regarding the rights of persons with disabilities under the Act. When

conducting outreach activities, you are encouraged to use existing fair housing materials; except that you are required to translate these existing materials in languages applicable to your community using the four factor Limited English Proficient (LEP) Guidance as referenced in the General Section of the SuperNOFA.

(1) *Disability Component.* Applicants that emphasize the fair housing needs of person with disabilities, so that persons with disabilities, housing providers and the general public better understand the rights and obligations under the Act and fully appreciate the forms of housing discrimination that persons with disabilities may encounter, should submit their applications under the EOI-Disability Component. Although the component has a disability focus, the funded education and outreach activities must be provided to all persons protected under the Act.

(2) *Asian and Pacific Islander Fair Housing Awareness Component.* Applicants must be able to provide bilingual materials and oral interpretation services to Asians and Pacific Islanders (APIs) so that they are aware of and educated about their fair housing rights and responsibilities under the Act. HUD's "Discrimination in Metropolitan Housing Markets, Phase 2—Asians and Pacific Islanders" report showed that API prospective renters and homebuyers experienced consistent adverse treatment. Fair Housing education and outreach activities should be designed to address the areas where APIs received adverse treatment as addressed in the Report. These activities should include, but not limited to:

(a) Using HUD fair housing translated materials or other translated material available through fair housing organizations, the applicant will sponsor fair housing classes, seminars, and fairs to educate the API communities on their rights.

(b) The applicant should also design a fair housing course of study (lesson plans, fair housing material to be used, performance tests to measure students knowledge) that may be duplicated by other fair housing groups to be used with the API communities.

(c) The applicant shall develop an advertising mechanism to assist in the distribution of education and outreach material through community and faith-based organizations, immigrant advocacy groups, schools and universities, and workplace.

In addition, an applicant and its staff must have demonstrated bilingual experience, which is defined as three (3) years of proven experience in providing social services to persons of Asian and Pacific Islanders or must have established a partnership with an established grass-roots, faith-based or other community-based organization to carry out the objectives of this component. Although the component's focus is providing education and outreach to these communities, the funded education and outreach activities must be provided in a non-discriminatory manner. Grantees may not deny services and activities to any class protected by the Fair Housing Act.

(3) *Minority Serving Institutions (MSI) Component.* This Component will focus on furthering HUD's goal of establishing partnerships with Tribal Colleges and Universities, historically Black Colleges and Universities, Hispanic serving institutions and Asians and Pacific Islanders serving institutions. Working with local fair housing organizations, and other federal government agencies, the recipient will develop curricula for students to pursue careers in fair housing law and investigations. Applicants under this component must have the ability to design and support the development of quality fair housing education at MSIs.

(4) *General Component.* Applications for all other fair housing education and outreach activities should be submitted to the EOI-General Component.

### 3. Fair Housing Organization Initiative.

This Initiative will provide assistance to a project (sponsoring organizations) that will establish or build the capacity of an organization to become a viable fair housing enforcement organization, as referenced in 24 CFR Part 125.103, that conducts fair housing enforcement activities in underserved areas (as defined in Section I.B.), in rural areas and areas with new immigrants (especially racial and ethnic minorities who are not English-speaking or limited

English proficiency). It is the sponsoring organization that submits the application under this Initiative and certifies the sponsored organization's ability to become a QFHO or FHO (Note: The sponsoring organization is ineligible if they received a grant under this Initiative in FY 2003 or FY 2004.) The sponsored organization, whose enforcement capacity is established or enhanced by funding under this Initiative, will be allowed to participate in this Initiative for three years contingent upon acceptable annual performance reviews. Funds are awarded under this Initiative for a three (3) year period of performance and are distributed to the sponsored organization by the HUD awardee.

a. *Eligible Applicants.* Only the sponsoring organization is eligible to apply under this Initiative. The sponsoring organization must be a qualified fair housing enforcement organization (QFHO). You must certify in this application that your organization is a QFHO. Sponsored agencies that cannot establish themselves as private, tax exempt non-profit charitable organizations cannot qualify as a QFHO or an FHO.

b. *Eligible Activities.* The proposed activities must build the enforcement capacity of the sponsored organization so that it can undertake all of the following activities by the conclusion of year three (3) of the grant cycle:

(1) Complaint intake of allegations of housing discrimination, testing, evaluating testing results or providing other investigative and complaint support for administrative and judicial enforcement of fair housing laws;

(2) Investigations of individual complaints and systemic housing discrimination for further enforcement processing by HUD, through testing and other investigative methods;

(3) Mediation or other voluntary resolution of allegations of fair housing discrimination after a complaint has been filed; and

(4) Litigating fair housing cases including procuring expert witnesses.

The following chart summarizes each FHIP Initiative/Component and the approximate Funding Available along with Eligible Applicants:

Initiative/Component	Allocation amount available	Applicant eligibility	Project period (months)	Award caps
<p><i>Private Enforcement Initiative (PEI) General Component:</i> Assists private, tax-exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Fair Housing Act and substantially equivalent state and local fair housing laws. See Section I of the FHIP NOFA-Funding Opportunity Description.</p>	\$8,100,000	QFHOs and FHO (with at least one year of enforcement related experience). See Section III of the FHIP NOFA-Eligibility Information.	12-18	\$275,000
<p><i>Private Enforcement Initiative (PEI) Performance Based Funding Component:</i> Assists private, tax-exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Fair Housing Act and substantially equivalent state and local fair housing laws.</p>	\$4,900,000	QFHOs and FHOs (with at least one year of enforcement related experience) who have received an Excellent Performance Rating on their FY 2002 and 2003 FHIP award activities; and have received a minimum score of 95 on their most recent ('02 or '03) performance assessment from their Government Technical Representative.	36	\$275,000 per year for a three-year duration, based upon appropriations. Eligible PBFC applicants must receive a minimum score of 95 from the FY '05 Technical Evaluation Panel (TEP) to be considered for funding.
<p><i>Fair Housing Organization Initiative:</i> Assistance to projects (sponsoring organizations) that establish or build the capacity of organizations to become viable fair housing enforcement organizations that conduct fair housing activities in underserved areas (as defined in Section I.B. "Program Definitions") or in rural areas with new immigrants especially immigrants with limited English proficiency. The sponsoring organization must submit the application and must certify that the sponsored organization has the ability to become a QFHO or FHO. See Section I of the FHIP NOFA-Funding Opportunity Description.</p>	1,100,000	Only QFHOs are eligible to apply under this Initiative to serve as a sponsoring organization. See Section III of the FHIP NOFA-Eligibility Information.	36 months	1,100,000
<p><i>Education and Outreach Initiative (EOI)- EOI Regional, Local and Community Based Program:</i> Assists projects that inform the public about rights and obligations under the Fair Housing Act and substantially equivalent State and local fair housing laws. Applicants must develop a complaint referral process so that funded activities will result in referrals to HUD of fair housing complaints and other possible discriminatory housing practices. See Section I of the FHIP NOFA-Funding Opportunity Description.</p>	3,940,000	QFHOs FHOs, public or private for profit or not for profit organizations or institutions, or other public or private entities that carry out programs to prevent or eliminate discriminatory housing practices. This includes agencies of State or local governments and agencies that participate in the Fair Housing assistance Program (FHAP). See Section III of the FHIP NOFA-Eligibility Information.	12-18 months	100,000
<p><i>EOI-General Component:</i> Open to applicants for all other fair housing education and outreach activities. See Section I of the FHIP NOFA-Funding Opportunity Description.</p>	2,340,000	Same as EOI above. See Section III of the FHIP NOFA-Eligibility Information.	12-18 months	100,000

Initiative/Component	Allocation amount available	Applicant eligibility	Project period (months)	Award caps
EOI-Disability Component <i>Applicants must emphasize the fair housing needs of persons with disabilities, so that persons with disabilities, housing providers and the general public better understand the rights and obligations under the Fair Housing Act and fully appreciate housing discrimination that persons with disabilities may encounter. The funded education and outreach activities must be provided to all persons protected under the Fair Housing Act.</i>	800,000	Same as EOI above. See Section III of the FHIP NOFA-Eligibility Information.	12–18 months	100,000
EOI-Asians and Pacific Islanders Fair Housing Awareness Component—Applicants must be able to provide bilingual materials and services to Asian Pacific Islanders so that they and others are educated about their fair housing rights and responsibilities under the Fair Housing Act. Funded education and outreach activities must be provided in a non-discriminatory manner. Recipients may not deny services to a client who is not Asian-Pacific Islander See Section I of the FHIP NOFA-Funding Opportunity Description.	400,000	Same as EOI above. See Section III of the FHIP NOFA-Eligibility Information.	12–18 months	100,000
EOI-Minority Serving Institution Component- Under the Fair Housing and Minority Serving Institution Component, applicants must demonstrate the ability to establish partnerships with Tribal Colleges and Universities, historically Black Colleges and Universities, Hispanic serving institutions, and Asian Pacific Islanders serving institutions to broaden support for development of quality fair housing education in MSIs See Section I of the FHIP NOFA-Funding Opportunity Description.	400,000	Same as EOI above. See Section III of the FHIP NOFA-Eligibility Information.	12–18 months	100,000

### B. Cost Sharing or Matching

No matching funds are required for the Education and Outreach or Private Enforcement Initiatives. For the Fair Housing Organizations Initiatives, Federal funds can be used as matching funds if the statutes governing the Federal funds consider the funds to be local resources i.e., Community Development Block Grants. See Rating Factor 4 for additional information.

### C. Other

#### 1. Threshold Requirements

*Program Requirements for All Initiatives.* In addition to the Civil Rights and other Threshold Requirements found in the General Section of the SuperNOFA, your FHIP-funded program application must also meet the following requirements:

a. *Protected Classes.* All FHIP-funded projects must address housing discrimination based upon race, color, religion, sex, disability, familial status, or national origin. All services and activities must be available to the protected class members.

b. *Tax Exempt Status.* Applicants for the PEI and FHOI Initiatives are ineligible for funding if they are not a 501(c)(3) tax-exempt organization as determined by the Internal Revenue Service (IRS) prior to the application submission date.

c. *Name Check Review.* See the General Section.

d. *Poor Performance.* All applicants are ineligible for funding if they are a previous FHIP grantee that has received a “Poor” performance rating for its most recent performance rating from its Government Technical Representative

(GTR) except for those applicants submitting applications under the PBFC. Applicants submitting applications under the PBFC must receive an excellent performance rating on their FY2002 and FY2003 and receive a minimum score of 95 on their most recent performance assessment. HUD will assess performance ratings for applicants who have received FHIP funding in FY 2002 or 2003. If the applicant has received a “poor” performance rating for its most recent performance rating from its GTR, its application is ineligible for FY 2005 competition. An applicant that does not agree with its determination of ineligibility for the FY 2005 competition because of “poor” performance must address to HUD’s satisfaction the factors resulting in the “poor” performance



rating before the FHIP application deadline. If the "poor" performance rating is not resolved to the Department's satisfaction before the application deadline, the application is ineligible for funding. HUD is interested in improving the performance level of all grantees; therefore, applicants who are deemed ineligible because of a "poor" performance rating have the right and are encouraged to seek technical assistance from HUD to correct their performance in order to be eligible for future NOFA competition. Applicants who have received a "poor" performance prior to FY 2002 must provide written documentation that they have implemented remedies to address those issues and concerns that contributed to a "poor" performance rating. This written documentation should be an addendum to your abstract.

*e. Suits Against the United States.* Your application is ineligible for funding if, as a current or past recipient of FHIP funds, your organization used any funds provided by HUD for the payment of expenses in connection with litigation against the United States (24 CFR 125.104(f)).

*f. Other Litigation.* Your application is ineligible for funding if you used funds provided by HUD under this Program to settle a claim, satisfy a judgment, or fulfill a court order in any defensive litigation (24 CFR 125.104).

*g. Maximum award.* Applicants are ineligible for funding if they request funding in excess of the maximum allowed under the Initiative or Component for which they are applying. Any amount over the maximum award, even if less than one dollar, will be considered a request in excess of the maximum award. In addition, inconsistencies in the amount requested and/or miscalculations that result in amounts over the maximum award will be considered excessive; therefore the application will be considered ineligible.

*h. DUN and Bradstreet Numbering System (DUNS) Numbering Requirement.* Refer to General Section of SuperNOFA for information regarding the DUNS requirement. You must have a DUNS number to receive an award from HUD. You must have a DUNS number to register with Grants.gov. Registration with Grants.gov is required to submit your application electronically.

*i. Majority of Eligible Activities.* If a majority (greater than 50%) of the activities and costs within your Statement of Work (SOW) and budget are not fair housing related activities,

your application will be deemed ineligible.

Fair Housing Assistance Program agencies who are under a Suspension based on agency performance, as designated under 24 CFR Part 115.211(b) at time of application are ineligible for funding under this FHIP NOFA.

*j. Minimum TEP Score.* Except for the PBFC, applicants must receive a minimum TEP score of 75 to be considered for funding.

*k. Single Applications.* Except for applicants under FHOI and PEI-PBFC, all other applicants must submit only one application under the FHIP. Applicants must determine under which Initiative/Component to which they want to apply and submit a completed application to only that Initiative/Component. FHOI and PEI-PBFC applicants may apply under one other Initiative/Component. However, applicants to the PBFC can only be considered for one award. Multiple applications submitted to more than one Initiative/Component, except for applicants to the FHOI and PEI-PBFC, will be treated as a technical deficiency and the applicant will be asked to identify the application they want reviewed, if qualified. Applicants applying under PEI-PBFC and any other Initiative/Component must state their preference in the Abstract.

*l. Independence of Awards.* HUD will review each eligible application separately and without reference to other applications submitted by you or others. However, the application you submit must be independent and capable of being implemented without reliance on the selection of other applications submitted by you or other applicants.

*m. Training funds.* Your proposed budget must set aside funds to participate in the National Fair Housing Training Academy (NFHTA) or other HUD mandatory sponsored or approved training-\$5,000 for 12-18 month projects (EOI and PEI); \$6,000 annually for 36 month projects (FHOI); and for PEI-PBFC, \$5000 annually for a 36 month duration. For FHOI, there must be attendance from the sponsoring and sponsored organization. Requests to attend the NFHTA must be submitted to the GTR for approval in advance of the requested training. Staff performance assessments must be submitted to the NFHTA prior to attendance. Do not include amounts over the \$5,000 or \$6,000 (as appropriate) for the training set-aside in this category. If applicants do not include these funds in the budget and you are selected for an award, HUD will modify your budget, reallocating

the appropriate amount for training. If grantees key personnel do not attend mandatory HUD-approved or HUD sponsored training, training funds must be returned to HUD and it will be reflected on your performance assessment.

*n. Accessibility Requirements.* All activities, facilities, and materials funded by this Program must be accessible and visitable to persons with disabilities (24 CFR 8.2, 8.4, 8.6, and 8.54).

*o. Fair Housing Act.* HUD expects applicants to address housing discrimination covered under the Act. HUD has determined there is a need to ensure equal opportunity and access to housing in communities across the nation.

*p. Research Activities.* Applicants are ineligible for funding if between 90-100% of their project is aimed at research.

*q. Tax Exempt Status.* Your application must include a copy of your Letter of Determination from the Internal Revenue Service, dated prior to the application submission date of this FHIP Program Section of the SuperNOFA, establishing your 501(c)(3) tax-exempt status. Failure to submit this with your application is a technical deficiency.

*r. Limited English Proficient (LEP).* Applicants obtaining an award from HUD must provide access to program benefits and information to LEP individuals through translation and interpretive services in accordance with HUD's published LEP Guidance.

*s. OMB Circular.* For-profit awardees are not allowed to earn a profit and must adhere to OMB Circular A-133.

*t. Single Audit Requirement.* All applicants who have expended \$500,000 or more in Federal financial assistance in a single year (this can be a program or fiscal year) must be audited in accordance with the OMB-A133 requirements as established in 24 CFR part 84 and 85.

## 2. Other Program Requirements by Initiative

*a. Asians and Pacific Islander Fair Housing Awareness Component.* Applicants are ineligible for funding if the current bilingual or bicultural Project Director does not have at least three years of proven experience providing bilingual or bicultural services; and if the organization does not have three years of proven experience providing bilingual or bicultural services. You must list all bilingual or bicultural employees and provide proof of employment. Grantees may not deny services and activities to

any protected classes under the Fair Housing Act.

b. *FHOI*. Applicants for FHOI are ineligible if their organization received previous FHOI awards in FY 2003 or FY 2004.

c. Under the PBFC, applicants must receive a minimum FY '05 TEP score of 95 to be considered for funding.

### 3. Performance Measures and Products

*For all Initiatives.* Applicants must submit a Logic Model (Form HUD 96010) in their application and report against planned actions on a quarterly basis as specified in the award agreement. Refer to the Logic Model Form HUD 96010. In addition:

(1) Your application must demonstrate how your project activities will support HUD goals;

(2) Identify performance measures/outcomes in support of those goals, describe your proposed record-keeping and evaluation systems; and

(3) Identify current (baseline) conditions and target levels of the performance measures that you plan to achieve.

(a) For PEI, your application also must contain a strategy for generating enforcement related project products (e.g., testing audits, complaint based testing, or systemic investigations) with related timelines and milestones.

(b) PEI—Performance Based Funding Component applicants must show how this three years of funding will be used and the outcomes to be achieved by the end of each year.

(c) For FHOI, if the sponsoring organization is enhancing an existing organization, then the sponsoring organization must submit a statement outlining:

(i) what is expected of the sponsored organization, and

(ii) that the sponsored organization will be part of the program.

If the sponsoring organization is being created, then the sponsored organization must submit a mission statement for the sponsoring organization and a timeline for creation and independence. If selected for funding, your final performance measures will be negotiated with HUD as part of the executed grant agreement.

4. Tester Requirements for PEI and FHOI applicants. If you propose a testing program, you must explain how you plan to structure the tests, train testers, and conduct investigations, etc. Testers in your FHIP-funded testing activities must not have prior felony convictions or convictions of crimes involving fraud or perjury. All testers must receive training acceptable to HUD or be experienced in testing procedures

and techniques. Testers and the organizations conducting tests, and the employees and agents of these organizations may not:

(1) Have an economic interest in the outcome of the test; except to the extent that they could recover damages as provided by law;

(2) Be a relative related by adoption, blood, or marriage to any party in a case;

(3) Have had any employment or other affiliation, within the past year, with the person or organization to be tested; or

(4) Be a competitor of the person or organization to be tested in the listing, rental, sale, or financing of real estate.

a. *Review and Approval of Testing Methodology.* If your SOW proposes testing, other than rental housing testing, HUD may require copies of the following documents to be reviewed and approved by HUD prior to your carrying out the testing activities.

(1) The testing methodology to be used;

(2) The training materials to be provided for testing; and

(3) Other forms, protocols, cover letters, etc., used in the conduct of testing and reporting of results.

If HUD has approved your testing methodology for FY 2003 and FY 2004, then there is no need to submit your testing methodology, unless you are revising the methodology that was approved by HUD. If changes are being made, you must submit information on the methodology to be used, highlighting the changes from the methodology previously approved by HUD. Please tell us within your application. Also tell us whether you have made any changes to that approved methodology and what those changes are. For all other applicants, the testing methodology and training materials that you submit to HUD for review and approval will remain confidential.

b. *Retainer Fees.* If you are a recipient of FHIP funds, you cannot require any complainant to whom you are providing assistance to sign a retainer agreement or other contract for legal fees as part of the filing, commencement, or maintenance of a Fair Housing Act complaint. If the FHIP recipient has a successful settlement or a verdict, then the FHIP is able to include its reasonable fees as a part of the settlement, though the complainant shall be under no obligation to accept such an agreement. If reasonable legal fees are recovered, the FHIP agency must return to HUD a percentage of the legal fees that is equal to the percentage of FHIP funds spent on the prosecution of the case. For example, if 5% of FHIP funding were spent on prosecution of

the case, HUD would recover 5% of any legal fees. However, the amount of funds recovered will never exceed the actual amount of the FHIP grant.

(1) Agencies that are the recipients of FHIP funds agree to provide HUD with information regarding the recovery of fees and applicable reimbursement of FHIP funds on a yearly basis;

(2) All settlements and verdicts involving cases processed using FHIP funds are a matter of public record. The grantee cannot claim attorney-client or other privilege against the release of data concerning a case.

(3) This restriction on withholding of information must be communicated to the complainant.

(4) The complainant must agree to such a restriction before a case can be processed using FHIP funds.

## IV. Application and Submission Information

### A. Address To Request Application Package

This section describes how you may obtain application forms and additional information about the FHIP program. Copies of the published SuperNOFA, FHIP NOFA and application forms may be downloaded from the grants.gov Web site at <http://www.grants.gov/FIND> or if you have difficulty accessing the information you may receive customer support from Grants.gov by calling their help line at (800) 518-GRANTS or sending an email to [support@grants.gov](mailto:support@grants.gov). The operators will assist you in accessing the information. If you do not have internet access and you need to obtain a copy of the NOFA you can contact HUD's NOFA Information Center toll-free at (800) HUD-8929. Persons with hearing or speech impairments may also call toll-free at (800) HUD-2209.

### B. Content and Form of Application Submission

1. Please ensure that your application contains all of the following items in the exact order as described below:

- a. SF-424\*
- b. SF 424 Supplement\*-Survey on Ensuring Equal Opportunity for Applicants.
- c. Project Abstract Outlining Project Activities
- d. Factor No. 1 Narrative
- e. Factor No. 1 Attachments: Tester Experience, Letter of Determination from IRS on 501(c)(3), if applicable.
- f. Factor No. 2 Narrative
- g. Factor No. 2 Attachments
- h. Factor No. 3 Narrative
- i. Factor No. 3 Attachments: Statement of Work (SOW) with activities listed

- in priority order, Budget Forms HUD 424 CB\* and HUD 424 CBW reflecting the order of the statement of work and prioritized activities,\* Budget Narrative.
- j. Factor No. 4 Narrative
- k. Factor No. 4 Attachments: Letter(s) of Firm Commitment
- l. Factor No. 5 Narrative
- m. Responses to Additional Requirements for Specific Initiative/ Project
- n. HUD-2880 (Applicant Recipient Disclosure Update Report (General Section))\*
- o. OMB SF-LLL Disclosure of Lobbying Activities (General Section)\*
- p. HUD 2990 Certification of Consistency with the RC/EZ/EC-IIs. (See HUD's Web page at [www.hud.gov/cr](http://www.hud.gov/cr) for listing and [www.hud.gov/crlocator](http://www.hud.gov/crlocator) for project eligibility.
- q. HUD-2994 Client Comments and Suggestions

This Checklist reflects all forms that must be included in your electronic application submission.

In addition to the above, all applicants must read and adhere to Initiative specific information. Applicants are encouraged to review the chart entitled "Summary of Initiatives/ Components" to assist in identifying the

Initiative and component to which you wish to apply. Also, to submit documents using the facsimile method, applicants must use form HUD-96011, Facsimile Transmittal, which is a cover page for the faxed materials. The form HUD-96011 is an electronic form and is part of the downloaded application. See the General Section of the SuperNOFA for specific procedures governing facsimile submission.

2. *For All Applicants.* The maximum narrative page requirement is ten (10) pages per factor. The narrative pages must be double-spaced. This includes all narrative text, titles and headings. (However, you may single space footnotes, quotations, references, captions, charts, forms, tables, figures and graphs). You are required to use 12-point type size. You must respond fully to each factor to obtain maximum points. Failure to provide narrative responses to all factors or omitting requested information will result in less than the maximum points available for the given rating factor or sub-factors. Failure to provide double-spaced, 12-point type size narrative responses will result in five points being deducted from your overall score (one point per factor).

3. *EOI and PEI-General Component.* Organizations applying under the EOI

and PEI General Component must submit a budget at 100% of proposed costs and activities. Additionally, applicants must identify costs and activities in priority order so if HUD funds at an 80% level, approved awards will reflect the priorities of the applicant. The activities and line item costs above the 80% should be reflected as optional activities in the applicant's SOW, Logic Model and Budget.

*For example,* if an applicant proposes 10 workshops, the applicant can designate 2 workshops as optional to reduce their funding by 20%. By providing the information in this manner if there are no further changes during negotiations, the applicant does not have to submit another budget.

4. *Application Submission and Timeliness Procedures.* See the General Section of the SuperNOFA for specific procedures governing the submission and receipt of applications.

*C. Submission Dates and Times*

You must submit a completed electronic application for the specific initiative and component for which you are applying to HUD on or before May 23, 2005. Grants.gov will reject applications that do not meet the deadline requirements.

Complete application package contains	Required content	Required form or format	When to submit it
Application: Cover sheet .....	(per required form) .....	Form SF-424, available from (General Section).	On or before 11:59:59 p.m. on the application submission date using Grants.gov/Apply.
Survey for Ensuring Equal Opportunity for Applicants. ....	.....	SF-424 Supplement.	
Budget information .....	(per required form) .....	Form SF-424CB and SF-424CBW, ).	
Disclosure of Lobbying Activities ....	(per required form) .....	SF-LLL, if applicable.	
Applicant-Recipient Disclosure Update Report. ....	(per required form) .....	HUD-2880.	
Certification of Consistency with RC/EZ/EC-II Strategic Plan. ....	(per required form) .....	HUD-2990.	
Program Outcome Logic Model .....	(per required form) .....	HUD-96010 or equivalent.	
Race and Ethnic Data Reporting Form. ....	(per required form) .....	HUD-27061.	
America's Affordable Communities Initiative. ....	(per required form) .....	HUD-27300.	
Narrative .....	Described in Section IV.B. of this announcement.	Format described in Section IV.B of this announcement.	
Letters from third parties contributing to cost sharing. ....	Third parties' affirmations of amounts of their commitments.	No specific form or format.	
Addendum to Abstract—Correction of Poor Performance (as appropriate). ....	Written documentation that performance issues and concerns have been cured.	No specific form or format.	
Project Abstract .....	Short summary of project activities, areas of concentration and persons to be served.	No specific form or format.	

*D. Intergovernmental Review*

Intergovernmental Review is not applicable to this program.

*E. Funding Restrictions*

1. *Administrative Costs for the Sponsoring Organization (FHOI).* The

sponsoring organization may use no more than 15 percent of the annually

awarded funds to cover its costs to administer the grant.

2. *PEI and FHOI Limitations for Education & Outreach*—There is a 5% limit on the amount of education- and outreach related activities that can be funded in an enforcement award. If you exceed the limit, points will be deducted in the rating process and funds will be adjusted to maintain the required limitation.

#### F. Other Submission Requirements

Electronic delivery via <http://www.grants.gov/Apply> is HUD's required method for application delivery beginning in FY 2005. Applicants interested in applying for FHIP funding must submit their applications electronically or request a waiver from the Assistant Secretary responsible for the program area. Waiver requests must be submitted at least thirty days prior to the application submission date. See the General Section for detailed instructions on how to submit applications using Grants.gov. The General Section also provides requirements and instructions for submitting a waiver request.

### V. Application Review Information

#### A. Criteria for Regional/Community-Based Applications

##### 1. Rating Factor 1: Capacity of Applicant and Relevant Organizational Experience (25 Points).

You must describe staff expertise and your organization's ability to complete the proposed activities within the grant period.

*In General.* HUD recognizes that, in carrying out the proposed activities, you may have persons already on staff, plan to hire additional staff, or rely on subcontractors or consultants to perform specific tasks. You must describe your staffing plan and the extent to which you plan to add staff (employees) or contractors. If your application proposes using subcontractors and these subcontractor activities amount to more than 10 percent of your total activities, you must submit a separate budget for each subcontractor. Failure to include a separate budget will result in lower points being assessed to your application.

a. *Number and expertise of staff (this includes subcontractors and consultants).* (5) Points for current FHIP grantees (10) Points for New Applicants. You must show that you will have sufficient, qualified staff that will be available to complete the proposed activities. Provide the following information for all staff assigned to or hired for this project, not just key

personnel (those persons identified in attachments to Rating Factor 3: Soundness of Approach). Applicants applying to the Asians, Pacific Islanders Fair Housing Awareness Component must list all bilingual employees, identify the languages they are fluent in, and provide proof of their employment.

(1) Identify, by name and/or title and hours, all persons that will be assigned to the project. You must describe the knowledge and experience of the proposed overall project director or day-to-day program manager (whose duties and responsibilities include managing all program and administrative activities as outlined in the SOW and ensuring that all timelines are met), in planning and managing projects similar in scope and complex interdisciplinary programs. To receive maximum points, your day-to-day program manager must devote a minimum of 75% of his/her time to the project, and this individual must be stationed in the metropolitan area where the project will be carried out. For day-to-day managers who do not have at least 75% of their time devoted to the project, no points will be awarded under this sub-factor. For example, if the Executive Director is responsible for managing the overall program administrative activities, the application should reflect the Executive Director's time as 75%. However, if a staff person will be assigned this responsibility, the 75% time should be reflected as such. You may not designate more than one person to fit this 75% criterion. You may demonstrate capacity by thoroughly describing your staff's prior experience in fair housing. You should indicate how this prior experience would be used in carrying out your proposed activities. Your application must also clearly identify those persons that are on staff at the time this application is submitted and those persons who will be assigned at a later date; describe each person's duties and responsibilities and their expertise (including years of experience and bilingual languages as noted above) to perform project tasks; and indicate whether the staff person is assigned to work full-time or part-time (if part-time, indicate the percentage of time each person is assigned to the project).

(2) Attach resumes for all key personnel or position descriptions for newly created positions. (Resumes or position descriptions do not count against the ten-page limit.)

b. *Organizational experience.* (10) Points for current FHIP grantees; (15) Points for new applicants. In responding to this sub-factor, you must show that your organization has:

(1) conducted a past project or projects similar in scope and complexity to the project proposed in this application (whether FHIP-funded or not), or

(2) engaged in activities that, although not similar, are readily transferable to the proposed project.

EOI applicants must show that they have engaged in projects that are Regional/Local/Community based. Experience will be judged in terms of recent, relevant and successful experience of your staff to undertake eligible activities. In rating this factor, HUD will consider experience within the last three years to be recent, experience pertaining to the specific activities to be relevant, and experience producing measurable accomplishments to be successful. The more recent the experience and the more experience your own staff members who work on the project have in successfully conducting and completing similar activities, the greater the number of points you will receive for this rating factor.

(a) If you are applying for funding under the EOI-Asians and Pacific Islanders Fair Housing Awareness Component, in addition to the items described under items (1) and (2) above, you must provide the following information when responding to this sub-factor.

(i). A list of all bilingual or bicultural materials developed and distributed.

(ii). A description of specific instances where projects similar to the scope and activities proposed in this application had an impact in various communities.

(iii). A description of recent relevant experience. Recent experience is experience within the past three years.

(b) If you are applying for funding under the EOI-Fair Housing and Minority Serving Institutions Component, in addition to the items described under item (1) and (2) above, you must provide the following information when responding to this sub-factor:

(i) A description of staff's experience in providing fair housing and educational curricular development with the objective of increasing awareness of fair housing and

(ii) A designation from the Department of Education specifying the organization as a Tribal College and University, historically Black College or University, Hispanic serving institutions, or Asian, Pacific Islander serving institution.

(c) If you are applying for funding under PEI or FHOI, you must provide

the following information when responding to this sub-factor:

(i) If you propose to conduct testing (other than rental or accessibility testing), projects proposing testing in specific areas should document that, at a minimum, you have conducted successful testing in those areas. Provide a general description of when and where the tests occurred, the entities tested, and the overall results of the tests, including complaints filed and the settlements or remedies secured (for example, if testing is for sales of housing, your application should outline your sales testing experience).

(ii) Discuss your compliance with the requirement to reimburse the Federal government for compensation received from FHIP-funded enforcement activities. If you have not reimbursed the Federal government for such compensation, explain why you have not. Also, state whether you reported to HUD any likely compensation that may result in such reimbursement. Two (2) points will be deducted for this sub-factor if you have not complied with the requirement.

(d) *FHOI*. Provide a statement of organizational capacity and experience of the sponsored organization and a list of persons who will work on the project along with their experience.

c. *Performance on past project(s)*. (10 Points for current FHIP grantees; 0 Points for new applicants. HUD will assess your organization's past performance in conducting activities relevant to your application. For current FHIPs, past performance will be assessed based on your most recent performance assessment received from your HUD Government Technical Representative (GTR) over the past two (2) years (FY 2002–FY 2003).

This information will be provided to the Technical Evaluation Panel (TEP) by HUD staff; however, you may also include a copy in your application. Based on past performance, the following points will be deducted from your score under this rating sub-factor:

- (1) 10 points out of 10 possible points will be deducted if you received a "fair performance" assessment;
- (2) 5 points out of 10 possible points will be deducted if you received a "good performance" assessment; and
- (3) 0 points will be deducted if you received an "excellent performance" assessment.

## 2. Rating Factor 2: Need/Distress/Extent of the Problem (20 Points)

This factor addresses the extent to which there is a need for funding the proposed activities to address a documented fair housing problem(s) in

the target area(s). You will be evaluated on the information that you submit that describes the fair housing need in the geographic area you propose to serve, its urgency and how your project is responsive to that need.

a. *Documentation of Need*. To justify the need for your project, PEI and EOI applicants must describe the following:

- (1) The fair housing need, including:
  - (a) Geographic area to be served and your proximity to the area;
  - (b) Populations that will be served—your project must serve all persons protected by the Act; and
  - (c) The presence of housing discrimination, high segregation indices or other evidence of discrimination prohibited by the Act within the project area.

(2) The urgency of the identified need. For example:

- (a) The potential consequences to persons if your application is not selected for funding;
- (b) The extent to which the organizations provides the services identified in your application;
- (c) Other sources that support the need and urgency for this project. For example, make reference to reports, statistics, or other data sources that you used that are sound and reliable, including but not limited to, HUD or other Federal, State or local government reports analyses, relevant economic and/or demographic data—including those that show segregation—foundation reports and studies, news articles, and other information that relate to the identified need. Chapter V of the *Fair Housing Planning Guide, Vol. 1* has other suggestions for supporting documentation. You may access the Guide from the HUD web at "www.hud.gov."

To receive maximum points under this sub-factor, applicants must submit data and studies that support (a), (b), and (c) above. Those that address each category and submit supporting data will receive higher points than those that do not.

b. For FHOI: to justify the need for a sponsored organization under FHOI, the sponsoring organization must describe the following:

- (1) Populations that will be served—HUD has targeted for funding under this Initiative, projects that will provide fair housing enforcement services to underserved areas, rural areas and areas serving individuals who are immigrants (especially racial and ethnic minorities who are not English-speaking or limited English proficient).

(2) The presence of housing discrimination, segregation and/or other indices of discrimination that are in the

project area prohibited by the Act. Submit data and studies that support your claim; and

(3) Why the project area is underserved and why the proposed sponsored organization is needed. Your proposed activities must serve all persons protected by the Act.

For example, make reference to reports, statistics, or other data sources that you used that are sound and reliable, including but not limited to, HUD or other Federal, state or local government reports analyses, relevant economic and/or demographic data, including those that show segregation, foundation reports and studies, news articles, and other information that relate to the identified need.

For all applicants: You must use sound data sources to identify the level of need and the urgency in meeting the need (ex. Consolidated Plan (CP), Analysis of Impediments to Fair Housing Choice (AI), fair housing studies, etc.) For you to receive maximum points for this factor, there must be a direct relationship between your proposed activities and the community(ies) fair housing needs, including your knowledge of and your proximity to the targeted area, and the purpose of the program funding.

To the extent possible, the data you use should be specific to the area where the proposed activity will be carried out. You should document needs as they apply to the specific area(s) where activities will be targeted and your proximity to the target area, rather than the entire locality or state. If the data presented does not specifically represent your target area, you should discuss why the target areas were proposed.

(4) The link between the need and your proposed activities:

(a) How the proposed activities augment or improve upon on-going efforts by public and private agencies, organizations and institutions in the target area, and/or

(b) Why, in light of other on-going efforts, the additional funding you are requesting is necessary.

c. *In addition*, with respect to Documentation of Need, the following apply to specific FHIP initiatives or components:

(1) *EOI-Disability Component*. Your project must focus on persons with disabilities, however you must serve all persons protected by the Act.

(2) *EOI-Asians and Pacific Islanders Fair Housing Awareness Component*. Your project must focus on serving Asians, Pacific Islanders; however, you must serve all persons protected by the Act. Therefore, provide specific

demographics on areas to be served and the relationship of the area served to the objectives of the project. The need in these neighborhoods must be clearly stated and supported with documentation such as beneficiary information.

(3) *EOI-Fair Housing and Minority Serving Institutions Component*. Your project must document curricular development and a critical level of need for fair housing activities in the area where activities will be carried out.

### 3. Rating Factor 3: Soundness of Approach (35 Points)

You must describe your project in detail, demonstrate how your project activities will support HUD's policy priorities that support HUD's goals, propose suggested performance measures/outcomes in support of these goals, and identify current baseline conditions and target levels of the performance measures that you plan to achieve. Attach a Statement of Work (SOW) and budget. Your proposed activities must support HUD's policy priorities as referenced in the General Section.

a. *Support of Policy Priorities (8 Points)*. Describe how your proposed project will further and support HUD's policy priorities for FY 2005. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which will help the Department achieve its goals and objectives in FY 2005. HUD will evaluate the extent to which a program will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed.

Applicants that just list a priority will receive no points. Each policy priority addressed must discuss the geographic area to be served in relation to the project's purpose, the persons to be served and the methodology for carrying out these activities. Each policy priority has a point value of one point, with the exception of the policy priority to remove regulatory barriers to affordable housing which has a point value of up to 2 points; and, for EOI applicants only, promoting participation of grassroots faith-based and other community-based organization or partnering with an organization promoting participation in grassroots faith-based and other community-based organizations, which has a point value of up to 4 points. The total number of points that can be received for this sub-factor is 8. It is up

to the applicant to determine which of the policy priorities they elect to address to receive the available 8 points. Applicants are eligible to receive up to 2 points for efforts to remove regulatory barriers to affordable housing. To secure points an applicant must submit the completed questionnaire (HUD 27300), and provide the required documentation. Please see the General Section for further information on Removal of Regulatory Barriers to Affordable Housing. The questionnaire is part of the electronic application package and is also found in the Appendix to the General Section. For the full list of each policy priority, please refer to the General Section of this SuperNOFA.

b. *Proposed Statement of Work (SOW) and Information Requirements (17 Points)*. The SOW and budget are attachments that will not count toward the 10-page limit on the narrative response to this factor. However, points will be assigned based on the relevance of proposed activities to stated needs, attention to implementation steps, proposed activities consistent with organizational expertise and capacity and accuracy of the SOW and budget.

(1) *Statement of Work*—Submit a proposed SOW that comprehensively outlines in chronological order the administrative and program activities and tasks to be performed during the grant period. Your outline should identify all activities and tasks to be performed and by whom (e.g., you, a subcontractor, or partner), and the products that will be provided to HUD and when. You should also include a schedule of your activities and products (with interim implementation steps), staff allocation over the term of the project; staff acquisition and training; and activities of partners and/or subcontractors. Applicants should provide figures on the projected clients to be served. Do not provide ranges or percentages, but a specific number of clients. These figures should represent individuals to be served entirely with HUD FHIP funding.

(2) *EOI-General and PEI-General Applicants Only*—You must identify optional activities (to achieve an 80% budget) in order to receive full points under this sub-factor.

(3) For the Asians and Pacific Islanders Fair Housing Awareness Component include:

(a) All bilingual or bicultural key personnel and their capacity to communicate and disseminate information in projected neighborhoods.

(b) A plan that reflects an understanding of the characteristics and needs of the neighborhoods selected and

outlines a plan of action pertaining to the scope and detail of how the work outlined will be accomplished.

c. *The Budget Form and the Budget Information (10 Points)*. HUD will also assess the soundness of your approach by evaluating the quality, thoroughness, and reasonableness of the budget and financial controls of your organization, including information on your proposed program cost categories. As part of your response you must prepare a budget that is:

(1) Reasonable in achieving the goals identified in your proposed SOW;

(2) relate tasks in the SOW to the proposed budget costs;

(3) cost-effective, e.g. in terms of staff used to perform the activities, results to be achieved for the dollar costs of the program, location of the organization in relation to targeted area(s), etc.

(4) quantifiable based on the need identified in Factor 2, and

(5) justifiable for all cost categories in accordance with the cost categories indicated in the HUD-424 CB (see General Section Grant Application Detailed Budget). Include your approved Indirect Cost rate in your budget submission, as well as the agency contact name and telephone number. If you do not have a Federally approved indirect cost rate, please provide your proposed rate and submit an indirect cost rate proposal with your application. If HUD is the cognizant agency, it will establish a rate or contact the appropriate Federal agency to establish a rate. For information on Indirect Cost rates, you can review HUD's training on [www.hud.gov](http://www.hud.gov).

(6) *Cost Effectiveness of Program*. Discuss and provide supportive facts concerning the extent to which your proposed program is cost effective in achieving the anticipated results of the proposed activities in the targeted area. Applicants seeking funding to conduct activities in an area other than the applicant's State or locality must discuss the cost effectiveness of where the activities will be conducted in relation to the location of the organization. HUD will look at the cost effectiveness of your travel to and from your location to the targeted area(s), personnel expenses for outstationed personnel, contracts and subgrantees, and other direct costs, which may include relocation expenses, and telecommunications expenses. Also, indicate how the proposed project is quantifiable based on the needs identified in Rating Factor 2.

(7) *Financial Management Capacity*. Describe and provide documentation to support your organization's financial management system and your Board's

contribution to the organization. In addition, provide documentation about your capabilities in handling financial resources, dissemination to subcontracting affiliates, and maintenance of an adequate accounting and internal control procedures.

(8) For FHOI provide a statement of transfer of programmatic and management responsibilities from the sponsoring to sponsored organization by the end of grant year three. Also provide budgetary information on the viability of the sponsoring organization to maintain the sponsored organization for the duration of the grant.

(9) Your Grant Application Detailed Budget Worksheet (HUD-424-CBW) and Grant Application Detailed Budget (HUD-424-CB) must show the total cost of the project and indicate other sources of funds that will be used for the project. While the costs are based only on estimates, the budget narrative work plan may include information obtained from various vendors, or you may rely on historical data. Applicants must round all budget items to the nearest dollar.

A written budget narrative work plan must accompany the proposed budget explaining each budget category listed and must explain each cost category. Failure to provide a written budget narrative work plan will result in 2 points being deducted from your application. It must explain each cost category you list. Generally, estimated costs for high-cost items or subcontractors/consultants should be supported by bids from at least three (3) sources. Where there are travel costs for subcontractors/consultants, you must show that the combined travel costs (per diem rates) are consistent with Federal Travel Regulations (41 CFR 301.11) and travel costs for the applicant's subcontractors and/or consultants do not exceed the rates and fees charged by local subcontractors and consultants. The narrative (which does count toward the 10 page limit) and supporting documentation (which does not count toward the 10 page limit) must address the Grant Application Detailed Budget.

#### 4. Rating Factor 4: Leveraging Resources (5 Points)

This factor addresses your ability to secure additional resources to support your project. Points will be awarded on the basis of the percentage of non-FHIP resources you have identified and how firm the commitment is for those resources.

a. *Firm Commitment of Leveraging.* HUD requires you to secure resources from sources other than what is requested under this FHIP Program

Section of the SuperNOFA. Community resources may include funding or in-kind contributions, such as workspace or services or equipment, allocated to the purpose(s) of your proposal. Contributions from affiliates, subsidiaries, divisions, or employees of the applicant do not qualify as in-kind contributions. Resources may be provided by governmental entities (including other HUD programs if such costs are allowed by statute), public or private non-profit organizations, faith-based organizations, for-profit or civic private organizations, or other entities willing to work with you. In order to secure points you must establish leveraging of resources by providing letters of firm commitment from the organizations and/or individuals who will support your project. Each letter of firm commitment must:

(1) Identify the organization and/or individual committing resources to the project and identify any affiliation with the applicant,

(2) Identify the sources and amounts of the leveraged resources (the total FHIP and non-FHIP amounts must match those in your proposed budget submitted under Factor 3), and

(3) Describe how these resources will be used under your SOW. The letter must be signed by the individual or organization official legally able to make commitments for the organization. If the resources are in-kind or donated goods, the commitment letter must indicate the fair market value of those resources and describe how this fair market value was determined. (Do not include indirect costs within your in-kind resources). In-kind matching and leveraging contributions, as well as Program Income must comply with 24 CFR 84.23 and 84.24 requirements. FHIP funds cannot be used for in-kind or donated services (for example, a current staff person on a FHIP-funded project). No points will be awarded for general letters of support endorsing the project from organizations, including elected officials on the local, State, or national levels, and/or individuals in your community. See Section IV.F. of the General Section of the SuperNOFA for instructions on how third party documents are to be submitted to HUD via the electronic submission process. For PEI and EOI, if your project will not be supported by non-FHIP resources, then you will not receive any points under this factor. Points will be assigned for each Initiative based on the following scale:

One point will be awarded if less than 5% of the projects total costs come from non-FHIP resources.

Two points will be awarded if between 5% and 10% of the project's total costs are from non-FHIP resources.

Three points will be awarded if between 11% and 20% of the project's total costs are from non-FHIP resources.

Four points will be awarded if between 21% and 30% of the project's total costs are from non-FHIP resources.

Five points will be awarded if at least 31% of the project's total costs are from non-FHIP resources.

The sponsored organization must not rely exclusively on FHIP funding. At the conclusion of each grant year, the sponsored organization must show increasing support from sources other than what is awarded under this program. Specifically, at the conclusion of year 1, no less than 5% of the funds supporting the sponsored organization's fair housing enforcement-related activities must be funded from non-FHIP funds; at the conclusion of year 2, no less than 10% of the funds supporting the sponsored organization's fair housing enforcement-related activities must be from non-FHIP funds; and at the conclusion of year 3, no less than 20% of the funds supporting the sponsored organization's fair housing enforcement-related activities must be from non-FHIP funds. Your application must state how you will meet these requirements.

For FHOI, two points will be awarded if between 5% and 10% of the project's total costs are from non-FHIP resources. Three points will be awarded if between 11% and 20% of the project's total costs are from non-FHIP resources; Four points will be awarded if between 21% and 30% of the project's total costs are from non-FHIP resources; Five points will be awarded if at least 31% of the projects total costs are from non-FHIP resources.

#### 5. Rating Factor 5: Achieving Results and Program Evaluation (15 Points)

a. In evaluating this factor, HUD will assess the extent to which you demonstrate how you will measure your success or results to be achieved that represent the work of your organization as set out in your budget. Applicants must describe their specific methods and measures to assess progress, evaluate program effectiveness, and identify program changes necessary to improve performance. This will ensure that performance measures are met and that grantees are establishing achievable realistic goals. Applicants who have identified outputs and outcome measurements and include means for assessing these measurements, tracking and monitoring performance goals and achievements against these



commitments made in the application, will receive higher points than those that do not. To meet this Factor requirement, you must first refer to the Logic Model and instructions provided in the forms appended to the General Section. All applicants must use the Logic Model Form to respond to this Factor. Applicants should also review the Logic Model training which can be found at <http://www.hud.gov/offices/adm/grants/training/training.cfm>.

b. *In evaluating this Factor:* (1) HUD will consider how you have described the degree to which you have identified and characterized the information needs of your intended audience or target populations;

(2) Output. The direct products of the applicant's activities that lead to the ultimate achievement of outcomes. Examples of outputs include, but are not limited to, the number of training sessions conducted; the number of PSA's aired; the number of conferences held; the number of brochures/fair housing materials to be disseminated and/or the number of outreach activities;

(3) Outcome. Demonstrate ability to measure outcomes so the major outcome is to increase awareness of fair housing laws and enforce the fair housing act. Outcomes are benefits provided to all protected class members as a result of education and outreach or fair housing enforcement activities; and, performance indicators the applicant expects to achieve or goals it hopes to meet over the term of the proposed grant. In other words, provide the figure that the applicant estimates for that outcome category as a result of the applicant's activities. For example as it relates to EOI Activities:

- The number of individuals reached as a result of training, outreach efforts, one on one fair housing counseling, participation in a conference or symposium.
- The percentage of persons whose knowledge and awareness of fair housing is increased as a result of training, outreach efforts, one on one fair housing counseling, participation in a conference or symposium.
- The number of complaints received as a result of training, outreach efforts, one on one fair housing counseling, participation in a conference or symposium.

As it relates to PEI Activities:

- The number of tests completed as result of investigations, systemic testing or audit testing.
- The number of enforcement actions as a result of testing investigations, systemic testing, or audit testing.

The number of individuals served as a result of pre-complaint counseling and/or education and outreach efforts as a result of testing activities.

(4) Describe how your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program. You should provide a description of the procedure to be used to assess progress and track performance in meeting the goals and objectives outlined in the work plan.

Accountability can be achieved using specific measurements tools to assess the impact of your solutions. Examples include:

- Intake Assessment Instrument;
- Pre/Post Tests;
- Customer/Client Satisfaction Survey;
- Follow-up Survey;
- Observational Survey;
- Functioning scale; or
- Self-sufficiency scale.

You should describe what kind of fair housing activities you propose to accomplish and the success of your project as identified in Factor 2, for these activities. For the EOI-Disability Component, you should also demonstrate how the activities will assist the Department in implementing the New Freedom Initiative (see General Section).

#### B. Reviews and Selection Process

1. *Rating and Ranking.* Although all rating factors are organized the same way for all FHIP initiatives, there are differences in application requirements and rating criteria, which are indicated throughout the Rating Factor instructions. Your application for funding will be evaluated competitively against all other applications submitted under one of the following initiatives or components:

- a. Private Enforcement Initiative (PEI)—
  - (1) General Component (PEI-GC);
  - (2) Performance Based Funding Component (PEI-PBFC).
- b. Education and Outreach Initiative (EOI)—
  - (1) Regional/Local/Community-Based Programs:
    - (a) General Component (EOI-GC);
    - (b) Disability Component (EOI-DC);
    - (c) Asians, Pacific Islanders Fair Housing Awareness Component (EOI-AC);
    - (d) Fair Housing and Minority Serving Institutions Component (EOI-MSI);

c. *Fair Housing Organizations Initiative (FHOI).* For all initiatives, all eligible applications will be reviewed and points awarded based upon: 1. Your narrative responses to the Factors for

Award and accompanying materials (e.g., resumes) and 2. EC/EZ-II bonus points, as applicable. Ineligible applications will not be ranked. The maximum number of points to be awarded for the Rating Factors is 100. See Section V. of the General Section for information on Bonus Points.

Applications with a score of seventy-five (75) points or more will be considered of sufficient quality for funding. The Selecting Official will not select for award any application with a score below seventy-five (75) points. Generally, applications of sufficient quality for funding will be selected in rank order under each initiative or component.

*For the PEI—Performance Based Funding Component* applicants will be evaluated competitively against other applicants who apply and have received an Excellent Performance Assessment for FY 2002 and 2003 FHIP-funded activities, as well as a 95 on their most current performance review (FY '02 or '03). These applicants will then be rated by the Technical Evaluation Panel and ranked by score. Only those applicants who receive a minimum final score of 95 from the TEP will be considered for funding under this Component.

2. *Tie Breaking.* When two or more applications have the same total overall score, the application with the higher score under Rating Factor 3: Soundness of Approach will be ranked higher. If this does not break the tie, the application with the higher score under Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience will be ranked higher. If this does not break the tie, the application requesting the lower amount of FHIP funding will be ranked higher. Finally, if this does not break the tie, the application with the higher score under Rating Factor 2 will be rated higher.

For the PEI—Performance Based Component, the tie breaking provision does not apply.

3. *Achieving Geographic Diversity of Awards.* a. *PEI and EOI.* HUD reserves the right to select applications out of rank order to achieve geographic diversity, to ensure that, to the extent possible, applications from more States for each initiative or component are selected for funding. If the Selecting Official exercises this discretion, there will be two determinants used: (1) geography and (2) score. Geographic diversity shall be applied to all qualified applications (applications of sufficient quality for funding—applications that received a score of 75 or more points) in each Initiative or Component in which the Selecting Official applies geographic diversity. The geographic



diversity provision will be applied as follows: when there are two or more applications of sufficient quality from the same state, the application(s) with the lower score(s) will be moved to the end of the qualified queue. The applications moved to the end of the qualified queue will retain their geographic rank order. If sufficient funds remain, it is possible that applications moved to the end of the queue may be selected for award.

b. *FHOI and PEI—Performance Based Funding Component.* Under FHOI and the PEI—Performance Based Funding Component, the geographic diversity provision does not apply.

4. *Adjustments to Funding.* As provided in the General Section, HUD may approve an application for an amount lower than the amount requested, fund only portions of your application, withhold funds after approval, reallocate funds among activities and/or require that special conditions be added to your grant agreement, in accordance with 24 CFR 84.14, the requirements of the SuperNOFA, or where:

a. HUD determines whether the amount requested for one or more eligible activities is unreasonable or unnecessary;

b. An ineligible activity is proposed in an otherwise eligible project;

c. Insufficient amounts remain to fund the full amount requested in the application, and HUD determines that partial funding is a viable option;

d. The past record of key personnel warrants special conditions; or,

e. Training funds are not reserved for FHIP training.

5. *Reallocation of Funds.* If after all applications within funding range have been selected or obligations are completed in an Initiative and funds remain available, the selecting official or designee will have the discretion to reallocate leftover funds in rank order among initiatives as follows:

a. For EOI, any remaining funds from any component will be reallocated first within the initiative; if after reallocating funds within the initiative left over funds remain, they shall be reallocated to PEI then to FHOI;

b. For PEI, any remaining funds will be reallocated to EOI then to FHOI;

c. For FHOI, left over funds will be reallocated to PEI then to EOI.

### C. *Anticipated Announcement and Award Dates*

For planning purposes, anticipate an announcement date of July 29, 2005 and an award date of August 31, 2005.

## VI. Award Administration Information

### A. *Award Notices*

#### 1. Applicant Notification and Award Procedures

a. *Notification.* No information about the review and award process will be available to you during the period of HUD evaluation, which begins on the application submission date under this NOFA and lasts approximately 90 days thereafter. However, you will be advised, in writing or by telephone, if HUD determines that your application is ineligible or has technical deficiencies which may be corrected as described in the General Section of the SuperNOFA and Section of this NOFA. HUD will communicate only with persons specifically identified in the application. HUD will not provide information about the application to third parties such as subcontractors.

b. *Negotiations.* If you are selected, HUD will require you to participate in negotiations to determine the specific terms of your cooperative or grant agreement. HUD will follow the negotiation procedures described in the General Section of the SuperNOFA. The selection is conditional and does not become final until the negotiations between the applicant and the Department are successfully concluded and the grant or cooperative agreement is signed and executed. HUD will negotiate only with the person identified in the application as the Director of the organization or if specifically identified in the application as the Project Director. HUD will not negotiate with any third party (*i.e.*, a subcontractor, etc.). Grantees awarded funding who have had a 'poor performance' rating in subsequent years prior to FY 2002, will be required to provide documentation of the agency's improved performance status during negotiations. The Grant Officer and Government Technical Representative will determine on a case-by-case basis if technical assistance or additional monitoring is required.

Performance Based Funding Component—Applicants selected for funding under the PBFC will be required to submit a SOW that projects the agency's activities for a period of three years commensurate with the level of funding.

c. *Applicant Debriefing.* After awards are announced, applicants may receive a debriefing on their application as described in the General Section. Materials provided during the debriefing will be the applicant's final scores for each rating factor and final evaluator comments for each rating

factor. Applicants requesting a debriefing must send a written request to Annette Corley, Grant Officer, U.S. Department of Housing and Urban Development, FHIP/FHAP Support Division, 451 7th Street SW., Room 5224, Washington, DC 20410. HUD will not release the names of applicants or their scores to third parties

### B. *Administrative and National Policy Requirements*

1. *Accessibility Requirements.* All activities, facilities, and materials funded by this Program must be accessible to persons with disabilities (24 CFR 8.2, 8.4, 8.6, and 8.54).

2. *Protected Classes.* All FHIP-funded projects must address housing discrimination based upon race, color, religion, sex, disability, familial status, or national origin.

3. *Environmental Requirements.* In accordance with 24 CFR 50.19(b)(3), (4), (9), (12), and (13) of HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act and are not subject to environmental review under related laws and authorities.

4. *Procurement of Recovered Materials.* State agencies (FHAP agencies) and agencies of a political subdivision of a state that are using assistance under a HUD program NOFA for procurement, and any person contracting with such an agency with respect to work performed under an assisted contract, must comply with the requirements of Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. See General Section for details.

5. *Product Information.* Press releases and any other product intended to be disseminated to the public must be submitted to the Government Technical Representative (GTR) two weeks before release for approval and acceptance.

6. *Ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Women Owned Businesses.* (See General Section).

7. *Payment Contingent on Completion.* Payment of FHIP funds is made on a reimbursement basis. Payments are contingent on the satisfactory and timely completion of your project activities and products as reflected in your grant or cooperative agreement. Requests for funds must be accompanied by financial and progress reports.

8. *Copyright Materials.* You may copyright any work that is eligible for copyright protection subject to HUD's right to reproduce, publish, or otherwise

use your work for Federal purposes, and to authorize others to do so as required in 24 CFR 84.36.

9. *Complaints Against Awardees.* Each FHIP award is overseen by a HUD Grant Officer (See Appendix A for list of Grant Officers per region Complaints from the public against FHIP grantees should be forwarded to the Grant Officer. The Grant Officer's name and contact information is provided in the grant agreement. If, after notice and consideration of relevant information, the Grant Officer concludes that there has been inappropriate conduct, such as a violation of FHIP program requirements, terms or conditions of the grant, or any other applicable statute, regulation or other requirement, HUD will take appropriate action in accordance with 24 CFR 84.62. Such action may include: written reprimand; consideration of past performance in

awarding future FHIP applications; repayment to HUD of funds received under the grant; or temporary or permanent denial of participation in the FHIP in accordance with 24 CFR part 24.

10. *Double Payments.* If you are awarded funds under this NOFA, you (and any subcontractor or consultant) may not charge or claim credit for the activities performed under this project under any other Federally assisted project.

11. *Performance Sanctions.* A grantee or subcontractor failing to comply with the requirements set forth in its grant agreement will be liable for such sanctions as may be authorized by law, including repayment of improperly used funds, termination of further participation in the FHIP, and denial of further participation in programs of HUD or any Federal agency.

*C. Reporting*

1. HUD requires that funded recipients collect racial and ethnic beneficiary data. It has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, you should use Form HUD-27061, Racial and Ethnic Data Reporting Form (and instructions for its use), found on [www.HUDclips.org](http://www.HUDclips.org), a comparable program form, or a comparable electronic data system for this purpose. As your project ends, you must report meaningful data derived from client feedback on how they benefited from your project's activities.

2. Listed below is a sample-reporting document of activities and tasks to be performed by a FHIP Grantee.

ADMINISTRATIVE ACTIVITIES

Activities	Tasks	Submitted by	Submitted to
1. Complete HUD-22081 Race and Ethnic Data Reporting Form.	.....	45 Days .....	GTR/GTM.
2. Complete HUD-2880 Disclosure Statements ...	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report.	When changes occur ....	GTR/GTM.
3. Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities.	Submit SF-269A and Copy of Written Report .....	Quarterly .....	GTR/GTM.
4. Voucher for Payment .....	Submit payment request to LOCCS .....	Per Payment Schedule	GTR/GTM.
5. Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements.	Submit listing for recipient and any contractors ....	45 Days and At end of Grant.	GTR/GTM.
6. Prepare and Submit Draft of Final Report .....	Submit Draft of Report. Report Summary should include objectives, accomplishments, and results. Complaint and testing activities should summarize data on complaints received and tests conducted by basis, issues, and outcomes. This should include number of credible, legitimate complaints filed with HUD, a State or local Fair Housing Agency, Department of Justice or private Litigator; and types of relief/results.	One month before end of grant term.	GTR/GTM.
7. Complete Final Report and Provide Copies of All Final Products Not Previously Submitted.	Submit a copy of the Final Report and All Final Products not previously submitted to GTR and GTM.	Within 90 days after end of grant term.	GTR/GTM.
8. Submit 2 copies of Final Report and all final program products produced under the Grant (with diskette, where feasible) to HUD.	Submit activities and database entry sheet(s) to HUD. Submit copy of HUD database entry sheet(s) or detailed description of items submitted to GTR and GTM.	Within 90 days after end of grant term.	GTR/GTM.

**VII. Agency Contacts**

You may contact Myron P. Newry or Denise L. Brooks, of the Office of Fair Housing and Equal Opportunity's FHIP Support Division, at 202-708-0800 (this is not a toll-free number). Persons with hearing or speech impairments may contact the Division by calling 1-800-290-1617 (this is a toll-free number).

**VIII. Other Information**

*1. Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2529-0033 In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to

respond to a collection of information unless the collection displays a currently valid OMB control number. Public reporting burdens for the collection of information is estimated to average xxx hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, semi-annual reports and final report. The information will be used for grantee selection and monitoring the

administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

## 2. Frequently Asked Questions

Q. If data, tables, exhibits, reports, and studies are submitted with the application, will they be counted toward the 10-page limit requirement?

A. The attachments do not count toward the ten-page limit. However, you are encouraged to summarize the points that support your Factor responses. Do not attach data tables, exhibits, and studies and expect the evaluator to read them and discern the points that should be considered. If you summarize information from studies, reports, etc, simply include a bibliography or other reference at the end of each Rating Factor.

Q. In previous years, FHIP applicants were not required to submit the Certification of Consistency with the Consolidated Plan. Is the Certification required this year?

A. For FY 2005, the Certification of Consistency with the Consolidated Plan is not required.

Q. Where can I find a copy of the Application Kit?

A. There is no Application Kit for the FY 2005 FHIP NOFA. The NOFA clearly describes the requirements for completing a successful application and all forms and certifications needed to complete the application are included in the General and FHIP Sections of the SuperNOFA.

Q. What is the maximum number of narrative pages that can be submitted for each Rating Factor?

A. The maximum number is 10 pages per Rating Factor. This does not include any attachments that may be required under each factor (for example, the proposed statement of work and budget required under Factor 3, Resumes as required by Factor 1, or any reports or documents you attach to support your Factor information). The narrative pages must be double-spaced and you are required to use 12-type size (font). However, all pages in the narrative portion of your application must be consecutively numbered starting with Rating Factor One page one (1) through the end of your application for each narrative rating factor response.

Q. The FHIP SuperNOFA refers to QFHOs and FHOs. What is the difference between them?

A. These terms are defined in the FHIP regulations. Both organizations must be private, tax-exempt, charitable organizations that have engaged in enforcement-related activities. The

amount of enforcement-related experience is an eligibility requirement, for PEI at least one year and for FHOI at least two years. (See 24 CFR 125.103 for QFHO and 24 CFR 125.401(b)(2) for FHO.) For PEI and FHOI, applicants must self-identify as a QFHO or an FHO and provide information, including dates of enforcement-related activities. The information you provide should enable HUD to determine if your organization meets at least the one or two year enforcement-related experience requirement.

Q. May an applicant subcontract out a percentage of its activities to subcontractors, partner, or consultants, if it is selected for a FHIP award?

A. Yes. However, when the expenditures to a particular subcontractor, partner, or consultant exceed 10% of the grant amount, an itemized budget is required.

Q. Is an organization "engaged in testing for fair housing violations" if it hires a qualified organization to carry out its testing program?

A. Yes, so long as the applicant maintains decision making authority, analyzes the test results, and maintains oversight or selection of testing operations.

Q. Does the SuperNOFA identify what makes an application ineligible?

A. Yes. For FHIP, see the eligibility requirements for each Initiative, and the Threshold Criteria in Section III. For threshold requirement information under the SuperNOFA, see Section of the General Section of the SuperNOFA.

Q. Can an applicant propose to do an Analysis of Impediments (AI)?

A. No. The applicant can identify activities to be carved out of the AI but not to do planning to develop AI.

Q. Will applicants be able to apply for other funding if selected for the Performance Based Funding Component?

A. No, applicants selected to the PEI-PBFC will not be able to apply for any other FHIP funding for the three-year period of the PBF.

Q. Are grantees required to attend the National Fair Housing Training Academy (NFHTA)?

A. Yes, provisions have been included in Training Funds to accommodate grantee's participation in the NFHTA.

Q. At what point may a FHOI "sponsored organization" apply under any FHIP Initiative?

A. A sponsored organization is eligible after three (3) years to apply for funds under other initiatives or components.

Q. What are maximum awards?

A. Maximum award is the maximum amount that will be awarded under the Initiative/Component for which you are applying. If you request an amount over this maximum amount, your application will be declared ineligible.

Q. Where do you send completed applications?

A. All applications must be submitted electronically. Please review Section IV.F of the General Section of the SuperNOFA for specific information on electronic application submittal.

Q. How do I sign my electronic application?

A. Applications submitted through grants.gov constitute submission as electronically signed applications once the Authorized Organization Representative (AOR) (the individual who has been authenticated by the grants.gov credential provider to submit applications on behalf of your organization) transmits your application via grants.gov. Please see Section IV.F of the General Section of the SuperNOFA for details.

Q. What is the Web site address to apply for funding?

A. [Http://www.grants.gov/Apply](http://www.grants.gov/Apply). See General Section for more information.

Q. What is the application submission date?

A. The application submission date is outlined in this NOFA under Section IV.C., "Submission Dates and Times."

Q. If I have a technical question, can I call HUD?

A. Yes, technical questions should be directed to Myron P. Newry or Denise L. Brooks of the FHIP Support Division at (202) 708-0800 (this is not a toll-free number). Persons with hearing or speech impairments may call 1-800-290-1617 (this is a toll-free number). Technical assistance does not include assisting you in determining your eligibility to apply for funds. Applicants must make their own determination, based upon the requirements identified in the FHIP component under the section labeled Eligible Applicants. Technical Assistance cannot be provided to help you write any part of your application or develop responses to the application requirements. Rather, technical assistance, outside of the training broadcasts, will only clarify general application and program requirements published in the NOFA.

Q. As an FHOI applicant, are education and outreach expenses required to come out of my 15% administrative costs?

A. Yes.

## Appendix A

## FHEO FIELD STRUCTURE—OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY

FHEO offices	Directors	Telephone No.	Area covered
BOSTON Hub—Thomas P. O'Neill, Federal Bldg., 10 Causeway Street, Room 375, Boston, MA 02222-1092.	Marcella Brown .....	(617) 565-6977	MA, CT, ME, VT, NH, RI.
NEW YORK CITY Hub—26 Federal Plaza, New York, NY 10278-0068.	Stanley Seidenfeld .....	(212) 264-1290	NY, NJ.
PHILADELPHIA Hub—The Wanamaker Building, 100 Penn Square East, Philadelphia, PA 19107-3380.	Wanda S. Nieves .....	(215) 656-0647	PA, MD, VA, DC, WV, DE.
ATLANTA Hub—5 Points Plaza, 40 Marietta Street, SW, Atlanta, GA 30303-3388.	James Sutton .....	(404) 331-5001	GA, AL, MS, FL, PUERTO RICO, KY, TN, SC, NC.
CHICAGO Hub—Ralph H. Metcalfe, Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604-3507.	Barbara Knox .....	(312) 353-7776	IL, MN, MI, WI, OH, IN.
FORT WORTH Hub—1600 Throckmorton Street, Fort Worth, TX 76113-2905.	Garry Sweeney .....	(817) 978-9271	TX, AR, OK, LA, NM.
KANSAS CITY Hub—Gateway Tower II, 400 State Avenue, Kansas City, KS 66101-2406.	Robbie Herndon .....	(913) 551-6958	KA, MO, NE, IA.
DENVER Hub—633 17th Street, Denver, CO 80202-3607	Evelyn Meininger .....	(303) 672-5434	CO, UT, WY, SD, ND, MT.
SAN FRANCISCO Hub—Phillip Burton Federal Bldg., 450 Golden Gate Avenue, San Francisco, CA 94102-3448.	Chuck E. Hauptman .....	(415) 436-6569	CA, HI, NV, AZ, Guam.
SEATTLE Hub—Seattle Federal Office Bldg., 909 1st Avenue, Suite 200, Seattle, WA 98104-1000.	Judith Keeler .....	(206) 220-5170	WA, OR, ID.

BILLING CODE 4210-32-P

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HOUSING COUNSELING PROGRAMS**

**Housing Counseling – Local Housing  
Counseling Agencies (LHCA)**

**Housing Counseling – National and Regional  
Intermediaries**

**Housing Counseling – State housing Finance  
Agencies (SHFA)**

**Housing Counseling – Colonias**

**Housing Counseling – Predatory lending**

**Housing Counseling – Section 8  
Homeownership Voucher Program**

**Housing Counseling Program**

*Overview Information*

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Single Family Housing.

B. *Funding Opportunity Title:* Housing Counseling Program.

C. *Announcement Type:* Initial Announcement.

D. *Funding Opportunity Number:* The **Federal Register** number is: FR-4950-N-05. The OMB Approval number is: 2502-0261.

E. *Catalog of Federal Domestic Assistance (CFDA) Number:* 14.169 Housing Counseling Assistance Program.

F. *Dates:* The application submission date is June 6, 2005. Please see the General Section of the SuperNOFA for application submission and receipt procedures.

G. *Available Funds:* Approximately \$38.914 million is made available for eligible applicants under this program NOFA.

**Full Text Of Announcement**

**I. Funding Opportunity Description**

A. *Program Description.* This program supports the delivery of a wide variety of housing counseling services to homebuyers, homeowners, low-to moderate-income renters, and the homeless. The primary objectives of the program are to expand homeownership opportunities and improve access to affordable housing. Counselors provide guidance and advice to help families and individuals improve their housing conditions and meet the responsibilities of tenancy and homeownership. Counselors also help borrowers avoid inflated appraisals, unreasonably high interest rates, unaffordable repayment terms, and other conditions that can result in a loss of equity, increased debt, default, and eventually foreclosure.

Applicants funded through this program may also provide Home Equity Conversion Mortgage (HECM) counseling to elderly homeowners who seek to convert equity in their homes into income that can be used to pay for home improvements, medical costs, living expenses, or other expenses.

This grant program also supports the delivery of housing counseling services to potential homebuyers and

homeowners utilizing Section 8 Homeownership Vouchers (hereafter referred to as Homeownership Vouchers) under HUD's Homeownership Voucher Program. The primary objectives of counseling in conjunction with the Homeownership Voucher program are to: (1) Help Homeownership Voucher Program participants make the transition from renting to homeownership; (2) assist them in evaluating their readiness and in making informed decisions; (3) help them meet the responsibilities of homeownership; and (4) encourage increased participation by Public Housing Agencies (PHAs) in HUD's Homeownership Voucher Program.

B. *Grant Applicant Categories.* HUD will award a single grant to qualified applicants through one of three categories: (1) Local Housing Counseling Agencies (LHCAs); (2) National and Regional Intermediaries (Intermediaries); and (3) State Housing Finance Agencies (SHFAs).

1. *Comprehensive Counseling.* All awards through the 3 categories will consist of a specified sum for comprehensive counseling which is also the minimum required application amount as specified in III.C.3.b.

2. *Supplemental Funding.* Comprehensive counseling awards may be used for any of the activities specified below. Applicants may also request additional funds to carry out the following specific activities and assistance to targeted communities:

a. *Predatory Lending.* Supplemental funding is available for counseling and educational activities designed to combat predatory lending, including helping borrowers avoid inflated appraisals, unreasonably high interest rates, unaffordable repayment terms, and other conditions that can result in a loss of equity, increased debt, default, and foreclosure.

b. *Homeownership Voucher Counseling.* Supplemental funding is available for counseling and educational activities in conjunction with HUD's Homeownership Voucher Program.

c. *Colonias.* Supplemental funding is available for the counseling and educational activities targeted at Colonias. Colonias means any identifiable, rural community that is located in Arizona, California, New

Mexico, or Texas; is within 150 miles of the border between the United States of America and the United Mexican States; and is determined to be a Colonia on the basis of objective need criteria, including lack of potable water supply, lack of adequate sewage systems, and lack of decent, safe, sanitary, and accessible housing.

d. *HECM Counseling.* Supplemental funding is available for counseling and educational activities in conjunction with HUD's Home Equity Conversion Mortgage (HECM) Program.

C. *Authority.* HUD's Housing Counseling Program is authorized by Section 106 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701x).

The Homeownership Voucher Program refers to the homeownership option in the Housing Choice Voucher Program. The homeownership option is authorized by section 8(y) of the United States Housing Act of 1937, as amended by section 555 of the Quality Housing and Work Responsibility Act of 1998. The implementing regulations are found at 24 CFR 982.625 through 982.643.

The Home Equity Conversion Mortgage (HECM) Program is authorized by section 255 of the National Housing Act (12 U.S.C. 1715z-20).

**II. Award Information**

A. *Amount Allocated.* Of the \$41.664 million appropriated for housing counseling in FY2005, \$38.914 million is available for eligible applicants under this NOFA. Specifically, \$32.120 million is available for comprehensive counseling, \$2.7 million is available for counseling services that address predatory lending, \$1.7 million is available for counseling in conjunction with HUD's Homeownership Voucher Program, \$394,000 is available for counseling services that specifically target Colonias, and \$2.0 million is available for HECM counseling.

B. *Specific Allocations.* Funding is allocated to each Homeownership Center (HOC), regional HUD offices that oversee the Housing Counseling Program in their jurisdiction, by a formula that incorporates first-time homebuyer rates, default rates, HECM endorsements, and minority homebuyers.

Applicant categories	Who is eligible	Total amount available
Category 1—LHCAs .....	HUD-approved Local Housing Counseling Agencies .....	\$14,954,946
Category 2—Intermediaries .....	HUD-approved National and Regional Intermediaries .....	21,575,182
Category 3—SHFAs .....	State Housing Finance Agencies .....	2,383,873

1. *Category 1—Local Housing Counseling Agencies (LHCAs).* Approximately \$14,954,946 is available from HUD to directly fund HUD-approved LHCAs, including

\$12,920,000 for comprehensive counseling, \$1,199,880 in supplemental funding for predatory lending, \$722,500 in supplemental funding for counseling in conjunction with HUD's

Homeownership Voucher Program, and \$112,566 for counseling targeting Colonias. Allocations for Category 1 by HOC are as follows:

HOC	Comprehensive counseling	Predatory lending	Homeownership voucher counseling	Colonias	Total
Philadelphia .....	\$3,511,709	\$326,127	\$196,376	.....	\$4,034,212
Atlanta .....	3,706,596	344,246	207,285	.....	4,258,127
Denver .....	345,317	310,649	187,055	56,283	3,899,304
Santa Ana .....	2,356,378	218,858	131,784	56,283	2,729,398
<b>Total .....</b>	<b>12,920,000</b>	<b>1,199,880</b>	<b>722,500</b>	<b>112,566</b>	<b>14,954,946</b>

2. *Category 2—Intermediaries.* Approximately \$21,575,182 is available from HUD to directly fund HUD-approved Intermediaries, including \$17,200,000 for comprehensive counseling, \$1,300,050 in supplemental funding for predatory lending, \$850,000 in supplemental funding for counseling in conjunction with HUD's Homeownership Voucher Program,

\$225,132 for counseling targeting Colonias, and \$2.0 million for HECM counseling.  
3. *Category 3—State Housing Finance Agencies (SHFAs).* Approximately \$2,383,873 is available to fund SHFAs that provide housing counseling services directly or serve as intermediaries to Affiliates who offer housing counseling services, including

\$2.0 million for comprehensive counseling, \$200,070 in supplemental funding for predatory lending, \$127,500 in supplemental funding for counseling in conjunction with HUD's Homeownership Voucher Program, and \$56,303 for counseling targeting Colonias. Allocations for Category 3 by HOC are as follows:

HOC	Comprehensive counseling	Predatory lending	Homeownership voucher counseling	Colonias	Total
Philadelphia .....	\$543,600	\$54,379	\$34,655	.....	\$632,634
Atlanta .....	573,800	57,400	36,580	.....	667,780
Denver .....	517,800	51,798	33,010	28,152	630,759
Santa Ana .....	364,800	36,493	23,256	28,152	452,700
<b>Total .....</b>	<b>2,000,000</b>	<b>200,070</b>	<b>127,500</b>	<b>56,303</b>	<b>2,383,873</b>

C. *Individual Awards.*

1. *Category 1:* No individual LHCA may be awarded more than \$260,000, which includes any supplemental funding. Specifically, the limit for Comprehensive Counseling is \$175,000. The limit for supplemental funding for predatory lending is \$40,000, the limit for supplemental funding for Homeownership Voucher Counseling is \$30,000, and the limit for supplemental funding for Colonias is \$40,000. HUD anticipates that the average total award for LHCAs will be approximately \$40,000.

2. *Category 2:* Awards for individual HUD-approved intermediaries may not exceed \$3.4 million, which includes any supplemental funding. The limit for Comprehensive Counseling is \$2.5 million. The limit for supplemental funding for predatory lending is \$325,000, the limit for supplemental funding for Homeownership Voucher Counseling is \$275,000, the limit for supplemental funding for Colonias is \$300,000 and the limit for HECM counseling is \$2.0 million. HUD

anticipates that the average total award for Intermediaries will be \$1.1 million.

3. *Category 3:* No individual SHFA may be awarded more than \$450,000, which includes any supplemental funding. Specifically, the limit for Comprehensive Counseling is \$300,000. The limit for supplemental funding for predatory lending is \$63,000, the limit for supplemental funding for Homeownership Voucher Counseling is \$47,000, and the limit for supplemental funding for Colonias is \$40,000. HUD anticipates that the average total award for SHFAs will be approximately \$140,000.

D. *Grant Period.* Funds awarded shall be available for a period of 12 calendar months.

E. *Award Instrument.* HUD will use a Grant Agreement. All Housing Counseling Program awards will be made on a cost reimbursement basis in accordance with the requirements in OMB Circular A-87, Cost Principles for state and local governments and Indian tribal governments; or OMB Circular A-122, Cost Principles for Non-Profit Organizations, as applicable to your

organization; and the administrative requirements established in OMB Circular A-102, which was implemented by 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to state, local, and federally recognized Indian tribal governments); OMB Circular A-110, which was implemented by 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations); and OMB Circular A-133 which was implemented by 24 CFR parts 84 and 85. Grantees must ensure that any Sub-grantees and/or Branches also comply with the above requirements. OMB circulars can be found at <http://www.whitehouse.gov/omb/>.

### III. Eligibility Information

*A. Eligible Applicants Eligible applicants include: HUD-approved Local Housing Counseling Agencies (LHCAs); HUD-approved national and regional intermediaries (Intermediaries); and State Housing Finance Agencies (SHFAs). LHCAs and Intermediaries are private or public nonprofit organizations, including grassroots community-based organizations, inclusive of faith-based organizations, that secure HUD approval as an LHCA, or as an intermediary, as of the publication date of the SuperNOFA, and retain such approval through the term of any grant awarded. A SHFA does not need HUD approval in order to apply for a grant through this NOFA.*

#### 1. Definitions

a. *Affiliate.* "Affiliate" means an organization to which a Grantee awards a sub-grant and which is accountable to the Grantee for the use of funds provided. An affiliate is separately incorporated or organized but connected with an intermediary or SHFA for the purposes of this NOFA. To be eligible for a sub-grant an affiliate must be: (1) duly organized and existing as a nonprofit, (2) in good standing under the laws of the state of its organization, and (3) authorized to do business in the states where it proposes to provide housing counseling services. In the case of an intermediary or SHFA, all affiliates must be identified in the application submitted in response to this NOFA.

b. *Applicant.* "Applicant" means a HUD-approved housing counseling agency or SHFA applying for a Housing Counseling grant from HUD through this NOFA. The term "Applicant" includes the agency's branch or branch offices identified in its application.

c. *Branch.* "Branch" or "Branch Office" means an organizational and subordinate unit of an LHCA, Intermediary or SHFA not separately incorporated or organized. A Branch or Branch Office must be in good standing under the laws of the state where it is authorized to do business and where it proposes to provide housing counseling services. A Branch or Branch Office cannot be an applicant, affiliate or sub-grantee.

d. *Grantee.* "Grantee" means the HUD-approved housing counseling agency or SHFA that receives housing counseling funds from HUD through this NOFA. The term "Grantee" includes the agency's branch or branch offices identified in its application.

e. *Intermediary.* "Intermediary" means a HUD-approved national or

regional organization that provides housing counseling services through its branches or affiliates. As used in this NOFA, the term Intermediary refers to any of the following entities:

(7) *National Intermediary.* A National Intermediary provides housing counseling services through its branches or affiliates in a number of states as determined by HUD.

(2) *Regional Intermediary.* A Regional Intermediary provides housing counseling services through its branches or affiliates in a generally recognized region or group of regions within the United States of America, such as the Southwest, Mid-Atlantic, and New England.

f. *Local Housing Counseling Agency (LHCA).* "LHCA" means a HUD-approved Local Housing Counseling Agency. LHCAs must be approved by one of HUD's four HOCs. Affiliates of HUD-approved Housing Counseling intermediaries are not HUD-approved LHCAs by virtue of their affiliation with the intermediary. They are, however, eligible to individually apply for HUD approval as an LHCA.

g. *State Housing Finance Agency (SHFA).* For the purpose of this NOFA, a "SHFA" is the unique public body, agency, or instrumentality created by a specific act of a state legislature and empowered to finance activities designed to provide housing and related facilities and services, for example through land acquisition, construction or rehabilitation, throughout a state. The term state includes the several states, Puerto Rico, the District of Columbia, Guam, the Commonwealth of the Northern Mariana Islands, American Samoa, and the U.S. Virgin Islands.

h. *Sub-grantee.* "Sub-grantee" means an organization to which the grantee awards a sub-grant, and which is accountable to the grantee for the use of the funds provided. A Sub-grantee may be separately incorporated or organized, but connected with an intermediary or SHFA for purposes of this NOFA.

In the case of an intermediary or SHFA, all Sub-grantees must be identified in the grantee's application. Under certain conditions, grantees may amend their Sub-grantee list after awards are made.

#### B. Cost Sharing or Matching

No specific ratio is required. However, in order to receive points under Rating Factor 4, applicants are required to demonstrate the commitment of other private and public sources of funding to supplement HUD funding for the applicant's counseling program. HUD does not intend for the

Housing Counseling grants to cover all costs incurred by an applicant.

#### C. Other

##### 1. Eligible Activities for Awards Under all Applicant Categories

Grantees and sub-grantees will only be reimbursed for the eligible activities outlined in this Section. Grantees and sub-grantees providing housing counseling services under Categories 1 through 3 may use their HUD housing counseling funds for one or more of the following activities.

a. *Pre-Purchase Homebuyer Counseling.* This includes the following types of one-on-one counseling: pre-purchase; evaluating mortgageor readiness; search assistance/mobility; fair housing; budgeting for mortgage payments; money management (does not include administration of debt management plans whereby an organization pays bills on behalf of a client); selecting a real estate agent, and home inspection. This also may include guidance on: alternative sources of mortgage credit; how to apply for special programs available to potential homebuyers; how to identify and avoid predatory lending practices; locating housing that provides universal design and visitability; and referrals to community services and regulatory agencies.

b. *Homebuyer Education Programs.* These programs are homeownership preparation-related group education programs in which educational materials, including HUD's Homebuyer Education and Learning Program (HELP) guide, are used in training sessions for multiple participants, and not tailored to the unique circumstances of an individual. This activity also includes financial literacy workshops that are geared toward potential homebuyers, and group sessions that assist potential homebuyers with identifying and avoiding predatory lending practices, such as loans with unreasonable and inappropriate terms and conditions, and other unscrupulous practices intended to defraud or take advantage of homebuyers and borrowers. Applicants that provide homebuyer education must also offer individual counseling that complements the group sessions.

c. *Counseling to Resolve or Prevent Mortgage Delinquency or Default.* This includes counseling on how to: restructure debt, obtain re-certification for mortgage subsidy, establish reinstatement plans, seek loan forbearance, and manage household finances. This counseling can also include helping clients affected by predatory lending, foreclosure



prevention strategies, explaining the foreclosure process, providing referrals to other sources, and assisting clients with locating alternative housing, or pursuing loss mitigation strategies.

d. *Non-Delinquency Post-Purchase Counseling including Improving Mortgage Terms, Home Equity Conversion, and Home Improvement.* This includes information and advice on finding favorable mortgage loan terms, personal money management, and relations with lenders. It also includes help in converting home equity into cash, such as counseling on HUD's HECM Program. HECM counseling assists clients who are 62 years or older with the opportunity to convert the equity in their homes into income to pay living, medical, or other expenses. This counseling also includes counseling the client about: home improvement and rehabilitation; property maintenance; loan and grant options; the loan or grant application processes; what housing codes and housing enforcement procedures apply for the intended activity; accessibility codes and how to design features to provide accessibility for persons with disabilities; non-discriminatory lending and funding for persons who modify their dwellings to accommodate disabilities; visitability and universal design; how to specify and bid construction work; how to enter into construction contracts; and how to manage construction contracts, including actions to address the non-performance of contractors.

e. *Post-Purchase Education Programs.* These are post-purchase oriented group sessions in which educational materials are used in training sessions for multiple participants. Topics can include resolving or preventing mortgage delinquency and default, converting home equity into cash, seeking favorable mortgage loan terms, budgeting and financial management, real estate taxes and insurance, and home maintenance. Agencies that provide this service must also offer individual counseling to complement group sessions.

f. *Counseling and Education on Locating, Securing, or Maintaining Residence in Rental Housing.* This refers to one-on-one counseling and group education sessions regarding renter-related topics, including: helping clients obtain and utilize rent subsidies; pre-rental search assistance/mobility counseling; budgeting for rent payments; educating clients on landlords' and renters' rights; explaining the eviction process; ensuring clients understand their rights when faced with displacement;

explaining the responsibility of the entity causing displacement; and providing assistance with locating alternate housing.

g. *Counseling on Shelter or Services for the Homeless.* Includes referrals to social, community, and homeless services such as emergency shelter or transitional housing.

h. *Marketing and Outreach Initiatives.* This includes providing general information and materials about housing opportunities and issues, conducting informational campaigns, advocating with lenders for non-traditional lending standards, and raising awareness about critical housing topics, such as predatory lending or fair housing issues. (Note: affirmative fair housing outreach should be directed at those populations least likely to seek counseling services. To do so, it may be necessary to broaden the target areas or provide translation and interpretive services in languages other than English in order to reach a greater variety of racial and ethnic minorities.)

## 2. Eligible Activities—Supplemental Funding

a. *Predatory Lending.* Recipients of supplemental funding for Predatory Lending must use the supplemental funds for any of the marketing and outreach initiatives, group sessions, or one-on-one counseling activities outlined in Section III.C. of this NOFA, in a manner that clearly and directly assists clients affected by predatory lending or helps to prevent predatory lending.

b. *Homeownership Voucher Counseling.* Recipients of supplemental funding for counseling in conjunction with HUD's Homeownership Voucher Program must use the supplemental funds for any of the group sessions or one-on-one counseling activities outlined in Section III.C. of this NOFA, in a manner that clearly and directly assists recipients of Homeownership Vouchers to utilize those vouchers toward the purchase and maintenance of a home.

According to the Final Rule on the Homeownership Voucher Program (65 FR 55163), suggested topics for the HUD-required pre-assistance counseling program include: how to negotiate the purchase price of a home; how to obtain homeownership financing and loan pre-approvals, including a description of types of financing that may be available, and the pros and cons of different types of financing; alternative sources of mortgage credit; how to find a home, including information about homeownership opportunities, schools, and transportation in the PHA

jurisdiction; mobility counseling, including purchasing a home outside the PHA's jurisdiction; advantages of purchasing a home in an area that does not have a high concentration of low-income families and how to locate homes in such areas; how to design features to provide accessibility for persons with disabilities; how to obtain funding for modifications that will make housing accessible and available to clients and their family members with disabilities; information on fair housing, including fair housing lending and local fair housing enforcement agencies; information about the Real Estate Settlement Procedures Act (12 U.S.C. 2601 *et seq.*) (RESPA); state and federal truth-in-lending laws; how to identify and avoid loans with oppressive terms and conditions; home maintenance; budgeting and money management; and credit counseling.

Counseling services in conjunction with HUD's Homeownership Voucher Program can be adapted to reflect local circumstances, fit the pre- and ongoing post-purchase needs of the individual families, and fulfill specific requirements established by the PHA as identified in the written agreement. The PHA has the discretion to require ongoing counseling for all or select participants in the homeownership option.

For example, agencies may provide on-going counseling on issues such as home improvement and rehabilitation. This could include educating the client about loan and grant options; loan or grant application processes; what housing codes and housing enforcement procedures apply for the intended activity; accessibility codes; visitability and universal design; non-discriminatory lending for persons who modify their dwellings to accommodate disabilities; how to identify and hire a construction contractor; how to specify and bid construction work; how to enter into construction contracts; and how to manage construction contracts, including actions to address the non-performance of contractors.

Additional ongoing counseling needs may include default counseling and loss mitigation strategies such as debt restructuring, establishing reinstatement plans, seeking loan forbearance, and managing household finances. Counselors can also help program participants that are affected by predatory lending, provide referrals to emergency and social service providers, and assist clients with locating alternative housing.

c. *Colonias.* Recipients of this supplemental funding may provide any of the eligible activities outlined in

Section III.C, so long as they serve individuals in communities that meet the definition of a Colonia provided in Section I.B.2.c, of this NOFA.

d. *HECM Counseling.* Recipients of this supplemental funding must provide counseling to individuals/families that may be eligible for or are interested in obtaining a Home Equity Conversion Mortgage (HECM). Counseling must be provided by AARP certified HECM counselors who must explain all of the details related to HECM financing to help clients make informed decisions.

### 3. Threshold Requirements

Applications that do not meet all of the following Threshold Requirements are not eligible to receive an award from HUD.

a. Applicants, and Sub-grantees, must meet the Threshold Requirements in the General Section of the SuperNOFA.

b. *Minimum grant request.*

Applications must contain a request for funds of not less than \$15,000 from LHCAs, not less than \$50,000 from SFHAs and not less than \$200,000 from Intermediaries. Applications for lesser amounts will not be considered.

c. *Only HUD-approved Housing Counseling Agencies and SHFAs may apply.* Applicants must be currently approved by HUD as an LHCA or as a housing counseling intermediary, and have secured HUD approval as a housing counseling agency by the publication date of this NOFA. SHFAs are not required to be HUD-approved, but must meet the eligibility requirements listed in this NOFA.

d. *Recipients of Previous Housing Counseling Grants.* Applicants that received a HUD Housing Counseling grant or grants through the FY2003 HUD Housing Counseling NOFA, and did not receive an extension approved by HUD, must have drawn-down at least 70 percent of award monies by December 31, 2004.

e. *HUD-9902.* Applicants that were, for any reason, required to submit Form HUD-9902 data, covering the period October 1, 2003, through September 30, 2004, must have submitted the data to HUD by June 6, 2005.

f. *Applicants Requesting Supplemental Funding.* No separate application is needed to apply for supplemental funding. However, applicants who propose to use the Comprehensive portion of their award for these activities must propose outputs and outcomes under supplemental funding categories exclusive of (over and above) those proposed under comprehensive counseling. Applicants must also meet the following requirements.

(1) *Predatory Lending.* An applicant must: (a) request the supplemental funding by specifically and separately identifying "Predatory Lending" and the specific amount requested along with budget information in Section B of the SF-424A; (b) identify predatory lending related needs in the target community in the response to Rating Factor 2; (c) include predatory lending related activities over and above the proposed comprehensive counseling activities listed in response to the Rating Factors; (d) indicate, where required in the Rating Factors, how many individuals in addition to those served under the comprehensive counseling award will be served with the requested supplemental funding for predatory lending; and (e) respond to all predatory lending related requests for information throughout the NOFA. Be sure clearly to identify the total number served, the activities provided, and the output and outcome goals to be achieved with the supplemental funding.

(2) *Homeownership Voucher Counseling.* An applicant must: (a) request the supplemental funding by specifically and separately identifying "Homeownership Voucher Counseling" and the specific amount requested along with budget information in Section B of the SF-424A; (b) respond to all Homeownership Voucher Counseling related requests for information throughout the NOFA; (c) include counseling and other related activities in conjunction with the Homeownership Voucher Program over and above the proposed comprehensive counseling activities listed in response to the Rating Factors; (d) indicate, where required in the Rating Factors, how many individuals additional to those served under the comprehensive counseling award will be served with the requested supplemental funding for Homeownership Voucher Counseling; and (e) provide a written agreement from one or more Public Housing Authorities (PHAs) with whom the applicant has an agreement to provide housing counseling to participants of the PHA's Homeownership Voucher Program. Intermediaries and SHFAs proposing to make sub-grants must provide a separate written agreement from a PHA for each proposed sub-grantee. There is no requirement that the PHA commit to use the applicant for the provision of all housing counseling services related to its Homeownership Voucher Program, although this would be acceptable.

Written agreements from PHAs do not have to be ratified by the PHA Board, although a formal document, such as a Memorandum of Understanding (MOU)

between the PHA and the applicant, is acceptable. The written agreement must be on PHA letterhead, specifically mention the housing counseling agency (applicant) and proposed sub-grantee, if applicable; and be signed by an official authorized to sign on behalf of the PHA. Moreover, the written agreement must indicate that the PHA is exercising its option to implement the Homeownership Voucher Program and agrees to refer Homeownership Voucher participants to the applicant to fulfill the housing counseling requirement specified in the Homeownership Voucher Program regulations. The written agreement must clearly outline: (1) The respective activities and responsibilities to be undertaken by the PHA and the applicant; (2) the estimated number of Homeownership Voucher Program participants, both pre-purchase and ongoing, to be referred by the PHA to the applicant during the grant period October 1, 2005, to September 30, 2006; (3) the services to be delivered and the specific PHA requirements for ongoing counseling; and (4) outputs and outcome goals.

While no written agreement is required from PHAs approved by HUD as housing counseling agencies, the PHA must estimate the number of voucher participants to be counseled in connection with its Homeownership Voucher Program, and describe the types of counseling, and output and outcome goals to be achieved. See the General Section for directions for submitting documents requiring third party signatures. Be sure clearly to identify the total number served, the activities provided, and the output and outcome goals to be achieved with the supplemental funding.

(3) *Colonias.* An applicant must: (a) Request the supplemental funding by specifically and separately identifying "Colonias" and providing the specific amount requested along with budget information in Section B of the SF-424A; (b) identify Colonias-related needs in the target community in its response to Rating Factor 2; (c) respond to all Colonias-related requests for information throughout the NOFA; (d) include counseling and other related activities targeted at Colonias over and above the proposed comprehensive counseling activities listed in response to the Rating Factors; (e) indicate in the response to Rating Factors how many individuals in addition to those served under the comprehensive counseling award will be served with the requested supplemental funding for Colonias; and (f) demonstrate that the communities that the applicant will target with these funds meet the definition of Colonias

provided in Section I.B.2.c. of this NOFA. Be sure clearly to identify the total number served, the activities provided, and the output and outcome goals to be achieved with the supplemental funding.

(4) *HECM Counseling.* An applicant must: (a) request the supplemental funding by specifically and separately identifying "HECM" and providing the specific amount requested along with budget information in Section B of the SF-424A; (b) identify HECM-related needs in the target community in its response to Rating Factor 2; (c) respond to all HECM-related requests for information throughout the NOFA; (d) include counseling and other related activities targeted at HECM clients over and above the proposed comprehensive counseling activities listed in response to the Rating Factors; and (e) indicate in the Rating Factors how many individuals will be served with the requested supplemental funding for HECM counseling in addition to those served under the comprehensive counseling award. Be sure clearly to identify the total number served, the activities provided, and the output and outcome goals to be achieved with the supplemental funding.

#### 4. Other Program Requirements

To receive a grant or subgrant under this Housing Counseling NOFA, all applicants and subgrantees (except SHFAs) must be:

- duly organized and existing as a nonprofit;
- in good standing under the laws of the state of their organization; and
- authorized to do business in the states where they propose to provide housing counseling services.

a. *Limits on applications.* (1) HUD-approved LHCA's. *HUD-approved LHCA's may apply for and receive: one grant under Applicant Category 1; or one sub-grant from an intermediary or SHFA under Applicant Category 2 or 3, but not both. The only exception to this rule is that HUD-approved LHCA's that have one or more HECM Network Counselors that receive a grant or sub-grant under Categories 1-3, may also receive a sub-grant, or be reimbursed exclusively for HECM counseling activities from a HUD-approved intermediary that exclusively provides HECM counseling.*

HUD-approved LHCA's applying under Category 1 are also eligible for supplemental funding to combat predatory lending, homeownership voucher counseling, and to provide counseling to residents of Colonias.

Funded LHCA's may not make sub-grants to other HUD-approved LHCA's or non-HUD-approved entities.

(2) *HUD-approved Intermediaries.* HUD approved intermediaries may only apply for a grant under Applicant Category 2. HUD-approved intermediaries are also eligible for supplemental funding to combat predatory lending, homeownership voucher counseling, provide counseling to residents of Colonias, and for HECM counseling.

(3) *SHFAs.* SHFAs may only apply for grants under Applicant Category 3 and are eligible to apply for comprehensive counseling funds and supplemental funding to combat predatory lending, homeownership voucher counseling, and to provide counseling to residents of Colonias. b. *Sub-grantees of Intermediaries and SHFAs.* (1) Sub-grantees of intermediaries and SHFAs are not required to be HUD-approved, although HUD-approved LHCA's may apply to an intermediary or SHFA as a sub-grantee.

(2) Intermediaries and SHFAs that award sub-grants to counseling agencies that are not HUD-approved must assure that the sub-grantee organizations meet or exceed HUD's approval standards, listed in Section III.C.4.c. *Program Requirements.*

(3) Subgrantees must also be in compliance with all civil rights threshold requirements. Intermediaries that do not ensure their sub-grantee's compliance with HUD standards may be prohibited from participating in the Housing Counseling Program. HUD will monitor sub-grantees.

(4) Sub-grantees under Categories 2 or 3 must not have directly applied for or received a grant under Category 1 of this NOFA, or applied for or received a sub-grant from an intermediary or SHFA under Category 2 or 3 of this NOFA.

(5) Sub-grantees may apply for and receive only one sub-grant from an intermediary or SHFA under Category 2 or 3, but not both. The only exception to this rule is that sub-grantees that have one or more HECM Network Counselors that receive a sub-grant from an intermediary or SHFA under Category 2 or 3 may also receive a sub-grant or be reimbursed exclusively for HECM counseling activities, from a HUD-approved intermediary that exclusively provides HECM counseling.

(6) Intermediaries and SHFAs that make sub-grants must execute sub-grant agreements with sub-grantees that clearly delineate the mutual responsibilities for program management, including appropriate time frames for reporting results to HUD. Intermediaries and SHFAs have

wide discretion to decide how to allocate their HUD Housing Counseling funding among sub-grantees, with the understanding that a written record must be kept documenting and justifying funding decisions. This record must be made available to sub-grantees and to HUD.

c. *Approval Criteria.* The following approval criteria apply to all applicants, except SHFAs.

(1) Each branch or affiliate included in an approval application must satisfy these criteria.

(a) *Nonprofit Status.* An applicant and its branches or affiliates for approval must function as private or public nonprofit organizations. The applicant must submit evidence of nonprofit status as demonstrated by section 501(c)(3) of the Internal Revenue Code approval (or pending approval) to support its nonprofit status and that of its branches or affiliates.

(b) *Community Base.* The applicant or its branches and affiliates must have functioned as a housing counseling agency for at least one year in the geographical area that the applicant proposes to serve as a HUD-approved housing counseling agency or agencies and must have established working relationships with private and public community resources to which it can refer clients who need help the agency cannot offer.

(c) *Staff.* The applicant and its branches or affiliates must employ staff trained in housing counseling with at least six months experience in the job they will perform in the counseling program.

(d) *Language Skills/Limited English Proficiency.* Agencies must seek to provide access to program benefits and information to persons with limited English proficiency (LEP) through translation and interpretive services. Applicants that receive an award from HUD must satisfy the requirements of HUD's LEP Recipient Guidance published on December 19, 2003 at 68 FR 70968.

(e) *Knowledge of HUD Programs and Local Housing Market.* The applicant's housing counseling staff, including those in branches and affiliates, must possess a working knowledge of HUD housing programs (including public housing), the housing programs available in the community, and the local housing market. A working knowledge means that a counselor can inform the client in detail regarding what housing is available for which the client is eligible, how the client applies for the housing, and the rights and responsibilities of all parties involved in

particular housing transactions—leases, mortgages, notes, contracts, etc.

(f) State and Local Requirements. The applicant, including its branches or affiliates, must meet all State and local requirements for its operation.

(g) Facilities. The counseling facilities of the applicant or its branches or affiliates must meet the following criteria.

(i) Located in the community of the target population.

(ii) Provide privacy for all one-on-one sessions between a counselor and a client.

(iii) Public transportation is within easy walking distance (15 minutes) of the applicant's location, except for rural or distant suburban locations.

(iv) Operating hours include regular work hours and days, and other hours and days when necessary to meet the needs of working clients.

(v) All grantees and sub-grantees must make counseling offices and services accessible to persons with a wide range of disabilities and help persons locate suitable housing in locations throughout the applicant's community, target area, or metropolitan area, as defined by the applicant. For each of the general activities proposed, grantees must be prepared to meet the needs of all individuals requesting services, including persons with disabilities, regardless of the complexity of the services involved.

d. *List of HUD-approved Housing Counseling Agencies.* Pursuant to section 106 (C)(5) of the Housing and Urban Development Act of 1968, HUD maintains a list of all HUD-approved and HUD-funded counseling agencies, including contact information that interested persons can access. All HUD-approved LHCA's and their branches, and all sub-grantees and their branches that receive funding under Applicant Categories 2 and 3 of this NOFA will be placed on this list and must accept subsequent referrals, or when they do not provide the services sought, refer the person to another organization in the area that does provide the services.

e. *Non-Discrimination Requirement.* (1) Grant recipients and sub-grantees are prohibited from discriminating on behalf of or against any segment of the population in the provision of services or in outreach.

(2) Organizations funded under this program may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded under this program. If an organization conducts such activities, these activities must be offered separately, in time or location, from the

programs or services funded under this part, and participation must be voluntary for the HUD-funded programs or services.

f. *Indirect Cost Rate.* Grantees that plan to use grant funds to cover direct costs only are not required to provide an indirect cost rate. However, Grantees that plan to use grant funds to cover any indirect costs must submit their approved indirect cost rate established by the cognizant federal agency. If the grantee does not have an established indirect cost rate, it will be required to develop and submit an indirect cost proposal to HUD, or the cognizant federal agency as applicable, for determination of an indirect cost rate that will govern the award. Applicants that do not have a previously established indirect cost rate with a federal agency shall submit an initial indirect cost rate proposal immediately after the applicant is advised that it will be offered a grant and, in no event, later than three months after the start date of the grant. OMB Circular A-122 established the requirements to determine allowable direct and indirect costs and the preparation of indirect cost proposals, and can be found at <http://www.whitehouse.omb.gov>. Applicants can review Indirect Cost Training on <http://www.hud.gov> at: <http://www.hud.gov/offices/adm/grants/training/training.cfm>.

g. *Economic Opportunities for Low- and Very Low-Income Persons (Section 3).* Section 3 does not apply to Housing Counseling Grants.

h. *Ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Woman-Owned Businesses.* See the General Section for information on this topic.

i. *Subcontracting.* Grantees and sub-grantees must deliver all of the counseling activities set forth in the applicant's work plan provided in Factor 3 of this NOFA. Subcontracting with other entities is permitted only in geographical areas where no HUD-approved housing counseling agency exists; however, the subcontractor must meet HUD's approval standards, listed at III.C.4.c. above.

j. *Conflicts of Interest.* See the General Section. In addition, a grantee or sub-grantee that is using grant funds to pay a subcontractor for housing counseling services pursuant to a housing counseling sub-agreement is prohibited from having a controlling interest in that subcontractor or vice versa. In other words, a grantee or sub-grantee cannot use grant funds to pay for housing counseling services by a subcontractor, if the subcontractor is partially or fully-

controlled by the grantee or sub-grantee, or affiliate or vice versa.

k. *Accessible Technology.* See the General Section.

l. *Participation in HUD Sponsored Program Evaluation.* See the General Section.

#### IV. Application and Submission Information

##### A. Receiving an Application Package

Applicants may download the Instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or email your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and Grants.gov to authenticate that the appropriate organization staff with legal authority to submit the application on behalf of the applicant submitted the application. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting email notification of funding opportunities or downloading the application and should be done prior to downloading the grant application from the Grants.gov web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are or are not registered.

##### B. Content and Form of Application Submission

Please be sure to read the General Section for application submission and timely receipt requirements as HUD is using electronic application submission via [www.Grants.gov](http://www.Grants.gov). In addition to the instructions in the General Section follow the instructions below:

###### 1. Size Limitations and Format for Narrative Statements

Applicants must be as specific and direct as possible. For LHCA's, narrative responses to each factor must be limited to 10 double-spaced, size 12 font, single sided pages. Intermediaries and SHFA's

are limited to 20 double-spaced, size 12 font, single sided page narratives for each factor. Pages in excess of the size limit will not be read. Number the pages of the narrative statements and include a header that includes the applicant's name and the Rating Factor number and title. Within each narrative, clearly identify each sub-factor immediately above the response for that sub-factor. The General Section of the SuperNOFA provides detailed requirements for electronic submission of narrative statements and other documents that are part of the application.

## 2. Application Checklist

The Application Checklist indicates forms, information, certifications and assurances that apply to this NOFA.

### *Housing Counseling NOFA Application Checklist*

- SF-424, Application for Federal Assistance
- SF-424 Supplement—Survey on Ensuring Equal Opportunity for Applicants
  - SF 424A, Budget Information—Non-Construction Programs
  - SF-LLL, Disclosure of Lobbying Activities (if applicable)
  - HUD-27300, Questionnaire for HUD's Initiative on Removal of Regulatory Barriers (optional)
  - HUD-2880, Applicant/Recipient Disclosure/Update Report
  - HUD-2990, Certification of Consistency with the RC/EZ/EC-II Strategic Plan (LHCAs only) (if applicable)
  - HUD-2991, Certification of Consistency with the Consolidated Plan (if applicable)
  - HUD-2994, Client Comments and Suggestions (optional)
  - HUD-96010, Program Outcome Logic Model
  - HUD-96011 Facsimile Transmittal Cover Page
  - HUD-9902, Housing Counseling Agency Fiscal Year Activity Report
  - *SHFA Statutory Authority*. SHFAs must submit evidence of their statutory authority to operate as a SHFA, as defined in this NOFA, and must submit evidence of their authority to apply for funds and subsequently use any funds awarded.
  - *Written Agreement with a PHA*. Applicants applying for Supplemental Funding for Homeownership Voucher Counseling, and applicants proposing to counsel clients in conjunction with HUD's Homeownership Voucher Program with comprehensive counseling funds, must provide a copy of a written agreement from each Public Housing Authority (PHA) with which

the applicant, and proposed sub-grantees and branches, have entered into an agreement, as described in Section III of this NOFA.

- *Letters, Contracts, MOUs* and/or other documentation that demonstrates working relationships.
- *Letters, Contracts, MOUs* and/or other documentation that shows leveraged resources.
- *List of all offices*. *Intermediaries* must provide a list of the states in which they maintain offices, including the central office and all affiliates or branch offices. Provide this information for all affiliates and branch offices, not just the ones the applicant proposes to fund through this grant. Indicate with an asterisk or other notation those that will be funded through this grant and the amount, if known.
- *Organization Description*. Applicants must provide a brief description, no more than 225 words, of their organizational history and activities, as they would like them to appear in the press release issued by HUD in the event that the applicant is funded through this NOFA.
  - Copy(s) of disclosure forms used by the housing counseling agency or SHFA to inform clients they are not required to use other services or products offered by the housing counseling agency or SHFA or any of its associates.
  - Narrative statements as required in this NOFA.

### *C. Submission Dates and Times*

1. *Application Submission Date and Proof of Timely Submission*. The application submission date is June 6, 2005. Please be sure to read the General Section for timely submission and receipt requirements as submission requirements have substantially changed this year. Failure to follow the submission requirements and procedures may affect your ability to receive an award of funds.

### *D. Intergovernmental Review*

The Housing Counseling Program is not subject to Intergovernmental Review.

### *E. Funding Restrictions*

1. *Funding* is limited to the eligible activities described in Section III.C of this NOFA.
2. *Pre-award Costs*. Grantees may incur pre-award costs not more than 90 calendar days prior to the effective date of the grant agreement and only with prior approval from HUD. All pre-award costs are incurred at the applicant's risk and HUD has no obligation to reimburse such costs if the award is inadequate to cover such costs or the award offer is

withdrawn because of the applicant's failure to satisfy the requirements of this NOFA.

*F. Other Submission Requirements* See the General Section. Please read the General Section instructions for submission of third-party documents by facsimile or by scanning and attaching to Grants.gov submission package.

## V. Application Review Information

A. *Criteria*. The Factors for Award, and maximum points for each factor, are outlined below. These factors will be used to evaluate all applications. The maximum number of points for each applicant is 102 for LHCAs and 100 for all other applicants.

1. *Bonus Points*—"RC/EZ/EC-II". ONLY LHCAs are eligible for 2 bonus points. See the General Section for information regarding "RC/EZ/EC-II" bonus points.

2. *Additional Information*. HUD may rely on information from performance reports, financial status information, monitoring reports, audit reports, and other information available to HUD to make score determinations to any relevant Rating Factor.

3. *Responses to Factors for Award*. Responses to the following rating factors should provide HUD with detailed quantitative and qualitative information and relevant examples regarding the housing counseling work of the organization.

The Rating Factors contain requests for additional information from applicants interested in supplemental funding. Applicants who propose to use the Comprehensive portion of their award for these activities must also respond to the requirements defined for each category the applicant proposes to provide services in.

In responses to the various factors and sub-factors, intermediaries and SHFAs should not submit a separate response for each proposed sub-grantee and branch, but should provide a brief profile of each and summary response for their entire network, highlighting individual activities, partnerships, needs and/or results when appropriate.

*a. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Staff (30 Points)* HUD uses responses to this Rating Factor to evaluate the readiness and ability of an applicant and proposed sub-grantee and branch staff, to immediately begin, and successfully implement, the proposed work plan detailed in Rating Factor 3. HUD will also evaluate how effectively the applicant managed work plan adjustments that may have been required if performance targets were not met within established timeframes and how often work plan adjustments were required.

(1) Applicants must provide the following information to support evaluation of this Rating Factor. Information may be provided in a chart or table.

(a) Number of full-time (35 hours + per week) housing counselors working for the applicant and, if applicable, proposed sub-grantees or branches;

(b) Number of part-time housing counselors working for the applicant and, if applicable, proposed sub-grantees or branches;

(c) Number of bilingual housing counselors working for the applicant and, if applicable, proposed sub-grantees or branches;

(d) Average years of housing counseling experience for counselors working for the applicant and, if applicable, proposed sub-grantees or branches;

(e) Average years of housing counseling program management experience for the project director(s) for the applicant and, if applicable, proposed sub-grantees or branches;

(f) For intermediaries and SHFAs, the number of sub-grantees and branches that received funding from the applicant through a FY2003 HUD housing counseling grant(s), if applicable, covering the period October 1, 2003–September 30, 2004.

*(2) Knowledge and Experience (14 points)*

Using the information provided above, demonstrate that the applicant, including proposed sub-grantees and branches, has sufficient personnel with the relevant knowledge and experience to implement the proposed activities in a timely and effective manner, and bilingual language skills, if appropriate.

Specifically, for LHCA's, scoring will be based on the number of years of recent and relevant experience of Housing Counseling Program project directors and recent housing counseling and relevant experience of housing counselors.

For intermediaries and SHFAs, scoring will be based on: the number of years of recent and relevant experience of project directors of proposed sub-grantees and branches; the number of years of recent housing counseling and relevant experience of counselors in proposed sub-grantees and branches; and the number of years, for key intermediary or SHFA personnel, of recent experience running a housing counseling program consisting of a network of multiple housing counseling agencies. HUD will award higher scores to applicants with more experienced staff and management.

Related experience, such as experience in mortgage lending, will also be considered, but will not be weighted as heavily in the scoring as direct housing counseling or housing counseling program management experience. HUD will also factor in other information that demonstrates the capacity of the applicant, such as relevant staff trainings, competency exams, and certifications. HUD will award higher scores to applicants with staff and management that have the greatest combination of experience, training and demonstrated competency.

(a) Submit the names and titles of employees, including subcontractors and consultants who will perform the activities proposed in the applicant's work plan in Rating Factor 3. Clerical staff should not be listed. Describe each employee's, subcontractor's, or consultant's relevant professional background and experience, and bilingual language skills, if applicable. Experience is relevant if it corresponds directly to projects of a similar scale and purpose. Individual descriptions should be limited to one page, and do not count toward narrative page limitations. Provide the number of years of experience for each position listed, and indicate when each position was held. Indicate whether the position is full-time or part-time, and in the case of part-time positions, provide the number of hours per week.

Intermediaries and SHFAs should summarize in a single chart listing, each applicable employee, subcontractor, and consultant of proposed sub-grantees or branches, the number of years of direct counseling or counseling program management experience, and the number of years of relevant experience. Please total each column.

(b) All applicants must indicate whether counselors in their agency and proposed sub-grantees and branches are required to take and pass an exam that evaluates housing counseling competency as a condition of employment. Describe the test and

testing process and how test results are used to measure the capability of an employee.

(c) Indicate for each counselor listed the specific counseling activities with which they have experience, distinguishing between group sessions and one-on-one counseling, and the relevant number of years of experience for each counseling type. In scoring this section, HUD will evaluate whether the applicant has experience providing the proposed services.

Applicants for supplemental funding for Homeownership Voucher Counseling must provide detailed information regarding the Homeownership Voucher Program-related experience of the applicant and each PHA with whom the applicant, or its proposed sub-grantees and branch offices, have a written commitment to partner, including the number of years of experience that the applicant and partnering PHA(s) have working with HUD's Homeownership Voucher Program. If different from the applicant, explain what counseling agency or other organization provided the housing counseling related to the PHA's program.

Similarly, applicants for supplemental funding for Predatory Lending, HECM and Colonias must specify the predatory lending, HECM or Colonias-specific experience of project directors and counselors and the organization. Applicants for Colonias supplemental funding must also highlight the bilingual capacity of relevant counselors.

(d) Indicate for all housing counselors and project directors the specialized trainings and certifications received relevant to the proposed activities. Include when the training was received and who provided it.

Applicants for supplemental funding must also indicate whether or not staff has received recent and relevant specialized training. For example, applicants for supplemental funding for predatory lending must indicate if relevant personnel received FHA loss mitigation training or other training relevant to predatory lending. Applicants that seek supplemental funds for HECM counseling must indicate what relevant training and certifications counselors received to qualify them as HECM counselors. Likewise, specific training for Homeownership Voucher and Colonias should be highlighted.

(e) Indicate if the applicant, affiliates and branches, utilized an on-line Client Management System during the grant period October 1, 2003, to September 30, 2004. If a system was used, identify

which system, how long it has been used and whether or not it is web based. If the applicant does not currently use an on-line or web-based system but plans to in the coming grant period, October 1, 2005 through September 30, 2006, indicate which system will be used, whether or not it is web based, and how its use will be implemented in terms of training employees to use it and its ability to improve client services and generate reports.

*(3) Grant and Compliance Management (6 points)*

In scoring this Section, HUD will examine its files and evaluate how well the applicant managed administration and met the requirements, including reporting and grant document execution, of its FY2003 HUD housing counseling grant, for the grant period October 1, 2003, to September 30, 2004, and its ability to spend all grant funds allotted. If the applicant did not receive an FY2003 HUD grant, it must provide a response, with sufficient detail for HUD to evaluate management, based on activities and requirements under other sources of funding, such as other federal, state, or local grant awards. Identify the source(s), amount(s), how funds were used for housing counseling and related activities and whether work was completed during the period of performance.

(a) HUD will evaluate the applicant's performance with regard to the timeliness and completeness with which they satisfied grant document execution and reporting requirements including quarterly (if applicable), mid-term and final reports.

(b) If grant awards were not fully expended during the grant period October 1, 2003, to September 30, 2004, indicate the percentage of funds that were not spent, and provide an explanation as to the reason why and the steps the applicant has taken to ensure that future funding will be expended according to the terms of the grant agreement. To receive full credit, either 100 percent of grant funds must have been expended in a timely manner or all goals must have been achieved prior to expending 100 percent of grant funds. If goals were achieved with fewer funds, state so and briefly provide details of efficiencies realized (if any).

(c) *Biennial Performance Reviews.* Significant findings on biennial performance reviews conducted by HUD staff will be taken into consideration when scoring this section. Explain how the applicant has taken steps to address and correct any significant findings, if applicable.

*(4) Management—Goals and Results (10 points)*

Applicants that received a FY2003 housing counseling grant covering the period October 1, 2003 to September 30, 2004 were required to submit a Program Outcome Logic Model, Form HUD-96010, which reflected an effective, quantifiable, outcome-oriented evaluation plan for measuring performance. The Logic Model was to identify what would be measured, how it would be measured, and the steps the applicant would take to make adjustments to the work plan if performance targets were not met within established timeframes. Specifically, the plan had to identify:

(a) *Outputs.* Outputs are the direct products of the applicant's activities that lead to the ultimate achievement of outcomes. Examples of outputs include, but are not limited to, the number of individual counseling sessions, the number of group sessions to be provided, the number of materials to be distributed, and outreach activities. Interim and full grant term outputs, and time frames for accomplishing these goals. The plan must have shown how the applicant would measure actual accomplishments against anticipated achievements.

(b) *Work Plan Adjustments.* A description of steps in place to make adjustments to the work plan if outputs are not met within established time frames or if the applicant begins to fall short of established outputs and time frames. Intermediaries and SHFAs should have indicated if and how the performance of sub-grantees and branch offices affects current and future sub-grants and allocations.

(c) *Outcomes.* Outcomes are benefits accruing to the families as a result of participation in the program. Outcomes are performance indicators the applicant expects to achieve or goals it hopes to meet over the term of the proposed grant. For the period October 1, 2003–September 30, 2004, the anticipated outcomes for clients as a result of the proposed grant were required as part of the Logic Model. The required outcome categories are:

- The number of individuals receiving pre-purchase counseling who will purchase a home;
- The number of individuals receiving pre-purchase counseling who are working toward becoming mortgage ready;
- The number of individuals receiving pre-purchase counseling who, after evaluating their unique financial situation and the costs of

homeownership, will elect not to purchase a home;

- The number of individuals receiving default counseling who will successfully avoid foreclosure;
- The number of individuals seeking help in locating or securing residence in rental housing who found alternative rental housing;
- Applicants proposing to address predatory lending should indicate the number of clients affected by predatory lending counseled that will have their mortgage modified, refinanced, or otherwise assisted to avoid foreclosure.

These specific outcomes correspond to the Form HUD-9902.

Applicants who received a FY2003 Housing Counseling Grant must explain differences in goals and actual results in narrative form including any changes in measurement reporting tools and/or the evaluation process as a result of variations in output and outcome goals and results. For purposes of scoring this sub-factor, HUD's primary concern is how the applicant managed change, when needed, within the organization as well as a clear and reasonable explanation as to why goals were not met, or why they were exceeded, and what steps were taken organizationally to accommodate either scenario. Applicants who did not receive a FY2003 Housing Counseling Grant must provide detailed, quantifiable information on housing counseling related goals they did set for their organization and actual results either for the period covering October 1, 2003 to September 30, 2004 or for the 12 month period ending December 31, 2004 if more appropriate to the Applicant's or other grant-required reporting schedule. In narrative form, explain any differences in goals versus actual results and indicate what measurement reporting tools were used as well as the evaluation process. Form HUD-96010-1, Logic Model Instructions, which is part of Form HUD-96010, provides information on what should be included in measurement reporting tools and the evaluation process.

For applicants applying for the predatory lending supplemental funding, identify the number of clients affected by predatory lending that were counseled and able to have their mortgage modified, refinanced, or otherwise assisted to avoid foreclosure. Compare these outcome goals with the applicant's actual performance outcomes for these categories, reported in the Form HUD-9902 submitted with this application, covering the grant period October 1, 2003, to September 30, 2004. Characterize the applicant's performance at meeting its goals



regarding activities for that time period. Explain any differences between goals and results. Describe relevant market conditions and other circumstances that affected reported outcome numbers. If the applicant did not establish outcome projections/goals for these specific categories prior to the grant period October 1, 2003, to September 30, 2004, indicate the specific quantitative goals that it did make, and explain any difference between goals and results.

*b. Rating Factor 2: Need/Extent of the Problem (12 Points)*

This factor addresses the extent to which there is a need for funding the proposed activities described in the applicant's work plan, and the degree to which the applicant's work plan substantively addresses departmental policy priorities.

*(1) Needs Data (6 Points)*

Provide current or recent economic and demographic data, and any other evidence, that demonstrates housing counseling need relevant to the target area. All proposed activities must have corresponding need-related data. Sources for all data provided must be clearly cited. Do not submit copies of reports or tables.

To the extent that the community the applicant serves has documented need in its Consolidated Plan, Analysis of Impediments to Fair Housing Choice (AI), or other planning documents, provide these in the response. Economic and demographic data must include persons with disabilities located in the target area. The U.S. Census Bureau, for example, maintains disability data by state, county, and metropolitan statistical area (MSA) at the following web site: <http://www.census.gov/hhes/www/disability.html>.

Additionally, the HUD USER Research Information Service and Clearinghouse, available at <http://www.huduser.org/>, allows users to search over 800 HUD publications by subjects and keywords.

Applicants applying for *predatory lending* supplemental funding must provide current or recent economic and demographic data, and any other evidence, that demonstrates the prevalence and impact of predatory lending within the target area.

Applicants planning to provide counseling in conjunction with HUD's *Homeownership Voucher Program* must demonstrate that the local market will support affordable homeownership. For example, describe the income and wealth characteristics of Homeownership Voucher Program participants, such as average income as

a percent of area median income, and average savings available for down payment, and then demonstrate the availability in the local market of homes that are affordable to these participants. Intermediaries and SHFAs must provide this information for each sub-grantee or branch included in their application that will engage in this activity.

In scoring this Section, HUD will evaluate the degree to which the applicant is able to provide current or recent economic and demographic data, and any other evidence, that demonstrates housing counseling need relevant to the target area and the activities proposed in projected work plan activities detailed in Rating Factor 3. Applicants that fail to identify current or recent objective data will receive no points for this factor.

*(2) Departmental Policy Priorities (6 Points)*

The Departmental policy priorities are described in detail in the General Section. Of those listed, the following five apply to the Housing Counseling Program for the purpose of this NOFA. Indicate if and describe how the applicant's work plan substantively addresses each of these departmental policy priorities. Applicants are advised to review the policy priorities in the General Section, to assure they fully understand the meaning of each, prior to responding to this sub-factor.

In scoring this section, the applicant will receive one point for each of the departmental policy priorities (a)–(d) that the work plan substantively addresses. Up to 2 points are available for priority (e). The activities the applicant proposes in its projected work plan, detailed in Factor 3 of this NOFA, must address the policy priorities for priorities (a)–(c) in order to receive rating points. Points will only be awarded to applicants for policy priority (e) if the submission includes the required documentation or URL sites where the documentation can be found.

*(a) Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency.*

*(b) Providing Full and Equal Access to Grassroots, Faith-Based and Other Community-Based Organizations in HUD Program Implementation.*

*(c) Participation of Minority-Serving Institutions in HUD Programs.*

*(d) Participation in Energy Star.* Applicants must provide information on how they promote or plan to promote Energy Star materials and practices and

buildings constructed to Energy Star standards to homebuyers, renters and other applicable counseling clients. Describe any outreach activities previously conducted and/or planned to promote Energy Star products.

*(e) Removal of Regulatory Barriers to Affordable Housing.* Under this policy priority, higher rating points are available to (1) governmental applicants that are able to demonstrate successful efforts in removing regulatory barriers to affordable housing and (2) nongovernmental applicants that are associated with jurisdictions that have undertaken successful efforts in removing barriers. To obtain the policy priority points for efforts to successfully remove regulatory barriers, applicants must complete form HUD-27300, "Questionnaire for HUD's Initiative on Removal of Regulatory Barriers." A limited number of questions on form HUD-27300 expressly request the applicant to provide brief documentation with its response. Other questions require that, for each affirmative statement made, the applicant supply a reference, URL or brief statement indicating where the back-up information may be found, and a point of contact, including a telephone number or e-mail address. Applicants that do not provide the URL references or documentation will not get the policy priority points.

The General Section and HUD's Notices identify how policy priority points will be awarded. Copies of HUD's notices published on this issue, can be found on HUD's web site at <http://www.hud.gov/grants/index.cfm>.

*c. Rating Factor 3: Soundness of Approach/Scope of Housing Counseling Services (40 Points)*

This factor addresses the quality and effectiveness of the applicant's historical and proposed housing counseling activities.

(1) *Historical Performance* includes information on Housing Counseling services conducted during the period *October 1, 2003 through September 30, 2004*. Applicants must provide the following information, which will be used as a basis to support the scoring of sub-factors V.A.3.c (2) and V.A.3.c (3). Responses to V.A.3.c(2) and V.A.3.c (3) should contain "Historical Performance" as part of the heading for the response.

(a) Average hours of housing counseling per client, for the period October 1, 2003, through September 30, 2004, for each of the following service types, including follow-up, the applicant organization provides:

(i) Pre-purchase Counseling



- (ii) Homebuyer Education
- (iii) Delinquency/Default Counseling
- (iv) Non-Delinquency Post-Purchase Counseling
- (v) Home Equity Conversion Mortgage (HECM) Counseling
- (vi) Post-Purchase Education
- (vii) Rental Counseling
- (viii) Homeless/Displacement Counseling
- (ix) Predatory Lending Counseling
- (x) Homeownership Voucher Counseling and Education
- (xi) Other (describe)

(b) FY2003 HUD housing counseling grant(s) or sub-grant(s), if applicable. If the applicant received one or more FY2003 HUD housing counseling grants or sub-grants covering the period October 1, 2003–September 30, 2004, make sure that these grants are properly recorded in Section 8 of the Form HUD–9902 that was submitted through HUD’s Housing Counseling System (HCS). Applicants that were not required to submit Form HUD–9902 must complete one as part of this application filling in the “All Activities” column only.

(c) FY2003 total housing counseling budget, covering the period October 1, 2003–September 30, 2004, including HUD housing counseling grant(s) or sub-grants, if applicable, as well as other resources leveraged specifically for housing counseling. Do not include funds for down payment or closing cost assistance, Individual Development Accounts, emergency services, or other resources not used for the direct provision of housing counseling.

(d) The number of clients recorded on the Form HUD–9902, covering the period October 1, 2003, through September 30, 2004, that participated only in Homebuyer Education Workshops or other types of classes offered as group sessions:

(i) Under the “HUD Grant Activities” column, if applicable

(ii) Under the “All Counseling Activities” column

(e) The number of clients recorded on the Form HUD–9902 submitted with this application, covering the period October 1, 2003, through September 30, 2004, that participated in one-on-one counseling only:

(i) Under the “HUD Grant Activities” column, if applicable

(ii) Under the “All Counseling Activities” column

(f) If applicable, for the grant period October 1, 2003, through September 30, 2004, indicate:

(i) The number of individuals and families counseled by the applicant that participated in HUD’s Homeownership Voucher Program;

(ii) The number of clients that received one-on-one counseling from

the applicant related to predatory lending, or if applicable, from sub-grantees and branches;

(iii) The results of one-on-one counseling pertaining to predatory lending, including the number of clients for whom loans have been successfully restructured, credit fixed, and the success of other loss mitigation strategies.

(iv) The number of clients that participated in group educational sessions related to predatory lending

(2) *Historical Performance—Quality and Complexity of Services* (6 points).

HUD will evaluate the quality of, the variety of, and the level of effort and time associated with the housing counseling services provided by the applicant during the period October 1, 2003, to September 30, 2004, both with HUD housing counseling grant funds, if applicable, and with other resources leveraged for housing counseling. For applicants that did not receive an FY2003 HUD housing counseling grant, the analysis will be based on services provided with other sources of funding.

(a) Applicants must carefully document the various types of housing counseling and education services provided during the period October 1, 2003, through September 30, 2004, both with FY2003 HUD grant funds, if applicable, and other resources leveraged for housing counseling. Also describe follow-up activities, if applicable.

If applying for supplemental funding for predatory lending, describe the applicant’s activities for the grant period October 1, 2003, to September 30, 2004, in assisting individuals, through outreach and group education, in identifying and avoiding predatory lending. For example, describe group workshops, community meetings, mass media, or material distribution (provide copies of relevant letters, brochures, etc.) Also describe the applicant’s outreach strategy, including the various types of individuals targeted (e.g., sub-prime borrowers, elderly homeowners with substantial equity in their homes, etc.), explain the rationale for targeting specific areas, types of community forums that are effective, methods through which ideas and materials are disseminated, and all other relevant information.

Also, if applicable, describe efforts through one-on-one counseling for the period October 1, 2003, to September 30, 2004, to assist individuals in identifying and avoiding predatory lending, and describe efforts through one-on-one counseling to assist clients affected by predatory lending.

If applying for supplemental Homeownership Voucher Counseling funds, describe counseling and education activities during the period October 1, 2003, to September 30, 2004, performed in conjunction with HUD’s Homeownership Voucher Program.

If applying for supplemental funding for Colonias, describe the applicant’s activities for the grant period October 1, 2003, to September 30, 2004, in assisting individuals in Colonias.

If applying for supplemental funding for HECM counseling describe the applicant’s activities for the grant period October 1, 2003, to September 30, 2004, in assisting individuals that sought HECM counseling.

(b) Describe the level of effort and time required to provide the housing counseling services described in part (a) and to meet the needs of clients. Explain the average counseling time per client figures provided in Section V.A.4.c(1)(a). Scoring will be based on the degree to which the applicant demonstrates that sufficient time and resources were devoted to ensure that clients received quality counseling.

(c) Explain the figures provided in Section V.A.4.c(1)(d)–(f) regarding group session participation and one-on-one counseling. Describe how clients come to participate in one or the other, the relationship between the two, and the role that each plays in the applicant’s overall service provision.

Applicants for supplemental funds should also provide this information for the activities relevant to the specific supplemental funding for which they are applying, which should include only information on clients served exclusive of (over and above) those served with comprehensive funds.

Scorers will evaluate the extent to which an agency encouraged and provided one-on-one counseling, which HUD considers the most effective form of housing counseling, instead of over-relying on homebuyer education workshops and other forms of group sessions.

(3) *Historical Performance—Impact/Outcomes* (7 Points).

To score this Section, HUD will evaluate the applicant’s, and affiliates’ and branches’, clients served numbers for the grant period October 1, 2003 to September 30, 2004. The quantity of clients the applicant was able to serve will be compared to similar applicants providing similar services. Clients served numbers will also be analyzed in the context of the total housing counseling budget, which applicants must provide from FY2003 HUD housing counseling grant(s), including costs; spending decisions; the types of

services provided; level of effort expended; and the performance of similar applicants providing similar services. HUD will also consider the degree to which the services provided are time and resource intensive.

Additionally, HUD will evaluate the geographic coverage of the applicant's activities for the grant period October 1, 2003, through September 30, 2004. For intermediaries and SHFAs, the number of sub-grantees under a FY2003 HUD housing counseling grant(s), if applicable, and the overall size of the housing counseling network during that period will be factors in the scoring.

(a) Indicate how location, type of counseling, client type, and expenses may have affected client volume that appears on the Form HUD-9902, and in Section V.A.4.c(1)(d)-(f), that were served under the column "All Counseling Activities." This total should reflect all the counseling activities performed by the applicant during the period October 1, 2003 through September 30, 2004, both with HUD housing counseling grant funds, if applicable, and with other leveraged resources.

If the applicant received one or more FY2003 HUD housing counseling grants, indicate differences in how the HUD grants were spent compared to other leveraged resources. Justify expenses and explain why they were reasonable, strategic, and appropriate for the counseling activities identified above.

If applying for supplemental funding, quantify the applicant's relevant predatory lending, Homeownership Voucher Counseling, Colonias and/or HECM results during the period October 1, 2003 through September 30, 2004 and provide the total budget for each. For example, if applying for supplemental funding for Homeownership Voucher Counseling, provide the number of families that participated in the applicant's Homeownership Voucher Program in the past complete fiscal year, and the number of current homeowners receiving voucher assistance to date, and other notable outcomes and information demonstrating the effectiveness of the existing program. Provide the same information for PHAs with whom the applicant, and if applicable, proposed sub-grantees and branches have written commitments to partner.

(b) Intermediaries and SHFAs that received one or more FY2003 HUD housing counseling grants, for the grant period October 1, 2003, to September 30, 2004, must also indicate what percentage of their grant(s) was passed through directly to sub-grantees or

branches, and explain how funds not passed through were spent.

LHCAs applying under Applicant Category 1 that received one or more FY2003 HUD housing counseling grants for the grant period October 1, 2003, to September 30, 2004, must indicate what percentage of their grant(s) was spent on the salaries and benefits of housing counselors and project directors. Explain how other funds were spent.

Applicants that did not receive a FY2003 HUD housing counseling grant must characterize their performance through other housing counseling funding sources, providing as much detail, similar to that requested above, as possible.

(c) LHCAs must describe the applicant's geographic coverage for the period October 1, 2003 through September 30, 2004. For example, indicate the percentage of a metropolitan area covered by the grantee. If the LHCA operates in more than one state, indicate which states and the percent of each state covered.

Intermediaries and SHFAs must identify the sub-grantees, affiliates and branches, and corresponding states, to which the applicant provided housing counseling funding, for the period October 1, 2003, through September 30, 2004, through:

(i) FY2003 HUD housing counseling grant funds, if applicable

(ii) All housing counseling resources

(4) *Projected Performance/Work Plan*—Involves information on housing counseling services to be conducted during the period October 1, 2005 through September 30, 2006. Applicants must provide the following information, which will be used in conjunction with responses in Rating Factor 5, as a basis to support the scoring of the sub-factors below. Responses should contain "Projected Performance" as part of the heading for the response.

(a) Average hours of housing counseling time the applicant estimates per client, for each of the activities listed in V.A.3.c(1)(a)(i)-(xi), including follow-up: If the projected average times are the same as those listed for the period covering October 1, 2003–September 30, 2004, the applicant may simply state so in lieu of listing them again here.

The proposed average hourly labor-rate for housing counselors working for the applicant, affiliates, or branch network, if applicable, including benefits.

(b) For intermediaries and SHFAs, the total number of sub-grantees and branches, and corresponding number of states, that the applicant estimates will receive funding through the proposed

FY2005 HUD Housing Counseling Grant. If applying for supplemental funding, indicate the number of sub-grantees and branches the applicant estimates for comprehensive counseling, and for each type of supplemental funding requested.

(c) For intermediaries and SHFAs, the total number of sub-grantees and branches that the applicant estimates will receive funding, specifically for housing counseling, from the applicant, both through the proposed FY2005 HUD Housing Counseling Grant, and other sources of funds, during the grant period October 1, 2005, to September 30, 2006.

(5) *Projected Performance/Work Plan—Quality and Complexity of Services (12 points)*

In scoring this Section, HUD will consider the types and variety of housing counseling and education services being offered, and other activities occurring in support of the applicant's housing counseling program.

HUD will also evaluate the quality of the applicant's proposed housing counseling services, and level of effort and time associated with providing the proposed counseling services to the number of clients it estimates it will serve. Scoring will be based on the degree to which the applicant demonstrates that, for each type of counseling service delivered, average, greater than average or less than average time and resources will be devoted to ensure that clients receive quality counseling.

Additionally, scorers will evaluate the extent to which an applicant will encourage and provide one-on-one counseling, which HUD considers the most effective form of housing counseling, instead of over-relying on homebuyer education workshops and other forms of group sessions.

(a) Describe the various types of housing counseling and education services, and if applicable intermediary activities, including training, the applicant proposes to undertake, and identify the geographic area the services will cover. Also, describe planned follow-up activities, if applicable.

Applicant work plans must include both pre-purchase counseling and post-purchase counseling and a broad array of counseling services in general. Applicants that provide default counseling as part of the work plan will receive more points in this sub-factor than those that do not.

Intermediaries and SHFAs must also:

(i) Describe the housing counseling and education activities to be provided by proposed sub-grantees and branches,

explicitly stating the types of services to be offered, preferably in a chart.

(ii) Describe the applicant's legal relationship with sub-grantees (*i.e.* membership organization, field, or branch office, subsidiary organization, etc.)

(iii) Explain the process that will be used to determine sub-grantee funding levels and distribute funds. If applicable, indicate how sub-grantee funding levels are adjusted on an on-going basis based on performance.

(b) Describe the level of effort and time the applicant anticipates is required to provide the proposed counseling services to, and meet the needs of, the number of clients it indicates in Section V.A.4.c (4)(a)–(d) that it will serve with the proposed grant. Explain and describe the activities corresponding to the average counseling time figures for each counseling type provided in Section V.A.4.c (4)(b).

(c) Explain the figures provided in Section V.A.4.c (4)(c)–(d) regarding proposed group session participation and one-on-one counseling. Describe how clients are selected for one or the other, the relationship between the two, and the role that each will play in the overall service provision.

(d) Indicate the names and titles of employees, including subcontractors and consultants, allocated to each proposed activity, as well as the corresponding staff hours for each task, and demonstrate that the applicant has the human resources to accomplish the proposed activities and serve the number of individuals the applicant proposes to serve. The staff information should include who from Rating Factor 1 will be involved and any new staff, subcontractors or consultants that will be hired for the October 1, 2005–September 30, 2006 grant period.

*(6) Projected Performance/Work Plan—Coordination (5 points).*

HUD will consider the extent to which, as compared to similar applicants, the applicant can demonstrate it will coordinate proposed activities with other organizations, and if applicable with other services and products offered by the applicant's organization, in a manner that benefits their clients. Scoring will also be based on the degree to which the applicant takes steps to avoid conflicts of interest, and discloses to clients that they have a choice in matters such as the loan product they choose and the house that they purchase.

(a) Describe partnerships and efforts to coordinate proposed activities with other organizations, including, but not

limited to, emergency and social services providers, lending organizations, homeowner insurance providers, down payment and closing cost assistance programs, and nonprofit housing providers. For example, describe agreements with lenders regarding non-traditional lending standards. Any written agreements or memoranda of understanding in place should be described and copies provided.

Applicants should also highlight internal products and functions, such as loan products available to clients, down payment and closing cost assistance programs, as well as internal affordable housing programs that can be a resource for clients.

Applicants requesting supplemental funding should highlight the partnerships or internal products that are relevant to the proposed predatory lending, Homeownership Voucher counseling, Colonias or HECM activities. For example, applicants for supplemental funding for predatory lending should also describe relevant partnerships and relationships with other organizations, including state and local government regulatory agencies, Legal Aid groups, and other organizations with whom the applicant collaborates on predatory lending cases and issues, or to whom the applicant refers clients affected by predatory lending.

(b) Describe plans to avoid conflicts of interest, such as methods for disclosing to participants that they are free to choose lenders, loan products, and homes, regardless of the recommendations made by counselors. To receive full credit in this Section, the applicant must provide copies of the disclosure forms and materials used by the applicant to communicate to clients that, while affordable homes, lending products and other forms of assistance might be available through the applicant, and partnerships in which the applicant has entered, the client is under no obligation to utilize these services.

*(7) Projected Performance/Work Plan—Impact/Efficient Use of Resources (10 points).*

In scoring this Section, HUD will evaluate the number of clients that the applicant estimates will be served under the proposed HUD grant, by the applicant and sub-grantees, if applicable, for the grant period October 1, 2005, to September 30, 2006. Scoring will be based on the cost and quantity of clients the applicant proposes to serve, compared historical averages for similar services. Proposed clients served numbers will also be analyzed in the

context of budget, costs, spending decisions, the types of services provided, level of effort expended, etc. HUD will also factor in other information that demonstrates that resources are being used efficiently; for example, the percentage of grant funds intermediaries and SHFAs pass through to sub-grantees. Additionally, HUD will evaluate the geographic coverage of the applicant's proposed activities.

In the case of intermediaries and SHFAs, the number of proposed sub-grantees and branches, the overall size and scope of the counseling network will be a factor in the scoring.

(a) Provide a context for, or qualify the number of clients the applicant projects to serve with the proposed HUD grant. Indicate how location, counseling and client types, and expenses may affect client volume, and whether the impact will be short-term or long-term. Justify proposed expenses and explain why they are reasonable, strategic, and appropriate for the counseling activities identified above.

Explain and justify significant changes, relative to past performance and grant/budget size, in the number of clients the applicant proposes to serve. For example, describe changes in the types of counseling being delivered, costs, etc.

(b) Intermediaries and SHFAs must also indicate what percentage of their proposed award will be passed through directly to sub-grantees and branches, and explain how funds not passed through will be spent.

LHCAs that apply under Applicant Category 1 must indicate what percentage of their proposed award will be spent on the salaries and benefits of housing counselors and project directors. Explain in detail how other proposed funds will be spent.

(c) LHCAs must list all branch offices and indicate if they will be funded through the proposed award. Also, describe the applicant's geographic coverage. For example, indicate the percentage of a metropolitan area that will be covered by the grantee, and if the applicant will operate in more than one state, identify the states and what percent of coverage in each the applicant will provide.

Intermediaries and SHFAs must also identify the sub-grantees and branches, and corresponding states, the applicant proposes will receive funding through this grant award. In the event that different sub-grantees or branches will be selected for comprehensive counseling and/or the supplemental funding types, separately list proposed sub-grantees and branches for each. Applicants unable to precisely identify

proposed sub-grantees and branches to receive funding through the proposed grant must identify the most likely sub-grantees and branches, based on past experience, and explain what process will be used to select actual sub-grantees and branches. Pursuant to the applicable regulations at 24 CFR 84.82(d)(3)(iii) and 85.30(d)(4), grantees must receive HUD's prior written approval for sub-grants.

*d. Rating Factor 4: Leveraging Resources (10 Points)*

HUD housing counseling grants are not intended to fully fund an applicant's housing counseling program, or that of its sub-grantees. All organizations that use housing counseling grant funds are expected to seek other private and public sources of funding for housing counseling to supplement HUD funding. Any agency that does not have other resources available will receive no points for this factor.

Applicants will be evaluated based on their ability to show that they have obtained additional resources for their housing counseling activities, including: direct financial assistance; in-kind contributions, such as services, equipment, office space, labor; etc. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities committed to providing assistance. Grantees will be required to maintain evidence that leveraged funds were actually provided to the agency. These files will be reviewed by HUD staff as a part of the biennial reviews and on-site monitoring visits.

(1) Applicants must provide a comprehensive list of all leveraged funds and in-kind contributions being claimed. Include the amount and the source. All contributions, including cash and third party in-kind, shall be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the criteria set forth in 24 CFR 84.23.

(2) Additionally, resources provided by the applicant may count as leveraged resources. These amounts must include only funds that will directly result in the provision of housing counseling services, but not resources for activities such as down payment and closing cost assistance, IDA programs, and emergency services.

(3) Intermediaries and SHFAs should include information on leveraged resources for their entire counseling network and program, not simply anticipated sub-grantees that will be funded through this application.

(4) Points for this factor will be awarded based on the satisfactory level of leveraging and financial sustainability and the percentage of the applicant's total housing counseling budget that the requested HUD housing counseling funds would represent. Depending on organization type, the following scales will be used to determine scores for this factor:

**LHCAs and SHFAs**

1–25%—10 points  
26–40%—9 points  
41–48%—8 points  
49–55%—7 points  
56–65%—6 points  
66–75%—5 points  
76–85%—4 points  
86–91%—3 points  
92–95%—2 points  
96–99%—1 point

**Intermediaries**

1–15%—10 points  
16–23%—9 points  
24–29%—8 points  
30–35%—7 points  
36–41%—6 points  
42–47%—5 points  
48–53%—4 points  
54–59%—3 points  
60–65%—2 points  
66–99%—1 point

*e. Rating Factor 5: Achieving Results and Program Evaluation (8 Points)*

This factor emphasizes HUD's determination to ensure that applicants meet commitments made in their applications and grant agreements and assess their performance to realize performance goals, and reflects HUD's goal to embrace high standards of ethics, management and accountability.

The purpose of this factor is for the applicant to identify program outputs and outcomes that will allow it and HUD to measure actual achievements against anticipated achievements. Outputs and outcomes must be objectively quantifiable.

In scoring this section, HUD will consider the thoroughness of the response, as well as the appropriateness of the proposed outcomes given the proposed HUD award and past performance, as compared to similar applicants.

*(1) Program Outcome Logic Model (6 Points)*

Applicants must complete and submit Form HUD-96010 identifying activities to be performed, program outputs and outcomes to be achieved with grant funds. Applicants must also submit an effective, quantifiable, outcome-oriented evaluation plan for measuring

performance and determining that output and outcome goals have been met. Applicants must submit a program evaluation plan, consisting of the completed Form HUD-96010, Program Outcome Logic Model, and corresponding narrative, that identifies what will be measured, how it will be measured, and the steps the applicant has in place to make adjustments to the work plan if performance targets are not met within established timeframes. Specifically, the plan must identify:

(a) *Outputs.* Outputs are the direct products of the applicant's activities that lead to the ultimate achievement of outcomes. Examples of outputs include, but are not limited to, the number of individual counseling sessions, the number of group sessions to be provided, the number of materials to be distributed, and outreach activities. Identify interim and full grant term outputs, and time frames for accomplishing these goals. The plan must show how the applicant will measure actual accomplishments against anticipated achievements.

- Provide the following figures. Do not provide ranges or percentages, but a specific numbers of clients. These amounts should represent individuals to be served entirely with HUD housing counseling funding. If, in reality, various funding sources will contribute to the services provided each individual, the applicant must prorate their response to reflect a figure representing services provided with only funding from the proposed grant.

- The total number of clients the applicant projects it and, if applicable, sub-grantees, will serve under the total proposed HUD grant, including all requested supplemental funding.

- If requesting supplemental funding, indicate the specific number of clients the applicant projects it, or if applicable, sub-grantees, will serve under the comprehensive counseling portion of the requested award.

- If requesting supplemental funding, separately indicate for each specific type of supplemental funding being requested, the number of clients the applicant projects it, or if applicable, sub-grantees, will serve under the proposed supplemental funding. The total number of clients that will receive only Homebuyer Education Workshops or other types of classes offered as group sessions with the proposed award in general, and under each of the applicable supplemental funding types.

- The number of clients that will participate in one-on-one counseling only, with the proposed award in general, and under each of the applicable supplemental funding types.

(b) *Work Plan Adjustments*. Describe steps in place to make adjustments to the work plan if outputs are not met within established time frames or if the applicant begins to fall short of established outputs and time frames. National and regional intermediaries and SHFAs should indicate if and how the performance of sub-grantees and branch offices, affects current and future sub-grants and allocations.

(c) *Outcomes*. Outcomes are benefits accruing to the families as a result of participation in the program. Outcomes are performance indicators the applicant expects to achieve or goals it hopes to meet over the term of the proposed grant. For the period October 1, 2005–September 30, 2006, provide the following anticipated outcomes for clients as a result of the proposed grant. In other words, provide the figure that the applicant estimates for that outcome category under the HUD grant activities column on the Form HUD–9902.

- The number of individuals receiving pre-purchase counseling that will purchase a home;
- The number of individuals receiving pre-purchase counseling that are working toward becoming mortgage ready;
- The number of individuals receiving pre-purchase counseling that, after evaluating their unique financial situation and the costs of homeownership, will elect not to purchase a home;
- The number of individuals receiving default counseling that will successfully avoid foreclosure;
- The number of individuals seeking help in locating or securing residence in rental housing that found alternative rental housing;
- Applicants proposing to address predatory lending should indicate the number of clients affected by predatory lending counseled that will have their mortgage modified, refinanced, or otherwise assisted to avoid foreclosure.

These specific outcomes correspond to the Form HUD–9902 data. The proposed outcomes the applicant provides will be compared to actual results in the measurement of grant performance and future grant application evaluations.

(2) *Information Collection* (2 points).

Describe the applicant's procedure for following-up with clients and collection of outcome information.

**B. Review and Selection Process.** Two types of reviews will be conducted.

1. *Technical Review*. First, each application will be reviewed for technical sufficiency, in other words,

whether the application meets the threshold requirements set out in this NOFA and the General Section and whether all required forms have been submitted. The General Section provides the procedures for corrections to deficient applications.

2. *General Review*. The second review considers the responses to the rating factors outlined above and other relevant information. Applications will be evaluated competitively and ranked against all other applicants that applied in the same funding category.

3. *Rating Panels*. Detailed information on the rating review panels appears in the General Section.

4. *Minimum Score for Fundable Applications*. The minimum score for fundable applications is 75 points.

## VI. Award Administration Information

### A. Award Notices

Following selection, applicants will receive notification from HUD regarding their application.

#### 1. Publication of Recipients of HUD Funding

HUD's regulations at 24 CFR Part 4 provide that HUD will publish a notice in the **Federal Register** to notify the public of all decisions made by the Department. Please see the General Section for more information on this topic.

#### 2. Debriefing

Applicants may receive a debriefing on their application submission. Please see the General Section for a further discussion of the time frame in which the debriefing request may be submitted.

### B. Administrative and National Policy Requirements

#### 1. Environmental Requirements

In accordance with 24 CFR 50.19(b)(9) and (12) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act and are not subject to environmental review under the related laws and authorities.

#### 2. Audit Requirements

Grantees that expend \$500,000 or more in federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR part 84. Additional information regarding this requirement can be accessed at the

following Web site: <http://harvester.census.gov/sac>.

### 3. Other Matters

a. *Relocation*. See the General Section.  
b. *OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs*. See the General Section.

c. *Prohibition Against Lobbying Activities*. See the General Section.

d. *Procurement of Recovered Materials*. See the General Section.

f. *Executive Order 13279 Equal Protection of the Laws for Faith-Based and Community Organizations*. See the General Section.

g. *Salary Limitation for Consultants*. See the General Section.

h. *Executive Order 13132, Federalism*. See the General Section.

i. *Sense of Congress*. See the General Section.

### C. Reporting

#### 1. Fiscal Year Activity Report

Grantees are required to submit Form HUD–9902, Fiscal Year Activity Report, via HUD's web-based Housing Counseling System (HCS). The information compiled from this report provides HUD with its primary means of measuring program performance.

#### 2. Program Outcome Logic Model

Grantees are required to submit an updated Form HUD–96010, Program Outcome Logic Model in accordance with the reporting requirements of the grant agreement. The information in this form provides the primary means through which HUD will monitor the ongoing performance of the grantee.

## VII. Agency Contact(s)

### A. Technical Assistance

For technical assistance in downloading or submitting an application package using <http://www.Grants.gov>, contact the Grants.gov support desk at 800–518-Grants or by sending an e-mail to [support@grants.gov](mailto:support@grants.gov).

### B. Programmatic Information

For program related information, LHCA's and SHFA's should contact the HOC serving their area, as indicated below. Intermediaries should contact HUD Headquarters, Program Support Division at (202) 708–0317 (this is not a toll-free number). Hearing and speech challenged persons may access the telephone numbers listed below by calling the Federal Information Relay Service at 800–877–8339.

Homeownership center	States
<p><i>PHILADELPHIA HOMEOWNERSHIP CENTER</i> Ms. Brenda Bellisario, Acting Director, Program Support Division, Wannamaker Building, 100 Penn Square East, 12th Fl Philadelphia, PA 19107-3389, For programmatic information contact: Robert Wright <i>Robert_Wright@hud.gov</i>. (215) 656-0527 x3406.</p>	<p>Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, Michigan, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia.</p>
<p><i>ATLANTA HOMEOWNERSHIP CENTER</i> Ms. Gayle Knowlson, Director, Program Support Division 40 Marietta Street, 8th Floor Atlanta, GA 30303-2806 For programmatic information contact: E. Carolyn Hogans <i>E_Carolyn_Hogans@hud.gov</i> (404) 331-5001, x2129.</p>	<p>Alabama, Puerto Rico, Florida, Georgia, Illinois, Indiana, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee.</p>
<p><i>DENVER HOMEOWNERSHIP CENTER</i> Ms. Irma Devich, Director, Program Support Division 1670 Broadway Denver, CO 80202-4801 For programmatic information contact: 303-672-5200 Vic Karels x1995 <i>Victor_E_Karels@hud.gov</i> Jonna Munson x1987 <i>Jonna_R_Munson@hud.gov</i>.</p>	<p>Arkansas, Colorado, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wisconsin, Wyoming.</p>
<p><i>SANTA ANA HOMEOWNERSHIP CENTER</i> Mr. Jerrold Mayer, Director, Program Support Division 1600 N. Broadway Suite 100 Santa Ana, CA 92706-3927 For programmatic information contact: Rhonda J. Rivera, <i>rhonda_j_rivera@hud.gov</i> 1-888-827-5605 x3210.</p>	<p>Alaska, Arizona, California, Hawaii, Oregon, Idaho, Nevada, Washington.</p>

## VIII. Other Information

### A. Satellite Broadcast

HUD will hold an informational broadcast via satellite for potential applicants to learn more about the program and the application. For more information about the date and time of the broadcast, consult the HUD Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

### B. Public Access, Documentation, and Disclosure

See the General Section of the SuperNOFA for more information on this topic.

### C. Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2502-0261. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to

average hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, semi-annual reports and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

### Appendix A—Form HUD-9902, Fiscal Year Activity Report

BILLING CODE 4210-32-P

**Budget Information — Non-Construction Programs**

OMB Approval No. 0348-0044

<b>Section A - Budget Summary</b>		Catalog of Federal Domestic Assistance Number (b)		Estimated Unobligated Funds		New or Revised Budget		Total (g)
Grant Program Function or Activity (a)		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)			
1.		\$	\$	\$	\$	\$	\$	\$
2.								
3.								
4.								
5.	Totals	\$	\$	\$	\$	\$	\$	\$
<b>Section B - Budget Categories</b>								
6. Object Class Categories		Grant Program, Function or Activity				Total (5)		
		(1)	(2)	(3)	(4)			
a. Personnel		\$	\$	\$	\$	\$		\$
b. Fringe Benefits								
c. Travel								
d. Equipment								
e. Supplies								
f. Contractual								
g. Construction								
h. Other								
i. Total Direct Charges (sum of 6a-6h)								
j. Indirect Charges								
k. Totals (sum of 6i and 6j)								
7. Program Income		\$	\$	\$	\$	\$	\$	\$

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**Section C - Non-Federal Resources**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
	\$	\$	\$	\$
<b>12. Total (sum of lines 8 - 11)</b>	\$	\$	\$	\$

**Section D - Forecasted Cash Needs**

	Total for 1st Year			
	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$
14. Non-Federal				
<b>15. Total (sum of lines 13 and 14)</b>	\$	\$	\$	\$

**Section E - Budget Estimates of Federal Funds Needed for Balance of the Project**

(a) Grant Program	Future Funding Periods (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
	\$	\$	\$	\$	
<b>20. Total (sum of lines 16-19)</b>	\$	\$	\$	\$	

**Section F - Other Budget Information**

21. Direct Charges	
22. Indirect Charges	

23. Remarks



### Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 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. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### Lines 1-4, Columns (c) through (g)

**For new applications**, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

**For continuing grant program applications**, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

**For supplemental grants and changes** to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

#### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i**—Show the totals of Lines 6a to 6h in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

**Section D. Forecasted Cash Needs**

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

**Lines 16-19**—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

**Line 21**—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23**—Provide any other explanations or comments deemed necessary.

**Housing Counseling Agency  
Fiscal Year Activity Report**

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

OMB Approval No. 2502-0261  
(exp.12/31/2006)

Read the Instructions and Public Reporting Statement on the back of this form.

1. Counseling agency name and address/telephone/fax/contact person/e-mail   Check here if any of this is new information <input type="checkbox"/>	2. Reporting Year (yyyy)  from Oct 1, _____  to Sep 30, _____
------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------

	All Counseling Activities	HUD Grant Activities
<b>3. Ethnicity of Clients (select only one)</b>		
a. Hispanic		
b. Not Hispanic		
<b>4. Race of Clients</b>		
<b>Single Race</b>		
a. American Indian/Alaskan Native		
b. Asian		
c. Black or African American		
d. Native Hawaiian or Other Pacific Islander		
e. White		
<b>Multi-Race</b>		
f. American Indian or Alaska Native <i>and</i> White		
g. Asian <i>and</i> White		
h. Black or African American <i>and</i> White		
i. American Indian or Alaska Native <i>and</i> Black or African American		
j. Other multiple race		
<b>5. Income Levels</b>		
a. < 50% of Area Median Income (AMI)		
b. 50 - 80% of AMI		
c. 80 - 100% of AMI		
d. >100% AMI		
<b>6. Numbers of Clients Receiving Educational/Outreach Services (if client also receives counseling, please include in count below)</b>		
a. Completed Homebuyer Education Workshop		
b. Completed Post-Purchase Homeowner Workshop		
c. Sought Help with Fair Housing Issue		
d. Sought Help with or Attended Workshop on Predatory Lending		
<b>7. Numbers of Clients Counseled, by Purpose of Visit and Results</b>		
a. Seeking Pre-Purchase Homebuyer Counseling		
Purchased Housing		
Client will be Mortgage Ready within 90 Days		
Client will be Mortgage Ready after 90 Days; Receiving Long-Term Prepurchase Counseling		
Entered Lease Purchase Program		
Decided Not to Purchase Housing; No Further Effort to Prepare Needed		
Other		
Total		
b. Seeking Help with Resolving or Preventing Mortgage Delinquency		
Brought Mortgage Current		
Mortgage Refinanced		
Mortgage Modified		
Received Second Mortgage		
Initiated Forbearance Agreement/Repayment Plan		
Executed a Deed-in-Lieu		
Sold Property/Preforeclosure Sale, Chose Alternative Housing Solution		
Mortgage Foreclosed		

7. Numbers of Clients Counseled, by Purpose of Visit and Results (continued)

	All Counseling Activities	HUD Grant Activities
Currently Receiving Foreclosure Prevention/Budget Counseling		
Partial Claim		
Other		
Total		
c. Seeking Help Converting Home Equity into Cash or Seeking Better Mortgage Loan Terms		
Obtained a Home Equity Conversion Mortgage (HECM)		
Received Home Equity or Home Improvement Loan		
Received Consumer Loan (Unsecured)		
Mortgage Refinanced		
Referred to Other Social Service Agency		
Sold House, Chose Alternative Housing Solution		
Counseled on HECM; Decided Not to Obtain Mortgage		
Currently Receiving Counseling		
Other		
Total		
d. Seeking Help in Locating, Securing, or Maintaining Residence in Rental Housing		
Received Housing Search Assistance		
Obtained Temporary Rental Relief		
Referred to Agency with Rental Assistance Program		
Advised on Recertification for HUD/Other Subsidy Program		
Referred to Other Social Service Agency		
Counseled or Referred to Legal Aid Agency for Eviction or Other Fair Housing Assistance		
Found Alternative Rental Housing		
Decided to Remain in Current Housing Situation		
Entered Debt Management/Repayment Plan		
Currently Receiving Counseling		
Other		
Total		
e. Seeking Shelter or Services for the Homeless		
Occupied Emergency Shelter		
Occupied Transitional Housing		
Occupied Permanent Housing with Rental Assistance		
Occupied Permanent Housing without Rental Assistance		
Referred to other Social Service Agency		
Remained Homeless		
Currently Receiving Counseling		
Other		
Total		

8. HUD Grant Activity - Summary Data

HUD Grant No.	HUD Grant Amount	Number of Clients	Amount Invoiced
	Total		

9. Name of Person Authorized to Sign this Report

Title	
Signature	Date

### Instructions for Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report

This **HUD Fiscal Year** Activity Report enables a HUD-approved housing counseling agency to report all of its housing counseling activity for clients with housing needs and problems.

- 1. Counseling Agency Name & Address** - Enter the official name of your agency in the format you submitted to HUD. If the data you enter is new, check the box indicating this change.
- 2. Enter Report HUD Fiscal Year** - This is an annual report covering the HUD Fiscal Year. Indicate the HUD Fiscal Year covered by the report. Even if your agency was approved by HUD for less than the full year report period, include clients counseling during the full report year.

- 3. Ethnicity of Clients** Enter number of clients to whom you provided counseling during this period. If your client came in for homebuyer education or fair housing in addition to other types of counseling, do not count them twice.

Hispanic or Latino - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic or Latino."

Not Hispanic or Latino - A person not of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

#### 4. Race of Clients Categories -

American Indian or Alaskan Native - A person having origins with any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community recognition.

Asian - A person having origins with 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 with in of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black or African American."

Native Hawaiian or Other Pacific Islander - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

- 5. Income Levels** - Enter the client's income level based on the percentage of the Area Median Income (AMI), adjusted for family size.

### 6. Number of Clients Receiving Educational or Outreach Services

**Homebuyer Education (6a).** Enter data for clients who completed a homebuyer education course or workshop. Homebuyer education differs from counseling in that it is usually conducted in a group setting and is not tailored to the unique circumstance of the individual. Counseling goes beyond the general education, is more rigorous, and involves one-on-one and longer-term relationships. Note that you will also count the client who receives or is receiving counseling under the prepurchase counseling heading.

**Post-Purchase Homeowner Workshop (6b).** Enter data for clients who completed a post-purchase homeowner education course or workshop. This includes topics such as budgeting and financial management, real estate taxes and insurance, and property maintenance. Please also count the client who supplements education with one-on-one counseling under the appropriate counseling heading.

**Fair Housing (6c).** Enter data for clients who, in addition to seeking other types counseling as described on this form, had issues affecting a protected class as defined under the Fair Housing Act, 42 USC 3601-3631. The law prohibits discrimination on basis of race, color, religion, sex, handicap, or familial status. Remember to include these clients under the appropriate type of counseling sought.

**Predatory Lending (6d).** Enter data for clients who attended a predatory lending workshop or outreach program. Please also count the client who supplements education with one-on-one counseling under the appropriate counseling heading.

### 7. Number of Clients Counseled, by Purpose of Visit and Results.

#### General

**Clients** - Please remember that you report clients as the number of individual households you counseled.

#### Examples:

- a. A **husband and wife** or a **brother and sister** or **three friends** who are mortgagors under the same note count as **one client**.
- b. **Three renting families** who experience the **same problem** with the **same landlord** and come to your agency together for assistance and receive the same problem resolution count as **one client**.

**Columnar Entries** - The report contains two data columns.

- c. **All Counseling Activities** - Enter data covering all housing counseling activities, including those performed under one or more HUD housing counseling grant. **Results of**
- d. **HUD Grant Activities** - Enter data covering only counseling provided under one or more HUD counseling grants during the report period. Include this data in the "All Counseling Activities" column.

**Other** - Throughout the form, "other" provides a general category into which you place clients who do not fall under any specific category on the form.

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**Instructions for Form HUD-9902 continued**

**Counseling (7a through 7e)** - Enter the number of clients to whom you provided counseling during the report period, by the purpose of their visit and results. This count might include clients who entered your workload the previous report period but who carried over into and received counseling during the current report period. Enter the client count in the box that best describes the status of the clients when they first entered your workload.

**Counseling (7a through 7e) continued** -For each of the five types of counseling sought, enter data for the appropriate results listed. NOTE: You might achieve more than one result for the same client during the report year. In the rare event that there is more than one result, **please report only one**. You should select the result that most closely relates to the counseling received.

**Example:** A mortgagor in default enters into a **forbearance agreement** and later **sells the property**. You report the first result because the counseling enabled the client to seek and enter into forbearance. Also, in the Pre-Purchase Counseling outcomes, enter the client as mortgage ready after 90 days, if the client has entered a homebuyer savings plan, debt management plan, or some other type of long-term financial plan to prepare for homeownership.

**8. HUD Grant Activity - Summary Data** - Enter summary data from the "HUD Grant Activities" column for each grant under which you provided counseling during the report period. In the "Total" row, enter totals for the "No. of Clients" and the "Amount Invoiced" columns.

**9.** An authorized staff person must sign and date the report.

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**Public reporting burden** for this collection of information is estimated to average 1.17 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.

This information is collected in connection with HUD's Housing Counseling Program, and will be used by HUD to determine that the grant applicant meets the requirements of the Notice of Funding Availability (NOFA) and to assign points for awarding grant funds on a competitive and equitable basis. The information is required to obtain funding under Section 106 of the Housing and Community Development Act of 1974. The information is considered sensitive and is protected by the Privacy Act which requires the records to be maintained with appropriate administrative, technical and physical safeguards to ensure their security and confidentiality.

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**Budget Information — Non-Construction Programs**

OMB Approval No. 0348-0044

<b>Section A - Budget Summary</b>		Estimated Unobligated Funds		New or Revised Budget		Total (g)
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5.	Totals	\$	\$	\$	\$	\$
<b>Section B - Budget Categories</b>						
6. Object Class Categories		Grant Program, Function or Activity			Total (5)	
		(1)	(2)	(3)		
a. Personnel		\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. Totals (sum of 6i and 6j)						
7. Program Income		\$	\$	\$	\$	\$

**Section C - Non-Federal Resources**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. Total (sum of lines 8 - 11)	\$	\$	\$	\$

**Section D - Forecasted Cash Needs**

	Total for 1st Year	Future Funding Periods (Years)			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. Total (sum of lines 13 and 14)	\$	\$	\$	\$	\$

**Section E - Budget Estimates of Federal Funds Needed for Balance of the Project**

(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. Total (sum of lines 16-19)	\$	\$	\$	\$

**Section F - Other Budget Information**

21. Direct Charges

22. Indirect Charges

23. Remarks



### Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 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. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### Lines 1-4, Columns (c) through (g)

**For new applications**, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

**For continuing grant program applications**, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

**For supplemental grants and changes** to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

#### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-f**—Show the totals of Lines 6a to 6f in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

**Section D. Forecasted Cash Needs**

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

**Lines 16-19**—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

**Line 21**—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23**—Provide any other explanations or comments deemed necessary.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**LEAD-BASED PAINT HAZARD CONTROL  
GRANT PROGRAM**

Billing Code 4210-32-C

## Lead-Based Paint Hazard Control Grant Program

### Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control

B. *Funding Opportunity Title:* Lead-Based Paint Hazard Control Grant Program

C. *Announcement Type:* Initial announcement

D. *Funding Opportunity Number:* FR-4950-N-25; OMB Approval Number 2539-0015

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s):* 14.900 Lead-Based Paint Hazard Control in Privately Owned Housing

F. *Dates:* For 2005 HUD is accepting electronic applications utilizing Grants.gov. The application submission date is June 7, 2005. Applications submitted through [www.grants.gov](http://www.grants.gov) must be received by Grants.gov no later than 11:59:59 p.m. eastern time on June 7, 2005. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. See the General Section for specific instructions for application submissions procedures, timely filing, methods, acceptable proof of application submission and receipt procedures, and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date. Applicants receiving a waiver of the electronic submission requirement must submit their application to the United States Postal Service for delivery no later than 11:59:59 p.m. eastern time on the application submission date. Please carefully read the submission and timely receipt requirements in the General Section.

### G. *Optional, Additional Overview Content Information:*

1. Purpose of the Program. The purpose of the Lead-Based Paint Hazard Control Grant Program is to assist states, Native American Tribes and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately owned housing for rental or owner-occupants.

2. Available Funds. Approximately \$93.6 million.

3. Eligible Applicants. To be eligible to apply for funding under this program, the applicant must be a state, Native American Tribe, city, county, or similar unit of local government. Multiple units

of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a lead applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. If you are a state or Tribal applicant, you must have a Lead-Based Paint Contractor Certification and Accreditation Program authorized by the Environmental Protection Agency (EPA). Current grantees with grants ending after December 31, 2005 are not eligible to apply.

4. Match. A statutory minimum of 10 percent match is required.

### Full Text of Announcement

#### I. Funding Opportunity Description

##### A. Program Description

The Lead-Based Paint Hazard Control Program is authorized by Section 1011 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102-550). HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005. The Lead-Based Paint Hazard Control Grant Program assists states, Native American Tribes and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately owned rental and owner-occupied housing units. Refer to Section II.C.2, below, for instructions on downloading a table, "Eligibility of HUD Assisted Housing," that lists the HUD-associated housing programs that meet the definition of eligible housing under this program. HUD is interested in promoting lead hazard control approaches that result in the reduction of elevated blood lead levels in children for the maximum number of low-income families with children under six years of age, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and replicable elsewhere. Copies of HUD's Lead-Safe Housing Regulation, and the companion publication "Interpretive Guidance: The HUD Regulation on Controlling Lead-Based Paint Hazards in Housing Receiving Federal Assistance and Federally Owned Housing Being Sold," are available from the National Lead Information Clearinghouse at 1-800-424-LEAD (this is a toll-free number). If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Copies are also available from the Office of Healthy Homes and

Lead Hazard Control Web site at: [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead).

1. Because lead-based paint is a national problem, these funds will be awarded to programs which:

a. Maximize the combination of children under six years of age protected from lead poisoning and housing units where lead-hazards are controlled;

b. Target the reduction of elevated blood lead levels in children for the maximum number of low-income families with children under six years of age, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and replicable elsewhere.

c. Stimulate cost-effective approaches that can be replicated;

d. Emphasize lower cost methods of hazard control;

e. Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and

f. Affirmatively further fair housing and environmental justice.

2. The objectives of this program include:

a. Implementation of a national strategy, as defined in Title X of the Housing and Community Development Act of 1992 (42 U.S.C. 4851 *et seq.*) (Title X), to build the community's capacity necessary to eliminate lead-based paint hazards in housing, as widely and quickly as possible by establishing a workable framework for lead-based paint hazard identification and control;

b. Mobilization of public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards;

c. Development of comprehensive community approaches which result in integration of all community resources (governmental, grassroots community-based nonprofit organizations, including faith-based organizations, or other community-based organizations, and private businesses) to address lead hazards in housing;

d. Integration of lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs that will continue after the grant period ends;

e. Establishment of a public registry (listing) of lead-safe housing or inclusion of the lead-safe status of properties in another publicly accessible address-based property information

system to be affirmatively marketed to families with young children; and

f. To the greatest extent feasible, promotion of job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994).

### 3. Changes in FY2005 Competitive NOFA.

a. The page limit for the narrative response to the rating factors has been reduced from 25 to 15 pages.

b. Applicants are to complete and submit the Rating Factor Tables included in Section IV of this NOFA.

c. The minimum percentage of the federal funds requested identified for direct lead hazard control activities has been increased from 60 to 65 percent with temporary relocation now included as a direct lead hazard control activity. Direct lead hazard control activities consist of dust testing, combined lead paint inspection and risk assessments, interim controls, abatement of lead hazards, temporary relocation, and clearance examinations. Direct hazard control activities do not include blood lead testing of residents or workers, housing rehabilitation, training, community education and outreach, applied research, purchase of supplies or equipment, or administrative costs.

## II. Award Information

### A. Funding Available

Approximately \$93.6 million will be available for the Lead-Based Paint Hazard Control Grant Program. Approximately 32 to approximately 40 grants will be awarded. Grant award amounts shall be from approximately \$1 million up to a maximum of \$3 million per grant. Of the total grants, a maximum of \$32.7 million will be made available to applicants eligible for a Competitive Performance-Based Renewal grant, as defined below in Section III.A.1.b. Competitive Performance-Based Renewal award amounts shall be approximately \$2 million up to a maximum of \$4 million per grant. We anticipate awarding approximately seven to approximately ten grants to Competitive Performance-Based Renewal applicants. Approximately \$60.9 million will be awarded to new, current and previously funded applicants not awarded Competitive Performance-Based

Renewal grants, as defined below in Section III.A.1.a. Grant award amounts for these grants shall be from approximately \$1 million up to a maximum of \$3 million per grant. The project duration shall be 36 months for all grant recipients. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.25(e)(2) and the OHHLHC Program Guide. Such extensions, when granted, are one time only, and for no longer than a period of one year.

### B. Contracts or Other Formal Arrangements With Grassroots Community-Based Nonprofit Organizations, Including Faith-Based Organizations

If selected for funding, local and State applicants are encouraged to enter into formal arrangements with grassroots community-based nonprofit organizations, including faith-based organizations. (This does not apply to Native American Tribes.) These formal arrangements could be a contract, a Memorandum of Understanding (MOU), a Memorandum of Agreement (MOA), or a letter of commitment. Such relationships should be established prior to the actual execution of an award or within 120 days of the effective start date of the grant agreement.

## III. Eligibility Information

See the General Section for additional eligibility requirements applicable to HUD Programs.

### A. Eligible Applicants

1. To be eligible to apply for funding under this program, the applicant must be a State; Native American tribal government; or a city, county, or similar unit of local government. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a lead applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745. Current grantees with grants ending after December 31, 2005 may not apply under this NOFA.

a. "General applicants" are new applicants, previously funded lead-based paint hazard control grantee applicants whose period of performance ended prior to the NOFA publication date, and current grantees with grants ending on or before December 31, 2005 (including those who are not awarded under the Competitive Performance-Based Renewal category), and will be evaluated and scored as a separate group. Grantee applicants that are eligible to compete under the Competitive Performance-Based Renewal category will be evaluated and scored as a separate group.

b. Eligible Applicants for Competitive Performance-Based Renewal Grants. Current grantees with grants ending on or before December 31, 2005 must meet specific competitive performance criteria outlined in Section III.A.3, below, for the period ending March 31, 2005 to be eligible for a Competitive Performance-Based Renewal Grant. Eligible applicants that do not receive funding under the Competitive Performance-Based Renewal category will be evaluated and scored in the General applicant category. Unsuccessful applicants under the Competitive Performance-Based Renewal category will be evaluated and scored in the general applicant category. If your requested funding amount for a Competitive Performance-Based Renewal application exceeds \$3 million, and if you wish to be considered for a General category grant should you not be funded for a Competitive Performance-Based Renewal grant, you must submit a separate application for the General category with a funding request not exceeding \$3 million in order to be considered for funding in the General category if your Competitive Performance-Based Renewal grant application is not funded.

2. Applicants may submit only one application for each category in which you are eligible to apply. If a single applicant submits multiple applications, this will be considered a technical deficiency and the application review process delayed until the applicant notifies HUD in writing which application should be reviewed. Your other applications will be returned without being rated or ranked.

3. Minimum Eligibility Criteria for Competitive Performance-Based Renewal Grants Eligibility Criteria For Period Ending March 31, 2005 \*

Calendar quarter of grant expiration	Percent of grant agreement units completed and cleared	Percent of grant agreement federal funds reimbursed through the line of credit control system (LOCCS)
April–June .....	100	80
July–September .....	95	75
October–December .....	80	60

\* Based on Quarterly Progress Reporting Data submitted to HUD for the reporting period ending March 31, 2005.

By achieving the above-referenced minimum level of performance both for percent of units cleared and grant award disbursement (as reported through LOCCS), current grantees are eligible for competition under the Competitive Performance-Based Renewal category for receiving additional funds.

4. Existing grantees awarded grant funds under this category will be required to meet the terms and conditions of their current grant agreement and any additional applicable requirements under this NOFA and subsequent grant agreement modification. HUD may terminate awards to grantees that fail to meet established milestones or benchmark performance standards established by this NOFA or the Award Agreement.

#### B. Cost Sharing or Matching

You must provide a matching contribution of at least 10 percent of the requested grant sum. This may be in the form of cash, including private sector funding, or in-kind (non-cash) contributions or a combination of these sources. With the exception of Community Development Block Grant (CDBG) funds, Federal Revenue Sharing programs, or other programs which by statute allow their funds to be considered local funds and therefore eligible to be used as matching funds, federal funds may not be used to satisfy the statutorily required 10 percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement. If an applicant does not include the minimum 10% match in the application, it will be considered ineligible for an award. The applicant must submit a letter of commitment for the match from each organization other than itself that is providing a match, whether cash or in-kind. The letter must describe the contributed resources that you will use in the program and their designated purpose. The signature of the authorized official on the Form SF-424 commits matching or other contributed

resources of the applicant organization. A separate letter from the applicant organization is not required.

#### C. Other

##### 1. Eligible Activities

All lead hazard control activities must be conducted in compliance with the applicable requirements of HUD's Lead-Safe Housing Regulation, 24 CFR Part 35, and as clarified in HUD's Interpretive Guidance about the rule located at <http://www.hud.gov/offices/lead>. Activities must also comply with any additional requirements in effect under a state or Tribal Lead-Based Paint Training and Certification Program that has been authorized by the EPA pursuant to 40 CFR 745.320.

There are, in general, four categories of expenditures under this grant program, as are discussed below. They are: direct costs for lead hazard identification control activities, direct costs for other activities, indirect costs, and administrative costs.

a. Direct Lead Hazard Identification and Control Activities. The proposed budget must show a minimum of 65 percent of the total Federal amount requested identified for direct lead hazard control activities. Direct lead hazard control activities consist of dust testing, combined lead paint inspection and risk assessments, interim controls, abatement of lead hazards, temporary relocation of occupants when lead hazard control intervention work is conducted in a unit, and clearance examinations. Direct hazard control activities do not include blood lead testing of residents or workers, housing rehabilitation beyond what is specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained, training, community education and outreach, applied research, purchase of supplies or equipment, or administrative costs. The remaining 35 percent of the funds are to be used for other direct costs, including those discussed in Section III.C.1.b below, or indirect costs. See budget section IV.B.1.c(4), below, for discussion of these cost limits.

(1) Performing dust testing, combined lead-based paint inspections and risk assessments, and engineering and architectural activities that are required for, and in direct support of, interim control and lead hazard abatement work, of eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures. The purchase or lease of a maximum of two X-ray fluorescence analyzers used by the grant program, if not already available, are eligible costs. All test results must be provided to the owner of the unit, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers.

(2) Conducting lead hazard control activities that may include any combination of the following strategies. All lead hazards identified in a housing unit or common area of multifamily housing enrolled in this grant program must be controlled or eliminated by any combination of these strategies.

(a) Interim controls of lead-based paint hazards including lead-contaminated soil in housing (that must include specialized cleaning techniques to address lead dust), according to the HUD Guidelines, located at <http://www.hud.gov/offices/lead>.

(b) Abatement. The complete abatement of all lead-based paint hazards in a unit or structure is acceptable if it is cost-effective. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, *i.e.* drip line or foundation of the unit being treated, and children's play areas.

(3) Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. These grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD encourages integration of this grant program with housing rehabilitation, maintenance,

weatherization, and other energy conservation activities.

(4) Conducting clearance dust-wipe testing and laboratory analysis (the laboratory must be recognized by EPA's National Lead Laboratory Accreditation Program (NLLAP) as being capable of performing lead analyses of samples of paint, dust-wipes, and/or soil).

(5) Purchasing or leasing supplies having a per-unit cost under \$5,000.

(6) Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors, and contractors.

b. Eligible Other Direct Costs that you or your sub-recipients may undertake, include:

(1) Carrying out temporary relocation of families and individuals during the period in which hazard control is conducted and until the time the affected unit receives clearance for re-occupancy. If families or individuals are temporarily relocated in a project which utilizes Community Development Block Grant funds, the guidance and requirements of 24 CFR 570.606(b)(2)(i)(D)(1)–(3) must be met. HUD recommends you review these regulations when preparing your proposal.

(2) Conducting targeted community awareness, affirmative marketing, education or outreach programs on lead hazard control and lead poisoning prevention designed to increase the ability of the program to deliver lead hazard control services including educating owners of rental properties, tenants, and others on the Residential Lead-Based Paint Hazard Reduction Act, Lead-Safe Housing Rule, and applicable provisions of the Fair Housing Act especially as it pertains to familial status (*i.e.* families with children) and disability discrimination, and offering educational materials in languages other than English that are common in the community, consistent with HUD's published LEP Recipient Guidance, 68 FR 70968, and providing training on lead-safe maintenance and renovation practices and management. Upon request, this also would include making all materials available in alternative formats to persons with disabilities (*e.g.*, Braille, audio, and large type).

(3) Supporting data collection, analysis, and evaluation of grant program activities. This includes compiling and delivering such information and data as may be required by HUD. This activity is separate from administrative costs.

(4) Preparing a final report at the conclusion of grant activities.

(5) Conducting required pre-hazard control blood lead testing of children

under six years of age residing in units undergoing lead paint inspection/risk assessment, or hazard control, unless reimbursable from Medicaid or another source.

(6) Providing resources to build capacity for lead-safe housing and lead hazard control, including free delivery of HUD-approved lead-safe work practices training courses for housing rehabilitation contractors, rehabilitation workers, homeowners, renters, painters, remodelers, maintenance staff, and others conducting renovation, rehabilitation, maintenance or other work in private housing; free delivery of lead sampling technician training, lead-based paint worker or contractor certification training; and subsidies for licensing or certification fees to low-income persons seeking credentials as lead-based paint workers or contractors or lead sampling technicians.

(7) Providing instruction, training, materials and supplies for dust control activities to grassroots community-nonprofit based organizations, including faith-based organizations, or other community-based organizations, parent organizations, homeowners, and renters in low-income private housing.

(8) Conducting planning, coordination, and training activities to comply with HUD's Lead-Safe Housing Rule (24 CFR Part 35). These activities should support the expansion of a workforce properly trained in lead-safe work practices which is available to conduct interim controls on HUD assisted housing covered by these regulations. The regulation and interpretive guidance about the rule are available from the National Lead Information Center at 1-800-424-LEAD (this is a toll-free number). If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Copies are also available from the HUD Web site at: <http://www.hud.gov>.

(9) Participating in applied research, studies, or developing information systems to enhance the delivery, analysis, or conduct of lead hazard control activities, or to facilitate targeting and consolidating resources to further childhood lead poisoning prevention efforts.

2. Eligibility of HUD-Assisted Housing. The chart "Eligibility of HUD-Assisted Housing," posted at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, lists the housing units that may participate under the Lead Hazard Control Grant Program. Only those HUD-assisted units on the list are

eligible to participate and receive Lead-Based Paint Hazard Control Grant funds.

3. Threshold Requirements. As an eligible applicant, you must meet all of the threshold requirements in Section III.C of the General Section as well as any specific threshold requirements listed in this subsection. Applications will not be funded if they do not meet the threshold requirements.

a. Applicants are required to match 10 percent of the grant funds requested with other funds or resources.

b. EPA Authorization. If you are a State government or Indian (Native American) Tribal government, you must have an EPA-authorized Lead-Based Paint Training and Certification Program in effect on the application deadline date to be eligible to apply for Lead Based Paint Hazard Control Grant funds. The approval date in the **Federal Register** notice published by the EPA will be used in determining the Training and Certification status of the applicant state or Indian (Native American) Tribal government. If you do not have an EPA authorized program, the application will not be rated or ranked.

c. DUNS Requirement. You will need to obtain a Dun and Bradstreet Universal Data Numbering System (DUNS) number in order to register and submit your electronic application on line through <http://www.grants.gov>. To obtain a DUNS number your can follow the directions on HUD's grants page at <http://www.hud.gov/offices/adm/grants/duns.cfm> or at <http://www.grants.gov/GetStarted>.

#### 4. Program Requirements

a. *Environmental Requirements.* Recipients of lead-based paint hazard control grants must comply with 24 CFR Part 58, "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities." Recipients and other participants in the project are prohibited from committing or expending HUD and non-HUD funds on the project until HUD approves the recipient's Request for the Release of Funds (form HUD 7015.15) or the recipient has determined that the activity is either Categorically Excluded, not subject to the related Federal laws and authorities pursuant to 24 CFR 58.35(b) or exempt pursuant to 24 CFR 58.34. For Part 58 procedures, see <http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm>. For assistance, contact Karen Choi, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (213) 534-2458 (this is not a toll free-number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing-

or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Recipients of a grant under this funded program will be given additional guidance in these responsibilities.

b. *Executive Order 13202*. Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects," is a condition of receipt of assistance under this NOFA.

c. *Administrative Requirements*.

(1) Lead-Based Paint Hazard Reduction Act (Title X of the Housing and Community Development Act of 1992), Section 1011 of Title X. Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) amended Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) to read as follows: "Sec.1011. Grants for Lead-Based Paint Hazard Reduction in Target Housing

"(a) General Authority. The Secretary is authorized to provide grants to eligible applicants to target the reduction of elevated blood lead levels in children for the maximum number of low-income families with children under six years of age in housing that is not federally assisted housing, federally owned housing, or public housing, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and replicable elsewhere. Grants shall only be made under this section to provide assistance for housing that meets the following criteria—

"(1) for grants made to assist rental housing, at least 50 percent of the units must be occupied by or made available to families with incomes at or below 50 percent of the area median income level and the remaining units shall be occupied or made available to families with incomes at or below 80 percent of the area median income level, and in all cases the landlord shall give priority in renting units assisted under this section, for not less than 3 years following the completion of lead abatement activities, to families with a child under the age of six years, except that buildings with five or more units may have 20 percent of the units occupied by families with incomes above 80 percent of area median income level.

"(2) for grants made to assist housing owned by owner-occupants, all units

assisted with grants under this section shall be the principal residence of families with income at or below 80 percent of the area median income level, and not less than 90 percent of the units assisted with grants under this section shall be occupied by a child under the age of six years or shall be units where a child under the age of six years spends a significant amount of time visiting". For the purposes of complying with Section 1011, a unit occupied by a pregnant woman meets the Congressional intent of promoting primary prevention and therefore, can be assisted by this program.

(2) Certified and Trained Performers. Funded activities must be conducted by persons qualified for the activities according to 24 CFR Part 35 (possessing certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices).

(3) Consolidated Plans. (This requirement does not apply to Native American Tribes.) If your jurisdiction has a current HUD-approved Consolidated Plan, you must submit, as an appendix, the lead-based paint element included in the approved Consolidated Plan. If the Analysis of Impediments (AI) includes references to lead-based paint as an impediment to fair housing, this should be included in your application as well. If your jurisdiction does not have a currently approved Consolidated Plan, but it is otherwise eligible for this grant program, you must include your jurisdiction's abbreviated Consolidated Plan, which includes a lead-based paint hazard control strategy developed in accordance with 24 CFR 91.235. You may provide a currently validated web site (URL) reference where the required documentation above is readily accessible for use, instead of submitting the documentation itself.

(4) Lead hazard evaluation and control work must be conducted in compliance with HUD's Lead Safe Housing Rule, 24 CFR Part 35, the HUD Guidelines, and applicable federal, state and local regulations and guidance.

(5) Prohibited Practices. You must not engage in the following prohibited practices:

- (a) Open flame burning or torching;
- (b) Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
- (c) Uncontained hydro blasting or high-pressure wash;
- (d) Abrasive blasting or sandblasting without HEPA exhaust control;

(e) Heat guns operating above 1,100 degrees Fahrenheit;

(f) Chemical paint strippers containing methylene chloride or other volatile hazardous chemicals in a poorly ventilated space; and

(g) Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

(6) Written Policies and Procedures. You must have clearly established, written policies and procedures for eligibility, program marketing, unit selection, expediting work on homes occupied by children with elevated blood lead levels, and all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, temporary relocation and clearance testing. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

(7) Continued Availability of Lead-Safe Housing to Low-Income Families. Units in which lead hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income residents as required by Title X (Section 1011). You must maintain a publicly available registry (listing) of units in which lead hazards have been controlled and ensure that these units are affirmatively marketed to agencies and families as suitable housing for families with children under six years of age. The grantee must also notify the owner of the lead hazard evaluation and control information generated by activities under this grant, so that the owner will comply with disclosure requirements under 24 CFR part 35, Subpart A.

(8) Testing. In developing your application budget, include costs for lead paint inspection, risk assessment, and clearance testing for each dwelling that will receive lead hazard control, as follows:

(a) General. All testing and sampling shall conform to the current HUD Guidelines and federal, state, or tribal regulations developed as part of the appropriate contractor certification program, whichever is more stringent. It is particularly important to provide this full cycle of testing for lead hazard control, including interim controls. Testing must be conducted according to the HUD Guidelines, located at <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>, and the EPA lead hazard standards rule at 40 CFR



part 745. All test results must be provided to the owner in a timely fashion.

(b) Lead-Based Paint and Lead-Based Paint Hazard Identification. A combined lead-based paint inspection and risk assessment is required. You should ensure that lead paint inspection and risk assessment reports are conducted in accordance with established protocols and sufficient to support hazard control decisions.

(c) Clearance Testing. Clearance testing shall be completed in accordance with Chapter 15 of the HUD Guidelines and the EPA lead hazards standards rule at 40 CFR part 745 for abatement projects and the Lead-Safe Housing Regulation (24 CFR part 35) for lead hazard control activities or other abatement. The clearance standards shall be the more restrictive of those set by the local jurisdiction, EPA, or HUD. In accordance with the HUD Guidelines, Table 7.3, for multi-family residential properties, clearance can be done on randomly selected units, and credit will be given for the entire project represented by the units that were randomly selected. If rehabilitation is conducted in conjunction with lead hazard control, clearance may be conducted either after the lead hazard control work is completed, and again after any subsequent rehabilitation work is completed, or after all of the lead hazard control and rehabilitation work is completed. Clearance shall be successfully completed before re-occupancy.

(d) Blood lead testing. Each occupant who is under six years of age should be tested for lead poisoning within the six months preceding the housing intervention. Any child with an elevated blood lead level must be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease Control and Prevention (CDC) publications Preventing Lead Poisoning in Young Children (1991), and Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials (1997).

(9) Cooperation With Related Research and Evaluation. You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or other government agency and associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in your original proposal.

Participant data shall be subject to Privacy Act protection.

(10) Data collection. You will be required to collect and maintain the data necessary to document the various lead hazard control methods used and the cost of these methods. You should have a data archiving and electronic data backup system.

(11) Section 3 Employment Opportunities. Please refer to Section III.C of the General Section. The requirements of Section 3 of the Housing and Urban Development Act of 1968 are applicable to this program. In your application you should demonstrate how you will ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very-low income persons, particularly those who are recipients of government assistance for housing, and business concerns that provide economic opportunities to low- and very low-income persons. If you are funded, you will be required to submit Form HUD-60002 annually.

(12) Replacing Existing Resources. Funds received under this grant program shall not be used to replace existing community resources dedicated to any ongoing project.

(13) Certifications and Assurances. By submitting your application, you are making the certifications and assurances listed in section IV.B.1.b.

(14) Conducting Business in Accordance with HUD Core Values and Ethical Standards. Refer to the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

(15) Lead-Safe Work Practice Training Activities. Applicants are encouraged to provide resources to promote the expansion of a workforce properly trained in lead-safe work practices and which is available to conduct interim controls and/or lead hazard abatement as well as follow lead-safe work practices while performing work on HUD assisted housing units per the provisions of the HUD Lead-Safe Housing Rule, 24 CFR 35.1330(a)(4)(iii)(v), and to safely repair, rehabilitate, and maintain other privately-owned residential property.

(16) By September 30, 2006, grantees are to participate in an established statewide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning as a major public health problem by 2010, or are to assist in the development of such a plan in states or localities that do not have such a strategic plan. (Further guidance will be provided to grantees on developing a

strategic plan.) Applicants shall demonstrate the nature of their collaboration with Centers for Disease Control and Prevention (CDC) funded Childhood Lead Poisoning Prevention grantees, which are now required to develop such plans, and the local CDC subgrantee(s), where they exist for the grant's proposed target area(s). A list of CDC childhood lead poisoning prevention programs can be downloaded from [www.cdc.gov/nceh/lead/grants/contacts/keyContacts.htm](http://www.cdc.gov/nceh/lead/grants/contacts/keyContacts.htm). The CDC strategic elimination plans for state and local childhood lead poisoning prevention programs can be downloaded from <http://www.cdc.gov/nceh/lead/Strategic%20Elim%20Plans/strategicplans.htm>.

Applicants shall include an outline of the steps that they will take to participate in or develop a statewide or jurisdiction-wide strategic plan. At a minimum, the plan must include the following elements:

- (a) Mission Statement;
- (b) Purpose and Background on Lead Poisoning Prevalence;
- (c) Goals, Objectives, and Activities; and
- (d) Evaluation Plan.

(17) Coordination among Critical Agencies. Submit documentation of the existence and nature of formal cooperation regarding childhood lead poisoning prevention programs among health agencies, housing agencies, community development agencies, and code enforcement agencies (or equivalent) for their target area(s) local jurisdiction(s), and, for state or tribal applicants, for their state or tribal health agencies, housing agencies, development agencies, and code enforcement agencies (or equivalent). Documentation shall include memoranda of agreement, memoranda of understanding, operating plans, or similar materials that describe the coordinated childhood lead poisoning prevention effort. Where local or state governments have combined two or more of these functions into a larger organization, the documentation may be from either the individual component entities or the larger organization. As part of this documentation, describe how the health department and the housing and/or development agency will consider enrolling housing units (or multifamily buildings) in which one or more children under age 6 years have elevated blood lead levels, with priority to housing where repeated and/or severe cases of childhood lead poisoning have occurred. (Because of the presence of a variety of priorities, it is not a requirement that units with lead-poisoned children be enrolled, but the

process for giving such units high priority should be described and implemented.)

(18) Work Plan. For all grantees, the work plan shall consist of the goals and specific time-phased objectives established for each of the major activities and tasks required to implement the program. These major activities and tasks are outlined in the Quarterly Progress Reporting System (Form—HUD—96006) and include: Program Management and Capacity Building including data collection and program evaluation; Community Education, Outreach and Training; and Lead Hazard Activities including testing, interventions conducted, and temporary relocation.

(a) You should provide documentation that addresses your jurisdiction's Consolidated Plan for pursuing goals for community planning and development programs and housing programs, the Community is tasked to address lead and other housing-related issues that affect the health of residents. The Notice of Funding Availability (NOFA) under which you received federal funding requires that your program submit "a copy of the lead hazard control element included in your current program year's Consolidated Plan. (This does not apply to Native American Tribes) You should include the discussion of any lead-based paint issues in your jurisdiction's Analysis of Impediments, particularly as it addresses your target areas." In accordance with the requirements set forth in the NOFA, your work plan must include a detailed strategy to:

(i) Obtain data from state or local health departments on the addresses of housing units in which children have been identified as lead poisoned, as required by 24 CFR 91.100(a)(2).

(ii) Formalize commitments, or provide documentation of commitments, with applicable state or local health and child welfare agencies, community development organizations, and housing agencies to team with the HUD Lead Hazard Control grantee to identify and address childhood lead poisoning in your jurisdiction collaboratively, and describe your methods for coordinating among these agencies.

(iii) Address issues of patient confidentiality raised by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as it relates to the release of addresses of units where children have been poisoned by lead-based paint hazards within your jurisdiction; in addition, provide thorough details of all security measures to be taken to ensure that the

privacy of patient information obtained for the purposes of public health services conducted through the lead hazard control program will be safeguarded.

(iv) Describe how lead hazard units, especially those known to contain EBL children, will be identified, selected, prioritized, and considered for treatment under this grant and/or other programs of the grantee or grantee's team members. You must demonstrate how you consider housing units identified by local health and child welfare agencies where incidences of childhood lead poisoning have occurred, particularly those where multiple poisonings have been reported, for enrollment into lead hazard control treatment programs.

(b) Demonstration of specific steps and/or actions that will be taken to ensure that other resources in the community are utilized to increase funding, to locate and provide training, and to link with other local programs engaged in lead hazard control activities;

(c) The management plan that describes how the project will be managed, and the timeline for staffing the program, establishing a lead-based paint contractor pool, and obtaining HUD approval for the Release of Funds Request (HUD Form 7015.15);

(d) Detailed description of how assistance and funding will flow from the grantee to the actual performers of the hazard reduction work;

(e) Detailed description of the selection process for sub-grantees, sub-contractors, or sub-recipients;

(f) Description of the financing mechanism used to support lead hazard control work in units (name of administering agency, eligibility requirements, type of financing (grant, forgivable or deferred loans, private sector financing etc.), any owner matching requirement, and the terms, conditions, and amounts of assistance available (include affordability terms and forgiveness and recapture of funds provisions);

(g) Combined lead inspection and risk assessment testing procedures using EPA standards to identify lead hazards and to conduct clearance testing. [Dust wipe samples, soil samples and any paint samples to be analyzed by a laboratory must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLLAP)];

(h) The process for developing work specifications and bids on properties selected for lead hazard control;

(i) The specific intervention methods and clearance procedures to be conducted for units enrolled;

(j) The number of rental-occupied, vacant, and owner-occupied units proposed for interim controls and hazard abatement;

(k) The relocation plan that will be carried out for residents required to be out of their homes during hazard control activities;

(l) The education, outreach, and training activities to be undertaken by the program;

(m) The blood lead testing and other health measures to be undertaken to protect children under six, and other occupants of units undergoing lead hazard control work; and

(n) The evaluation process used to measure program performance, with particular attention given to program performance in the five key areas evaluated by OHHLHC on a quarterly basis (cf. NOFA Rating Factor 5 response): number of units inspected and risk assessed; number of units cleared of lead hazards; the amount of grant funds disbursed through the LOCCS system; the number of persons reached through outreach and education efforts; and, the number of persons trained in lead hazard control courses.

(o) Objectives and Milestones. Measurable quarterly performance objectives include:

(i) The overall objectives for lead hazard control activities including the total number of lead hazard evaluations, units projected to be completed and cleared, and the expenditure of Federal grant funds (HUD Agreement Form HUD-1044). Quarterly performance milestones are to be developed to achieve the overall objectives for these activities;

(ii) The overall objectives for community education, outreach, and training activities. Quarterly performance milestones are to be developed to achieve the overall objectives for these activities;

(iii) Quarterly performance benchmarks. The benchmarks for a 36-month grant are on the Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008. You can download Form HUD-96008 from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, and can also find it on the HUD OHHLHC web site at: <http://www.hud.gov/offices/lead/grantfrm/hudgrantee.cfm>. Development of your work plan should include and reflect the benchmark standards.

(19) A detailed budget submission which identifies the total budget (Federal share and matching

contribution) identified on Form HUD 424CB with supporting narrative and cost justifications for all budget categories of your grant request. You must provide a separate estimate for the overall grant management element (Administrative Costs), which is more fully defined in Section IV.E of this NOFA. The budget shall include not more than 10 percent for administrative costs and not less than 90 percent for eligible direct costs. A minimum of 65 percent of the total federal amount requested must be dedicated to direct lead hazard control activities. (Applicants are to identify the direct lead hazard control costs that meet this requirement.) A table, "Summary of Budget Category Funding Limits," that can be downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, shows the funding limits for the three categories, direct lead hazard identification and control activities, administrative costs, and total of other direct costs and indirect costs.

You must provide a detailed budget for any subcontractors, subgrantees, or subrecipients receiving greater than 10 percent of the federal budget request. In the event of a discrepancy between grant amounts requested in various sections of the application, the amount you indicate on the Form SF-424 will govern as the correct value.

(19) If your program includes conducting research involving human subjects in a manner which requires Institutional Review Board (IRB) approval and periodic monitoring under 24 CFR 60, which incorporates the Department of Health and Human Service's regulations at 45 CFR 46, subpart A, address how you will obtain such approval and your monitoring plan (before you can receive funds from HUD for activities that require IRB approval, you must provide an assurance that your study has been reviewed and approved by an IRB and evidence of your organization's institutional assurance). Describe how you will provide informed consent (e.g., from the subjects, their parents, or their guardians, as applicable) to help ensure their understanding of, and consent to, the elements of informed consent, such as the purposes, benefits, and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of 'plain language' forms, flyers, and verbal scripts, and how you plan to work with families with limited English proficiency or primary languages other than English, and with families which include persons with disabilities.

#### IV. Application and Submission Procedures

##### A. Address To Request Application Package

See the General Section for specific procedures concerning the electronic application submission requirements. Be advised that there is no Application Kit for this Lead Hazard Control Grant Program. All the information required to submit an application is contained in this Notice of Funding Availability (NOFA).

Guidebook and Further Information. A guidebook to HUD programs entitled, "Connecting with Communities: A User's Guide to HUD Programs and the FY2005 NOFA Process," is available from the HUD NOFA Information Center and the HUD Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The guidebook provides a brief description of all HUD programs, identifies eligible applicants for the programs, and provides examples of how programs can work in combination to serve local community needs. You can also get a copy from the NOFA Information Center at (800) HUD-8929, or for the hearing impaired, (800) HUD-2209 (TTY) (these are toll-free numbers). You can obtain copies of the guidebook from HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The Grants.gov support desk is 1-800-518-Grants or by e-mail at [support@Grants.gov](mailto:support@Grants.gov). This help desk provides information on accessing and submitting the application.

##### B. Content and Form of Application Submission

Application Submission Requirements for eligible Applicants (this includes General category applicants and those applicants qualifying for consideration under the Competitive Performance-based Renewal category). Applicants eligible to apply under this NOFA are to follow the submission requirements described in Section IV.B.1.a. below.

###### 1. Applicant Information

a. *Application Format.* The application narrative response to the Rating Factors from new and eligible prior grantees is limited to a maximum of 15 pages (excluding appendices and worksheets) of size 8½" x 11" using a 12-point (minimum) font with not less than ¾" margins on all sides. Appendices should be referenced and discussed in the narrative response. Materials provided in the appendices should directly apply to the specific rating factor narrative. Information that is not referenced or does not directly

apply to a specific narrative response may not be rated or ranked by reviewers.

b. *Application Checklist (Voluntary).* Your application must contain all of the required information noted in this NOFA and the General Section. These items include the standard forms, and the certifications and assurances listed in the General Section that are applicable to this NOFA. The forms required for application submission and instructions can be found in the application at [www.grants.gov](http://www.grants.gov). Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal. The "Checklist and Submission Table of Contents" below includes a listing of the required items needed for submitting a complete application and receiving consideration for funding. In the Checklist and Submission Table of Contents, note the corresponding page number where the response is located. Inclusion of this Checklist and Submission Table of Contents with your proposal is recommended but not required.

##### Checklist and Submission Table of Contents—Lead-Based Paint Hazard Control Grant Program

- Application Checklist (Paper copy applications only)
- Applicant Abstract (limited to a maximum of 2 pages)
- Rating Factor Response (limited to a maximum of 15 narrative pages plus the following forms)
  1. Capacity of the Applicant and Relevant Organizational Experience—Form HUD-96012
  2. Needs/Extent of the Problem—Form HUD-96013
  3. Soundness of Approach (Work Plan/Budget)—Form HUD-96014; and Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008
  4. Leveraging Resources—Form HUD-96015
  5. Achieving Results and Program Evaluation—Logic Model—Form HUD-96010
    - Required materials in response to rating factors (does not count towards 15-page limit)
    - Application for Federal Assistance—Form SF-424
    - Survey on Ensuring Equal Opportunity for Applicants—Form SF-424 Supplement
    - Grant Application Detailed Budget—HUD-424CB—Grant Application Detailed Budget Worksheet—HUD-424CBW, Total Budget (Federal Share

and Matching) with Supporting Narrative and Cost Justification

Disclosure and Update Report—Form HUD-2880

Certification of Consistency with the RC/EZ/EC-II Strategic Plan—Form HUD-2990

Certification of Consistency with the Consolidated Plan—Form HUD-2991

Disclosure of Lobbying Activities (if applicable)—Form SF-LLL

Facsimile Transmittal (for electronic applications)—Form HUD-96011

Questionnaire for HUD's Initiative on Removal of Regulatory Barriers, including the required information (if applicable)—Form HUD-27300, including required documentation or URL references—

Acknowledgment of Application Receipt (for paper copy submissions only)—Form HUD-2993

Client Comments and Suggestions—Form HUD-2994 (optional)

- Threshold Requirements Lead-Based Paint Element in Consolidated Plan 10 Percent Matching Contribution

- Material in support of the Rating Factors (20 page limit) Budget.

Matching Contribution. An itemized breakout of your required matching contribution, including:

Values placed on donated in-kind services;

Letters or other evidence of commitment from donors; and

The amounts and sources of contributed resources.

Grant Team Members. Contracts, Memoranda of Understanding or Agreement, letters of commitment or other documentation describing the proposed roles of agencies, local broad-based task forces, participating grassroots community-based nonprofit organizations, including faith-based organizations, local businesses, and others working with the program.

Consolidated Plan Element. A copy or URL reference to the lead hazard control element included in your current program year's Consolidated Plan. (This does not apply to Native American Tribes.) You should include the discussion of any lead-based paint issues in your jurisdiction's Analysis of Impediments, particularly as it addresses your target areas.

### C. Submission Dates and Times

#### 1. Application Submission Dates

The application submission date is June 7, 2005. Refer to the General Section for additional submission requirements including submission methods, proof of delivery, and other information regarding electronic application submission via Grants.gov.

### D. Intergovernmental Review

Not required.

### E. Funding Restrictions

#### 1. Ineligible Activities

You may not use grant funds for the following ineligible activities:

- a. Purchase of real property.
- b. Purchase or lease of equipment having a per unit cost in excess of \$5,000, except for the purchase of X-ray fluorescence analyzers.

- c. Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-federal funds used to cover these costs may be counted as part of the required matching contribution.

- d. Lead hazard control activities in publicly owned housing, or project-based Section 8 housing (This housing stock is not eligible under Section 1011 of the Lead-Based Paint Hazard Reduction Act).

- e. Activities that do not comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

- f. Lead-based paint hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), as having special flood hazards unless:

- (1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

- (2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

#### 2. Administrative Costs

There is a 10 percent maximum for administrative costs as specified in Section 1011(j) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102-550). Additional information about allowable administrative costs is provided below.

- a. *Purpose.* The intent of this HUD grant program is to allow the grantee to be reimbursed for the reasonable direct and indirect costs, for the overall management of the grant. In most

instances the grantee, whether a state or a local government, principally serves as a conduit to pass funding to sub-grantees, which are to be responsible for conducting lead-hazard reduction work. Program planning and management costs of sub-grantees and other sub-recipients are not included in the 10 percent maximum for grantee administrative costs. Congress set a maximum of 10 percent of the total grant sum for the grantee to perform the function of overall management of the grant program, including passing on funding to sub-grantees. The cost of that function, for the purpose of this grant, is defined as the "administrative cost" of the grant, and is limited to ten percent of the total grant amount. The balance of ninety percent or more of the total grant sum is reserved for sub-grantees or other direct-performers of lead-hazard identification and reduction work including relocation. For purposes of the Lead-Based Paint Hazard Control Grant Program, lead hazard identification and reduction includes lead paint inspection/risk assessments, interim controls, and abatement of lead hazards, clearance testing, and relocation.

- b. *Administrative Costs: What They Are Not.* For the purposes of this HUD grant program for States and local governments to provide support for the evaluation and reduction of lead-hazards in low- and moderate-income, private target housing, the term "administrative costs" should not be confused with the terms "general and administrative cost," "indirect costs," "overhead," and "burden rate." These are accounting terms usually represented by a government-accepted standard percentage rate. The percentage rate allocates a fair share of an organization's costs that cannot be attributed to a particular project or department (such as the chief executive's salary or the costs of the organization's headquarters building) to all projects and operating departments (such as the Fire Department, the Police Department, the Community Development Department, the Health Department or this program). Such allocated costs are added to those projects' or departments' direct costs to determine their total costs to the organization.

- c. *Administrative Costs: What They Are:* For the purposes of this HUD grant program, "Administrative Costs" are the grantee's allowable direct costs for the overall management of the grant program plus the allocable indirect costs. The allowable limit of such costs that can be reimbursed under this program is 10 percent of the total grant

sum. Should the grantee's actual costs for overall management of the grant program exceed ten percent of the total grant sum, those excess costs shall be paid for by the grantee. However, excess costs paid for by the grantee may be shown as part of the requirement for cost-sharing funds to support the grant.

d. *Administrative Costs Definition:* (1) General: Administrative costs are the allowable, reasonable, and allocable direct and indirect costs related to the overall management of the HUD grant for lead-hazard reduction activities. Those costs shall be segregated in a separate cost center within the grantee's accounting system, and they are eligible costs for reimbursement as part of the grant, subject to the ten percent limit. Such administrative costs do not include any of the staff and overhead costs directly arising from specific sub-grantee program activities eligible under this NOFA, because those costs are eligible for reimbursement under a separate cost center as a direct part of project activities.

The grantee may elect to serve solely as a conduit to sub-grantees, who will in turn perform the direct program activities eligible under this NOFA, or the grantee may elect to perform all or a part of the direct program activities in other parts of its own organization, which shall have their own segregated, cost centers for those direct program activities. In either case, not more than 10 percent of the total HUD grant sum may be devoted to administrative costs, and not less than 90 percent of the total grant sum shall be devoted to direct program activities. The grantee shall take care not to mix or attribute administrative costs to the direct project cost centers. (2) Specific. Reasonable costs for the grantee's overall grant management, coordination, monitoring, and evaluation are eligible administrative costs. Subject to the ten percent limit, such costs include, but are not limited to, necessary expenditures for the following goods, activities and services: (a) Salaries, wages, and related costs of the grantee's staff, the staff of affiliated public agencies, or other staff engaged in grantee's overall grant management activities. In charging costs to this category the recipient may either include the entire salary, wages, and related costs allocable to the program for each person whose primary responsibilities (more than 75 percent of their time) with regard to the grant program involve direct overall grant management assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any overall grant management

assignments. The grantee may use only one of these two methods during this program. Overall, grant management includes the following types of activities:

- (i) Preparing grantee program budgets and schedules, and amendments thereto;
  - (ii) Developing systems for the selection and award of funding to sub-grantees and other sub-recipients;
  - (iii) Developing suitable agreements for use with sub-grantees and other sub-recipients to carry out grant activities;
  - (iv) Developing systems for assuring compliance with program requirements;
  - (v) Monitoring sub-grantee and sub-recipient activities for progress and compliance with program requirements;
  - (vi) Preparing presentations, reports, and other documents related to the program for submission to HUD;
  - (vii) Evaluating program results against stated objectives;
  - (viii) Providing local officials and citizens with information about the overall grant program; however, a more general education program, helping the public understand the nature of lead hazards, lead hazard reduction, blood-lead screening, and the health consequences of lead poisoning is a direct project support activity);
  - (ix) Coordinating the resolution of overall grant audit and monitoring findings; and
  - (x) Managing or supervising persons whose responsibilities with regard to the program include such assignments as those described in paragraphs (a) through (i).
- (b) Travel costs incurred for official business in carrying out the overall grant management;
- (c) Administrative services performed under third party contracts or agreements, for services directly allocable to grant management such as: legal services, accounting services, and audit services;
- (d) Other costs for goods and services required for and directly related to the overall management of the grant program; and including such goods and services as telephone, postage, rental of equipment, renter's insurance for the program management space, utilities, office supplies, and rental and maintenance (but not purchase) of office space for the program.
- (e) The fair and allocable share of grantee's general costs that are not directly attributable to specific projects or operating departments such as salaries, office expenses and other related costs for local officials (e.g., mayor and city council members, etc.), and expenses for a city's legal or accounting department which are not

charged back to particular projects or other operating departments. If a grantee has an established burden rate, it should be used; if not, the grantee shall be assigned a negotiated provisional burden rate, subject to final audit.

3. Sixty-five percent (65 percent) of the total Federal funds requested must be used for direct lead hazard control activities. The remaining 35 percent of the funds can be used for other direct or indirect costs.

#### F. Other Submission Requirements

Beginning in FY2005, HUD requires applicants to submit applications electronically through Grants.gov. Applicants interested in applying for funding must submit their application electronically via the Web site <http://www.grants.gov> unless you request and are granted a waiver to the electronic submission requirements. This site has easy to follow step-by-step instructions that will enable you to apply for HUD assistance. The [www.grants.gov](http://www.grants.gov) Web site includes a simple, unified application process to enable applicants to apply for grants online. See section IV.F of the General Section for additional information on the electronic process and how to request a waiver from the requirement.

### V. Application Review Information

#### A. Criteria

##### 1. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points Maximum)

This factor addresses your organizational capacity necessary to successfully implement the proposed activities in a timely manner. All applicants must respond to this Rating Factor. The rating of the "applicant" or the "applicant's staff" for technical merit or threshold compliance, unless otherwise specified, includes any grassroots community-based nonprofit organizations, including faith-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia that are firmly committed to your project.

In rating this factor, HUD will consider: the applicant's recent, relevant, and successful demonstrated experience (including working with governments, parent groups, and grassroots community-based nonprofit organizations, including faith-based organizations) to undertake eligible program activities. Applicants are to identify the organizations or entities that will assist the applicant in implementing the program. The applicant must describe the knowledge and experience of the current or

proposed overall project director and day-to-day program manager in planning and managing large and complex interdisciplinary programs, especially involving housing rehabilitation, public health, or environmental programs. The applicant must demonstrate that it has sufficient personnel or will be able to retain qualified experts or professionals, and be prepared to perform lead hazard evaluation, lead hazard control intervention work, and other proposed activities within 120 days of the effective date of the grant award. HUD reserves the right to terminate the grant if sufficient personnel or qualified experts are not retained within these 120 days. In the narrative response for this factor, you should include information on your program staff, their experience, their commitment to the program, salary information, and position titles. Resumes (for up to three key personnel) or position descriptions for those key personnel to be hired, and a clearly identified organizational chart for the lead hazard control grant program effort (and for the overall organization) must be included in an appendix. Indicate the percentage of time that key personnel will devote to all lead hazard control projects (see Factor 1 Table—Key Personnel and Partners). The applicant's day-to-day program manager must be experienced in the management of housing rehabilitation or lead hazard control, childhood lead poisoning prevention, or similar work involving project management, and must be dedicated to the proposed program for a minimum of 75 percent of the time. The applicant should provide a description of any previous experience in enrolling units and in completing lead hazard control work, housing rehabilitation or other work in a timely and effective manner. Describe how any other principal components of your agency, other public entities, or other organizations will participate in implementing or otherwise supporting or participating in the grant program. You may demonstrate capacity by thoroughly describing your prior experience in initiating and implementing lead hazard control efforts and/or related environmental, health, or housing projects. You should indicate how this prior experience will be used in carrying out your proposed comprehensive Lead-Based Paint Hazard Control Grant Program.

a. All Current or Previous HUD Lead-Based Paint Grantees (including Competitive Performance-Based Renewal applicants). If the applicant

received previous HUD Lead-Based Paint Hazard Control Grant funding, this past experience will be evaluated in terms of cumulative progress and achievements under the previous grant(s). If the applicant has received multiple HUD Lead Hazard Control Grants, performance under the most recent grant award will be primarily evaluated. The applicant must provide a description of its progress and performance implementing the most recent grant award including the total number of housing units enrolled, assessed, and completed and cleared as a result of program efforts. The applicant must also describe outcomes, capacity building efforts and impediments experienced during a previous Lead Hazard Control Grant program. Other work plan activities and tasks associated with implementing HUD's Lead-Safe Housing Regulation, integrating lead-safe work practices into the private market, and promoting effective education, outreach, and other training activities should be described. The applicant should also describe specific instances where the program has contributed positive impacts in the community, and indicate what activities were undertaken to develop, enhance or expand the local infrastructure through collaboration.

HUD's evaluation process will consider an applicant's past performance record as reported to HUD in effectively organizing and managing their grant operations, in meeting performance and work plan benchmarks and goals, and in managing funds, including their ability to account for funds appropriately, the timely use of funds received either from HUD or other Federal, State or local programs, and meeting performance milestones. HUD may also use other information relating to these items from sources at hand, including public sources such as newspapers, Inspector General or Government Accountability Office Reports or Findings, hotline complaints, or other sources of information that have been proven to have merit.

b. Eligible grantees applying for consideration as Competitive Performance-Based Renewal Applicants. Competitive Performance-Based Renewal applicants must include the number of units cleared and the percentage of the current total award amount disbursed through LOCCS, as of March 31, 2005, in their response to Rating Factor 1, as described above in Section V.A.1. All applicants eligible to compete in the Competitive Performance-Based Renewal category in accordance with the eligibility table in Section III.A.4 will be evaluated against

other Competitive Performance-Based Renewal category applicants. If a current lead hazard control grantee does not meet the established threshold requirements for Competitive Performance-Based Renewal, the application will not be considered under this category.

(1) Rating Factor 1 will be scored according to the applicant's current grant performance using the Competitive Performance-Based Renewal Score Table below. Although the narrative response to Factor 1 will not be initially reviewed, you must state your LOCCS and Units Cleared performance data in the narrative response to Factor 1 to be considered under the Competitive Performance-based Renewal category. The Factor will be scored up to 20 points using the score tables below.

(a) Unit Production (15 points). The percentage of units completed and cleared as of March 31, 2005. Grantees whose percentage of units completed and cleared in their current agreement meets or exceeds the performance criteria in the table, "Competitive Performance-Based Score Table for Units Completed and Cleared Based on Period of Performance End-Date," that can be downloaded from [www.hud.gov/offices/adm/grants/fundsavail.cfm](http://www.hud.gov/offices/adm/grants/fundsavail.cfm), will be awarded points based on the table. Points will be awarded for the percentage of housing units cleared, compared to the commitment in the existing lead hazard control grant, with the number of points depending on the 2005 calendar year quarter (second, third or fourth) in which the grant expires. A grantee whose performance does not meet the performance criteria for its ending performance period quarter is ineligible for a Competitive-Based Renewal grant.

(b) Cumulative LOCCS Drawdowns (5 Points). The cumulative drawdowns from LOCCS as a percentage of the federal funds awarded in their current agreement as of March 31, 2005. Grantees whose percentage of cumulative LOCCS drawdowns in their current agreement meets or exceeds the performance criteria below will be awarded points based in the table, "Competitive Performance-Based Score Sheet for Federal Funds Reimbursed through the Line of Credit Control system (LOCCS) Based on Period of Performance End-Date," that can be downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, will be awarded points based on the table. Points will be awarded for the percentage of Federal funds reimbursed through LOCCS, compared to the commitment in the existing lead hazard

control grant, with the number of points depending on the 2005 calendar year quarter (second, third or fourth) in which the grant expires. A grantee whose performance does not meet the performance criteria for its ending performance period quarter is ineligible for a Competitive-Based Renewal grant.

(2) Once all eligible Competitive Performance-Based Renewal applicants have been evaluated, scored and ranked, any application not awarded funding in this category will receive consideration as a current or previously funded applicant in the General applicant category using the applicant's narrative responses to Rating Factors 1 through 5 according to V.A.1(a)(2). The Competitive Performance-Based Renewal Score Tables will not be used to figure scoring in this circumstance. The Factor will be scored up to 20 points.

d. All applicants are to complete the Factor 1 Table to support the narrative information submitted.

## 2. Rating Factor 2: Needs/Extent of the Problem (20 Points Maximum)

This factor addresses the extent to which there is a need for the proposed program to address a documented problem related to lead-based paint and lead-based paint hazards in your identified target area(s). An applicant will be scored in this rating factor based on their documented need as evidenced by thorough, credible, and appropriate data and information. The evaluation will be based only on the applicant's documentation of the data submitted. The data submitted in response to this rating factor will be verified using data available from the Census, HUDuser, other data available to HUD and/or in cooperation with the Centers for Disease Control and Prevention. The applicant is to complete the Factor 2 Table—Need/Extent of the Problem in Section IV of this NOFA.

A maximum of 20 Points will be awarded in this rating factor based on the information documenting the number of children with an elevated blood lead level, the number of pre-1978 housing units, and the number and percentage of families with incomes at or below 80% of the Area Medium Income as determined by HUD within your jurisdiction and/or target areas.

a. Documented Number of Children with an Elevated Blood Lead (EBL) (10 Points Maximum).

Provide the actual number of children documented as having an elevated blood lead (EBL) residing within the applicant's jurisdiction for the most recent complete calendar year and identify the source of the data. Data

prior to calendar year 2001 will not be accepted. States must report the number in the city, county, or other area where funds will actually be used. Consortia of local governments must report the number in the cities or counties making up the consortium. For the purposes of this application, the "documented number of children" with an EBL is based on the CDC level of concern. A child under six years of age with a blood lead level test result equal to or greater than 10 micrograms of lead per deciliter of blood, which was performed by a medical health care provider is considered to have an EBL. The actual number of children with an EBL (not an estimate) must be reported to HUD in order to receive points for this sub-factor. Do not send the children's names or addresses or other identifiers. Failure to provide this number in the application means that no points will be awarded for this sub-factor. For you to receive maximum points for this rating factor there must be a direct relationship between your proposed lead hazard control activities and the documented community needs. Since an objective of the program is to prevent at-risk children from being poisoned, specific attention must be paid to documenting the identified need as it applies to any selected targeted area(s).

Applicants are to use the Factor 2 Table to document the target area(s) need:

Points based on the documented number of children with an EBL will be awarded based on the chart below.

(1) Applicants are to complete the Factor 2 Table to document the number of children with an elevated blood lead level. Points will be awarded based on the documented number of children with an elevated blood lead level according to the table, "Points Awarded for Number of Children Under Age 6 Years with an Elevated Blood Lead Level in Target Area," that can be downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The table shows the number of points awarded based on the number of children with an elevated blood lead level in the grant target area(s).

b. Housing market data relevant to the specified target area(s) Housing Age for the following sub-categories: Pre-1940, 1940-1949, 1950-1959, 1960-1969, 1970-1979 and 1980 or newer (Census information includes 1970-1979 category). (5 Points Maximum). Points will be awarded for the number of pre 1940 occupied rental units in the applicant's jurisdiction according to the table, "Points Awarded for Number of Pre-1940 Occupied Rental Housing Units in Target Area," that can be

downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The table shows the number of points awarded based on the number of pre-1940 occupied rental housing units in the grant target area(s).

c. The number and percentage of very-low (income less than 50 percent of the area median) and low- (income less than 80 percent of the area median) income families, as determined by HUD (<http://www.huduser.org>), with adjustments for smaller and larger families (Very-Low and Low-Income Population) (5 Points Maximum). Points will be awarded for the percentage of very low (up to 50 percent of area median income for the jurisdiction) and low-income (up to 80 percent of area median income for the jurisdiction) families in the target area, according to the table, "Points Awarded for Number of Very Low and Low-Income Percentages of Families in Target Area," that can be downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The table shows the number of points awarded based on the number of very low and low-income percentages of families in target area(s).

## 3. Rating Factor 3: Soundness of Approach (30 Points)

This factor addresses the quality and cost-effectiveness of your proposed work plan. Applicants should develop a work plan that includes specific, measurable, and time-phased objectives for each major program activity. The applicant's work plan should reflect benchmark standards for production, expenditures, and other activities that have been developed by the Office of Healthy Homes and Lead Hazard Control. These benchmark standards, as well as policy guidance on developing work plans have been included in this NOFA and are available at the HUD web site at: <http://www.hud.gov/offices/lead/grantfrm/hudgrantee.cfm>. This policy guidance provides a sample format and outline for developing the Lead Hazard Control Grant Program Work Plan.

Applicants should describe the proposed activities and provide HUD with measurable outcome results to be achieved with the requested funds. Measurable outcome results should be stated in terms relevant to the purpose of the program funds as a direct result of the work performed within the performance period of the grant (e.g., estimated number of units to be made lead-safe, estimated number of children living in units made lead-safe, estimated number of persons to be trained to perform lead hazard control activities, estimated number of educational programs to be presented and/or the



number of persons to be served by such programs, and the basis for these estimates). Each proposed activity must be eligible in accordance with the requirements of this NOFA and meet statutory requirements for assistance to low- and very low-income persons.

Your response to this factor must include the elements in paragraphs a. through d. described below:

a. Lead Hazard Control Work Plan Strategy (30 of 40 points). Describe your work plan goals and specific time-phased strategy to complete work under the grant within the 36-month or less period of performance for your lead hazard control grant program. You should provide the information described in paragraphs (1) and (2) of this factor.

(1) Implementing a Lead Hazard Control Program (15 points). Describe how you will implement the strategy for your proposed lead hazard control program. The description must include information on:

(a) How the project will be organized, managed, and staffed. You must also identify the specific steps that will be taken to train and ensure the availability of enough lead-based paint contractors and workers to conduct lead hazard control interventions, and to perform other program activities. In addition, you must provide a detailed description of the selection process for sub-grantees, subcontractors or sub-recipients, and how assistance and funding will flow from the grantee to those who will actually perform the work under the grant.

(b) The overall number of eligible privately owned housing units, especially those known to contain EBL children, scheduled for lead hazard control intervention work and the strategy for their identification, selection, prioritization, and enrollment in the selected target area(s). Explain how you will obtain data from state or local health departments on the addresses of housing units in which children have been identified as lead poisoned. Discuss the eligibility criteria for unit selection and how the program will identify units that meet these criteria. Explain how you would target resources to maximize the return on investment from grant funding. As funding is a constraint for this program, it is imperative to maximize the impact of grant dollars. Include in this discussion your proposed technical approach and how this choice addresses local conditions and needs as well as attempting to maximize the number of children protected from lead hazards. As there are a variety of reduction techniques that grantees can apply to

lead hazards, it is important for HUD to be able to assess the effectiveness of a grantee's choice of a technical strategy. Explain how referrals of eligible units will be obtained from childhood lead poisoning prevention programs, other health care or housing agencies or health providers that serve children. Also, discuss how referrals from the Section 8/Housing Choice Voucher programs and other agencies that provide housing assistance to low-income households with children including CDBG, HOME Investment Partnerships Program-funded housing programs or other sources will be made. (Include as attachments any referral agreements, commitment letters or other documents from other entities that describe their participation in recruiting eligible units in the lead hazard control grant program; see Rating Factor 4 Leveraging Resources for additional information regarding referral agreements. Applicants are to complete the Factor 3 Table).

(c) The degree to which the work plan focuses on eligible privately owned housing units occupied or to be occupied by low-income families with children under six years of age. Discuss strategies to control lead hazards in units where children have already been identified with an elevated blood lead level (EBL), including your capacity to rapidly complete lead hazard control work in their units. Demonstrate how you will consider housing units identified by local health and child welfare agencies where incidences of childhood lead poisoning have occurred, particularly those where multiple poisonings have been reported. Describe your planned approaches to control lead hazards in vacant and/or occupied units before children are poisoned and your plans to ensure that the program will continue to affirmatively market and match these units made lead-safe with low-income families with children under six years of age in the future. Provide estimates of the number of low-income children you will assist through this program. You should describe how the program will respond to the needs of children with elevated blood lead levels (EBLs) located outside the target area(s).

(d) Discuss the lead hazard control financing strategy, including financing eligibility requirements, terms, conditions, dollar limits, and amounts available for lead hazard control work. Applicants must also describe how grant funds will be recaptured by the program in the event that a recipient of grant funds fails to comply with any terms and conditions of the financing arrangement (e.g. affordability, sale of

property, etc.) You must discuss the way assistance from the grant funds will be administered to or on behalf of property owners (e.g. use of grants, deferred loans and/or forgivable loans and the basis and schedule for forgiveness), and the role of other resources, such as private sector financing). You should identify the entity that will administer the financing process and describe how coordination and payment between the program and contractors performing the work will be accomplished. Describe matching requirements, if any, proposed for assistance to rental property owners.

(e) Applicants shall incorporate in their application the approach of a Statewide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning as a major public health problem by 2010 (7 points). Describe any formalized commitments, or provide documentation of commitments, with applicable State or local health and child welfare agencies, community development organizations, and housing agencies that have teamed with you to identify and address childhood lead poisoning in your jurisdiction collaboratively, and describe your methods for coordinating among these agencies. Address issues of patient confidentiality raised by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as it relates to the release of addresses of units where children have been poisoned by lead-based paint hazards within your jurisdiction; in addition, provide thorough details of all security measures to be taken to ensure that the privacy of patient information obtained for the purposes of public health services conducted through the lead hazard control program will be safeguarded. Applicants are encouraged to include an outline of the steps that they will take to participate in or develop a statewide or jurisdiction-wide strategic plan. Applicants are encouraged to collaborate with Centers for Disease Control and Prevention (CDC) Childhood Lead Poisoning Prevention grantees, who are now required to develop such plans. At a minimum, the plan must include the following elements:

(i) Mission Statement  
(ii) Purpose and Background on Lead Poisoning Prevention Prevalence  
(iii) Goals, Objectives, and Activities; and

(iv) Evaluation Plan  
(f) Community-wide Learning Opportunity (3 points). The Lead-Based Paint Hazard Control Grant provides an opportunity for learning by community members, including families, workers,



small businesses and others, to help develop a strategic community health educational model that identifies lead-related health hazards and their solutions, and educates community members and affects wider efforts in the applicant's targeted area. Applicant shall discuss the opportunity-to-learn approach to educate children, parents, workers, businesspeople and other community members about lead poisoning prevention and lead hazard control. The applicant's proposed educational program shall continue to meet the needs of those children already living in units with eligible lead hazards.

(g) Consolidated Plan and Analysis of Impediments to Fair Housing Choice. You also must provide documentation of the priority that the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice has placed on addressing the needs you described. (This section does not apply to Native American Tribes. However, a Native American Tribe applicant may use the Indian Housing Plan to document how the Indian Housing Plan addresses the need for lead hazard control grant activities.) You should describe how your proposed program will contribute to satisfying the stated needs in the Consolidated Plan or Indian Housing Plan, and eliminating impediments identified in the Analysis of Impediments (AI). Also describe how your proposed program will further and support the policy priorities of the Department: including promoting healthy homes and the quality of housing. The applicant should describe its activities that remove barriers to affordable housing within their communities or support such efforts at the state and local level. This priority relates to HUD's Strategic Goal for Increasing Homeownership Opportunities and Promoting Decent Affordable Housing. In addition, applicants should describe how your strategy will provide long-term benefits to families with children under six years of age, and whether any of the proposed activities will occur in an Empowerment Zone (EZ), Renewal Community (RC), or Enterprise Community, designated by USDA in round II (EC-IIIs), that are intended to serve the residents of these areas, and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan (TIUP), and how they will benefit the residents of those zones or communities.

(h) All test results related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement

describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR Part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any child affected.

(2) Technical Approach/Performance (15 points).

(a) Describe your process for the conduct of a combined lead-based paint inspection and risk assessment lead hazard evaluation in units of eligible privately owned housing to confirm that there are lead-based paint hazards in the housing units where lead hazard control is undertaken.

(b) Describe your testing methods, schedule, and costs for performing blood lead testing in children under six, combined lead-based paint inspections and risk assessments and clearance examinations to be used. If you propose to use a more restrictive standard than the HUD/EPA thresholds (e.g., less than 0.5 percent or 1.0  $\mu\text{g}/\text{square centimeter}$  for lead in paint, or less than 40, 250, 400  $\mu\text{g}/\text{square foot}$  for lead in dust on floors, sills and troughs, respectively); or 400 ppm in bare soil in children's play areas and 1200 ppm for bare soil in the rest of the yard), identify the standard(s) that will be used. All testing shall be performed in accordance with applicable regulations.

(c) Describe the lead hazard control methods and strategies you will undertake and the number of units you will treat for each method selected (interim controls or hazard abatement). Research has shown that interim controls generally yield the best benefit/cost ratio among technological approaches for eliminating lead hazards. Applicants should assume that interim controls are the preferred approach for their strategies and project unit output targets accordingly. If applicants maintain that approaches other than interim controls are necessary for their jurisdiction, they should explain why this is the case. For example, abatement might be justified in an area where

significant amounts of low-income housing stock are highly distressed or where lead hazard work is being combined with rehabilitation. Where highly distressed stock is present, applicants should explain why options for households to move to lead-safe housing are not viable.

(i) Complete abatement of all lead painted surfaces in all units is generally not acceptable as a strategy. In cases where only a few surfaces have lead hazards in a specific unit and abatement is cost-effective, the applicant must provide a detailed rationale for selecting complete abatement as a strategy.

(ii) Describe the process for developing work specifications and bids on properties selected for lead hazard control.

(iii) Provide an estimate of the per unit costs (and a basis for those estimates) for each lead hazard control method proposed and a schedule for initiating and completing lead hazard control work in the selected units. Discuss efforts to incorporate cost-effective lead hazard control methods. Explain your cost estimates, providing detail on how the estimates were developed, with particular references to cost effectiveness.

(d) Schedule. Provide a realistic schedule for completing key activities, by quarter, so that all activities can be completed before or within the period of performance of the grant. Key production activities include enrollment of units, paint inspections/risk assessments, and completion/clearance of units. When developing the schedule, the applicant shall take into consideration their previous experience and performance in administering similar lead hazard control or rehabilitation programs.

(e) Timeframes. Describe the estimated elapsed timeframe for treating a typical unit that will receive lead hazard control, including referral/intake, enrollment (qualification of the unit as eligible), combined lead-based paint inspection/risk assessments, preparation of specifications or work write-up, selection of the contractor, lead hazard control intervention work activities, quality control and monitoring of work activities, and clearance. The timeframe should include an estimate of the staff and contractor time required to treat a typical unit that will receive lead hazard control. Describe the schedule for emergency referrals (e.g. unit occupied by a child under six years of age with an elevated blood lead level). List the type of unit (e.g., owner-occupied, rental, or vacant) and the number of units projected in each of the following

categories: Lead-based paint inspections/risk assessments; interim controls; hazard abatement; and clearance examinations.

(f) **Workflow and Production Control.** Provide guidelines and/or flowcharts showing agency/team member responsibilities for each step in the process (from intake to clearance) and describe/show how coordination and hand-offs will be handled. Discuss how the actual production status of units, from intake to final clearance, will be monitored, and how and when production bottlenecks will be identified, remedied, and monitored.

(g) Describe how you will integrate proposed lead hazard control activities with rehabilitation activities, including providing the training needed to create a workforce properly trained in lead-safe work practices for units assisted or rehabilitated under other HUD programs, and any collaboration with local housing or health departments, rehabilitation programs or community development corporations to stage lead hazard control and rehabilitation in the same units.

(h) Describe your contracting process, including development of specifications or adoption of existing specifications for selected lead hazard control methods. Describe the management processes you will use to ensure the cost-effectiveness of your lead hazard control methods. Your application must include a discussion of the contracting process for the conduct of lead hazard control activities in the selected units, and requirements for coordination among lead hazard control, rehabilitation, weatherization, and other contractors.

(i) Describe your plan for occupant protection or the temporary relocation of the occupants of units selected and undergoing lead hazard control work. Describe any plan to avoid overnight relocation in small-scale projects consistent with 24 CFR 35.1345(a)(2) and HUD's Lead Safe Housing Rule (24 CFR part 35) Interpretive Guidance, including items J24, R18, and R19. Your work plan should address the use of safe houses and other temporary housing arrangements, storage of household goods, stipends, incentives, etc.

b. **Economic Opportunity (4 of 40 points).**

(1) Describe the ways you will train individuals and contractors in housing related trades, such as painters, remodelers, renovators, maintenance personnel, rehabilitation specialists, and others in lead-safe work practices.

(2) Describe how you will help to integrate lead-safety into other housing activities, such as meeting the requirements of the HUD Lead-Safe

Housing Regulation in housing units rehabilitated or assisted with federal funds.

(3) Describe the methods to be used to provide economic opportunities for residents and businesses throughout the community within the target area. This discussion should include information on how you will promote training, employment, business development, and contract opportunities as part of your lead hazard control program. Grantees must comply with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and HUD's implementing rules at 24 CFR part 135. Describe how you will accomplish the requirement by (a) providing training and employment opportunities for low and very low-income persons living within the grantee's jurisdiction, and by (b) providing business opportunities to businesses owned by low and very low-income persons living within the grantees jurisdiction. Applicants that provide training, employment or business opportunities for low- and very low-income persons will receive one point in this sub factor.

c. **Lead Hazard Control Outreach and Community Private Sector Involvement (4 of 40 points).** Applicants are encouraged to solicit participation of grassroots community-based and private sector organizations, including faith-based organizations; and other community-based and private sector organizations; to accomplish outreach and community involvement activities and to build long-term capacity to sustain accomplishments in the target area. Applicants that team with, fund, or subcontract with grassroots community-based nonprofit organizations, including faith-based organizations, will receive one point in this-sub factor. Your application must describe:

(1) Proposed methods of community education. These may include community awareness, education, training, and outreach programs in support of the work plan and objectives. This description should include general and/or targeted efforts undertaken to assist your program in reducing lead exposure. Programs should be culturally sensitive, targeted, and linguistically appropriate. Upon request, this would include making materials available in alternative formats to persons with disabilities (e.g., Braille, audio, large type), and in other languages common to the community to the extent possible.

(2) Strategy for involving neighborhood or grassroots community based nonprofit organizations, including faith-based organizations, in your proposed activities. Your activities may

include training (including training residents to screen houses through visual assessment and sampling), outreach, community education, marketing, inspection (including dust lead testing), and the conduct of lead hazard control activities. HUD will evaluate the proposed level of substantive involvement of such organizations during the review process.

(3) Strategies and methodologies that affirmatively further fair housing and increase access to lead-safe housing for all segments of the population: homeowners, owners of rental properties, and tenants. This outreach should address ways to avoid housing discrimination against families with young children, and ways to ensure that all families will have adequate, lead-safe housing choices in the future. These strategies could include your plans to develop and implement a registry (listing) of lead-safe housing that is available to the public, or to incorporate the inclusion of the lead-safe status of properties in another publicly accessible address-based property information system. The strategy could also include affirmatively marketing your services to those populations least likely to apply and who may not be served by any of the organizations working with you on the grantee team.

d. **Data Collection and other Program Support Activities (2 of 40 points).**

(1) Identify and discuss the specific methods you will use (in addition to HUD reporting requirements) to document activities, progress, program effectiveness, and how changes necessary to improve performance will be implemented. Describe how you will obtain, document and report on information collected.

(2) Provide a detailed description of any proposed participation in research activities, studies, or development of information systems designed to enhance the delivery, analysis, or conduct of lead hazard control activities, or that will facilitate the targeting and pooling of resources to further childhood lead poisoning prevention efforts. If you are proposing to participate in research activities, describe the objectives, methodology, and impact at the local level of the proposed research activities.

4. **Rating Factor 4: Leveraging Resources (10 Points)**

This factor addresses your ability to obtain other community and private sector resources that can be combined with HUD's program resources to achieve program objectives. In evaluating this factor, HUD will consider the extent to which you have

established working relationships with other entities to get additional resources or commitments to increase the effectiveness of the proposed program activities. Resources may include cash or in-kind contributions of services, equipment, or supplies allocated to the proposed program. Resources may be provided by governmental entities, public, or private organizations, and other entities teaming with you. Leveraging arrangements with rental property owners may have the benefits of increasing the efficiency of public lead hazard identification and control expenditures and creating a financial stake for rental property owners in the quality of lead hazard control work. Contractual or other formal relationships with grassroots community-based nonprofit organizations, including faith-based organizations, are a requirement for State and local government applicants. Documentation of relationships with grassroots community-based nonprofit organizations, including faith-based organizations, must be provided in this application in the form of either signed agreements or commitment letters from organization officials who have the authority to commit the organization. This requirement does not apply to Native American Tribe applicants. You also may team with other program funding recipients to coordinate the use of resources in your target area(s).

(1) You should detail any activities to increase the understanding of lead poisoning prevention in your community. This could include teaming with childhood lead screening programs, collaboration with ongoing health, housing or environmental research efforts which could result in a greater availability of resources, and efforts to build capacity for lead-safe housing.

(2) Matching funds must be shown to be specifically dedicated to and integrated into supporting the lead-based paint hazard control program. Refer to Section III. B. Cost Sharing or Matching Requirements for additional information. You may not include any federal funds as part of the 10 percent match, unless those funds are specifically permitted by statute to be used as matching funds, such as CDBG funds. Other resources from the private sector or other sources committed to the program that exceed the required 10 percent match will provide points for this rating factor. Contributions above the first 10 percent may include funds from other federally funded programs, and/or state, local, charity, nonprofit or for-profit entities. The signature of the authorized official on the Form SF-424

commits matching or other contributed resources of the applicant organization. A separate letter of commitment for the match from the applicant organization is not required; however, the applicant must submit a letter of commitment from each organization other than itself that is providing a match, whether cash or in-kind, both for the required minimum and additional amounts. The letter must describe the contributed resources that you will use in the program and their designated purpose. Staff in-kind contributions should be given a monetary value based on the local market value of the staff skills; you are responsible for tracking the number of labor hours provided in the match for each labor category. If you do not provide letters from contributors specifying details and the amount of the actual contributions, those contributions will not be counted. Contributions required of rental property owners may be included as part of your match. You should document and provide the amount of the match from each resource.

Applicants will not receive full points under this rating factor if they do not submit evidence of a firm commitment and the appropriate use of leveraged resources under the grant program. Such evidence must be provided in the form of letters of firm commitment, memoranda of understanding, or other signed agreements to participate from those entities identified as team members in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level of commitment, and the responsibilities as they relate to your proposed program. The commitment must be signed by an official of the organization legally able to make commitments on behalf of the organization. Describe the role of grassroots community-based nonprofit organizations, including faith-based organizations, in specific program activities, such as: hazard evaluation and control; monitoring; and awareness, education, and outreach within the community. Describe how you will ensure that commitments to sub-grantees specified in your proposal will be honored and executed, contingent upon an award from HUD.

##### 5. Rating Factor 5: Achieving Results and Program Evaluation (10 Points)

(A) This factor emphasizes HUD's commitment to ensuring that applicants achieve the goals outlined in their work plan and other benchmark standards and assess their performance to ensure performance goals are met (5 points).

Achieving results means you, the applicant, have clearly identified the benefits, or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you, the applicant, identify program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your Evaluation Plan should identify what you are going to measure, how you are going to measure it and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes. The degree to which benefits are maximized relative to cost is important. In particular, different technical approaches vary widely in cost, but also produce different levels of benefits. Evaluation should explore how well the technical strategy meets the conditions and needs found in the grantee's jurisdiction.

This rating factor reflects HUD's goal to embrace high standards of ethics, management, and accountability. Applicants are required to complete the HUD 96010 Logic Form included in the General Section.

(1) An applicant is to identify and describe specific methods, measures, and tools that you will use (in addition to HUD reporting requirements) to measure progress, evaluate program effectiveness, and identify program changes necessary to improve performance. Describe how you will obtain, document, and report the information. In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program including:

(a) The degree to which lead hazard control work will be done in conjunction with other housing-related activities (*i.e.*, rehabilitation, weatherization, correction of code violations, and other similar work), or your plan for the integration and coordination of lead hazard control activities into those activities in the future.

(b) Plans to develop public/private lending partnerships to finance lead hazard control as part of acquisition and rehabilitation financing such as the use of Community Reinvestment Act "credits" by lending institutions or other financing strategies.

(c) Results of any specific plans and objectives established to implement

and/or maintain a registry (listing) of lead-safe housing that is available to the public, or to incorporate the inclusion of the lead-safe status of properties in another publicly accessible address-based property information system. Results could include how the information would be managed and affirmatively marketed to the public so that families (particularly low-income families with children under six years of age) can make informed decisions regarding their housing options. Prior grantee applicants must address any registry (listing) of lead-safe housing developed during the prior grant period by specifically discussing the availability, amount of information contained, and its maintenance.

(d) The extent to which affirmatively furthering fair housing for all segments of the population is advanced by the proposed activities. (This section does not apply to Native American Tribes.) Detail how your proposed work plan will support the community's efforts to affirmatively further affordable housing and how you will quantify results of affirmatively furthering fair housing activities. As part of the background for your fair housing element of your work plan under this grant, discuss the impact of prior activities that have contributed to enhanced lead-safe housing opportunities.

(e) The resulting impact of plans to adopt or amend statutes, regulations, or policies that will more fully integrate lead hazard control into community policies and priorities.

(f) How your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program. Applicants should provide a description of the mechanism to assess progress and track performance in meeting the goals and objectives outlined in the work plan. Applicants should provide assurances that work plans and performance measures developed for the program will assist intended beneficiaries, and that work will be conducted in a timely and cost-effective manner.

(B) Results of activities to coordinate and cooperate with other organizations that will lead to a reduction in lead risks to community residents (5 points). This could include documenting such activities as: free training to create a workforce properly trained in lead safe work practices; lead-safe work practices training for repainting and remodeling; promotion of essential maintenance practices; and provision of lead dust testing to low-income, privately-owned homes which may not receive lead hazard control assistance under this

grant program. This factor should address the quantitative measures of the following:

(1) Community outreach education that focuses on the outcomes of a workforce properly trained in lead safe work practices.

(2) Effective outreach education aimed at families, health care members, and other professional colleagues.

(3) Effective outreach education assessing the needs of families and communities intended to receive lead hazard control assistance under this grant program

#### 6. Bonus Points (2 Points)

HUD's FY2005 NOFAs provide for the award of two bonus points for eligible activities/projects that the applicant proposes to locate in federally designated Empowerment Zones (EZs), Renewal Community (RC), or Enterprise Community, designated by USDA in round II (EC-IIs). Applicants may also meet the requirements listed in the General Section of this NOFA for a possible award of two bonus points.

#### B. Reviews and Selection Process

##### 1. Rating and Ranking

Please refer to the General Section. Only those applications that meet the threshold review requirements will be rated and ranked. HUD intends to fund the highest ranked applications in each category receiving a minimum score of 75 within the limits of funding.

a. A current grantee eligible to compete as a Competitive Performance-Based Renewal Grant applicant will be rated and ranked based on its demonstrated performance in terms of the number of housing units completed and cleared (as a percentage of units in current grant agreement), the cumulative Line of Credit Control System (LOCCS) drawdowns to date, and the applicant's response to Factors Two through Five. Performance will be evaluated based upon the quarterly progress data submitted to HUD for the period ending March 31, 2005 and other data available to HUD.

Current grantees that are eligible to submit a Performance-Based Renewal application and are successful applicants will have their current grant agreement modified to allow for an additional 36-months grant. The submission requirements for the Performance-Based Renewal grant can be found in Section IV of this NOFA.

b. Remaining Funds. Refer to the General Section of this NOFA for HUD's procedures if funds remain after all selections have been made within a category of the Lead Hazard Control Grant Program.

#### 2. Factors for Award Used to Rate and Rank Applications

a. Implementing HUD's Strategic Framework and Demonstrating Results. HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission. To support this effort, grant applications submitted for HUD programs will be rated on how well they tie proposed outcomes to HUD's policy priorities and Annual Goals and Objectives, and the quality of proposed Evaluation and Monitoring Plans.

HUD is encouraging applicants to undertake specific activities that will assist the Department in implementing its policy priorities. HUD's Strategic Goals and Policy Priorities are outlined in the General Section of this NOFA. For Lead Hazard Control Grant Program applicants, activities that promote economic opportunities for low-income persons support HUD's policy priority for Improving the Quality of Life in Our Nation's Communities. An applicant will be awarded one point under Rating Factor 3: Economic Opportunities for activities that are undertaken to specifically address this policy priority. Activities that promote the participation of grassroots community-based nonprofit organizations, including faith-based organizations, or community and parent organizations, support HUD's policy priority for providing full and equal access to grassroots community-based nonprofit organizations, including faith-based organizations. An applicant will be awarded one point under Rating Factor 3: Lead Hazard Control Outreach and Community Private Sector Involvement for activities undertaken that specifically addresses this policy priority. For initiatives that break down regulatory barriers that impede the production of affordable housing, an applicant will be awarded up to two (2) points under Rating Factor 3 for activities that remove barriers to affordable housing within their communities or support such efforts at the state and local level. This priority relates to HUD's Strategic Goal for Increasing Homeownership Opportunities and Promoting Decent Affordable Housing. Refer to the General Section for additional details pertaining to this policy priority. Applicants addressing this policy priority are to complete Form HUD-27300—Questionnaire for HUD's Initiative on Removal of Regulatory Barriers, and must include required documentation to receive policy priority points.

b. The maximum number of points to be awarded is 102. This maximum

includes two bonus points as described in the General Section.

c. The factors for rating and ranking eligible grantees under all categories, and the maximum points for each factor are stated below:

Rating factor	Maximum points
1. Capacity of the Applicant and Relevant Organizational Experience (or, Units Completed/ LOCCS Disbursed by deadline date for Competitive Performance-Based Renewal Applicants) .....	20
2. Needs/Extent of the Problem ...	20
3. Soundness of Approach .....	40
4. Leveraging Resources .....	10
5. Achieving Results and Program Evaluation .....	10
Empowerment Zone and Enterprise Community Bonus Points	2
<b>Total</b> .....	<b>102</b>

**VI. Award Administration Information: Refer to the General Section for Additional Details on Award Administration**

*A. Award Notices*

1. Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer indicating that they have been selected for an award. This letter will provide additional details regarding the effective start date of the grant and any additional data and information to be submitted to execute a grant agreement. This letter is not an authorization to begin work or incur costs under the grant. A fully executed grant agreement is the authorizing document. Unsuccessful applicants will also be notified that their application was not selected for an award and will be afforded an opportunity to request a debriefing on the unsuccessful application according to the procedures outlined in the General Section.

2. Negotiation. Refer to the General Section for additional details.

3. Adjustments to Funding. Refer to the General Section for additional details.

*B. Administrative and National Policy Requirements*

Refer to the General Section for additional details regarding the Administrative and National Policy Requirements applicable to HUD Programs.

**1. Flood Disaster Protection Act**

Under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128), you may not use these grant funds for lead-

based paint hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

a. The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59–79), or less than a year has passed since FEMA notification regarding these hazards; and

b. Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

**2. National Historic Preservation Act**

The National Historic Preservation Act of 1966 (16 U.S.C. 470) and the regulations at 36 CFR part 800 apply to the lead-based paint hazard control activities that are undertaken pursuant to this program. HUD and the Advisory Council for Historic Preservation have developed an optional Model Agreement for use by grantees and State Historic Preservation Officers in carrying out activities under this program. The Model Agreement may be obtained from the HUD Web site at: [www.hud.gov/utilities/intercept.cfm?/offices/lead/grantfrm/pgi/95\\_06.pdf](http://www.hud.gov/utilities/intercept.cfm?/offices/lead/grantfrm/pgi/95_06.pdf)

**3. Waste Disposal**

You must handle waste disposal according to the requirements of the appropriate local, state, and federal regulatory agencies. You must handle disposal of wastes from hazard control activities that contain lead-based paint, but are not classified as hazardous in accordance with state or local law or the HUD Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines are available from the HUD Web site at: <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>.

**4. Worker Protection Procedures**

You must observe the procedures for worker protection established in the HUD Guidelines, as well as the requirements of the Occupational Health and Safety Administration (OSHA) (29 CFR 1926.62, Lead Exposure in Construction), or the State or local occupational safety and health regulations, whichever are most protective. If other applicable

requirements contain more stringent requirements than the HUD Guidelines, the more rigorous standards shall be followed.

**5. Davis-Bacon Act**

The Davis-Bacon Act does not apply to this program. However, if you use grant funds in conjunction with other federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

**6. Procurement of Recovered Materials**

See the General Section for information concerning this requirement.

*C. Reporting*

Successful applicants will be required to submit quarterly, annual, and final program and financial reports according to the requirements of the Office of Healthy Homes and Lead Hazard Control. Your quarterly, annual and final report must include a completed Logic Model form HUD–96010, *approved and incorporated into your award agreement*, showing specific outputs and outcome results against those proposed and accepted as part of your approved grant agreement. *For specific reporting requirements, see policy guidance: [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead).* Specific guidance and additional details will be provided to successful applicants.

**VII. Agency Contact(s)**

For Further Information and Technical Assistance: You may contact Jonnette Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street SW., Washington, DC 20410–3000, telephone (202) 755–1785, extension 126 (this is not a toll-free number) facsimile (202) 755–1000, e-mail: [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov) (use underscores). If you are a hearing- or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at 1–800–877–8339.

**VIII. Other Information**

Other Office of Healthy Homes and Lead Hazard Control Information: For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
(expires 4/30/2007)

Factor 1 Capacity Of The Applicant And Relevant Organizational Experience			
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.			
<b>A. Key Personnel</b>			
Name and Position Title (please include the organization position titles in addition to those shown). Resumes or position descriptions are to be included in appendix.	Percent of Time Proposed for this Grant (HUD Funded or In-Kind)	Percent of Time to be spent on other LHC HUD grants	Percent of Time to be spent on other Activities
	Note: These three columns should total 100%		
<b>A.1 Overall Project Director</b>			
Name: _____			
Organization Position Title: _____			
Phone Number: _____		Fax Number: _____	
Email: _____			
A.2 Day-to-Day Program Manager <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name: _____			
Organization Position Title: _____			
Phone Number: _____		Fax Number: _____	
Email: _____			
A.3 Other <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name: _____			
Organization Position Title: _____			
Phone Number: _____		Fax Number: _____	
Email: _____			
<b>B. Partners</b>			
Name of the organization or entity that partners or will partner with applicant and if partner will be subgrantee/subrecipient	Description of Commitment and Status	Proposed Activities To Be Conducted by Partner	Amount of HUD Grant Funds (If Subgrant)
B.1 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.2 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.3 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.4 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.5 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.6 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.7 Name: _____			
Type of Organization _____			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>Definitions:</b> <b>Partner Name:</b> Name of organization or entity that will partner with applicant in conducting program activities. <b>Type of Organization or Program:</b> Health, Housing, Environmental, Community Development Department, Planning Department, Grassroots Faith-Based or Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institution, Job Training and Economic Opportunity Organization, etc. <b>Description of Commitment:</b> Memorandum of Understanding/Agreement, Contract, Subgrantees, Letter, etc. <b>Proposed Activities to be Conducted by Partner:</b> The type of activities that will be conducted by the grant partner in support of program efforts (i.e. rehabilitation, testing, training, education and outreach, specification writing, relocation, etc.) <b>Amount of HUD Grant Funds if Subgrantee/Subrecipient:</b> The dollar amount subgrantee/subrecipient will be receiving for the services they will provide.			

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

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<b>Factor 2</b>						<b>Need/Extent Of The Problem</b>									
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.															
<b>Name of Jurisdiction</b>						<b>Name of Target Area (s)</b>									
<b>A. Documented Blood Lead Level (BLL)</b>															
A.1 Total Number of Children <6 Years (72 months) of Age in Jurisdiction: % of Total Population:						A.2 Total Number of Children <6 Years (72 months) of Age in Target Area: % of Total Population:									
Blood Lead Level		Number of Children Under 6 Years		% Of Total		Blood Lead Level		Number of Children Under 6 Years		% Of Total					
< 10 µg/dL						< 10 µg/dL									
≥10 µg/dL and ≤19 µg/dL						≥10 µg/dL and ≤19 µg/dL									
≥ 20 µg/dL						≥ 20 µg/dL									
Total Tested				100%		Total Tested				100%					
Source and Date Documented (Indicate Period Covered)*				Source and Date Documented (Indicate Period Covered)*											
*Attach documentation in appendix - State or local health department may be a good source for this information															
<b>B. Housing Age and Tenure</b>															
B.1 Jurisdiction						B.2 Target Area (s)									
Year Built	Number	% of Total	Owner	Renter	Year Built	Number	% of Total	Owner	Renter						
Pre-1940					Pre-1940										
1940-1949					1940-1949										
1950-1959					1950-1959										
1960-1969					1960-1969										
1970-1977					1970-1977										
1979 or newer					1979 or newer										
Total					Total										
Source: 2000 Census - <a href="http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en">http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en</a>															
Instructions:															
<ol style="list-style-type: none"> <li>1. Select "Census 2000 Summary File 3 (SF3) – Sample Data"</li> <li>2. Click on "Detailed Tables" on the side menu</li> <li>3. On the next page, select "Place" from the pull-down menu next to "Select a geographic type"</li> <li>4. Select the "State" from the pull-down menu next to "Select a State"</li> <li>5. Select one or more "cities" of interest from the selected state and click "Add"</li> <li>6. Click the button that says "Next"</li> <li>7. On the next page, select "H36. Tenure by Year Structure Built" from the pull-down menu, then "Select one or more tables" and click "Add"</li> <li>8. Click "Show Tables"</li> </ol>															
*Attach copy of the downloaded information in appendix.															
<b>C. Very Low and Low-Income Population – As Determined by HUD</b>															
C.1 Jurisdiction						C.2 Target Area (s)									
Number of Families ≤50% of AMI		%		Total Number of Families <80% of AMI*		%		Number of Families ≤50% of AMI		%		Total Number of Families <80% of AMI		%	
Source: Income Limits As Determined by HUD- <a href="http://www.huduser.org/datasets/il.html">http://www.huduser.org/datasets/il.html</a>															
Instructions:															
<ol style="list-style-type: none"> <li>1. Select the appropriate State</li> <li>2. Click on the link that says "Open PDF file"</li> <li>3. Search for appropriate location</li> </ol>															
*Attach copy of the downloaded information in appendix															

**Healthy Homes and  
Lead Hazard Programs**

**U.S. Department of Housing  
and Urban Development  
Office of Lead Hazard Control**

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**Factor 3 Soundness Of Approach**

A. Proposed Lead Hazard Control Activities		Total Units To Be Completed and Cleared					
Activity	Who Will Perform This Activity (Name or Agency/Organization)	Number of Units	Housing Tenure			Estimated Timeline to Complete Work	Estimated Per Unit Cost
			Owner Occupied	Rental	Vacant		
Identification, Selection, Prioritization of Units (Referrals)*							
Intake/Enrollment							N/A
Financing (Grant, Loan, Other)							N/A
Pre-Hazard Control Blood Lead Testing			N/A	N/A	N/A		
Paint Inspections/Risk Assessments							
Laboratory Analysis of Samples			N/A	N/A	N/A		
Work Specifications			N/A	N/A	N/A		
Bid Process/ Contractor Selection			N/A	N/A	N/A		
Temporary Relocation							
Interim Controls							
Hazard Abatement							
Quality Control-Contractor Performance			N/A	N/A	N/A		N/A
Clearance Evaluations			N/A	N/A	N/A		
Maintenance Plan – Unit Follow Up			N/A	N/A	N/A		N/A
Community Outreach/ Education		N/A	N/A	N/A	N/A		N/A
Training		N/A	N/A	N/A	N/A		N/A

**Activity:**  
\*Identification, Selection, Prioritization of Units (Referrals) This should be a higher number than the number of units that are projected to be completed and cleared by the program  
**Who Will Perform This Activity:** Applicant Agency, Partner Organization, Contractor, Grassroots Faith-Based or Community-Based Non-Profit Organization.  
**Number of Units:** Number of units to receive program services.  
**Housing Tenure:** Number of units to receive program services according to housing tenure status (i.e. owner occupied, renter occupied, vacant)  
**Estimated Time to Complete Work for each unit:** Hours, days, weeks required to complete an activity  
**Estimated Unit Cost:** Self explanatory



WORK PLAN DEVELOPMENT WORKSHEET  
WITH MINIMUM BENCHMARK PERFORMANCE STANDARDS  
FOR 36-MONTH PERIOD OF PERFORMANCE

Healthy Homes and Lead Hazard Program													OMB Approval Number 2539-0015 (exp 1/31/2006)	
Grant Number:	Grantee Organization:											Period of Performance: Feb 1, 2003 - January 31, 2006		
ACTIVITY	Q1 2003	Q2 2003	Q3 2003	Q4 2003	Q5 2004	Q6 2004	Q7 2004	Q8 2004	*Q9 2005	Q10 2005	Q11 2005	Q12 2005	Q13 2006	Q14 2006
	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun
Applicant Capacity (0-120 days)														
Staff Hired	-----◆													
Approved Environmental Review and Release of Funds	-----◆													
Written Policies and Procedures	-----◆													
Lead Hazard Control Implementation Units in Grant Agreement = #														
Paint Inspections/Risk Assessments:	-----◆													
Performance Standard		5%	15%	30%	45%	55%	65%	85%	95%	100%				
Work Plan Milestone														
% Planned														
Actual # Completed														
Actual % Completed														
** Units in Progress														
Units Completed and Cleared:														
Performance Standard			2%	5%	15%	30%	45%	55%	* 65%	85%	95%	100%		
Work Plan Milestone														
% Planned														
Actual # Completed														
Actual % Completed														
Cumulative LOCCS DRAWDOWNS Grant Award Amount = \$														
Performance Standard				5%	10%	15%	20%	30%	* 45%	60%	80%	95%	100%	
LOCCS Drawdown Work Plan Milestone														
% Planned														
Actual LOCCS Drawdown														
Actual Cumulative LOCCS Drawdown %														
Community Outreach / Education / Training														
Community Outreach and Education Work Plan Milestone														
Community Outreach and Education Milestone Achieved														
Skills Training Work Plan Milestone														
Skills Training Milestone Achieved														
Performance Measured Against Approved Work Plan Milestones													100%	◆
Close-Out Feb 1 - Apr 30, 2006														◆
* Renewal Eligibility Milestone														
** No bench mark standard														

**Healthy Homes and  
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**U.S. Department of Housing  
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**Factor 4 Leveraging Resources**

Name Of The Organization Or Entity That Will Contribute Match Or Leveraged Funds And If The Organization Will Be A Subgrantee/Subrecipient	Work To Be Accomplished In Support Of The Program.	Value Of In-Kind Or Cash Match Contribution*	Additional Leveraged Funds Contribution	Total Of Match And Leveraged Contributions
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name:				
Type of Organization:				
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
<b>Total Amount</b>		\$ 0.00	\$ 0.00	\$ 0

**Name of the organization or entity that will contribute match or leveraged funds and if they are to be a subgrantee/subrecipient:** Self explanatory.

**Work to be accomplished in support of the program:** The type of activities that will be accomplished in support of the program (i.e. outreach, training, risk Assessments/paint Inspections, relocation, etc.)

**Value of In-kind or Cash Match Contribution:** As required by statute or appropriation.

**Additional Leveraged Funds Contribution:** Additional funds above the match contribution required by statute or appropriation

**Total of Match and Leveraged Contributions:** The total of an applicant's In-kind or Cash Match Contribution and any additional Leveraged Funds Contribution

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**HEALTHY HOMES TECHNICAL STUDIES  
PROGRAM**

Billing Code 4210-32-C

## Healthy Homes Technical Studies Program

### Overview Information

A. *Federal Agency Name.* Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control (OHHLHC).

B. *Funding Opportunity Title.* Healthy Homes Technical Studies

C. *Announcement Type.* Initial announcement.

D. *Funding Opportunity Number.* The Funding Opportunity Number is: FR-4950-N-26. The OMB Paperwork Approval number is: 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s).* 14.906, Healthy Homes Technical Studies Grant Program.

F. *Dates.* The application submission date is June 8, 2005. See the General Section of the SuperNOFA Section IV, Application and Submission Information, regarding application submission procedures and timely filing requirements.

G. *Additional Overview Content Information.*

a. *Purpose:* To fund technical studies to improve existing methods for detecting and controlling housing-related health and safety hazards, to develop new methods, and to improve our knowledge of housing-related health hazards.

b. *Available funding:* The total amount to be awarded is approximately \$2 million.

c. *Anticipated awards:* The anticipated amounts and/or numbers of individual awards will be approximately 2 to approximately 8 awards, ranging from approximately \$200,000 to approximately \$1 million, plus an award to be made to correct a funding error under the fiscal year 2004 Healthy Homes Technical Studies Program NOFA.

d. *Type of awards:* The type of award instruments that will be used are grants or cooperative agreements, with substantial involvement of the government in the case of cooperative agreements (see Section II.C for a description of substantial involvement).

e. *Eligible applicants:* Academic, not-for-profit and for-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible to apply.

f. Cost sharing is not required; however, applicant "leveraging" contributions are encouraged (see Section V.A.3.d).

g. There are no limitations on the number of applications that each applicant may submit.

h. The applications for this NOFA can be found at <http://www.grants.gov>. The application is an electronic application. You must register at <http://www.grants.gov> to be able to submit your application. The General Section contains information about submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand HUD's new electronic application process.

### Full Text of Announcement

#### I. Funding Opportunity Description

##### A. Purpose of the Program

The overall goal of the Healthy Homes Technical Studies program is to gain knowledge to improve the efficacy and cost-effectiveness of methods for evaluation and control of multiple housing-related health and safety hazards.

##### B. Program Description

HUD is funding studies to improve HUD's knowledge of housing-related health hazards, and to improve or develop new hazard assessment and control methods, with a focus on the key residential health and safety hazards. Key hazards are described in Appendix A of this NOFA (the appendices to this NOFA are available on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>).

The Healthy Homes Initiative (HHI), which includes the Healthy Homes Technical Studies Program and the Healthy Homes Demonstration Grant Program (see the separate funding announcement for this program), departs from the more traditional approach of attempting to correct one hazard at a time. In April 1999, HUD submitted to Congress a preliminary plan containing a full description of the HHI. The preliminary plan (Summary and Full Report) and a description of the HHI are available on the HUD Web site at <http://www.hud.gov/offices/lead/hhi/index.cfm>.

HUD encourages applicants to consider using the "community based participatory research" approach, where applicable, in the design and implementation of your healthy homes technical studies application (see e.g., <http://www.niehs.nih.gov/translat/cbpr/cbpr.htm>).

A description of current and recently completed Healthy Homes Technical Studies projects and grantee contact information can be found on the HUD Web site at <http://www.hud.gov/offices/lead/hhi/hhigranteeinfo.cfm>.

In addition to deficiencies in basic housing facilities that may impact health, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new and often more subtle health hazards in the residential environment (e.g., asthma triggers). While such hazards will tend to be found disproportionately in housing that is substandard (e.g., structural problems, lack of adequate heat, etc.), such housing-related environmental hazards may also exist in housing that is otherwise of good quality. Appendix A of this NOFA briefly describes the key housing-associated health and injury hazards HUD considers targets for intervention. Appendix B of this NOFA lists the references that serve as the basis for the information provided in this NOFA (see <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>). HUD has also developed resource papers on a number of topic areas of importance under the Healthy Homes Initiative, including mold, environmental aspects of asthma, carbon monoxide, and unintentional injuries. These papers can be downloaded from the HUD Web site at [www.hud.gov/offices/lead/hhi](http://www.hud.gov/offices/lead/hhi). HUD is interested in promoting approaches that are cost-effective and efficient and that result in the reduction of health threats for the maximum number of residents, and in particular, low-income children.

#### 1. Goals of the Healthy Homes Initiative

The overall goals and objectives of the HHI are to:

a. Mobilize public and private resources, involving cooperation among all levels of government, the private sector, grassroots community-based organizations, including faith-based organizations, and other non-profit organizations, to develop the most promising, cost-effective methods for identifying and controlling housing-based hazards; and

b. Build local capacity to operate sustainable programs that will continue to prevent and minimize and control housing-based hazards in low- and very low-income residences when HUD funding is exhausted.

#### 2. Objectives of the Healthy Homes Technical Studies Program

With this NOFA, HUD hopes to advance the recognition and control of residential health and safety hazards and more closely examine the link between housing and health. The overall objectives of Healthy Homes Technical studies projects to be funded

through this NOFA include, but are not limited to:

a. Development and assessment of low-cost test methods and protocols for identification and assessment of housing-related hazards;

b. Development and assessment of cost-effective methods for reducing or eliminating housing-related hazards;

c. Evaluation of the effectiveness of housing interventions and public education campaigns, and barriers and incentives affecting future use of the most cost-effective strategies;

d. Investigation of the epidemiology of housing-related hazards and illness and injuries associated with these hazards, with an emphasis on children's health;

e. Evaluation of residential health and safety hazard assessment and control methodologies and approaches (including both existing methods and the evaluation of improved or novel approaches);

f. Analysis of existing data or generation of new data to improve knowledge regarding the prevalence and severity of specific hazards in various classes of housing, with a focus on low-income housing. Specific examples include:

(1) The prevalence of carbon monoxide and other indoor air quality hazards;

(2) The prevalence and patterns of moisture problems and biological contaminants associated with excess moisture (*e.g.*, fungi, bacteria, dust mites);

(3) The prevalence of specific childhood injury hazards in housing; and

(4) Improved understanding of the relationship between a residential exposure and childhood illness or injury;

g. Low-cost analytical techniques and instruments for the rapid, on- and off-site determination of environmental contaminants of concern (*e.g.*, bioaerosols, pesticides, allergens). HUD's primary interest is in the improvement of existing instruments or methods, and not in the development of new technologies or instruments. Applicants seeking to develop new technologies/instruments should discuss why, if funded, their proposed project would be unlikely to experience significant delays in its completion. The OHHLHC has noted that these types of studies pose a high risk of experiencing significant delays.

h. Objectives of particular interest to HUD include:

(1) Improving or assessing the efficacy of current methods for residential Integrated Pest Management (IPM). IPM

approaches focus on the use of economical means for managing pests, which incorporate information on the life cycles of pests and their interaction with the environment, while minimizing hazards to people, property, and the environment. HUD is particularly interested in IPM methods for reducing cockroach and/or rodent populations in multifamily housing;

(2) Controlling excess moisture by reducing migration through the building envelope and condensation of water vapor on interior surfaces, with an emphasis on low cost interventions for low income housing;

(3) Improving indoor air quality, such as through cost-effective approaches to upgrading residential ventilation or improving control/management of combustion appliances. Applicants should discuss how proposed approaches might affect residential energy costs (*e.g.*, increasing air exchange rates resulting in an increase in heating costs);

(4) Dust control measures (*e.g.*, preventing track-in of exterior dust and soil, improved methods for interior dust cleaning) have been identified as key areas in the HHI Preliminary Plan;

(5) Evaluating the effectiveness of education and outreach methods designed to provide at-risk families with the knowledge to adopt self-protective behaviors with respect to housing-related health hazards.

In proposing to conduct a study on a particular topic, applicants should consider:

(1) The "fit" of the proposed hazard assessment and/or control methods within the overall goal of addressing "priority" health and safety hazards in a cost-effective manner;

(2) The efficacy of the proposed methods for hazard control and risk reduction (*e.g.*, how long is effective hazard reduction maintained);

(3) Consider where and how these methods would be applied and tested, and/or perform demonstration activities; and

(4) The degree to which the study will help develop practical, widely applicable methods and protocols or improve our understanding of a residential health hazard.

Although HUD is soliciting proposals for technical studies on these broad topics, HUD will also consider funding applications for technical studies on topics that are relevant under the overall goals and objectives of this program, as described above. In such instances, it is especially important that the applicant indicate why the proposed study is needed and indicate how it is consistent with the overall goals and objectives of

the program. Applications for a study for which the sole or primary focus is on lead-based paint hazards are ineligible for funding under this NOFA. Such studies should be submitted for funding under the "Lead Technical Studies Program" NOFA, which is also administered by the OHHLHC; see [www.grants.gov](http://www.grants.gov) for information on applying under that program.

Applicants should consider the efficiencies that might be gained by working cooperatively with some of the recipients of HUD's Healthy Homes Demonstration and Lead Hazard Control grants, which are widely distributed throughout the U.S. Information on current grantees is available at <http://www.hud.gov/offices/lead>.

You may address one or more of the technical studies topic areas within your proposal, or submit separate applications for different topic areas.

### C. Authority

These awards are authorized under sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. 1701z-1 and 1701z-2); and the Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2005).

## II. Award Information

### A. Funding Available

Approximately \$2 million in fiscal year 2005 funds is available for grants or cooperative agreements under this Healthy Homes Technical Studies Program NOFA. Of this amount, HUD will award a grant for \$365,736 in fiscal year 2005 funds to Edenspace Systems Corporation, 15100 Enterprise Court, Suite 100, Dulles, VA 20151-1217, to resolve a funding error under the fiscal year 2004 Healthy Homes Technical Studies Program NOFA, in accordance with Sec. VI.A.3 of the fiscal year 2004 General Section. The remaining amount, approximately \$1.6 million, will be awarded on a competitive basis following evaluation of all eligible proposals according to the rating factors described in Section V of this NOFA. HUD anticipates awarding approximately two to approximately eight grants or cooperative agreements, ranging from approximately \$200,000 to approximately \$1 million each.

Applications for supplementation of existing projects are eligible to compete with applications for new awards (*i.e.*, for work outside of the scope of the original agreement).

### B. Anticipated Start Date and Period of Performance for New Grants

The start date for new awards is expected to be October 1, 2005. The

period of performance cannot exceed 36 months from the time of award. The proposed performance period should include adequate time for project components such as the Institutional Review Board process, the recruitment of study participants, and the development of new instrumentation or methods (*e.g.*, analytical methods), all of which have been found to delay projects in the past. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.25(e)(2) or 24 CFR 85.30(d)(2), as applicable, and the OHHLHC Program Guide. If approved, grantees will be eligible to receive a single extension of up to 12 months in length. Applicants are encouraged to plan studies with shorter performance periods, however when developing your schedule you should also consider the possibility that issues may arise that could cause delays.

### C. Type of Award Instrument

All awards in response to this NOFA will be made as grants or cooperative agreements. Anticipated substantial involvement by HUD on cooperative agreements may include, but will not be limited to:

1. Review and possibly suggest amendments to the study design, including: Study objectives; data collection methods; sample handling and preparation, and, sample and data analysis;
2. Review and provide technical recommendations in response to quarterly progress reports (*e.g.*, possible amendments to study design based on preliminary results);
3. Review and provide technical recommendations on the final study report.

## III. Eligibility Information

### A. Eligible Applicants

*Eligible Applicants.* Academic and not-for-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible under all existing authorizations. For-profit firms also are eligible; however, they are not allowed to earn a fee (*i.e.*, no profit can be made from the project). Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section of the SuperNOFA provides additional eligibility requirements.

### B. Cost Sharing or Matching

Cost sharing or matching is not required. In rating your application, however, you will receive a higher score under Rating Factor 5 if you provide evidence of significant cost leveraging.

### C. Other

#### 1. Threshold Requirements Applicable to All Applicants Under the SuperNOFA

To be scored and ranked under the Rating Factors, and thus be eligible to receive funds from HUD, you must meet all of the threshold requirements described in the General Section of the SuperNOFA. Threshold requirements include Eligibility, Compliance with Fair Housing and Civil Rights Laws, Conducting Business in Accordance with Core Values and Ethical Standards, Delinquent Federal Debts and Pre-Award Accounting System Surveys. Information about threshold requirements is provided in the General Section of the SuperNOFA.

#### 2. Program Requirements

Applicants must agree to the following:

- a. Comply with all relevant federal and state regulations regarding exposure to and proper disposal of hazardous materials;
- b. Any blood lead testing and medical referral and follow-up for children under six years of age will be conducted according to the recommendations of the Centers for Disease Control and Prevention (CDC), *Preventing Lead Poisoning in Young Children* (see Appendix B of this NOFA at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>);
- c. HUD Healthy Homes Technical Studies funds awarded will not replace existing resources dedicated to any ongoing project;
- d. Laboratory analysis covered by the National Lead Laboratory Accreditation Program (NLLAP) will be conducted by a laboratory recognized under the program;
- e. Standardized Dust Sampling Protocol and Quality Control Requirements. Grantees collecting samples of settled dust from participant homes for environmental allergen analyses (*e.g.*, cockroach, dust mite) will be required to use a standard dust sampling protocol, unless there is a strong justification to use an alternate protocol (*e.g.*, the study involves the development of an alternative sampling method). The HUD protocol will be posted on the OHHLHC Web site at: <http://www.hud.gov/offices/lead/hhi/hhiresources.cfm>. Grantees conducting

these analyses will also be required to include quality control dust samples, provided by OHHLHC at no cost to the grantee, with the samples that are submitted for laboratory analyses. For the purpose of budgeting laboratory costs, you should assume that five percent of your total allergen dust samples will consist of QC samples.

f. Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60; and

g. The requirements of OSHA (*e.g.*, 29 CFR part 1910 and/or 1926, as applicable) or the state or local occupational safety and health regulations, whichever are most stringent, will be met;

h. If an individual researcher or a research team submits the application, the institution administering the award will meet the civil rights threshold in the General Section of this NOFA

i. Economic Opportunities for Low- and Very Low-Income Persons (Section 3). This program is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u). Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons. The regulations may be found at 24 CFR part 135.

j. All test results in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any

personal information that could identify any child affected.

### 3. DUNS Requirement

Refer to the General Section of the SuperNOFA for information regarding the DUNS requirement. A DUNS number must be provided for the institution that is submitting an application.

## IV. Application and Submission Information

If you are interested in applying for funding under this program, please review carefully the General Section of the SuperNOFA and the following additional information.

### A. Addresses to Request Application Package

There is no Application Kit. All the information required to submit an application is contained in this program NOFA and the General Section of the SuperNOFA. Forms can be downloaded from the web at: <http://www.grants.gov>.

### B. Content and Form of Application Submission

#### 1. Applicant Data

Your application must contain the items listed in this Section. These items include the standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding announcement (collectively referred to as the "standard forms"). The standard forms can be found in the General Section of the SuperNOFA. The required items are:

a. Application Abstract. An abstract describing the project title, the names and affiliations of all investigators, and a summary of the objectives, expected results, and study design (two-page maximum) must be included in the proposal.

b. All forms as required by the General Section of the SuperNOFA. A Certification of Consistency with the Consolidated Plan is not required for this application. Also, HUD Form-27061 (Race and Ethnicity Data) is not required with the application for this program.

c. A project description/narrative statement addressing the rating factors for award of funding under this program. The narrative statement must be identified in accordance with each factor for award (*i.e.*, Rating Factors 1 through 5). The project description must be included in the responses to the rating factors. The response to the rating factors should not exceed a total of 25 pages, single-sided (12-point font with at least 3/4 inch margins on 8 1/2" by 11" pages). Any pages in excess of this limit

will not be read. The rating for each Rating Factor will be based on the Rating Factor's numbered portion of your narrative statement, supplemented by appendices referenced and discussed in that portion of your narrative statement; material located outside the Rating Factor's numbered portion of your narrative statement and its referenced and discussed appendices will not be rated. Additional materials (*e.g.*, appendices) must be submitted with your application according to the directions in the General Section of the SuperNOFA.

d. Evidence of leveraging/partnerships. Submit the following with your application: letters of firm commitment; memoranda of understanding; or agreements to participate from those entities identified as partners in the project efforts. Each letter of commitment, memorandum of understanding, or agreement to participate must include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

e. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects) (required by HUD at 24 CFR part 60), if your research is subject to these regulations, your organization must provide an assurance (*e.g.*, a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can initiate activities that require IRB approval. Before receiving such funds, you must also provide the number for your organization's assurance (*i.e.*, an "institutional assurance") that has been approved by the Department of Health and Human Service's Office for Human Research Protections (OHRP). For additional information on what constitutes human subject research or how to obtain an institutional assurance, see the OHRP Web site at <http://www.hhs.gov/ohrp>.

f. Submit materials that are required in support of your application (*e.g.*, resumes of the principal investigator and other key personnel, letters of commitment). Resumes shall not exceed three pages each, and are limited to information that is relevant in assessing the qualifications of key personnel to conduct and/or manage the proposed technical studies. (This information will not be counted towards the page limit.)

g. Submit any optional materials (*e.g.*, figures, data, letters of support) in

support of your application, following the directions in the General Section of the SuperNOFA. These additional optional materials must not exceed 20 pages. Any pages in excess of this limit will not be read.

h. Submit the required forms and a detailed total budget with supporting cost justification for all budget categories of the federal funding request. Use the budget format discussed in Section V(A), Rating Factor 3(c)(5), below. *In completing the budget forms and justification, address the following elements:*

(1) Direct Labor Costs. This should include all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full time equivalent (FTE) or hours per year (hours/year) (*i.e.*, one FTE equals 2,080 hours/year);

(2) Travel. Budget for three trips to HUD Headquarters in Washington, DC, planning each trip for two people, with the first trip occurring shortly after award, for a stay of five or six days, depending on your location, and the remaining trips having a stay of one or two days, depending on your location;

(3) Subrecipients. Provide a separate budget proposal for any subrecipients receiving more than 10 percent of the total federal budget request;

(4) You should be prepared to provide supporting documentation for salaries and prices of materials and equipment upon request;

(5) Indirect Cost Rates. Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. Other organizations, not having a federally negotiated rate schedule, must obtain a rate from their cognizant federal agency, otherwise the organization will be required to obtain a negotiated rate through HUD; and

(6) Rate Agreements. Submit the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

i. Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. You are not required to submit this checklist with your application.

### Checklist for Healthy Homes Technical Studies Program Applicants

#### Item

*Applicant Abstract (Limited to 2-pages)*  
*Rating Factor Responses (Total Narrative Response Limited to 25 Pages)*

1. Capacity of the Applicant and Relevant Organizational Experience

2. Need/Extent of the Problem
3. Soundness of Approach
4. Leveraging Resources
5. Achieving Results and Program Evaluation

*Required Materials in Response to Rating Factors (Does Not Count Towards 25-Page Limit)*

- Resumes of Key Personnel (limited to 3 pages per resume)
- Organizational Chart
- Letters of Commitment (if applicable)
- Form HUD-96010 Logic Model Form

*Optional Material in Support of the Rating Factors (20 Page Limit)*

*Required Forms and Budget Material*

- Form SF 424 (Application for Federal Assistance)
- Form HUD-424-CB Grant Application Detailed Budget
- Form HUD-CBW (Budget Worksheet)
- Form SF 424 Supplement (Survey on Ensuring Equal Opportunity for Applicants) (to be completed by private nonprofit organizations only)
- Form SF LLL (Disclosure of Lobbying Activities)
- Form HUD 2880 (Applicant/Recipient Disclosure/Update Report)
- Form 2990 Certification of Consistency with the RC/EZ/EC-II Strategic Plan (required only for applicants who are seeking these bonus points)
- Form HUD 2994 Client Comments and Suggestions (Optional)
- Facsimile Transmittal (for electronic applications)—Form HUD-96011

*C. Submission Dates and Times*

Electronic applications must be submitted to and received by [www.grants.gov](http://www.grants.gov) or before 11:59:59 p.m. eastern time on June 8, 2005. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. Refer to the General Section for additional submission requirements including acceptable submission methods, acceptable proof of submission and receipt procedures and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date. Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal.

Applicants receiving a waiver to the electronic application submission requirement, must submit an original and the required number of copies of

your application by the application submission date to the identified address in Appendix C of the General Section.

*D. Intergovernmental Review*

Funding received through this NOFA is not subject to Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs."

*E. Funding Restrictions*

The following restrictions apply to the use of funds awarded under this program:

1. *Administrative Costs.* There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix C of this NOFA that is available on HUD's Web site at: [www.hud.gov/offices/adm/grants/fundsavail.cfm](http://www.hud.gov/offices/adm/grants/fundsavail.cfm).
2. The purchase of real property is prohibited.
3. The purchase or lease of equipment having a per unit cost in excess of \$5,000, unless prior written approval is obtained from HUD.
4. The use of grant funds for medical treatment costs is prohibited.
5. For-profit entities are not allowed to earn a fee.
6. You must comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).
7. You may not conduct construction, reconstruction or lead based paint hazard control activities that fall below the threshold of building repair or improvement, as defined in Section 3(a)(4) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), of a building or mobile home which is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

(1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

*F. Other Submission Requirements*

If you have received a waiver to the electronic application submission

requirement, please see Appendix C of the General Section of the SuperNOFA for specific procedures concerning the form of application submission.

**V. Application Review Information**

*A. Criteria*

1. Threshold Requirements

Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.3 of this program NOFA. Your application must receive a total score of at least 75 points to remain in consideration for funding.

2. Rating and Ranking

Applications will be reviewed by an Application Review Panel (ARP) which will assign each application a score based on the rating factors presented below. The ARP chairperson selects and provides at least one application to panel members to score during a calibration round to ensure that all panel members are consistent in their application of the rating factors. When the calibration round is completed, each application is reviewed and scored by at least two panel members. If significant scoring discrepancies are identified among the reviewers of an application, the reviewers discuss their differences and are then given an opportunity to rescore the application among themselves and, if needed, with the full ARP. An average score is then computed for each application. The ARP chair may call upon an advisor (generally a scientist with another federal agency) to the ARP to review and comment on a proposal; however, the advisor does not score the application. Advisory comments that potentially affect the rating of an applicant are retained as part of the documentation of the review process. At a final meeting, the ARP identifies the top-ranking applications to be recommended for funding.

The factors for rating and ranking applicants and maximum points for each factor are provided below. Each factor is weighted as indicated by the number of points that are attainable for it. The maximum score that can be assigned to an application is 102 points. Applicants should be certain that these factors are adequately addressed in the project description and accompanying materials. The five rating factors are listed below. A more detailed description of the factors follows.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (22 points).



Rating Factor 2: Need/Extent of the Problem (15 points).

Rating Factor 3: Soundness of Approach (45 points).

Rating Factor 4: Leveraging Resources (8 points).

Rating Factor 5: Achieving Results and Program Evaluation (10 points).

RC/EZ/EC-II Bonus Points (2 points).

Total: 102 points.

Applicants are eligible to receive two bonus points for projects located within federally designated Renewable Communities (RCs), Empowerment Zones (EZs), or Enterprise Communities (ECs) designated by USDA in round II (EC-IIIs) (collectively referred to as RC/EZ/EC-IIIs), and which will serve the residents of these communities (see the General Section of the SuperNOFA).

You will receive one point under Rating Factor 3(c)(2) for each of the applicable FY2005 policy priorities that are adequately addressed in your application with the exception of "Removal of Barriers to Affordable Housing," for which you can receive up to two points (see the General Section of the SuperNOFA). Policy priorities that are found in the General Section and applicable to the Healthy Homes Technical Studies NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grassroots Faith-based and other Community-based Organizations in HUD Program Implementation; (3) Participation of Minority-Serving Institutions in HUD Programs, and (4) Removal of Barriers to Affordable Housing.

You may address more than one of the technical study topic area within your proposal or submit separate applications for technical studies in different topic areas.

### 3. Rating Factors

a. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (22 Points)*. This factor addresses the extent to which you have the ability and organizational resources necessary to successfully implement your proposed activities in a timely manner. The rating of your application will include any sub-grantees, consultants, sub-recipients, and members of a consortium that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor, HUD will consider the extent to which your application demonstrates:

(1) *The capability and qualifications of the principal investigator and key personnel* (14 points). Qualifications to carry out the proposed study as evidenced by academic background,

relevant publications, and recent (within the past 10 years) relevant research experience. Publications and research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the technical study that is proposed under this program NOFA; and

(2) *Past performance of the study team in managing similar projects* (8 points). Demonstrated ability to successfully manage various aspects of a complex technical study in such areas as logistics, study personnel management, data management, quality control, community study involvement (if applicable), and report writing, as well as overall success in project completion (*i.e.*, projects completed on time and within budget). You should also demonstrate that your project would have adequate administrative support, including clerical and specialized support in areas such as accounting and equipment maintenance.

If applicable, describe the past performance of your organization in implementing a previously awarded Healthy Homes or Lead Hazard Control grant, or grants that your organization received from other sources to support research on relevant, related topics. Provide details about the nature of the project, the funding agency, and your performance (*e.g.*, timely completion, achievement of desired outcomes). If your organization has an active OHHLHC grant or cooperative agreement, provide a description of the progress and outcomes achieved under that award.

b. *Rating Factor 2: Need/Extent of the Problem (15 Points)*. This factor addresses the extent to which there is a need for your proposed technical study. In responding to this factor, you should document in detail how your project would make a significant contribution towards achieving some or all of HUD's stated goals and objectives for the Healthy Homes Technical Studies Program, as described in Section V.A.2 above. You should demonstrate how your proposed study addresses a need associated with an important housing-related health hazard, with an emphasis on children's health. Specific topics to be addressed for this factor include:

(1) Provide a concise review of the health hazard that is addressed in your study and why you consider it a "high priority" hazard. If available, include documented rates of illness or injury associated with the hazard, including local, regional, and national data;

(2) Discuss how your proposed project would significantly advance the current state of knowledge for your focus area, especially with respect to the development of practical solutions; and,

(3) Discuss how you anticipate your study findings will be used to improve current methods for assessing or mitigating the hazard that your study addresses. Indicate why the method/protocol that would be improved through your study would be widely adopted (*e.g.*, low cost, easily replicated, lack of other options).

c. *Rating Factor 3: Soundness of Approach (45 Points)*. This factor addresses the quality of your proposed technical study plan. Specific components include:

(1) *Soundness of the study design* (20 points). The project description/study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature. You should clearly describe how your study builds upon the current state of knowledge for your focus area. If possible your study should be designed to address testable hypotheses that are clearly stated. Your study design should be statistically based with adequate power to test your stated hypotheses. The study design should be presented as a logical sequence of steps or phases with individual tasks described for each phase. You should identify any important "decision points" in your study plan and you should discuss plans for data management, analysis and archiving. It is HUD's experience that studies can be subjected to considerable delay because of delays in the IRB approval process or because of unexpected difficulties with recruiting study participants. If applicable, describe actions that you will take to minimize the possibility that your study would experience delays in these areas (*e.g.*, understanding likely IRB requirements in advance, planning on additional avenues for recruitment).

(2) *Policy Priorities* (5 points).

Indicate if your proposed study will address any of the FY2005 policy priorities that are applicable to this program that were described previously in Section V.A.2 of this program NOFA (see the General Section of the SuperNOFA for additional details regarding these policy priorities). You will receive one point for each of the applicable policy priorities that are addressed in your application, with the exception of "Removal Of Barriers to Affordable Housing," for which you can receive a maximum of 2 points.

(3) *Quality assurance mechanisms* (8 points). You must describe the quality assurance mechanisms that will be

integrated into your project design to ensure the accuracy and reliability of the results. Applicants that receive awards will be required to submit a Quality Assurance Plan to HUD.

(a) Areas to be addressed include, but are not limited to: acceptance criteria for data quality; procedures for selection of samples/sample sites; sample handling; measurement and analysis; and any standard/nonstandard quality assurance/control procedures to be followed. Documents (e.g., government reports, peer-reviewed academic literature) that provide the basis for your quality assurance mechanisms should be cited.

(b) For the collection of data using instruments, such as surveys and visual assessment tools, describe the procedures that you will follow to ensure accurate data capture and transfer. Also, indicate whether research was done (or is planned) to validate the instrument.

(c) If your project involves human subjects in a manner which requires IRB approval and periodic monitoring, address how you will obtain such approval and your monitoring plan. Before you can initiate activities that require IRB approval, you must provide an assurance that your study has been reviewed and approved by an IRB and evidence of your organization's "institutional assurance" (see Section IV.B.1.f). Describe how you will provide informed consent (e.g., from the subjects, their parents or their guardians, as applicable) to help ensure their understanding of, and consent to, the elements of informed consent, such as the purposes, benefits and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of "plain language" forms, flyers and verbal scripts, and how you plan to work with families with limited English proficiency or primary languages other than English, and with families including persons with disabilities.

(4) *Project management plan* (8 points). The proposal should include a management plan that provides a schedule for the completion of major tasks, with associated benchmarks and major study milestones, and major deliverables, with an indication that there will be appropriate resources (e.g., personnel, financial) to successfully meet the proposed schedule. The major tasks and benchmarks/deliverables identified in the management plan should be consistent with those identified in the Logic Model (see description under Rating Factor 5). The management plan should clearly

identify the specific responsibilities for each member of the project team. You should also include preparation of a final deliverable in your management plan. HUD encourages grantees to draft one or more articles for peer-reviewed academic journals as the major component of a final report. The final deliverable can be submitted to HUD during the period of performance of your grant or cooperative agreement or during the 90-day closeout period (i.e., the 90-day period following award expiration).

(5) *Budget Proposal* (4 points).

(a) Your budget proposal should thoroughly estimate all applicable direct and indirect costs, and be presented in a clear and coherent format in accordance with the requirements listed in the General Section of this NOFA. HUD is not required to approve or fund all proposed activities. Your detailed budget should be submitted using Form HUD-424-CBW. You must thoroughly document and justify all budget categories and costs (see Form HUD-424-CB for the major budget categories) and all major tasks, for yourself, sub-recipients, partners, major subcontractors, joint venture participants, or others contributing resources to the project. A separate detailed budget (i.e., Form HUD-424-CBW) is required for subrecipients who will receive more than 10 percent of the federal budget request.

(b) Your narrative justification associated with these budgeted costs should be included as an attachment to the Total Budget (Federal Share and Matching), but does not count in the 25-page limit for this submission.

(c) The application will not be rated on the proposed cost; however, cost will be considered in addition to the rated factors to determine the proposal most advantageous to the federal government. Cost will be the deciding factor when proposals ranked under the listed factors are considered acceptable and are substantially equal.

d. *Rating Factor 4: Leveraging Resources* (8 Points). Your proposal should demonstrate that the effectiveness of HUD's Healthy Homes Technical Studies award is being increased by securing additional public and/or private resources or by structuring the project in a cost-effective manner, such as integrating the project into an existing study. Resources may include funding or in-kind contributions (such as services, facilities, or equipment) allocated to the purpose(s) of your project. Staff and in-kind contributions should be given a monetary value.

You should provide evidence of leveraging/partnerships by attaching to your application the following: Letters of firm commitment; memoranda of understanding; or agreements to participate from those entities identified as partners in the project efforts. Each letter of commitment, memorandum of understanding, or agreement to participate must include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

e. *Rating Factor 5: Achieving Results and Program Evaluation* (10 Points). This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their applications and assess their performance to ensure performance goals are met. Achieving results means you have clearly identified the benefits or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you identify program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your evaluation plan should identify what you are going to measure, how you are going to measure it, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes.

In your response to this Rating Factor you are to discuss the performance goals for your project and identify specific outcome measures. You are also to describe how the outcome information will be obtained, documented, and reported. You must complete and return the Logic Model Form included in the General Section of the SuperNOFA showing your proposed project long-term, mid-term, short-term and final results, and how they support HUD's departmental goals and objectives. Information about developing a Logic Model is available at <http://www.hud.gov>.

Also, in responding to this factor, you should:

(1) Identify benchmarks that you will use to track the progress of your study;

(2) Identify milestones that are critical for achieving study objectives (e.g.,

recruitment of study participants, developing a new analytical protocol), potential obstacles in meeting these objectives, and how you would respond to these obstacles. These milestones should be clearly indicated in your study timeline.

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability.

#### *B. Review and Selection Process*

##### 1. Corrections To Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

##### 2. Rating and Ranking

Awards will be made separately in rank order for Healthy Homes Technical Studies applications, within the limits of funding availability for the program.

(a) *Partial Funding*. In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced award amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award.

(b) *Remaining Funds*. See the General Section of this NOFA for HUD's procedures if funds remain after all selections have been made within the Healthy Homes Technical Studies Program.

#### *C. Anticipated Announcement and Award Dates*

The anticipated date for the announcement of awards under the Healthy Homes Technical Studies Program is September 30, 2005.

### **VI. Award Administration Information**

#### *A. Award Notices*

##### 1. Notice of Award

Applicants who have been selected for award will be notified by letter from the Grant or Cooperative Agreement Officer. The letter will state the program for which the application has been selected, the amount the grantee is eligible to receive, and the name of the Government Technical Representative (GTR). This letter is not an authorization to begin work or incur costs under the award. An executed grant or cooperative agreement is the authorizing document.

HUD may require that all the selected applicants participate in negotiations to determine the specific terms of the award budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an

award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant. If you accept the terms and conditions of the award, you must return your signed agreement by the date specified during negotiation.

After receiving the letter, additional instructions on how to have the grant or cooperative agreement account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will also be provided.

In accordance with OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations), grantees will have to submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse; the address can be obtained from their Web site. The SF-SAC can be downloaded at <http://harvester.census.gov/sac/>.

##### 2. Debriefing

The General Section of the SuperNOFA provides the procedures for requesting a debriefing.

#### *B. Administrative and National Policy Requirements*

##### 1. Program Performance

Awardees shall take all reasonable steps to accomplish all HUD-funded activities within the approved period of performance. HUD reserves the right to terminate the grant or cooperative agreement prior to the expiration of the period of performance if the awardee fails to make reasonable progress in implementing the approved program of activities.

##### 2. Conducting Business in Accordance With HUD Core Values and Ethical Standards

If awarded assistance under this NOFA, prior to entering into an agreement with HUD, you will be required to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your code of conduct. See the General Section of the SuperNOFA for information about conducting business in accordance with HUD's core values and ethical standards.

##### 3. Participation in HUD-Sponsored Program Evaluation

As a condition of the receipt of financial assistance under this NOFA, you will be required to cooperate with all HUD staff or contractors performing

HUD-funded research and evaluation studies pertaining to the subject of the grant or cooperative agreement.

##### 4. Environmental Requirements

In accordance with 24 CFR 50.19(b)(1), (b)(3) and (b)(5), activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

##### 5. Removal of Barriers to Affordable Housing

See the General Section of the SuperNOFA.

##### 6. HUD Reform Act of 1989

The provisions of the HUD Reform Act of 1989 that apply to this NOFA are explained in the General Section of the SuperNOFA.

##### 7. Audit Requirements

Any funding recipient that expends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR parts 84 and 85 in accordance with OMB Circular A-133.

##### 8. Executive Order 13202

Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects", is a condition of receipt of assistance under this NOFA.

##### 9. Procurement of Recovered Materials

See the General Section for information concerning this requirement.

#### *C. Reporting*

Post award reporting requirements include the following:

##### 1. Final Budget and Work Plan

Final budget and work plans are due 60 days after the start date of the funding award.

##### 2. Quality Assurance Plan (QAP)

Successful applicants will be required to submit a Quality Assurance Plan to HUD prior to initiating work under the award. This is a streamlined version of the format used by some other federal agencies, and is intended to help ensure the accuracy and validity of the data that you will collect under the agreement. You should plan for this and include it in your study work plan. (See

the HUD Office of Healthy Homes and Lead Hazard Control's Internet site, <http://www.hud.gov/offices/lead>, for the QAP template).

### 3. Progress Reporting

Progress reporting is done on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance: [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead).

### 4. Racial and Ethnic Beneficiary Data

Successful applicants that conduct residential intervention studies (*i.e.*, physical or behavioral interventions) or other research that involves the occupants of homes (*e.g.*, survey research) must submit Form-27061, Racial and Ethnic Data Reporting Form, to HUD on an annual basis. Grantees conducting studies that do not involve people, such as those confined to the laboratory or certain types of

environmental sampling, will not be required to submit Form-27061 to HUD. Form HUD-27061 and instructions for its use are found on [www.grants.gov](http://www.grants.gov).

### 5. Final Report

The award agreement will specify the requirements for final reporting (*e.g.*, scientific manuscript, final technical report, and final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model (HUD-96010) approved and incorporated into your award agreement.

### VII. Agency Contact(s)

For technical help in downloading an application from Grants.gov or submitting via Grants.gov, call the Grants.gov help desk at 800-518-GRANTS. For programmatic questions you may contact Dr. Peter Ashley, Office of Healthy Homes and Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 115 (this is not a toll-free number) or via e-mail at [Peter\\_J\\_Ashley@hud.gov](mailto:Peter_J_Ashley@hud.gov). For administrative questions on grants or

cooperative agreements, you may contact Ms. Curtissa L. Coleman, Office of Healthy Homes and Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 119 (this is not a toll-free number) or via e-mail at [Curtissa\\_L\\_Coleman@hud.gov](mailto:Curtissa_L_Coleman@hud.gov). If you are a hearing-or speech-impaired person, you may reach the above telephone numbers by TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

### VIII. Other Information

#### A. Other Office of Healthy Homes and Lead Hazard Control Information

For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

#### B. Appendices

Appendices A through C to this NOFA are available on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**LEAD TECHNICAL STUDIES PROGRAM**

Billing Code 4210-32-C

## Lead Technical Studies Program

### Overview Information

A. *Federal Agency Name*: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. *Funding Opportunity Title*: Lead Technical Studies.

C. *Announcement Type*: Initial announcement.

D. *Funding Opportunity Number*: The Funding Opportunity Number is: FR-4950-N-28. The OMB Paperwork Approval number is: 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number*: 14.902, Lead Technical Studies Grant Program.

F. *Dates*: The application submission date is June 8, 2005. See the General Section IV, Application and Submission Information, regarding application submission procedures and timely filing requirements.

#### G. *Additional Overview Content Information*:

a. The funding opportunity is for technical studies to improve methods for detecting and controlling residential lead-based paint health and safety hazards.

b. The total amount to be awarded is approximately \$3 million, of which \$1 million is a set-aside for Historically Black Colleges and Universities (HBCUs).

c. The anticipated amounts and/or numbers of individual awards will be approximately 6 to 10 awards, ranging from approximately \$200,000 to approximately \$750,000.

d. The types of instruments awarded will be grants or cooperative agreements, with substantial involvement of the government for cooperative agreements (see Section II.C for a description of substantial involvement).

e. Academic, not-for-profit and for-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible to apply. HBCUs are also eligible to apply under the set-aside.

f. Cost sharing is not required, but is encouraged.

g. There are no limitations on the numbers of applications that each applicant may submit, however, HBCUs should not submit the same application under both the set-aside and "open" categories, and,

h. The applications for this NOFA can be found at <http://www.grants.gov>. The application is an electronic application. You must register at <http://www.grants.gov> to be able to submit your application. The General Section

contains information submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand HUD's new electronic application process.

### Full Text of Announcement

#### I. Funding Opportunity Description

*Purpose of the Program.* The purpose of the Lead Technical Studies program is to improve methods for detecting and controlling residential lead-based paint hazards.

##### A. Program Description

###### 1. General Goals and Objectives

The overall goal of the Lead Technical Studies grant program is to gain knowledge to improve the efficacy and cost-effectiveness of methods for evaluation and control of residential lead-based paint hazards.

Through the Lead Technical Studies Program, HUD is helping to fulfill the requirements of sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 ("Title X") (42 U.S.C. 4854 and 4854a) which directs HUD to conduct research on topics which include the development of "improved methods for evaluating [and] reducing lead-based paint hazards in housing," among others.

Brief descriptions of active and previously funded lead technical studies projects can be found on HUD's Web site at <http://www.hud.gov/offices/lead/techstudies/index.cfm>. Where it is appropriate, as an applicant, you are strongly encouraged to ensure that your proposed study builds upon HUD-sponsored work that has been previously completed, in addition to other relevant research (i.e., that contained in government reports and in the published literature).

HUD encourages applicants to consider using the "community based participatory research" approach, where applicable, in the design and implementation of lead technical studies (see e.g., <http://www.niehs.nih.gov/translat/cbpr/cbpr.htm>).

###### 2. Background

HUD has been actively engaged in a number of activities relating to lead-based paint hazard control as a result of the Lead-Based Paint Poisoning Prevention Act of 1971, as amended, 42 U.S.C. 4801-4856. Sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) (42 U.S.C. 4854 and 4854a) state that the Secretary of HUD, in cooperation with other federal agencies,

shall conduct technical studies on specific topics related to the evaluation and mitigation of residential lead hazards. Section 1053 of Title X authorized HUD to spend funds to conduct these studies, under the Lead Hazard Control Grant Program's funding authorization in section 1011(o). The HUD-sponsored technical studies program also responds to recommendations by the Task Force on Lead-Based Paint Hazard Reduction and Financing, which was established pursuant to section 1015 of Title X. (42 U.S.C. 4852a). The Task Force presented its final report to HUD and the Environmental Protection Agency (EPA) in July 1995. The Task Force Report, entitled "Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing" (see Appendix A of this program NOFA, which is available on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>), recommended that research be conducted on a number of key topics to address significant gaps in our knowledge of lead exposure and hazard control.

The findings of technical studies will be used in part to update HUD's *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (Guidelines)*, which were published in June 1995 and partly amended in September 1997 (Chapter 7, Lead-Based Paint Inspection). For availability of the *Guidelines*, see "Guidelines" in Appendix A.

##### B. Eligible Activities

HUD is especially interested in the following lead technical studies topics:

1. *Development of alternative or improved cleaning methods.* Current methods for cleaning lead-contaminated dust from hard surfaces consist of a combination of HEPA vacuuming and wet cleaning. Research sponsored by both the U.S. EPA and HUD has shown that trisodium phosphate (TSP) is not more effective than other detergents in cleaning lead contaminated dust (USEPA 1998, Rich *et al.* 2002). Additional HUD-sponsored research showed that use of household vacuums without HEPA filtration for cleaning as an interim control measure (i.e., not following lead abatement or other interim control activities) did not produce detectable airborne lead emissions (Public Health Institute/California Dept. of Health Services, unpublished data), and actually performed better than the HEPA vacuum that was tested in cleaning lead-contaminated dust from smooth surfaces. The same study also found that wet washing was considerably more

effective than vacuuming in removing dust-lead from smooth floors.

There are other cleaning techniques that might be effective in cleaning hard surfaces, but which have not been studied. The other cleaning techniques include the use of disposable cloths or towelettes (either used directly or at the end of a wand) or dry cleaning methods using disposable wipes that collect dust electrostatically. Important considerations include both efficacy in the removal of lead-contaminated dust and cost.

Additional ideas would be welcome, along with a clear description of approaches to evaluate the effectiveness of the cleaning techniques.

2. *Reducing exterior soil and dust-lead hazards.* Studies have shown that lead in exterior dust and soil can be an important source of lead exposure to young children, both through direct contact and indirectly when tracked or blown into the home. HUD has funded several studies that have assessed approaches to reducing the risk posed by this large environmental lead reservoir. Examples of these studies have focused on the following topics: Reducing the bioavailability (as determined using *in vitro* testing) of lead in soil through the addition of composted biosolids; reducing soil hazards in urban yards through targeted landscaping (e.g., raised beds, improving ground cover); reducing exterior dust-lead levels through exterior building treatments and street and sidewalk cleaning; and, reducing surface soil-lead hazards by overlaying clean soil with grass cover.

Additional study is needed to assess the long-term effectiveness of interim controls to reduce soil and exterior dust-lead hazards. Research is also needed to develop interim controls and strategies for exterior dust and soil that are reasonable in cost, feasible to implement, and which do not require frequent maintenance to maintain their effectiveness.

3. *Potential exposure and contamination from floor sanding of lead-containing floor varnish.* A HUD-funded pilot study by the Wisconsin Division of Public Health, "Potential Lead Exposures from Sanding Floors Containing Leaded Varnish," found that although no floor varnish was identified as lead-based paint using X-ray fluorescence (XRF), 52% of varnish samples exceeded the definition of lead-based paint based on laboratory analysis. Also, more than 70% of the settled dust samples (not dust wipe samples) exceeded the floor dust clearance level of 40  $\mu\text{g}/\text{ft}^2$  after floor sanding. Use of low-cost dust controls

significantly reduced the amount of lead-contaminated dust on the floors. Hand-scraping of varnished stairs was also shown to be a high risk operation for occupational (personal) lead exposure.

HUD is interested in expanding this study to include a larger number of homes and floor refinishing contractors, and to include additional regions of the country. HUD is also interested in the ease of achieving clearance (using dust wipes) after floor sanding of varnishes that contain lead followed by cleaning, and in the development of procedures for minimizing the spread of lead-contaminated dust during sanding (i.e., considering the large amount of dust produced during sanding).

4. *Approaches to streamlining performance of interim controls, abatement, and clearance in multi-family housing where repeat operations occur.* The performance of abatement or interim control of lead-based paint hazards in multi-family housing may result in repetitive operations (for example repetitive treatments in common areas such as hallways and stairwells) that hinder the movement, access, and exit of residents. For some of these areas, such as a hallway on each floor, or a stairwell or entranceways to buildings, repetitive operations such as interim controls may require relocation of residents until work can be completed, clean-up accomplished, and clearance attained.

There may be ways to show, with statistical significance, and through the use of existing or newly collected data that repeat operations may be defined with sufficient specificity to allow accelerated clean-up and clearance. HUD is interested in studies to determine whether repeat operations in multi-family housing can be sufficiently safe to allow return of residents to their units based on considered professional judgment and data collected from similar operations. This approach may be analogous to the approach taken to prove a negative exposure assessment for OSHA exposure determinations.

5. *Effectiveness of Ongoing Maintenance Program Activities in Controlling Lead-Based Paint Hazards.* While a variety of lead abatement and interim control techniques have been evaluated for their effectiveness in controlling lead-based paint hazards, there are few studies directly assessing the effectiveness of ongoing lead-based paint maintenance programs. HUD is interested in evaluating the effectiveness and feasibility of ongoing lead-based paint maintenance programs, identifying program components for which particular implementation

difficulties exist, and evaluating proposed measures for overcoming those difficulties. Such an evaluation of program components could address whether and how technically-acceptable and cost-effective work practices are selected and implemented, how effectively supervisors monitor work activities to ensure that lead-based paint hazards are controlled and that dust and debris are contained and cleaned up during and after work, and how well clearance procedures (including necessary re-cleaning) are integrated into the maintenance program, among other factors.

6. *Use of Available Databases to Evaluate the Efficacy of Lead Hazard Control Activities.*

Public databases can be used to help target and assess the effectiveness of lead hazard control activities. Examples of this include the use of census data to identify neighborhoods that are at high risk for lead poisoning (e.g., age and value of housing used in combination with indicators of socioeconomic status) and the use of blood-lead screening data to target dwellings that have been associated with repeated identification of resident children with elevated blood-lead levels. Geographic Information Systems (GIS) have also been successfully used as a tool to help target high risk housing. At a broader level, serial blood-lead screening data could be used to assess the effectiveness of lead hazard control activities or laws that require lead hazard control treatments in high risk housing (e.g., by comparing community screening results before and after laws were enacted while accounting for the overall downward trend in blood lead levels). HUD is interested in studies that assess effective and creative uses of public databases to improve the efficacy of lead hazard control programs (e.g., targeting neighborhoods), assess the effectiveness of enforcement and lead hazard control activities and regulations, and other uses of these data that further the goal of improving methods for the identification and control of residential lead-based paint hazards.

7. *Other Focus Areas that are Consistent with the Overall Goals of HUD's Lead Technical Studies Program.* Additional ideas will be considered with an open mind if proposed with novel techniques and applications. HUD will also consider funding applications for technical studies on topics which are relevant under the overall goals and objectives of the lead technical studies program, as described above. In such instances, the applicant should describe how the proposed activity addresses these overall goals and objectives.



### C. Authority

These grants are authorized under sections 1011(g)(1), 1011(o), 1051–1053 of the Residential Lead Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, 42 U.S.C. 4851 *et seq.*); and the Consolidated Appropriations Act, 2005, (Pub. L. 108–477; approved December 8, 2004).

## II. Award Information

### A. Funding Available

Approximately \$3 million in Fiscal Year 2005 funds is available for Lead Technical Studies. Of this amount, \$1 million is set-aside for Historically Black Colleges and Universities (HBCUs). Cooperative agreements and/or grants will be awarded on a competitive basis following evaluation of all proposals according to the rating factors described in at Section V.A.3. HUD anticipates that approximately six to ten awards will be made, ranging from approximately \$200,000 to approximately \$750,000 each. In FY 2004, HUD awarded 4 grants averaging approximately \$430,000.

Applications for additional work related to existing HUD-funded technical studies (*i.e.*, for work outside of the scope of the original agreement) are eligible to compete with applications for new awards. These applications will be evaluated in the same manner as new applicants.

### B. Anticipated Start Date and Period of Performance for New Grants

The start date for new awards is expected to be October 1, 2005. The period of performance cannot exceed 36 months from the time of award. The proposed performance period should include adequate time for project components such as the Institutional Review Board process, the recruitment of study participants, and the development of new instrumentation or methods (*e.g.*, analytical methods), all of which have been found to delay projects in the past. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.25 and the OHHLHC Program Guide. If approved, grantees will be eligible to receive a single extension of up to 12 months in length. Applicants are encouraged to plan studies with shorter performance periods than 36 months; when developing your schedule, however, you should consider the possibility that issues may arise that could cause delays.

### C. Type of Award Instrument

Awards in response to this NOFA will be made as grants or cooperative agreements. Anticipated substantial involvement for cooperative agreements may include, but will not be limited to:

1. Review and possibly suggest amendments to the study design, including: study objectives; field sampling plan; data collection; sample handling and preparation; and sample and data analysis.
2. Review and provide technical recommendations in response to quarterly progress reports (*e.g.*, amendments to study design based on preliminary results).
3. Review and provide technical recommendations on the final study report.

## III. Eligibility Information

### A. Eligible Applicants

Academic and not-for-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible under all existing authorizations. For-profit firms also are eligible; however, they are not allowed to earn a fee (*i.e.*, no profit can be made from the project). HBCUs, that is, educational institutions that satisfy the requirements of 34 CFR 608.2, are also eligible to apply under the set-aside. Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section identifies threshold requirements that must be met for an organization to receive an award.

### B. Cost Sharing or Matching

Cost sharing or matching is not required. In rating your application, however, you will receive a higher score under Rating Factor 4 if you provide evidence of significant cost sharing.

### C. Other

#### 1. Threshold Requirements Applicable to All Applicants Under the SuperNOFA

As an applicant, you must meet all of the threshold requirements described in the General Section. Threshold requirements include Eligibility, Compliance with Fair Housing and Civil Rights Laws, Conducting Business in Accordance with Core Values and Ethical Standards, Delinquent Federal Debts and Pre-Award Accounting System Surveys. Applicants that meet all of the threshold requirements will be eligible to receive funds from HUD.

### 2. Program Requirements

a. Program Performance. Grantees shall take all reasonable steps to accomplish all activities within the approved period of performance. HUD reserves the right to terminate the grant prior to the expiration of the period of performance if the grantee fails to make reasonable progress in implementing the approved program of activities or fails to comply with the terms of the grant agreement.

b. You must comply with all relevant federal and state regulations regarding exposure to and proper disposal of hazardous materials;

c. Any blood lead testing, blood lead level test results, and medical referral and follow-up for children under six years of age will be conducted according to the recommendations of the Centers for Disease Control and Prevention (CDC), *Preventing Lead Poisoning in Young Children* (see Appendix A of this NOFA, available at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>);

d. HUD technical studies grant funds will not replace existing resources dedicated to any ongoing project;

e. Laboratory analysis covered by the National Lead Laboratory Accreditation Program (NLLAP) will be conducted by a laboratory recognized under the program;

f. Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, required by HUD at 24 CFR 60.101;

g. The requirements of the Occupational Safety and Health Administration (OSHA) (*e.g.*, 29 CFR part 1910 and/or 1926, as applicable) or the state or local occupational safety and health regulations, whichever are most stringent, will be met;

h. If an individual researcher or a research team submits the application, the institution administering the grant must meet the civil rights threshold in the General Section.

i. *Privacy and Disclosure*. All test results in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health

or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether Web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any child affected.

3. *DUNS Requirement.* Refer to the General Section for information regarding the DUNS requirement. A DUNS number must be provided for the institution that is submitting an application.

#### IV. Application and Submission Information

If you are interested in applying for funding under this program, please review carefully the General Section and the following additional information.

##### A. Addresses To Request Application Package

There is no Application Kit. All the information required to submit an application is contained in the program section of this NOFA and the General Section. Applications can be downloaded from the Web at: <http://www.grants.gov>. If you have difficulty accessing the information you may call the Grants.gov helpline toll-free at (800) 518-GRANTS or e-mailing [Support@grants.gov](mailto:Support@grants.gov). Helpline customer representatives will assist you in accessing the information.

##### B. Content and Form of Application Submission

###### 1. Applicant Data.

Your application must contain the items listed in this section. These items include the standard forms listed in the General Section that are applicable to this funding announcement (collectively referred to as the "standard forms"). The required items are:

a. *Application Abstract.* An abstract with the project title, the names and affiliations of all investigators, and a summary of the objectives, expected results, and study design (two-page maximum) must be included in the proposal. Applicants applying under the HBCU set-aside should indicate this by inserting "(HBCU Set-aside)" under the project title.

b. All forms as required by the General Section. A Certification of Consistency with the Consolidated Plan is not required for this application.

c. Applications that are submitted for funding under the HBCU set-aside

should indicate this in box #11 (Descriptive Title of Applicant's Project) of form SF-424 (Application for Federal Assistance) by inserting "HBCU Set-aside" in parentheses under the project title.

d. A project description/narrative statement addressing the rating factors for award for this NOFA. The narrative statement must be identified in accordance with each factor for award (Rating Factors 1 through 5). Number the pages of your narrative statement and include a header and a footer that provides the name of the applicant and the name of the HUD program to which you are applying. The project description must be included in the responses to the rating factors. The response to the rating factors should not exceed a total of 25 pages, single-sided, (10- to 12-point font with at least 3/4 inch margins on 8 1/2" by 11" pages) for each technical study topic area. Any pages in excess of this limit will not be read. The rating for each rating factor will be based on the portion of your narrative statement that you submit in response to that particular factor, supplemented by any appendices that are referenced in your response. Supporting materials that are not referenced or discussed in your responses to the individual rating factors will not be rated. Additional materials (e.g., appendices) must be submitted with your application according to the directions in the General Section.

e. You should provide evidence of leveraging/partnerships by submitting the following with your application: letters of firm commitment; memoranda of understanding; or agreements to participate by those entities identified as partners in the project efforts. Each letter of commitment, memorandum of understanding, or agreement to participate must include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

f. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60.101), if your research involves human subjects, your organization must provide an assurance (e.g., a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can initiate activities that require IRB approval. Before initiating such

activities you must also provide the number for your organization's assurance (i.e., an "institutional assurance") that has been approved by the Department of Health and Human Service's Office of Human Research Protections (OHRP). For additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP web site at <http://ohrp.osophs.dhhs.gov/>.

g. With your application submission, include the resumes of the principal investigator and other key personnel and other materials that are needed in your response to the rating factors (e.g., organizational chart, letters of commitment). Resumes shall not exceed three pages each, and are limited to information that is relevant in assessing the qualifications of key personnel to conduct and/or manage the proposed technical studies. This information will not be counted towards the page limit.

h. Submit other relevant information provided in support of your application following the directions in the General Section. These additional optional materials must not exceed 20 pages. Any pages in excess of this limit will not be read.

i. Include a detailed total budget with supporting cost justification for all budget categories of the federal grant request. Use the budget format discussed in Rating Factor 3, Section V.A.3.c, below. In completing the budget forms and justification, you should address the following elements:

(1) Direct Labor costs should include all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full time equivalent (FTE) or hours per year (hours/year) (i.e., one FTE equals 2,080 hours/year);

(2) You should budget for three trips to HUD Headquarters in Washington, DC, planning each trip for two people, with the first trip occurring shortly after grant award for a stay of two or three days, depending on your location, and the remaining trips having a stay of one or two days, depending on your location;

(3) A separate budget proposal should be provided for any subrecipients receiving more than 10 percent of the total federal budget request;

(4) You should be prepared to provide supporting documentation for salaries and prices of materials and equipment upon request;

(5) Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. Other organizations, not having a federally negotiated rate schedule, must obtain a

rate from their cognizant federal agency, otherwise the organization will be required to obtain a negotiated rate through HUD; and

(6) You should submit the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

j. Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. You are not required to submit this checklist with your application.

### Checklist for Lead Technical Studies Program Applicants

#### Item

*Applicant Abstract (limited to a 2-pages)*

*Rating Factor Responses (Total Narrative Response Limited to 25 Pages)*

1. Capacity of the Applicant and Relevant Organizational Experience
2. Need/Extent of the Problem
3. Soundness of Approach
4. Leveraging Resources
5. Achieving Results and Program Evaluation

*Required Materials in Response to Rating Factors (Does Not Count Towards 25-Page Limit)*

- Resumes of Key Personnel (limited to 3 pages per resume)
- Organizational Chart
- Letters of Commitment (if applicable)
- Form HUD-96010 Logic Model Form

*Optional Material in Support of the Rating Factors (20 page limit)*

*Required Forms and Budget Material*

- Form SF 424 (Application for Federal Assistance)
- Form HUD-424-CB Grant Application Detailed Budget
- Form HUD-CBW (Budget Worksheet)
- Form SF 424 Supplement (Survey on Ensuring Equal Opportunity for Applicants) (to be completed by private nonprofit organizations only)
- Form SF LLL (Disclosure of Lobbying Activities)
- Form HUD 2880 (Applicant/Recipient Disclosure/Update Report)
- Form 2990 Certification of Consistency with the RC/EZ/EC-II Strategic Plan (required only for applicants who are seeking these bonus points)
- Form HUD 2994 Client Comments and Suggestions (Optional)
- Facsimile Transmittal (for electronic applications)—Form HUD-96011

#### C. Submission Dates and Times

Electronic applications must be submitted and received by Grants.gov

on or before June 8, 2005. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. Refer to the General Section for specific application submission instructions including acceptable submission dates, times, methods, acceptable proof of application submission and receipt procedures, and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. Eastern time on the application submission date. Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal.

Applicants receiving a waiver to the electronic submission process must submit the required number of copies of the application by the application submission date to the identified address in Appendix C of the General Section.

#### D. Intergovernmental Review

Funding received through this NOFA is not subject to Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs."

#### E. Funding Restrictions

1. *Administrative Costs.* There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix B of this NOFA, which is available at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

2. *Purchase of Real Property* is not an allowable cost under this program.

3. *Purchase or lease of equipment* having a per unit cost in excess of \$5,000 is not an allowable cost, unless prior written approval is obtained from HUD.

4. *Medical treatment costs* are not allowable under this program.

5. *For profit institutions* are not allowed to earn a fee.

6. *You must comply with the Coastal Barrier Resources Act* (16 U.S.C. 3501).

7. *You may not conduct construction, reconstruction or lead based paint hazard control activities* that fall below the threshold of building repair or improvement, as defined in Section 3(a)(4) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), of a building or mobile home which is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

(1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

#### F. Other Submission Requirements

See the General Section for specific procedures concerning the form of application submission.

### V. Application Review Information

#### A. Criteria

1. *Threshold Requirements.* Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.3 of this program NOFA. Your application must receive a total score of at least 75 points to remain in consideration for funding.

2. *Rating and Ranking.* Applications will be reviewed by an Application Review Panel (ARP) which will assign each application a score based on the rating factors presented below. The ARP chairperson selects and provides at least one application to panel members to score during a calibration round to ensure that all panel members are consistent in their application of the rating factors. When the calibration round is completed, each application is reviewed and scored by at least two panel members. If significant scoring discrepancies are identified among the reviewers of an application, the reviewers discuss their differences and are then given an opportunity to rescore the application among themselves and, if needed, with the full ARP. An average score is then computed for each application. The ARP chair may call upon an advisor (generally a scientist with another federal agency) to the ARP to review and comment on a proposal; however, the advisor does not score the application. At a final meeting, the ARP identifies the top-ranking applications to be recommended for funding.

3. *Award Factors.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. Each factor is weighted

as indicated by the number of points that are attainable for it. The maximum score that can be assigned to an application is 102 points. Applicants should be certain that these factors are adequately addressed in the project description and accompanying materials. The five rating factors are listed below (a more detailed description follows).

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (22 points).  
 Rating Factor 2: Need/Extent of the Problem (15 points).  
 Rating Factor 3: Soundness of Approach (45 points).  
 Rating Factor 4: Leveraging Resources (8 points).  
 Rating Factor 5: Achieving Results and Program Evaluation (10 points).  
 RC/EZ/EC-II Bonus Points (2 points).  
 Total: 102 points.

Applicants are eligible to receive up to two bonus points for projects located within federally designated Renewable Communities (RCs), Empowerment Zones (EZs), or Enterprise Communities (ECs) designated by USDA in round II (EC-IIIs) (collectively referred to as RC/EZ/EC-IIIs), and which will serve the residents of these communities (see the General Section). In order to be eligible for these bonus points, applicants must submit a completed HUD form 2990.

You will receive one point under Rating Factor 3(2) for each of the applicable FY 2005 policy priorities that are found in the General Section and applicable to the Lead Technical Studies NOFA that are adequately addressed in your application, with the exception of "Removal of Barriers to Affordable Housing," for which you can receive up to two points (see the General Section). Policy priorities that are applicable to the Lead Technical Studies Program NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grass-Roots Faith-based and other Community-based Organizations in HUD Program Implementation; (3) Participation of Minority-Serving Institutions in HUD Programs, and (4) Removal of Barriers to Affordable Housing.

You may address more than one of the technical study topic areas within your proposal or submit separate applications for different topic areas.

The following is a description of the five award factors and their associated subfactors. a. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (22 Points)*. This factor addresses the extent to

which you have the ability and organizational resources necessary to successfully implement your proposed activities in a timely manner. The rating of you, the "applicant," will include any sub-grantees, consultants, sub-recipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor, HUD will consider the extent to which your application demonstrates:

(1) *The capability and qualifications of the principal investigator and key personnel* (14 points). HUD will assess your qualifications to carry out the proposed study as evidenced by academic background, relevant publications, and recent (within the past 10 years) relevant research experience. Publications and research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the technical study that is proposed under this NOFA; and

(2) *Past performance of the study team in managing similar projects* (8 points). Demonstrated ability to successfully manage various aspects of a complex technical study in such areas as logistics, study personnel management, data management, quality control, community study involvement (if applicable), and report writing, as well as overall success in project completion (*i.e.*, projects completed on time and within budget). You should also demonstrate that your project would have adequate administrative support, including clerical and specialized support in areas such as accounting and equipment maintenance.

If applicable, provide the past performance of the organization (applicant or partners) in another Healthy Homes or Lead Hazard Control grant, another grant related to environmental health and safety issues, or other experience in a similar program. Provide details about the nature of the project, the funding agency, and your performance.

If your organization is an existing Lead Technical Studies grantee, provide a description of the progress and outcomes achieved in that grant. If you received previous Lead Technical Studies funding, this experience will be evaluated in terms of cumulative progress and achievements under the previous grant.

b. *Rating Factor 2: Need/Extent of the Problem (15 Points)*. This factor addresses the extent to which there is a need for your proposed technical study. In responding to this factor, you should

document in detail how your project would make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in Section I.B. You should demonstrate how your proposed study addresses a need with respect to the development of improved methods for the assessment and control of residential lead-based paint hazards. Specific topics to be addressed for this factor include:

(1) Provide a concise review of the research need that is addressed in your study and why it is high priority with respect to improving methods for lead hazard detection and control;

(2) Discuss how your proposed project would significantly advance the current state of knowledge for your focus area, especially with respect to the development of practical solutions; and,

(3) Discuss how you anticipate your study findings will be used to improve current methods for assessing or mitigating the lead hazard that your study addresses. Indicate why the method/protocol that would be improved through your study would likely be widely adopted (*e.g.*, low cost, easily replicated, lack of other options).

c. *Rating Factor 3: Soundness of Approach (45 Points)*. This factor addresses the quality of your proposed technical study plan. Specific components include:

(1) *Soundness of the study design* (20 points). The project description/study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature. You should clearly describe how your study builds upon the current state of knowledge for your focus area. If possible, your study should be designed to address testable hypotheses that are clearly stated. Your study design should be statistically based with adequate power to test your stated hypotheses. The study design should be presented as a logical sequence of steps or phases with individual tasks described for each phase. You should identify any important "decision points" in your study plan and you should discuss plans for data management, analysis and archiving. It is HUD's experience that studies can be subjected to considerable delay because of delays in the IRB approval process or because of unexpected difficulties with recruiting study participants. If applicable, describe actions that you will take to minimize the possibility that your study would experience delays in these areas (*e.g.*, understanding likely IRB requirements in advance, planning on additional avenues for recruitment).

(2) *Policy Priorities* (5 points). Indicate if your proposed study will address any of the FY 2005 policy priorities that are applicable to this program as identified in Section V.A.3 (see the General Section for additional details regarding these policy priorities). You will receive one point for each of the applicable policy priorities that are addressed in your application, with the exception of "Removal Of Barriers to Affordable Housing," for which you can receive a maximum of 2 points.

(3) *Quality assurance mechanisms* (8 points). You must describe the quality assurance mechanisms that will be integrated into your project design to ensure the validity and quality of the results.

(a) Areas to be addressed include acceptance criteria for data quality, procedures for selection of samples/sample sites, sample handling, measurement and analysis, pre-testing and validation of questionnaires or surveys, measures to ensure accuracy during data management, and any standard/nonstandard quality assurance/control procedures to be followed. Documents (e.g., government reports, peer-reviewed academic literature) that provide the basis for your quality assurance mechanisms should be cited.

(b) If your project involves human subjects in a manner which requires IRB approval and periodic monitoring, address how you will obtain such approval. Before you can receive funds from HUD for activities that require IRB approval, you must provide an assurance that your study has been reviewed and approved by an IRB and evidence of your organization's "institutional assurance." Describe how you will provide informed consent (e.g., from the subjects, their parents or their guardians, as applicable) to help ensure their understanding of, and consent to, the elements of informed consent, such as the purposes, benefits and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of "plain language" forms, flyers and verbal scripts, and how you plan to work with families with limited English proficiency or primary languages other than English, and with families including persons with disabilities.

(4) *Project management plan* (8 points). The proposal should include a management plan that provides a schedule for the completion of major tasks, with associated benchmarks and major study milestones, and major deliverables, with an indication that there will be adequate resources (e.g.,

personnel, financial) to successfully meet the proposed schedule. The major tasks and benchmarks/deliverables identified in the management plan should be consistent with those identified in the Logic Model (see description under Rating Factor 5). You should include preparation of one or more articles for peer-reviewed academic journals and submission of the draft(s) to the journal(s) after HUD acceptance during the period of performance of your grant.

(5) *Budget Proposal* (4 points).

(a) Your budget proposal should thoroughly estimate all applicable direct and indirect costs, and be presented in a clear and coherent format in accordance with the requirements listed in the General Section. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Form HUD-424-CBW) and all major tasks, for yourself, sub-recipients, major subcontractors, joint venture participants, or others contributing resources to the project. A separate budget must be provided for partners who are proposed to receive more than 10 percent of the federal budget request.

(b) Your narrative justification associated with these budgeted costs should be submitted as part of the Total Budget (Federal Share and Matching), but is not included in the 25-page limit for this submission.

(c) The application will not be rated on the proposed cost; however, cost will be considered in addition to the rated factors to determine the proposal most advantageous to the Federal Government. Cost will be the deciding factor when proposals ranked under the listed factors are considered acceptable and are substantially equal.

d. *Rating Factor 4: Leveraging Resources (8 Points)* Your proposal should demonstrate that the effectiveness of HUD's Lead Technical Studies grant funds is being increased by securing other public and/or private resources or by structuring the project in a cost-effective manner, such as integrating the project into an existing study. Resources may include funding or in-kind contributions (such as services, facilities or equipment) allocated to the purpose(s) of your project. Staff and in-kind contributions should be assigned a monetary value.

You should provide evidence of leveraging/partnerships by submitting the following: letters of firm commitment; memoranda of understanding; or agreements to participate from those entities identified as partners in the project efforts. Each

letter of commitment, memorandum of understanding, or agreement to participate must include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

e. *Rating Factor 5: Achieving Results and Program Evaluation (10 Points)*. This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their applications and assess their performance to ensure performance goals are met. Achieving results means you, the applicant, have clearly identified the benefits or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you, the applicant, identify program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your evaluation plan should identify what you are going to measure, how you are going to measure it, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes.

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability. In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program.

In your response to this Rating Factor you are to discuss the performance goals for your project and identify specific outcome measures. You are also to describe how the outcome information will be obtained, documented, and reported. You must complete and return the Logic Model Form included in the General Section showing your proposed project long-term, mid-term, short-term and final results. Information about developing a Logic Model is available at <http://www.hud.gov>.

Also, in responding to this factor, you should:

- (1) Identify benchmarks that you will use to track the progress of your study;
- (2) Identify important study milestones (e.g., the end of specific phases in a multiphased study), which

should also be clearly indicated in your study timeline;

(3) Identify milestones that are critical for achieving study objectives (e.g., recruitment of study participants, developing a new analytical protocol), potential obstacles in meeting these objectives, and how you would respond to these obstacles;

(4) Identify how your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program.

#### B. Review and Selection Process

1. *Corrections To Deficient Applications.* The General Section provides the procedures for correcting deficient applications.

2. *Rating and Ranking.* Awards will be made in rank order for Lead Technical Studies applications, within the limits of funding availability for the program.

(a) *Partial Funding.* In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award.

(b) *Remaining Funds.* See the General Section for HUD's procedures if funds remain after all selections have been made within a category of the Lead Technical Studies Program.

#### C. Anticipated Announcement and Award Dates

The anticipated date for the announcement of awards under the Lead Technical Studies Program is September 30, 2005.

### VI. Award Administration Information

#### A. Award Notices

##### 1. Notice of Award

Applicants who have been selected for award will be notified by letter from the Grant Officer. The letter will state the program for which the application has been selected, the amount the applicant is eligible to receive, and the name of the Government Technical Representative (GTR).

HUD may require that all the selected applicants participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may

offer an award, and proceed with negotiations with the next highest-ranking applicant. If you accept the terms and conditions of the grant, you must return your signed grant agreement by the date specified during negotiation.

After receiving the letter, additional instructions on how to have the grant account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will also be provided.

In accordance with OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations), grantees expending \$500,000 in Federal funds within a program or fiscal year must submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, the address can be obtained from their web site. The SF-SAC can be downloaded at <http://harvester.census.gov/sac/>.

##### 2. Debriefing

The General Section provides the procedures that applicants should follow for requesting a debriefing.

#### B. Administrative and National Policy Requirements

##### 1. Environmental Requirements

In accordance with 24 CFR 50.19(b)(1), (b)(3) and (b)(5), activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

##### 2. Conducting Business in Accordance with HUD Core Values and Ethical Standards

If awarded assistance under this NOFA, prior to entering into a grant agreement with HUD, you will be required to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your code of conduct. See the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

##### 3. Participation in HUD-Sponsored Program Evaluation

See the General Section.

##### 4. Removal of Barriers to Affordable Housing

See the General Section.

##### 5. HUD Reform Act of 1989

The provisions of the HUD Reform Act of 1989 that apply to this NOFA are explained in the General Section.

##### 6. Audit Requirements

Any grant recipient that expends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR parts 84 and 85 in accordance with OMB Circular A-133.

##### 7. Procurement of Recovered Materials

See the General Section for information concerning this requirement.

#### C. Reporting

##### 1. Post Award Reporting Requirements

Final budget and work plans are due 60 days after the start date.

##### 2. Quality Assurance Plan (QAP)

Successful applicants will be required to submit a Quality Assurance Plan to HUD prior to initiating work under the grant. This is a streamlined version of the format used by some other Federal agencies, and is intended to help ensure the accuracy and validity of the data that you will collect under the grant. You should plan for this and include it in your study work plan. (See the HUD Office of Healthy Homes and Lead Hazard Control's Internet site, <http://www.hud.gov/offices/lead/>, for the QAP template for this program.)

##### 3. Progress Reporting

Progress reporting is required on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010). For specific reporting requirements, see policy guidance at: <http://www.hud.gov/offices/lead/>.

##### 4. Racial and Ethnic Beneficiary Data

HUD does not require grantees to collect racial and ethnic beneficiary data for this program. If, however, racial and ethnic data are collected and reported as part of a study funded under this program NOFA, you must use the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data as presented on Form HUD-27061, Racial and Ethnic Data Reporting Form (and instructions for its use), found on <http://www.grants.gov>.

##### 5. Final Report

The grant agreement will specify the requirements for final reporting (e.g., scientific manuscript, report).

**VII. Agency Contact(s)**

For technical help in downloading an application from Grants.gov or submitting via Grants.gov, call the Grants.gov help desk at 800-518-GRANTS. For programmatic questions, you may contact Dr. Peter Ashley, Office of Healthy Homes and Lead Hazard Control, at (202) 755-1785, extension 115 (this is not a toll-free number) or via e-mail at [Peter\\_J.\\_Ashley@hud.gov](mailto:Peter_J._Ashley@hud.gov). For grants administrative questions, you may contact Ms. Curtissa L. Coleman, Office of Healthy Homes and Lead

Hazard Control, at the address above; telephone (202) 755-1785, extension 119 (this is not a toll-free number) or via e-mail at [Curtissa\\_L.\\_Coleman@hud.gov](mailto:Curtissa_L._Coleman@hud.gov). If you are a hearing- or speech-impaired person, you may reach the above telephone numbers through TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

**VIII. Other Information****A. Other Office of Healthy Homes and Lead Hazard Control Information**

For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

**B. Appendices**

Appendices A and B to this NOFA are available from HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**LEAD OUTREACH GRANT PROGRAM**

Billing Code 4210-32-C



## Lead Outreach Grant Program

### Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. *Funding Opportunity Title:* Lead Outreach Grant Program.

C. *Announcement Type:* Initial announcement.

D. *Funding Opportunity Number:* The Federal Register Number is: FR-4950-N-27. The OMB Approval Number is 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s):* 14.904, Lead Outreach Grant Program.

F. *Dates:* The application submission date is June 14, 2005. See the General Section, Section IV, Application and Submission Information, regarding application submission procedures and timely filing requirements.

### G. Additional Overview Content Information:

1. *Purpose.* This funding opportunity is for non-profit grassroots community-based organizations, including faith-based organizations; other non-profit organizations; states; Tribes; and units of general local government to:

a. develop and distribute outreach and education materials;

b. encourage occupants to identify potential paint hazards and report them to property owners; and

c. increase enrollment of low-income housing units in lead hazard control treatment programs.

2. *Available Funds.* Approximately \$2 million is available under this program.

3. *Number of Awards.* Between 4 and approximately 10 grants will be awarded, with each grant ranging between approximately \$200,000 and a maximum of \$500,000.

4. *Type of Awards.* The awards will be made as grants.

5. *Eligible Applicants.* Grassroots community-based organizations, including faith-based organizations; other nonprofit organizations; states; Tribes; and units of general local government are eligible to apply for funding. Teaming arrangements are encouraged, including teaming with educational institutions and other entities such as groups of parents of lead-poisoned children, although the application must be made by a single entity.

6. *Matching Funds.* No match or cost sharing is required. However, leveraging is encouraged. See Section V, Rating Factor 4.

7. *Limitations on Applications.* Only one application per applicant will be permitted for this lead outreach grant program.

## Full Text of Announcement

### I. Funding Opportunity Description

#### A. Purpose of the Program

The purpose of this lead outreach grant program is to:

1. Increase enrollment of low-income housing units in lead hazard control treatment programs;

2. Develop and distribute outreach and educational materials to raise public awareness of childhood lead poisoning, its prevention, and proper lead hazard identification and control methods for at-risk communities, at-risk populations of children and workers in the housing maintenance or rehabilitation fields; and

3. Encourage occupants to identify potential lead-based paint hazards and report them to property owners, managers, and/or public health or housing officials, as appropriate.

#### B. Background

Childhood lead poisoning is the primary childhood environmental health problem in the United States today. The Centers for Disease Control and Prevention (CDC) has found that there are approximately 434,000 children under age 6 that have elevated blood lead levels, and those who are non-Hispanic blacks or Hispanics are more likely to have elevated blood lead levels than are non-Hispanic whites. The February 2000 report, "Eliminating Childhood Lead Poisoning: A Federal Strategy Targeting Lead Paint Hazards," sets forth action to be taken to prevent such poisoning. In addition to contributing to the elimination of lead hazards in housing occupied by low-income families with children, the federal government's public education and outreach activities should measurably increase the public's awareness of lead hazards and how to address them.

In keeping with the mandate of section 1011(g)(1) of Title X, the Residential Lead-Based Paint Hazard Reduction Act of 1992, Public Law 102-550, 106 Stat. 3672, October 28, 1992, for HUD to "develop the capacity of eligible applicants \* \* \* to carry out activities under" lead hazard control grant programs, HUD has conducted outreach and public education initiatives through the Lead Hazard Control Grant program, the National Lead Information Center, and other training, education and outreach initiatives.

Lead Hazard Control grants are awarded to perform lead hazard reduction in low-income privately owned pre-1978 housing. Lead outreach

activities encourage low-income occupants and owners to participate in HUD-funded lead hazard control programs. HUD's supplement to the Current Population Survey has determined that only a fraction of citizens are educated about how lead-based paint hazards are more common in older housing and threaten young children. This low level of awareness means that few construction and maintenance business owners are aware of the extent of lead-based paint hazards. Some general information on the background of lead and lead-based paint hazards can be found in Appendix A Background on Lead, posted at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

#### C. Authority

The authority for this program is section 1011(e)(8) and (g)(1) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992), and the Consolidated Appropriations Act, 2005 (Pub. L. 108-477; approved December 8, 2004).

### II. Award Information

#### A. Available Funding

Approximately \$2 million in fiscal year 2005 funds from the lead technical assistance set aside under the lead hazard reduction appropriation will be available for the Lead Outreach Program. Grants will be awarded on a competitive basis according to the Rating Factors described in Section V of this program section.

#### B. Anticipated Awards

Between four and approximately ten grants will be awarded, with each grant ranging between approximately \$200,000 and a maximum of \$500,000.

#### C. Award Instrument

1. Grants. Awards will be made as grants.

2. Start Date. The anticipated start dates for new awards is October 1, 2005.

#### D. Period of Performance

The period of performance cannot exceed 24 months from the date of the award. A period of performance extension for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.30(d)(2) or 24 CFR 84.25(e)(2), as applicable, and the Office of Healthy Homes and Lead Hazard Control (OHHLHC) Program Guide. Only one extension will be provided for a period not to exceed 12 months.

### III. Eligibility Information

#### A. Eligible Applicants

Grassroots non-profit community-based organizations, including faith-based organizations; other non-profit organizations; states; Tribes; and units of general local government are eligible applicants. Teaming arrangements are encouraged, including teaming with educational institutions and other entities such as groups of parents of lead-poisoned children, although the application must be made by a single entity. Nonprofit organizations, grassroots community-based nonprofit organizations, including faith-based organizations; educational institutions; Fair Housing Organizations; and advocacy groups for children's health, minority and ethnic groups and persons with disabilities can also be sub-grantees or sub-contractors. We encourage both public and nonprofit groups to apply.

#### B. Cost Sharing or Matching Requirements

None required. In rating your application, however, you will receive a higher score under Rating Factor 4 if you provide evidence of significant cost sharing or leveraging.

#### C. Other

##### 1. Eligible Activities

Eligible activities under this NOFA are:

- a. Activities to publicize or conduct events which highlight lead hazards in the home environment and available lead hazard reduction programs;
- b. Development and distribution of materials, including pamphlets, newsletters, flyers, etc., to be distributed in stores, schools, churches, community centers, or other neighborhood locations. References to outreach materials may be found in Appendix B, Lead Outreach Materials, posted at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.
- c. Conducting presentations or speaking engagements to inform the public and owners of housing of lead hazards in the home and programs that can assist in the abatement and control of the identified hazards;
- d. Entering into working arrangements with local non profit organizations, including grassroots community-based organizations, including faith-based organizations; chambers of commerce; public and private social service agencies; and others to disseminate information to populations identified as being at-risk.
- e. Establishing teams with non-profit organizations and associations, such as

grassroots organizations, including faith-based, advocacy, and community-based non-profit organizations, or corporations, retailers, construction organizations, and unions for the purpose of coordinating or conducting joint outreach activities;

f. Preparing publications, including graphics, public service announcements, posters and entries for newspapers and magazines with local and/or regional distribution.

g. Training local residents and businesses on identifying potential lead-based paint hazards, and lead-safe maintenance and renovation work practices, etc.;

h. Making materials available in alternative formats for persons with disabilities (e.g., Braille, audio, large type) upon request, and providing materials in languages other than English that are common in the community, consistent with HUD's published Limited English Proficiency (LEP) Recipient Guidance, 68 FR 70968.

i. Program Administration in accordance with the guidelines established under funding restrictions.

j. Program evaluation and assessment activities to improve the effectiveness of present and future outreach efforts and to measure whether efforts have successfully been targeted to at risk populations.

2. *Threshold Requirements Applicable to all Applicants Under the SuperNOFA.* As an applicant, you must meet all of the threshold requirements described in the General Section.

##### 3. Program Requirements

- a. Outreach activities must: (1) Increase lead awareness;
- (2) Encourage owners and low-income occupants to enroll their housing units in lead hazard control programs; and
- (3) Encourage owners and low-income occupants to identify potential lead-based paint hazards and report them to property owners and managers, public health, and/or housing officials as appropriate.

b. All activities under this program must be targeted to at-risk populations or areas, and implement an outreach program to meet those populations' information needs.

c. *Media Products in Languages other than English.* Applicants are encouraged to utilize minority media in an effort to achieve diversity in outreach and educational efforts to minority target populations. Applications that include development and distribution of media products in languages other than English must include a discussion of the applicant's (or subcontractor's) expertise in those languages and in meeting the

informational needs of non-English-speaking, underserved populations.

### IV. Application and Submission Information

If you are interested in applying for funding under this program, please carefully read the General Section and the following additional information.

#### A. Addresses To Request Application Package

##### 1. There Is No Application Kit

All the information required to submit an application is contained in the program section of this NOFA and the General Section. Applications can be downloaded from the Web at: <http://www.grants.gov>.

##### 2. Satellite Broadcast

HUD expects to hold an information broadcast via satellite for potential applicants to learn more about the program and the preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD Web site at: <http://www.hud.gov>.

#### B. Content and Form of Application Submission

##### 1. Address for Submitting Applications

You, the applicant, must submit a complete application via Grants.gov. For additional information see the General Section.

##### 2. Application Information

a. *Application Format.* Your application narrative response must be limited to a maximum of 25 pages (excluding additional materials and worksheets) equivalent to one-side only on 8½ x 11 inch paper using a standard 12-point font with not less than ¾ inch margins on all sides. Additional materials should be referenced and discussed in the narrative response and should directly apply to the rating factor to receive points. The rating for each Rating Factor will be based on the Rating Factor's numbered portion of your narrative statement, supplemented by materials referenced and discussed in that portion of your narrative statement.

b. *Applicant Data.* Your application must contain all of the required information as noted in this NOFA Section and the General Section. These items include the standard forms listed in the General Section that are applicable to this funding (collectively referred to as the "standard forms"). The standard forms can be found in the application package on Grants.gov and

are referenced in the General Section. The application items are as follows:

(1) Application Abstract (limited to two-pages). An abstract that summarizes your proposed project, including the objectives and expected results, the dollar amount requested, and identifying the name, address and key contacts for you and your team members in the application. The abstract will be used for Congressional Release and Public Announcement if you are selected to receive an award.

(2) A narrative statement addressing the rating factors for award. The narrative statement must be numbered in accordance with each factor for award (Rating Factors 1 through 5). The response to the rating factors must not exceed an equivalent of 25 pages. Any pages in excess of this limit will not be read. (The 25-page limit does not include the two-page abstract.) Key points to consider in preparing your application are provided in the General Section.

(3) Applicant should provide the resumes and position descriptions of your project director, project manager and up to three additional key personnel (in accordance with Rating Factor 1). These should not exceed three pages each. This information will not be counted towards the page limit.

(4) Any attachments, additional materials, references, or other relevant information that directly support the narrative statement may be included, but must not exceed 20 pages for your entire application. Any pages in excess of this limit will not be read.

(5) Provide a detailed budget with supporting cost justification for all budget categories of your funding request, in accordance with Rating Factor 3. This information will not be counted towards the page limits. A detailed budget must also be provided for any subcontractors, subgrantees, or subrecipients receiving greater than 10 percent of the federal budget request. Use the budget format discussed in Rating Factor 3 Section V(A)3.c(2)(b), below. *In completing the budget forms and justification, you should address the following elements:*

(a) Direct Labor. Direct Labor costs should include all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full time equivalent (FTE) or hours per year (hours/year) (*i.e.*, one FTE equals 2,080 hours/year);

(b) Travel to HUD Meetings. You should budget for three trips to HUD Headquarters in Washington, DC, planning each trip for two people, assuming the first trip occurring shortly

after grant award for a stay of five or six days, depending on your location, and the remaining trips having a stay of one or two days, depending on your location;

(c) Sub-grantee and Subrecipient Budgets. A separate budget proposal should be provided for any subrecipients receiving more than 10 percent of the total federal budget request;

(d) Supporting Documentation for Salaries and Costs of Materials. You should be prepared to provide supporting documentation for salaries and prices of materials and equipment upon request;

(e) Federally Negotiated Indirect Cost Rate. Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. Other organizations not having a federally negotiated rate schedule must obtain a rate from their cognizant federal agency. If HUD is the cognizant agency, HUD will establish the rates. If awarded a grant, you will be asked to submit your negotiated rate agreements for fringe benefits and indirect costs.

(6) Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. The checklist is not required to be submitted with the application. (See below.)

(7) Any information or materials that are not listed above will not be reviewed.

#### **Checklist for Lead Outreach Grant Program Applicants**

*Applicant Abstract (limited to 2 pages)*

*Rating Factor Responses (Total narrative response limited to 25 pages.)*

1. Capacity of the Applicant and Relevant Organizational Experience
2. Need/Extent of the Problem
3. Soundness of Approach
4. Leveraging Resources
5. Achieving Results and Program Evaluation

*Required Materials in Response to Rating Factors (does not count towards 25-page limit)*

- Resumes of Key Personnel (limited to 3 pages per resume)
- Organizational Chart
- Letters of Commitment (if applicable)
- Form HUD-96010 Logic Model Form

*Optional Material in Support of the Rating Factors (20 page limit)*

*Required Forms and Budget Material*

- Form SF 424 (Application for Federal Assistance)

- Form HUD-424-CB Grant Application Detailed Budget
- Form HUD-CBW (Budget Worksheet)
- Form SF 424 Supplement (Survey on Ensuring Equal Opportunity for Applicants) (to be completed by private nonprofit organizations only)
- Form SF LLL (if applicable) (Disclosure of Lobbying Activities)
- Form HUD 2880 (Applicant/Recipient Disclosure/Update Report)
- Form 2990 Certification of Consistency with the RC/EZ/EC-II Strategic Plan (required only for applicants who are seeking these bonus points)
- Form HUD 2994 Client Comments and Suggestions (Optional)
- Form HUD 27300 Removal of Regulatory Barriers (if applicable)
- HUD's Waiver from submitting electronically (if applicable)
- Form HUD 2993 Acknowledgment of receipt if making paper submittal (only if HUD waiver is granted)
- Form HUD-96011 Facsimile Transmittal (for electronic applications)

#### *C. Submission Dates and Times*

Electronic applications must be submitted to and received by [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. eastern time on the application submission date. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. Please refer to the General Section for additional submission requirements including acceptable submission methods, acceptable proof of submission and receipt procedures, and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date. Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal.

If you have received a waiver to the electronic application submission requirement, you must submit an original and three copies of your application on or before June 14, 2005 following the instructions in the General Section.

#### *D. Intergovernmental Review*

Not applicable to this program. See 24 CFR Part 52.

#### *E. Funding Restrictions.*

1. HUD will not fund the following ineligible activities:

a. Purchase of real property.  
 b. Purchase or lease of equipment having a per-unit cost in excess of \$5,000, unless prior written approval is obtained from HUD.

c. Hazard abatement, hazard reduction, rehabilitation, remodeling, repair, or other construction work.

2. Administrative Costs. No more than 10 percent of the funds can be used for administrative costs. Administrative costs that may be applicable to the program included in this NOFA are discussed below:

a. Purpose. The intent of this HUD grant program is to allow the grantee to be reimbursed for the reasonable direct and indirect costs, subject to a top limit, for overall management of the grant. In some instances the grantee principally serves as a conduit to pass funding to sub-grantees, which are to be responsible for conducting the lead outreach work. HUD has established a top limit of 10 percent of the total grant sum for the grantee to perform the function of overall management of the grant program, including passing on funding to sub-grantees. The cost of that function, for the purpose of this grant, is defined as the "administrative cost" of the grant, and is limited to ten percent of the total grant amount. The balance of ninety percent or more of the total grant sum is reserved for sub-grantees or other direct-performers of lead outreach work.

b. Administrative Costs: What They Are Not. For the purposes of this HUD grant program for lead outreach, the term "administrative costs" should not be confused with the terms "general and administrative cost," "indirect costs," "overhead," and "burden rate." These are accounting terms usually represented by a government-accepted standard percentage rate. The percentage rate allocates a fair share of an organization's costs that cannot be attributed to a particular project or department (such as the chief executive's salary or the costs of the organization's headquarters building) to all projects and operating departments (such as the community relations program office or education program office, or, for governmental grantees, such offices as the Fire Department, the Police Department, the Community Development Department, the Health Department or this program). Such allocated costs are added to those projects' or departments' direct costs to determine their total costs to the organization.

c. Administrative Costs: What They Are. For the purposes of this HUD grant program, "Administrative Costs" are the grantee's allowable direct costs for the

overall management of the grant program plus the allocable indirect costs. The allowable limit of such costs that can be reimbursed under this program is 10 percent of the total grant sum. Should the grantee's actual costs for overall management of the grant program exceed 10 percent of the total grant sum, those excess costs shall be paid for by the grantee. However, excess costs paid for by the grantee may be shown as part of the requirement for cost-sharing funds to support the grant.

d. Administrative Costs: Definition

(1) General. Administrative costs are the allowable, reasonable, and allocable direct and indirect costs related to the overall management of the HUD grant for lead outreach activities. Those costs shall be segregated in a separate cost center within the grantee's accounting system, and they are eligible costs for reimbursement as part of the grant, subject to the 10 percent limit. Such administrative costs do not include any of the staff and overhead costs directly arising from specific sub-grantee program activities eligible under Section III(C) of this NOFA, because those costs are eligible for reimbursement under a separate cost center as a direct part of project activities.

The grantee may elect to serve solely as a conduit to sub-grantees, who will in turn perform the direct program activities eligible under Section III(C) of this NOFA, or the grantee may elect to perform all or a part of the direct program activities in other parts of its own organization, which shall have their own segregated, cost centers for those direct program activities. In either case, not more than 10 percent of the total HUD grant sum may be devoted to administrative costs, and not less than 90 percent of the total grant sum shall be devoted to direct program activities. The grantee shall take care not to mix or attribute administrative costs to the direct project cost centers.

(2) Specific. Reasonable costs for the grantee's overall grant management, coordination, monitoring, and evaluation are eligible administrative costs. Subject to the 10 percent limit, such costs include, but are not limited to, necessary expenditures for the following goods, activities and services:

(a) Salaries, wages, and related costs of the grantee's staff, the staff of affiliated public agencies, or other staff engaged in grantee's overall grant management activities. In charging costs to this category the recipient may either include the entire salary, wages, and related costs allocable to the program for each person whose primary responsibilities (more than 65 percent of their time) with regard to the grant

program involve direct overall grant management assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any overall grant management assignments. The grantee may use only one of these two methods during this program. Overall grant management includes the following types of activities:

(i) Preparing grantee program budgets and schedules, and amendments thereto;

(ii) Developing systems for the selection and award of funding to sub-grantees and other subrecipients;

(iii) Developing suitable agreements for use with sub-grantees and other subrecipients to carry out grant activities;

(iv) Developing systems for assuring compliance with program requirements;

(v) Monitoring sub-grantee and subrecipient activities for progress and compliance with program requirements;

(vi) Preparing presentations, reports, and other documents related to the program for submission to HUD;

(vii) Evaluating program results against stated objectives;

(viii) Providing local officials and citizens with information about the overall grant program (however, a more general education program, helping the public understand the nature of lead hazards, lead hazard reduction, blood-lead screening, and the health consequences of lead poisoning is a direct project support activity);

(ix) Coordinating the resolution of overall grant audit and monitoring findings; and

(x) Managing or supervising persons whose responsibilities with regard to the program include such assignments as those described in paragraphs (i) through (ix) above.

(b) Travel costs incurred for official business in carrying out the overall grant management;

(c) Administrative services performed under third party contracts or agreements, for services directly allocable to grant management such as: legal services, accounting services, and audit services;

(d) Other costs for goods and services required for and directly related to the overall management of the grant program; and including such goods and services as telephone, postage, rental of equipment, renter's insurance for the program management space, utilities, office supplies, and rental and maintenance (but not purchase) of office space for the program.

(e) The fair and allocable share of grantee's general costs that are not directly attributable to specific projects

or operating departments such as salaries, office expenses and other related costs for a private-sector grantee's parent organization, or, for a governmental grantee, local officials (e.g., mayor and city council members, etc.), and expenses for a grantee's legal or accounting department which are not charged back to particular projects or other operating departments. If a grantee has an established burden rate, it should be used; if not, the grantee shall be assigned a negotiated provisional burden rate, subject to final audit.

#### F. Other Submission Requirements

##### 1. Submission Dates and Times

a. If you seek a waiver from submitting electronically, see the General Section.

b. Applicants who have received a waiver from submitting electronically must submit their paper copy applications for delivery following the instructions in the General Section, no later than 11:59:59 PM on the application submission date. Paper copy applications submitted without being granted a waiver will not receive funding consideration. Please read the General Section carefully as instructions have significantly changed for FY2005 application submissions.

##### 2. Electronic Application Assistance

For technical assistance in downloading the electronic application or for other questions regarding the electronic application, please contact the Grants.gov help desk at (800) 518-GRANTS. The Grants.gov help desk can also be contacted by email at [Support@Grants.gov](mailto:Support@Grants.gov). You can also get assistance on general questions from the NOFA Information Center at (800) HUD-8929. If you are hearing impaired, you may reach the numbers above at (800) HUD-2209 (TTY) or the Federal Information Relay Service at (800) 877-8339 (these are toll-free numbers).

#### V. Application Review Information

##### A. Criteria

1. Applications will be reviewed by an Application Review Panel (ARP) which will assign each application a score based on the rating factors presented below.

##### 2. Factors for Award Used to Evaluate and Rate Applications

The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points to be awarded is 102, including the potential for two RC/EZ/EC-II bonus points, as described in the General Section.

##### 3. Award Factors

Each factor is weighted as indicated by the number of points that are attainable for it. Applicants should be certain that these factors are adequately addressed in the project description and accompanying materials. The five rating factors are listed below.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points).

Rating Factor 2: Need/Extent of the Problem (15 points).

Rating Factor 3: Soundness of Approach (40 points).

Rating Factor 4: Leveraging Resources (10 points).

Rating Factor 5: Achieving Results and Program Evaluation (15 points).

RC/EZ/EC-II Bonus Points (2 points, see below).

Total: 102 points.

HUD FY 2005 NOFAs provide for the award of two bonus points for eligible activities/projects that the applicant proposes to locate in federally designated Empowerment Zones (EZs), Renewal Communities (RCs), or Enterprise Communities, designated by USDA in round II (EC-IIs), that are intended to serve the residents of these areas, and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan (TIUP). (For ease of reference in this Notice, all of the federally designated areas are collectively referred to as "RC/EZ/EC-IIs" and residents of any of these federally designated areas as "RC/EZ/EC-II residents.") This Notice contains a certification that must be completed for the applicant to be considered for RC/EZ/EC-II bonus points. A list of RC/EZ/EC-IIs can be obtained from HUD's web page at <http://www.hud.gov/cr>. Applicants can determine if their program/project activities are located in one of these designated areas by using the locator on HUD's web site at <http://www.hud.gov/crlocator>. Please see the General Section.

You will receive points under Rating Factor 3(1) for each of the applicable FY2005 policy priorities that are adequately addressed in your application, up to a maximum of four points (see the General Section). Policy priorities that are applicable to the Lead Outreach grant NOFA and eligible for one point each are: (1) Improving our Nation's Communities (focus on distressed communities); and (2) Providing full and equal access to grassroots faith-based and other community-based organizations in HUD program implementation. Removal of regulatory barriers to affordable housing is eligible for up to 2 points provided the required

documentation, as specified in form HUD 27300 (Removal of Regulatory Barriers), is part of the application submission to HUD. Applicants may also provide a web site URL for a web site where the required documentation is readily accessible for use.

You are encouraged to plan projects that can be completed over a short time period (e.g., 18 to 24 months from the date of award) so useful information generated from the outreach activities can be available for policy or program decisions and disseminated to the public as quickly as possible. The grant performance period is limited to 24 months.

a. *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)*. This factor addresses your organizational capacity necessary to successfully implement your proposed activities in a timely manner. The rating of you or your staff includes any grassroots nonprofit organizations, including faith-based nonprofit organizations and other community-based non-profit organizations, sub-contractors, consultants, subrecipients, and members of consortia that are firmly committed to your project. For all of the descriptions of personnel and organizational qualifications and experience in this factor, more points will be given for more recent relevant experience of high quality with this type of work, as documented below. Applicants who are funding or sub-contracting with grassroots nonprofit organizations, including faith-based nonprofit organizations, and other community-based nonprofit organizations, in conducting their outreach programs should include the qualifications and experience of these organizations in responding to this rating factor. In rating this factor HUD will consider:

(1) Your recent, relevant and successful demonstrated experience in undertaking eligible program activities. You must describe the knowledge and experience of the proposed overall project director and day-to-day project manager in planning and managing large and complex interdisciplinary outreach programs, especially those involving housing, public health, or environmental programs. In your narrative response for this factor, you should include information on your project staff, their experience, percentage commitment to the project, and position titles. You must provide resumes (or position descriptions and copies of job announcements including salary range, for vacant positions) of up to three pages each for the project

director, project manager, and up to three key personnel, and a clearly delineated organizational chart for the Lead Outreach project in your application. Indicate the name and the position of key personnel, the percentage of time that proposed staff will devote to your project and any salary costs to be paid by funds from this program. Include descriptions of the experience and qualifications of subcontractors and consultants. You may find it useful to include a table indicating the name, position and percentage contribution of staff members, specifying organizational affiliation.

(2) Your qualifications to carry out the proposed activities as evidenced by experience, training, and/or relevant publications of project staff, and whether you have sufficient personnel, or will be able to quickly retain qualified experts or professionals to begin your proposed project immediately, and to perform your proposed activities in a timely and effective fashion. Describe how principal components of your organization will participate in, or support, your project. You should thoroughly describe capacity, as demonstrated by experience in initiating, implementing and evaluating related health education, outreach and recruitment projects.

(3) Your past performance in previous projects with an emphasis on health education, outreach and recruitment. Provide details about the nature of the project, the funding agency, and your performance, relative to performance measures or the achievement of desired health outcomes. If a subgrantee or subcontractor is an existing HUD lead outreach grantee, provide a description of the progress and outcomes achieved in that grant.

HUD's evaluation process will consider an applicant's past performance in effectively organizing and managing their grant operations, in meeting performance and work plan benchmarks and goals, and in managing funds, including their ability to account for funds appropriately, timely use of funds received either from HUD or other federal, state, Tribal, or local programs, and meeting performance milestones. This includes whether the applicant has requested no-cost time extensions for previous Office of Healthy Homes and Lead Hazard Control awards. HUD may use other information relating to these items from sources at hand, public sources such as newspapers, Inspector General or Government Accounting Office Reports or Findings, hotline complaints, or other sources of

information that have been proven to have merit.

(4) *Statement Regarding Other Grants and Applications.* You need to disclose all grants that you are currently receiving from OHHLHC, and a list of the applications you have submitted or plan to submit for FY2005 for other OHHLHC grants. This information will be used during evaluation of your application in regard to evaluating your capacity to conduct the activities under this grant program concurrently with activities under other OHHLHC grants.

b. *Rating Factor 2: Need/Extent of the Problem (15 Points)* This factor addresses the extent to which there is a need for your proposed project activities to address documented problems, target area(s) and target populations.

Applications that demonstrate a greater need for lead outreach beyond existing levels as a mechanism for increasing enrollment in lead hazard treatment programs, or more thoroughly document this need will earn higher numbers of points.

(1) Your application should document a critical level of need for your proposed outreach activities in the area(s) where activities will be carried out. You should pay specific attention to documenting the need for outreach to increase enrollment of low-income housing units with children under six in lead hazard treatment programs as it applies to your target area(s) and target populations, rather than a larger geographic area or general population. Examples of information that *might* be used to demonstrate need, include:

(2) Economic or sociological information relevant to your target area(s). If this information is applied locally, the neighborhoods or type of neighborhoods to be targeted should be characterized with regard to populations and age of housing that the outreach activities are attempting to reach. Information on the number and percentage of very-low (income less than 50 percent of the area median) and low-(income less than 80 percent of the area median) income families, as determined by HUD is available at the HUDuser web site, [www.huduser.org](http://www.huduser.org), with adjustments for smaller and larger families (Very-Low and Low-Income Population).

(3) Data documenting targeted populations that are traditionally underserved or have special needs. For a maximum score in this Rating Factor, data provided should specifically represent the target area. If the data presented in your response do not specifically represent your target area, you should discuss why the target areas are being proposed. If your application

addresses needs that are in the Consolidated Plan or Analysis of Impediments (AI) to Fair Housing Choice (see the General Section), court orders or consent decrees, settlements, conciliation agreements, or voluntary compliance agreements, you will receive more points than applicants that do not relate their project to an identified need.

(4) Information from the local (or state or Tribe, if applicable) health department, if available, on actual (not estimated) rates of elevated blood lead levels among children residing in your target area(s).

(5) Readily available information on the presence of existing outreach and educational resources in your target area(s).

c. *Rating Factor 3: Soundness of Approach (40 Points)* This factor addresses the quality and cost-effectiveness of your proposed work plan. You should present information on your proposed approach for increasing the public's awareness and knowledge about lead poisoning and lead-based paint hazards, for encouraging owners and low-income family occupants to identify potential lead-based paint hazards, and enrolling their housing units in lead hazard control treatment programs. Applications containing approaches with clear activities and sub-activities that will result in increasing the enrollment in lead hazard treatment programs, that include a range of approaches that address the needs of populations with limited English proficiency, persons with disabilities, persons with low literacy, etc., that demonstrate a logical progression of implementation steps, that include more appropriate mechanisms for reaching audiences, and that provide better documentation of the methodology of the proposed approach will receive higher numbers of points. Applicants shall identify their approaches to overcoming recruitment difficulties, including over-recruiting efforts, incentives to increase enrollment, and any other options. Applicants will receive higher rating points for approaches that include higher percentages of funding or subcontracting for substantive work by grassroots organizations, including faith-based and other community-based non-profit organizations, Fair Housing Organizations and advocates for various minority and ethnic groups and for persons with disabilities.

You should describe how proposed activities would help HUD achieve its goals for this program area. You should demonstrate your knowledge of the

outreach methodology relevant to your approach. You should develop a work plan that includes specific, measurable and time-phased objectives for each major program activity, accompanied by a complementary schedule indicating proposed date(s) of completion.

There must be a direct relationship between the proposed activities, community needs, the purpose of the project, and the number of low-income housing units enrolled in lead hazard treatment programs. Your response to this factor should include the following elements:

(1) *Approach for Developing the Project.* (30 points) Describe your overall approach for your proposed project. The description must include a discussion of specific planned project activities:

(a) Provide the estimated total number of low-income housing units that you expect to be enrolled in lead hazard treatment programs. Describe in detail how you will identify and track participants receiving outreach under your project, especially participants in high-risk groups and communities, vulnerable populations and persons traditionally underserved. (6 points)

(b) Describe your process for developing outreach materials, or using existing materials. (3 points)

(c) Describe your management processes to be used to ensure the cost-effectiveness of expenditures of funds. (2 points)

(d) Describe any measurement tools you would employ to evaluate the effectiveness of your outreach and educational activities for occupants of housing units enrolled in lead hazard treatment programs before and after treatment. (2 points)

(e) Describe the methods of community education you would use including community awareness, education, training, and outreach programs in support of your work plan and objectives that are culturally sensitive, targeted, and linguistically appropriate. (3 points)

(f) Proposed involvement of grassroots organizations, including faith-based and other community-based non-profit organizations in the proposed activities. HUD strongly encourages you to substantively use grassroots organizations, including faith-based, and other community-based non-profit organizations. (10 points)

(g) Indicate if, and describe how, you will address any of HUD's departmental policy priorities. (See the General Section for a fuller explanation of HUD's policy priorities.) Policy priorities that are potentially applicable to this NOFA include: (i) Improving our

Nation's Communities, (ii) Providing Full and Equal Access to Faith-based and other Community-based Organizations in HUD Program Implementation, and (iii) Removal of Regulatory Barriers to Affordable Housing. You will receive one point for each of the first two applicable policy priorities that are adequately addressed in your application, and up to two points for Removal of Regulatory Barriers to Affordable Housing. If your application addresses all three policy priorities, you could get up to four points. (4 points)

(2) *Approach for Implementing the Project.* (10 points) Describe your project goals, objectives and the strategy you will use in executing the project. You should provide information on the general approach and overall plan employed.

(a) *Baseline Plan for Project Management.* (5 points) Include a management plan that:

(i) Lists the outreach project objectives, major tasks and activities. All specific activities necessary to complete the proposed project must be included in the task listing.

(ii) Incorporates appropriate performance goals with projected outputs and outcomes of the outreach program's activities.

(iii) Identifies major milestones and provides a schedule for the assignment, tracking and completion of major tasks and activities, and a timeframe for delivery, including reports and other proposed deliverables of the outreach activity.

(iv) Designates resources and identifies responsible entities for performing work.

(b) *Budget Justification.* (5 points) Your proposed budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the outreach project management plan and intended use of program funds. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Form HUD-424-CB) and all major tasks, for yourself, subrecipients (grassroots organizations, including faith-based, and other community-based non-profit organizations), partners, major subcontractors, joint venture participants, or others contributing resources to the project, especially those proposed to receive greater than 10 percent of the federal budget request. Describe clearly and in detail your budgeted costs for each required program element (major task) included in your overall plan.

d. *Rating Factor 4: Leveraging Resources (10 Points).* This factor addresses your ability to secure other community and/or private sector resources (such as financing, supplies, or services) that can be combined with HUD's resources to achieve project purposes. These community resources may be contributions from organizations such as the applicant, subrecipients, partners, or other organizations not directly involved in the project.

(1) In evaluating this factor, HUD will consider the extent to which you have developed partnerships to secure additional resources to increase the effectiveness of your proposed project. Describe how other organizations will participate in or support your project. Resources may include funding or in-kind contributions (such as labor, fringe benefits, services, supplies, or equipment) budgeted for your proposed project. Resources may be provided by state, Tribal, and local governmental entities, public or private organizations, or other partners.

(2) Each source of contributions (financial or in-kind) must be supported by a letter of commitment from the contributing entity, whether the applicant, a partner organization, or a public or private source. The letter must describe the contributed resources that will be used in your project and the dollar value of that contribution. Staff in-kind contributions should be given a market-based monetary value. If you fail to provide letters of commitment with specific details including the amount of the actual contributions, you will not get points for this factor. Each letter of commitment, memorandum of understanding, or agreement to participate shall include the organization's name and the proposed level of commitment and responsibilities as they relate to the proposed project. The commitment must be signed by an official legally able to make commitments on behalf of the organization. See the General Section for instructions on how to submit third party documents using the electronic submission process. Letters of support (letters that indicate support but do not specify a monetary commitment to the project) will not be considered in the scoring of this Rating Factor.

Include information to address the following elements:

(a) The extent to which you have coordinated your activities with other known organizations that are not directly participating in your proposed work activities, but with which you share common goals and objectives.

e. *Rating Factor 5: Achieving Results and Program Evaluation (15 points).*



This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their application and assessing their performance to ensure performance goals are met. Achieving results means the applicant has clearly identified the benefits, or outcomes of your program. Outcomes are ultimate goals; for this lead outreach grant program, the major outcome is increasing the number of low-income housing units that house young children enrolled in lead hazard treatment programs as a result of the grant activity. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that the applicant identifies program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your Evaluation Plan should identify what you are going to measure, how you are going to measure it, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes.

This rating factor reflects HUD's goal to embrace high standards of ethics, management, and accountability. In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program.

In your response to this Rating Factor you are to discuss the performance goals for your project and identify specific outcome measures. You are also to describe how the outcome information will be obtained, documented, and reported. You must complete and return the Logic Model Form, HUD 90610, included in the General Section, showing your proposed project long-term, mid-term, short-term, and final results, and how they support HUD's departmental goals and objectives. Information about developing a Logic Model is available at: [www.hud.gov](http://www.hud.gov).

In evaluating this factor, HUD will consider how you have related your needs statement and your proposed activities, with clearly defined objectives, outputs and outcomes.

f. *Bonus Points for Federally Designated Zones and Communities.* (2 points) This Section of the NOFA provides for the award of two bonus points for eligible activities/projects that the applicant proposes to be located in federally designated Empowerment Zones (EZs), Renewal Communities (RCs), or Enterprise Communities, designated by USDA in round II (EC-

IIs). A list of RCs, EZs, and EC-IIs is available from HUD's Web site at: <http://www.hud.gov>. See also the General Section.

#### B. *Reviews and Selection Process*

##### 1. Rating and Ranking

Awards will be made in rank order for Lead Outreach applications.

##### 2. Partial Funding

In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award. Please see the General Section for a discussion of adjustments to funding that may be made by HUD during the selection process.

##### 3. Remaining Funds

See the General Section for HUD's procedures if funds remain after all selections have been made.

##### 4. Minimum Points for Award

Your application must receive a total score of at least 75 points to be considered for funding. Applications will not be rated or ranked if they do not meet the threshold requirements of the General Section.

#### C. *Anticipated Announcement and Award Dates*

HUD anticipates announcing awards under this program on or about September 30, 2005.

### VI. **Award Administration Information**

#### A. *Award Notices*

##### 1. Notice of Award

Applicants who have been selected for award will be notified by letter from the Grant Officer. The letter will state the program for which the application has been selected, the amount the grantee is eligible to receive, and the name of the Government Technical Representative (GTR). This letter is not an authorization to begin work or incur costs under the grant.

##### 2. Negotiations

HUD may require that selected applicants participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may

offer an award, and proceed with negotiations with the next highest-ranking applicant. If you accept the terms and conditions of the grant, you must return your signed grant agreement by the date specified during negotiation.

##### 3. LOCCS Payment System

After receiving the letter, additional instructions on how to have the grant account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will also be provided.

##### 4. Start of Work

All awardees are expected to commence activity immediately upon completion of budget and work plan negotiations, and execution of the grant agreement.

##### 5. Applicant Debriefing

See the General Section for information regarding applicant debriefing.

#### B. *Administrative and National Policy Requirements*

##### 1. Environmental Review

In accordance with 24 CFR 50.19(b)(2), (b)(3), and (b)(9) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

##### 2. HUD Reform Act of 1989

Applicants must comply with the requirements for funding competitions established by the HUD Reform Act of 1989 (42 U.S.C. 3531 *et seq.*) as defined in the General Section.

##### 3. Audit Requirements

Any grant recipient that expends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR parts 84 and 85 in accordance with OMB Circular A-133. In accordance with OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations), grantees will have to submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, at the address obtained from their Web site. The SF-SAC can be downloaded at: <http://harvester.census.gov/sac/>.



#### 4. Corrections to Deficient Applications

See the General Section for information about corrections to deficient applications.

#### 5. Timely Hiring of Staff

HUD reserves the right to terminate grant awards made to applicants that fail to timely hire (within 90 days of award) staff to fill key positions identified in the applicant's proposal as vacant.

#### 6. Procurement of Recovered Materials

See the General Section for information concerning this requirement.

#### 7. Privacy and Disclosure

All test results in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR Part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any

personal information that could identify any child affected.

#### 8. Conducting Business in Accordance with HUD Core Values and Ethical Standards

Refer to the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

#### C. Reporting

The following items are Post Award Reporting Requirements.

##### 1. Final Budget and Work Plan

Final budget and work plans are due 60 days after the effective date of the grant (start date).

##### 2. Progress Reporting

Progress reporting is done on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance at: <http://www.hud.gov/offices/lead>.

##### 3. Final Report

An overall final grant report, due at the completion of the grant, will detail activities (e.g., the number of low-income housing units enrolled in lead hazard treatment programs as a result of activities performed under this grant, number and type of materials produced, activities conducted, evaluation of the various outreach and educational methods used, findings, and recommended future actions at the conclusion of grant activities). The final

report shall include final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model (HUD-96010) approved and incorporated into your award agreement.

#### VII. Agency Contacts

For programmatic questions, you may contact Jonnette Hawkins, Office of Healthy Homes and Lead Hazard Control; telephone (202) 755-1785, extension 126 (this is not a toll-free number) or via e-mail at [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov). For grants administrative questions, you may contact Ms. Curtissa L. Coleman, Office of Healthy Homes and Lead Hazard Control; telephone (202) 755-1785, extension 119 (this is not a toll-free number) or via e-mail at [Curtissa\\_L.\\_Coleman@hud.gov](mailto:Curtissa_L._Coleman@hud.gov). If neither of these individuals is available, you may contact the Office's general Lead Regulations hotline, at (202) 755-1785, extension 104, for which your call will be forwarded in one business day for subsequent response by the appropriate staff. If you are a hearing- or speech-impaired person, you may reach the above telephone numbers through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

#### VIII. Other Information

Other Office of Healthy Homes and Lead Hazard Control Information: For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
(expires 4/30/2007)

**Factor 1 Capacity Of The Applicant And Relevant Organizational Experience**  
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.

A. Key Personnel			
Name and Position Title (please include the organization position titles in addition to those shown). Resumes or position descriptions are to be included in appendix.	Percent of Time Proposed for this Grant (HUD Funded or In-Kind)	Percent of Time to be spent on other LHC HUD grants	Percent of Time to be spent on other Activities
Note: These three columns should total 100%			
<b>A.1 Overall Project Director</b>			
Name:			
Organization Position Title:			
Phone Number:	Fax Number:		
Email:			
<b>A.2 Day-to-Day Program Manager</b> <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:	Fax Number:		
Email:			
<b>A.3 Other</b> <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:	Fax Number:		
Email:			

B. Partners			
Name of the organization or entity that partners or will partner with applicant and if partner will be subgrantee/subrecipient	Description of Commitment and Status	Proposed Activities To Be Conducted by Partner	Amount of HUD Grant Funds (If Subgrant)
<b>B.1 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.2 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.3 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.4 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.5 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.6 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.7 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			

**Definitions:**  
**Partner Name:** Name of organization or entity that will partner with applicant in conducting program activities.  
**Type of Organization or Program:** Health, Housing, Environmental, Community Development Department, Planning Department, Grassroots Faith-Based or Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institution, Job Training and Economic Opportunity Organization, etc.  
**Description of Commitment:** Memorandum of Understanding/Agreement, Contract, Subgrantees, Letter, etc.  
**Proposed Activities to be Conducted by Partner:** The type of activities that will be conducted by the grant partner in support of program efforts (i.e. rehabilitation, testing, training, education and outreach, specification writing, relocation, etc.)  
**Amount of HUD Grant Funds if Subgrantee/Subrecipient:** The dollar amount subgrantee/subrecipient will be receiving for the services they will provide.

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
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<b>Factor 2</b>						<b>Need/Extent Of The Problem</b>									
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.															
<b>Name of Jurisdiction</b>						<b>Name of Target Area (s)</b>									
<b>A. Documented Blood Lead Level (BLL)</b>															
A.1 Total Number of Children <6 Years (72 months) of Age in Jurisdiction: % of Total Population:						A.2 Total Number of Children <6 Years (72 months) of Age in Target Area: % of Total Population:									
Blood Lead Level		Number of Children Under 6 Years		% Of Total		Blood Lead Level		Number of Children Under 6 Years		% Of Total					
< 10 µg/dL						< 10 µg/dL									
≥10 µg/dL and ≤19 µg/dL						≥10 µg/dL and ≤19 µg/dL									
≥ 20 µg/dL						≥ 20 µg/dL									
Total Tested				100%		Total Tested				100%					
Source and Date Documented (Indicate Period Covered)*						Source and Date Documented (Indicate Period Covered)*									
*Attach documentation in appendix - State or local health department may be a good source for this information															
<b>B. Housing Age and Tenure</b>															
B.1 Jurisdiction						B.2 Target Area (s)									
Year Built	Number	% of Total	Owner	Renter	Year Built	Number	% of Total	Owner	Renter	Year Built	Number	% of Total	Owner	Renter	
Pre-1940					Pre-1940					Pre-1940					
1940-1949					1940-1949					1940-1949					
1950-1959					1950-1959					1950-1959					
1960-1969					1960-1969					1960-1969					
1970-1977					1970-1977					1970-1977					
1979 or newer					1979 or newer					1979 or newer					
Total					Total					Total					
Source: 2000 Census - <a href="http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en">http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en</a>															
Instructions:															
<ol style="list-style-type: none"> <li>1. Select "Census 2000 Summary File 3 (SF3) - Sample Data"</li> <li>2. Click on "Detailed Tables" on the side menu</li> <li>3. On the next page, select "Place" from the pull-down menu next to "Select a geographic type"</li> <li>4. Select the "State" from the pull-down menu next to "Select a State"</li> <li>5. Select one or more "cities" of interest from the selected state and click "Add"</li> <li>6. Click the button that says "Next"</li> <li>7. On the next page, select "H36. Tenure by Year Structure Built" from the pull-down menu, then "Select one or more tables" and click "Add"</li> <li>8. Click "Show Tables"</li> </ol>															
*Attach copy of the downloaded information in appendix.															
<b>C. Very Low and Low-Income Population - As Determined by HUD</b>															
C.1 Jurisdiction						C.2 Target Area (s)									
Number of Families ≤50% of AMI		%		Total Number of Families <80% of AMI*		%		Number of Families ≤50% of AMI		%		Total Number of Families <80% of AMI		%	
Source: Income Limits As Determined by HUD- <a href="http://www.huduser.org/datasets/il.html">http://www.huduser.org/datasets/il.html</a>															
Instructions:															
<ol style="list-style-type: none"> <li>1. Select the appropriate State</li> <li>2. Click on the link that says "Open PDF file"</li> <li>3. Search for appropriate location</li> </ol>															
*Attach copy of the downloaded information in appendix															

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
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**Factor 3 Soundness Of Approach**

A. Proposed Lead Hazard Control Activities		Total Units To Be Completed and Cleared					
Activity	Who Will Perform This Activity (Name or Agency/Organization)	Number of Units	Housing Tenure			Estimated Timeline to Complete Work	Estimated Per Unit Cost
			Owner Occupied	Rental	Vacant		
Identification, Selection, Prioritization of Units (Referrals)*							
Intake/Enrollment							N/A
Financing (Grant, Loan, Other)							N/A
Pre-Hazard Control Blood Lead Testing			N/A	N/A	N/A		
Paint Inspections/Risk Assessments							
Laboratory Analysis of Samples			N/A	N/A	N/A		
Work Specifications			N/A	N/A	N/A		
Bid Process/ Contractor Selection			N/A	N/A	N/A		
Temporary Relocation							
Interim Controls							
Hazard Abatement							
Quality Control-Contractor Performance			N/A	N/A	N/A		N/A
Clearance Evaluations			N/A	N/A	N/A		
Maintenance Plan - Unit Follow Up			N/A	N/A	N/A		N/A
Community Outreach/ Education		N/A	N/A	N/A	N/A		N/A
Training		N/A	N/A	N/A	N/A		N/A

**Activity:**  
\*Identification, Selection, Prioritization of Units (Referrals) This should be a higher number than the number of units that are projected to be completed and cleared by the program  
**Who Will Perform This Activity:** Applicant Agency, Partner Organization, Contractor, Grassroots Faith-Based or Community-Based Non-Profit Organization.  
**Number of Units:** Number of units to receive program services.  
**Housing Tenure:** Number of units to receive program services according to housing tenure status (i.e. owner occupied, renter occupied, vacant)  
**Estimated Time to Complete Work for each unit:** Hours, days, weeks required to complete an activity  
**Estimated Unit Cost:** Self explanatory

WORK PLAN DEVELOPMENT WORKSHEET  
WITH MINIMUM BENCHMARK PERFORMANCE STANDARDS  
FOR 36-MONTH PERIOD OF PERFORMANCE

Healthy Homes and Lead Hazard Program												OMB Approval Number 2539-0015 (exp 1/31/2006)			
Grant Number:	Grantee Organization:											Period of Performance: Feb 1, 2003 - January 31, 2006			
ACTIVITY	Q1 2003	Q2 2003	Q3 2003	Q4 2003	Q5 2004	Q6 2004	Q7 2004	Q8 2004	*Q9 2005	Q10 2005	Q11 2005	Q12 2005	Q13 2006	Q14 2006	
	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	
Applicant Capacity (0-120 days)															
Staff Hired	→														
Approved Environmental Review and Release of Funds	→														
Written Policies and Procedures	→														
Lead Hazard Control Implementation Units in Grant Agreement = #															
Paint Inspections/Risk Assessments:															
Performance Standard		5%	15%	30%	45%	55%	65%	85%	95%	100%					
Work Plan Milestone															
% Planned															
Actual # Completed															
Actual % Completed															
** Units In Progress															
Units Completed and Cleared:															
Performance Standard			2%	5%	15%	30%	45%	55%	* 85%	85%	95%	100%			
Work Plan Milestone															
% Planned															
Actual # Completed															
Actual % Completed															
Cumulative LOCCS DRAWDOWNS Grant Award Amount = \$															
Performance Standard				5%	10%	15%	20%	30%	* 45%	60%	80%	95%	100%		
LOCCS Drawdown Work Plan Milestone															
% Planned															
Actual LOCCS Drawdown															
Actual Cumulative LOCCS Drawdown %															
Community Outreach / Education / Training															
Community Outreach and Education Work Plan Milestone															
Community Outreach and Education Milestone Achieved															
Skills Training Work Plan Milestone															
Skills Training Milestone Achieved															
Performance Measured Against Approved Work Plan Milestones													100%	→	
Close-Out Feb 1 - Apr 30, 2006														→	
* Renewal Eligibility Milestone															
** No bench mark standard															

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
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**Factor 4 Leveraging Resources**

Name Of The Organization Or Entity That Will Contribute Match Or Leveraged Funds And If The Organization Will Be a Subgrantee/Subrecipient	Work To Be Accomplished In Support Of The Program.	Value Of In-Kind Or Cash Match Contribution*	Additional Leveraged Funds Contribution	Total Of Match And Leveraged Contributions
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				
<b>Total Amount</b>		\$	\$	\$

**Name of the organization or entity that will contribute match or leveraged funds and if they are to be a subgrantee/subrecipient:** Self explanatory.

**Work to be accomplished in support of the program:** The type of activities that will be accomplished in support of the program (i.e. outreach, training, risk Assessments/paint inspections, relocation, etc.)

**Value of In-kind or Cash Match Contribution:** As required by statute or appropriation.

**Additional Leveraged Funds Contribution:** Additional funds above the match contribution required by statute or appropriation

**Total of Match and Leveraged Contributions:** The total of an applicant's In-kind or Cash Match Contribution and any additional Leveraged Funds Contribution

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**LEAD HAZARD REDUCTION  
DEMONSTRATION GRANT PROGRAM**

Billing Code 4210-32-C

## Lead Hazard Reduction Demonstration Grant Program

### Overview Information:

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. *Funding Opportunity Title:* Lead Hazard Reduction Demonstration Grant Program.

C. *Announcement Type:* Initial announcement.

D. *Funding Opportunity Number:* The funding opportunity number for this program is FR-4950-N-30; The OMB Approval Number for this program is 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s):* 14.905; Lead Hazard Reduction Demonstration Grant Program.

F. *Dates:* The application submission date is June 14, 2005. For 2005, HUD is accepting electronic applications utilizing Grants.gov. See the General Section for specific instructions for application submissions procedures and timely filing.

### G. Additional Overview Content Information:

1. *Purpose of the Program.* The purpose of the Lead Hazard Reduction Demonstration Grant Program is to assist areas with the highest lead paint abatement needs in undertaking programs for abatement, inspections, risk assessments, temporary relocations, and interim control of lead-based paint hazards in eligible privately owned, single family housing units, and multifamily buildings that are occupied by low-income families.

2. *Available Funds.* Approximately \$49.4 million.

3. *Eligible Applicants.* To be eligible to apply for funding under this program, the applicant must be a city, county, or similar unit of local government. States and Indian Tribes may apply on behalf of units of local government within their jurisdiction, if the local government designates the state or the Indian Tribe as their applicant. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a lead applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745 in effect on the application deadline date to be eligible to apply for Lead Hazard Reduction Demonstration Grant funds.

4. *Match.* A statutory minimum of 25 percent match is required.

### Full Text of Announcement:

## I. Funding Opportunity Description

A. *Program Description.* The Lead Hazard Reduction Demonstration Grant Program is authorized by Section 1011 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102-550). HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub. L. 108-477; approved December 8, 2004). The Lead Hazard Reduction Demonstration Grant Program assists States, Native American Tribes and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately owned rental and owner-occupied housing units. Refer to Section IV.E.3 of this NOFA for instructions on downloading the table, "Eligibility of HUD Assisted Housing" that lists the HUD-associated housing programs that meet the definition of eligible housing under this program.

1. Because lead-based paint is a national problem, these funds will be awarded to programs which:

- a. Maximize the combination of children protected from lead poisoning and housing units where lead-hazards are controlled;
- b. Target lead hazard control efforts at housing in which children are at greatest risk of lead poisoning;
- c. Stimulate cost-effective approaches that can be replicated;
- d. Emphasize lower cost methods of hazard control;
- e. Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and
- f. Affirmatively further fair housing and environmental justice.

2. The objectives of this program include:

- a. Implementation of a national strategy, as defined in Title X of the Housing and Community Development Act of 1992 (42 U.S.C. 4851 *et seq.*) (Title X), to build the community's capacity necessary to eliminate lead-based paint hazards in housing, as widely and quickly as possible by establishing a workable framework for lead-based paint hazard identification and control;
- b. Mobilization of public and private resources, involving cooperation among all levels of government, the private sector, including grassroots community-

based nonprofit organizations, including faith-based organizations or other community-based organizations including fair housing organizations and advocates for Fair Housing Act protected classes to develop cost-effective methods for identifying and controlling lead-based paint hazards;

c. Development of comprehensive community approaches which result in integration of all community resources (governmental, grassroots community-based nonprofit organizations, including faith-based organizations or other community-based organizations, and private businesses) to address lead hazards in housing;

d. Integration of lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs that will continue after the grant period ends;

e. Establishment of a public registry (listing) of lead-safe housing or inclusion of the lead-safe status of properties in another publicly accessible address-based property information system and affirmatively marketed to families with young children; and

f. To the greatest extent feasible, promotion of job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994).

3. Changes in FY 2005 Competitive NOFA:

a. Applicants must have at least 7,000 pre-1940 occupied rental housing units in order to apply under this NOFA. The threshold requirement was increased from 3200 under the FY2003 Lead Hazard Reduction Demonstration Grant Program NOFA and reflects the intent of Congress to provide funds to areas with the greatest need.

b. Engineering and architectural activities that are required for, and in direct support of, lead hazard control work are direct costs that can be reimbursed from the 90 percent of the funds available that are to be used exclusively for lead-based paint abatement, interim controls, combined lead-based paint inspection and risk assessment, clearance testing, and relocation. These activities were eligible support costs that could be reimbursed through matching, leveraged or other available funds in FY 2004.

c. The purchase or lease of a maximum of two X-ray fluorescence analyzers for use by this program, if not already available, can be reimbursed from the 90 percent of the funds available that are to be used exclusively for lead-based paint abatement, interim



controls, combined lead-based paint inspection and risk assessment, clearance testing, and relocation. These activities were eligible support costs that could be reimbursed through matching, leveraged or other available funds in FY 2004.

d. For 2005, HUD is accepting electronic applications utilizing Grants.gov. See the General Section for specific instructions for application submissions procedures and timely filing. Applicants are to complete and submit the Rating Factor Tables included in Section IV of this NOFA.

## II. Award Information

**Funding Available.** Approximately \$49.4 million in Fiscal Year 2005 funds is available. The minimum award amount shall be \$2 million per grant. The maximum award amount shall be \$4 million per grant. Approximately 13 to approximately 25 grants will be awarded. The period of performance is 36 months. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.30(d)(2) and the Office of Healthy Homes and Lead Hazard Control (OHHLHC) Program Guide. Such extensions, when granted, are one time only, and for no longer than a period of one year. Applicants are encouraged to plan studies with shorter performance periods than 36 months. When developing your schedule you should consider the possibility that issues may arise that could cause delays.

## III. Eligibility Information

See the General Section for additional eligibility requirements applicable to HUD Programs.

### A. Eligible Applicants

1. To be eligible to apply for funding under this program, the applicant must be a city, county, or similar unit of local government. States and Indian Tribes may apply on behalf of units of local government within their jurisdiction, if the local government designates the state or the Indian Tribe as their applicant. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a lead applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745 in effect on

the application deadline date to be eligible to apply for Lead Hazard Reduction Demonstration Grant funds.

2. Eligible applicants may submit only one application. In the event that multiple applications are submitted, this will be considered a technical deficiency and the application review process will be delayed until you notify HUD in writing which application should be reviewed. Your other applications will be returned without being rated or ranked.

If you or any member of your consortium also applied for funding under the fiscal year 2005 Lead Hazard Control Grant Program Notice of Funding Availability or received funds under the fiscal year 2004 Lead Hazard Reduction Demonstration NOFA, you must discuss how both programs will operate concurrently and how program activities will be combined to achieve maximum benefits. If you achieve a score of 75 or higher in this competition and in the FY 2005 Lead Hazard Control Grant Program competition and fall within the fundable range in both competitions, prior to selection, HUD will evaluate your responses to Rating Factor 1—Capacity of the Applicant and Relevant Organization Experience and Rating Factor 3—Soundness of Approach (Work Plan/Budget), and determine whether you have the ability and capacity to successfully implement both grant programs concurrently. If you cannot demonstrate to HUD that you have the capacity to successfully implement both grant programs, HUD reserves the right to fund only one application.

The applications for this NOFA can be found at <http://www.grants.gov>. The application is an electronics application. You must register at <http://www.grants.gov> to be able to submit your application. The General Section contains information submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand HUD's new electronic application process.

### B. Cost Sharing or Matching

**Matching Contribution.** You must provide a matching contribution of at least 25% of the requested grant sum. This may be in the form of cash, including private sector funding, or in-kind (non-cash) contributions or a combination of these sources. With the exception of Community Development Block Grant (CDBG) funds, Federal Revenue Sharing programs, or other programs which by statute allow their funds to be considered local funds and therefore eligible to be used as matching

funds, Federal funds may not be used to satisfy the statutorily required 25 percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement. The signature of the authorized official on the Form SF-424 commits matching or other contributed resources of the applicant organization. A separate letter of commitment for the match from the applicant organization is not required; however, the applicant must submit a letter of commitment from each organization other than itself that is providing a match, whether cash or in-kind. The letter must describe the contributed resources that you will use in the program and their designated purpose.

### C. Other

1. **Threshold Requirements.** As an eligible applicant, you must also meet all of the threshold requirements in Section III. C of the General Section as well as the specific threshold requirements listed in this subsection. Applications will not be funded if they do not meet the threshold requirements.

a. Applicants must provide a minimum of 25% of the grant funds requested as a matching contribution.

b. Applicants must have at least 7,000 pre-1940 occupied rental housing units in order to apply under this NOFA. Failure to provide the number of pre-1940 occupied rental units in the Factor 2 Table will result in the application not being rated or ranked.

c. Provide the actual number of children with documented elevated blood lead levels residing within the applicant's jurisdiction(s) for the most recent complete calendar year and identify the source of the data. Failure to provide these data will result in the application not being rated or ranked.

d. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745 in effect on the application deadline date to be eligible to apply for Lead Hazard Reduction Demonstration Grant funds. The approval date in the **Federal Register** notice published by the EPA will be used in determining the Training and Certification status of the applicant state or Indian (Native American) Tribal government. If you do not have an EPA authorized program, the application will not be rated and ranked.

2. **Program Requirements.**

a. **Environmental Requirements.** Recipients of lead-based paint hazard reduction demonstration grants must comply with 24 CFR part 58,

“Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities.” Recipients and other participants in the project are prohibited from committing or expending HUD and non-HUD funds on the project until HUD approves the recipient’s Request for the Release of Funds (form HUD 7015.15) or the recipient has determined that the activity is either Categorically Excluded, not subject to the related Federal laws and authorities pursuant to 24 CFR 58.35(b) or exempt pursuant to 24 CFR 58.34. For part 58 procedures, see <http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm>. For assistance, contact Karen Choi, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (213) 534-2458 (this is not a toll free-number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Recipients of a grant under this funded program will be given additional guidance in these responsibilities.

b. *Executive Order 13202*. Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, “Preservation of Open Competition and Government Neutrality Towards Government Contractors’ Labor Relations on Federal and Federally-Funded Construction Projects,” is a condition of receipt of assistance under this NOFA.

c. Lead Hazard Control work must be conducted in compliance with HUD’s Lead-Safe Housing Regulation, 24 CFR part 35.

d. Prohibited Practices. You must not engage in the following prohibited practices:

- (1) Open flame burning or torching;
- (2) Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
- (3) Uncontained hydro blasting or high-pressure wash;
- (4) Abrasive blasting or sandblasting without HEPA exhaust control;
- (5) Heat guns operating above 1,100 degrees Fahrenheit;
- (6) Chemical paint strippers containing methylene chloride or other volatile hazardous chemicals in a poorly ventilated space; and
- (7) Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

e. Written Policies and Procedures. You must have clearly established written policies and procedures for eligibility, program marketing, unit selection, expediting work on homes occupied by children with elevated blood lead levels, and all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, relocation, and clearance testing. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

f. Continued Availability of Lead-Safe Housing to Low-Income Families. Units in which lead hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income families for at least three years as required by Title X (Section 1011). You must maintain a publicly available registry (listing) of units in which lead hazards have been controlled and ensure that these units are affirmatively marketed to agencies and families as suitable housing for families with children under six years of age. The grantee must also notify the owner of the information that is collected so that the owner will comply with disclosure requirements under 24 CFR part 35, subpart A.

g. Testing. In developing your application budget, include costs for lead paint inspection, risk assessment, and clearance testing for each dwelling that will receive lead hazard control, as follows:

(1) General. All testing and sampling shall conform to the current HUD Guidelines and Federal, state, or tribal regulations developed as part of the appropriate contractor certification program whichever is more stringent. It is particularly important to provide this full cycle of testing for lead hazard control, including interim controls. Testing must be conducted according to the HUD Guidelines, located at <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>, and the EPA lead hazard standards rule at 40 CFR part 745. All test results must be provided to the owner in a timely fashion, together with a notice describing the owner’s legal duty to disclose the results to tenants and buyers under 24 CFR part 35, subpart A.

(a) Lead-Based Paint and Lead-Based Paint Hazard Identification. A combined lead-based paint inspection and risk assessment is required. You should ensure that lead paint inspection and risk assessment reports are conducted in accordance with established protocols and sufficient to support hazard control decisions.

(b) Clearance Testing. Clearance testing shall be completed in accordance with Chapter 15 of the HUD Guidelines and the EPA lead hazards standards rule at 40 CFR part 745 for abatement projects and the Lead-Safe Housing Regulation (24 CFR part 35) for lead hazard control activities or other abatement. In the case of multifamily housing for which random sampling of units for clearance is done after lead hazard control work, all units represented by the randomly selected units successfully cleared shall be credited toward the number of units controlled under this grant. The clearance standards shall be the more restrictive of those set by the local jurisdiction or by EPA or HUD.

(c) Blood lead testing. Before lead hazard control work begins, each occupant who is under six years of age should be tested for lead poisoning within the six months preceding the housing intervention. Any child with an elevated blood lead level must be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease Control and Prevention (CDC) publications *Preventing Lead Poisoning in Young Children* (1991), and *Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials* (1997).

h. Cooperation with Related Research and Evaluation. (1) You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or other government agency associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators, or HUD. This may also include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in your original proposal. Participant data shall be subject to Privacy Act protection.

(2) If your program includes conducting research involving human subjects in a manner which requires Institutional Review Board (IRB) approval and periodic monitoring, address how you will obtain such approval and your monitoring plan (before you can receive funds from HUD for activities that require IRB approval, you must provide an assurance that your study has been reviewed and approved by an IRB and evidence of your organization’s institutional assurance). Describe how you will provide informed consent (e.g., from the subjects, their parents, or their guardians, as applicable) to help ensure their understanding of, and consent to,

the elements of informed consent, such as the purposes, benefits, and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of 'plain language' forms, flyers, and verbal scripts, and how you plan to work with families with limited English proficiency or primary languages other than English, and with families which include persons with disabilities.

i. Data collection. You will be required to collect and maintain the data necessary to document the various lead hazard control methods used and the cost of these methods.

j. Section 3 Employment Opportunities. Please refer to Section III.C. of the General Section. The requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) are applicable to this program. In your application you should demonstrate how you will ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very-low income persons, particularly those who are recipients of government assistance for housing, and business concerns that provide economic opportunities to low- and very low-income persons. If you are funded, you will be required to submit Form HUD-60002 annually.

k. Replacing Existing Resources. Funds received under this grant program shall not be used to replace existing community resources dedicated to any ongoing project.

l. Conducting Business in Accordance with HUD Core Values and Ethical Standards Refer to the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

m. Procurement of Recovered Materials. See the General Section for information concerning this requirement.

3. DUNS Requirement. Refer to the General Section for information regarding the DUNS requirement. You will need to obtain a DUNS number to receive an award from HUD.

## V. Application and Submission Information

### A. Web Address To Access an Application Package

Copies of this published NOFA and application forms for this program may be downloaded from the Grants.gov Web site at <http://www.grants.gov>. If you have difficulty accessing the information you may call the Grants.gov help line toll-free at (800) 518-GRANTS

or e-mailing [support@grants.gov](mailto:support@grants.gov). Help line customer representatives will assist you in accessing the information. For further general information, you can contact the NOFA Information Center at (800) HUD-8929. If you are hearing impaired, you may reach the numbers above through (800) HUD-2209 (TTY) (these are toll-free numbers).

### B. Content and Form of Application Submission

1. The application must be submitted no later than June 14, 2005. See the General Section for specific instructions for application submissions procedures and timely filing.

#### a. Applicant Information.

(1) Application Format. The application narrative response to the Rating Factors from new and eligible prior grantees is limited to a maximum of 15 pages (excluding attachments and worksheets) of size 8½" x 11" using a 12-point font with not less than ¾" margins on all sides. Attachments should be referenced and discussed in the narrative response. Materials provided in the attachments should directly apply to the specific rating factor narrative. Information that is not referenced or does not directly apply to a specific narrative response will not be rated or ranked by reviewer.

(The forms required for application submission and instructions can be found in the application at <http://www.grants.gov> and in the General Section.)

(2) Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. You are not required to submit this checklist with your application.

### Checklist and Submission Table of Contents

#### Lead Hazard Reduction Demonstration Grant Program

- Applicant Abstract (limited to a maximum of 2 pages).
- Rating Factor Response (limited to a maximum of 15 pages).

1. Capacity of the Applicant and Relevant Organizational Experience—Form HUD-96012.

2. Needs/Extent of the Problem—Form HUD-96013.

3. Soundness of Approach—Form HUD-96014; and Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008.

4. Leveraging Resources—Form HUD-96015.

5. Achieving Results and Program Evaluation—Form HUD-96010 Logic Model.

• Required materials in response to rating factors (does not count towards 15-page limit).

Form SF-424.

Form SF-424 Supplemental.

Form HUD-424CB.

Form HUD-424CBW, Total Budget (Federal Share and Matching) with Supporting Narrative and Cost Justification.

Form HUD-27300 Questionnaire for HUD's Initiative on Removal of Regulatory Barriers, including any documentation required (note that currently validated Web site (URL) references to any such documents may be provided in place of providing copies of them in the application).

Form HUD-2880 Disclosure and Update Report.

Form HUD-2990 Certification of Consistency with the RC/EZ/EC-II Strategic Plan.

Form HUD-2991 Certification of Consistency with the Consolidated Plan.

Form SF-LLL Disclosure of Lobbying Activities Required (if required).

Form HUD-96011, Facsimile Transmittal to be used for faxing third party letters and other documents for your electronic application in accordance with the instructions in the General Section.

HUD's Waiver from submitting electronically (if applicable).

Form HUD-2993 Acknowledgment of Application Receipt (if waiver was granted).

Form HUD-2994 Client Comments and Suggestions (completion of this form is optional).

### Threshold Requirements

Copy of Lead-Based Paint Element in Consolidated Plan.

25 Percent Matching Contribution, including any documentation required.

• Optional material in support of the Rating Factors (20 page limit).

(3) The following are instructions on the items to be submitted as part of the application. See the General Section for instructions for submitting third party documents and electronic files:

(a) Abstract Summary. An abstract describing the goals and objectives of your proposed program (2-page limit, single-spaced, 12-point standard font, ¾-inch margins) must be included in the proposal. The abstract should include the title of your proposed project, the name, mailing address and telephone number of the principal contact person for the primary entity and the same information for subcontractors, partners, etc.

(b) Budget. A detailed budget (total budget is the Federal share and matching contribution (Form HUD

424CBW) with supporting narrative and cost justifications for all budget categories of your grant request. You must provide a separate estimate for the overall grant management element (Administrative Costs), which is more fully defined in Section IV.E.2. of this NOFA. The budget shall include not more than 10% for administrative costs and not less than 90% for direct project elements. Applicants are to identify the direct lead hazard control costs that meet this requirement. A detailed budget must also be provided for any subcontractors, subgrantees, or subrecipients receiving greater than 10 percent of the Federal budget request. In the event of a discrepancy between grant amounts requested in various sections of the application, the amount you indicate on the SF-424 will govern as the correct value.

(c) Matching Contribution. An itemized breakout (using the HUD 424 CBW) of your required matching contribution, including:

(i) Values placed on donated in-kind services;

(ii) Letters or other evidence of commitment from donors; and

(iii) The amounts and sources of contributed resources.

(d) Application Forms. See unit IV.B.1.a.(2), above, for the list of application forms.

(e) Grant Partners. Contracts, Memoranda of Understanding or Agreement, letters of commitment or other documentation describing the proposed roles of agencies, local broad-based task forces, participating grassroots community-based nonprofit organizations, including faith-based organizations and other community or neighborhood-based groups or organizations, local businesses, and others working with the program.

(f) Consolidated Plan Element. (This Consolidated Plan requirement does not apply to Native American Tribes.) If your jurisdiction has a current HUD-approved Consolidated Plan, you must submit, as an attachment (or a currently validated Web site (URL) reference, instead), a copy of the lead-based paint element included in the approved Consolidated Plan. You should include the discussion of any lead-based paint issues in your jurisdiction's Analysis of Impediments (AI) to fair housing, particularly as it addresses your target areas. If you (the applicant agency) also submitted an application as an eligible applicant for the fiscal year 2005 Lead Hazard Control Grant Program NOFA you may refer to this Consolidated Plan and AI material in your other application for proof of documentation, and you are not required to resubmit

this material for this NOFA. If your jurisdiction does not have a currently approved Consolidated Plan, but it is otherwise eligible for this grant program, you must include your jurisdiction's abbreviated Consolidated Plan, which includes a lead-based paint hazard control strategy developed in accordance with 24 CFR 91.235.

(g) Rating Factor Response. You should include a narrative statement addressing the rating factors for award. Number the pages of your narrative statement and include a header and a footer that provides the name of the applicant and the name of the program to which you are applying. Narrative statements provided as part of the application should be individually labeled to identify the rating factor to which the narrative is responding (e.g. Factor 1, Capacity, etc.). The overall response to the rating factors must not exceed a total of 15 pages including all rating factors (single-sided, single-spaced, 12 point standard font, 3/4-inch margins). Any pages in excess of this limit will not be read.

(h) Objectives and Milestones Specific and measurable performance objectives and milestones to be developed in support of the work plan narrative include:

(1) The overall objectives for lead hazard control activities including the total number of lead hazard evaluations, units projected to be completed and cleared, and the expenditure of Federal grant funds (HUD Agreement HUD-1044). Quarterly performance milestones are to be developed to achieve the overall objectives for these activities.

(2) Performance benchmarks for the 36-month grants in this program that have been developed shall be used. The benchmark worksheet included in this NOFA can be downloaded from the HUD Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. Development of your work plan must include and reflect these benchmark standards.

b. Your application must contain all of the required information noted in this Program Section and the General Section. The forms required for application submission and instructions can be found in the application at <http://www.grants.gov>.

#### C. Submission Dates and Times

1. Application Due Dates: Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 p.m. eastern time on June 14, 2005. All narrative files and any scanned documents must be submitted as a zip

file, single attachment to the electronic application. Refer to the General Section for additional submission requirements including acceptable submission dates, times, methods, acceptable proof of application submission and receipt procedures, and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. on the application submission date. Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal. Applicants receiving a waiver of the electronic submission requirement must submit their application to the United States Postal Service for delivery no later than 11:59:59 p.m. eastern time on the application due date.

#### D. Intergovernmental Review

Not required.

#### E. Funding Restrictions

1. Eligible Activities. HUD is interested in promoting lead hazard control approaches that result in the reduction of elevated blood lead levels in children for the maximum number of low-income families with children under six years of age, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and replicable elsewhere. Copies of HUD's Lead-Safe Housing Regulation, and the companion publication "Interpretive Guidance: The HUD Regulation on Controlling Lead-Based Paint Hazards in Housing Receiving Federal Assistance and Federally Owned Housing Being Sold," are available from the National Lead Information Clearinghouse at 1-800-424-LEAD (this is a toll-free number). If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Copies are also available from the Office of Healthy Homes and Lead Hazard Control Web site at: <http://www.hud.gov/offices/lead>.

a. Not less than 90 percent of the funds made available shall be used exclusively for abatement and/or interim controls (with clearance testing), inspections, risk assessments, and temporary relocations. These include Direct Project Elements (1)-(5) listed below and undertaken directly or through sub-recipients:

(1) Performing dust testing, combined lead-based paint inspections and risk assessments, and engineering and

architectural activities that are required for, and in direct support of, interim control and lead hazard abatement work of eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures. The purchase or lease of a maximum of two X-ray fluorescence analyzers used by the grant program, if not already available, are eligible costs. All test results must be provided to the owner of the unit, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers.

(2) Conducting lead hazard control activities that may include any combination of the following:

(a) Interim controls of lead-based paint hazards including lead-contaminated soil in housing that must include specialized cleaning techniques to address lead dust, according to the HUD Guidelines, located at <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>.

(b) Abatement. The complete abatement of all lead-based paint hazards in a unit or structure is acceptable if it is cost-effective. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, *i.e.* drip line or foundation of the unit being treated, and children's play areas. All lead hazards identified in a housing unit enrolled in this grant program must be controlled or eliminated by any combination of these strategies.

(3) Carrying out temporary relocation of families and individuals to decent, safe and sanitary housing during the period in which hazard control is conducted and until the time the affected unit receives clearance for re-occupancy. If families or individuals are temporarily relocated in a project which utilizes Community Development Block Grant funds, the guidance and requirements of 24 CFR 570.606(b)(2)(i)(D)(1)–(3) must be met. HUD recommends you review these regulations when preparing your proposal.

(4) Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. These grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD encourages integration of this grant program with housing rehabilitation, maintenance,

weatherization, and other energy conservation activities.

(5) Conducting clearance dust-wipe testing and laboratory analysis (the laboratory must be recognized by the National Lead Laboratory Accreditation Program (NLLAP) as being capable of performing lead analyses of samples of paint, dust-wipes, and/or soil).

2. Ineligible Activities. You may not use grant funds for:

(1) Purchase of real property.

(2) Purchase or lease of equipment having a per unit cost in excess of \$5,000, except for the purchase of X-ray fluorescence analyzers.

(3) Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-federal funds used to cover these costs may be counted as part of the required matching contribution.

(4) Lead hazard control activities in publicly owned housing, or project-based Section 8 housing (this housing stock is not eligible under Section 1011 of the Lead-Based Paint Hazard Reduction Act).

(5) Activities that do not comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

(6) Hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128), as having special flood hazards unless:

(a) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59–79), or less than a year has passed since FEMA notification regarding these hazards; and

(b) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

d. Program Specific Requirements.

(1) Work Activities. All lead hazard control activities must be conducted in compliance with the applicable requirements of HUD's Lead-Safe Housing Regulation, 24 CFR part 35, and as clarified in HUD's Interpretive Guidance about the rule located at <http://www.hud.gov/offices/lead/guidelines/leadsaferule/index.cfm>. Activities must also comply with any additional requirements in effect under a state or Tribal Lead-Based Paint Training and

Certification Program that has been authorized by the EPA pursuant to 40 CFR 745.320.

(2) Direct Lead Hazard Identification and Control Activities. Not less than 90 percent of the funds made available shall be used exclusively for abatement, inspections, risk assessments, temporary relocations, and interim control of lead-based hazards.

(3) By September 30, 2006, applicants that received a Lead Hazard Reduction Demonstration grant under the FY 2005 competition are to participate in an established statewide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning as a major public health problem by 2010, or are to assist in the development of such a plan (further guidance will be provided to grantees on developing the elimination plan). New applicants are encouraged to include an outline of the steps that they will take to participate in or develop a statewide or jurisdiction-wide strategic plan. Applicants are encouraged to collaborate with Centers for Disease Control and Prevention (CDC) Childhood Lead Poisoning Prevention grantees, which are now required to develop such plans. At a minimum, the plan must include the following elements:

- (a) Mission Statement;
- (b) Purpose and Background on Lead Poisoning Prevalence;
- (c) Goals, Objectives, and Activities; and
- (d) Evaluation Plan.

2. Administrative Costs. There is a 10 percent maximum for administrative costs as specified in Section 1011(j) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102–550). Additional information about allowable administrative costs is provided below.

a. *Purpose.* The intent of this HUD grant program is to allow the Grantee to be reimbursed for the reasonable direct and indirect costs, for the overall management of the grant. In most instances the grantee, whether a State or a local government, principally serves as a conduit to pass funding to sub-grantees, which are to be responsible for conducting lead-hazard reduction work. Congress set a maximum of ten percent of the total grant sum for the grantee to perform the function of overall management of the grant program, including passing on funding to sub-grantees. The cost of that function, for the purpose of this grant, is defined as the "administrative cost" of the grant, and is limited to ten percent of the total grant amount. The balance of ninety percent or more of the total grant sum

is reserved for sub-grantees or other direct-performers of lead-hazard identification and reduction work including relocation. For purposes of the Lead-Based Paint Hazard Reduction Demonstration Grant Program, lead hazard identification and reduction includes lead paint inspection/risk assessments, interim controls, abatement of lead hazards, clearance testing, and relocation.

b. *Administrative Costs: What They Are Not.* For the purposes of this HUD grant program for States and local governments to provide support for the evaluation and reduction of lead-hazards in low- and moderate-income, private target housing, the term "administrative costs" should not be confused with the terms "general and administrative cost," "indirect costs," "overhead," and "burden rate." These are accounting terms usually represented by a government-accepted standard percentage rate. The percentage rate allocates a fair share of an organization's costs that cannot be attributed to a particular project or department (such as the chief executive's salary or the costs of the organization's headquarters building) to all projects and operating departments (such as the Fire Department, the Police Department, the Community Development Department, the Health Department or this program). Such allocated costs are added to those projects' or departments' direct costs to determine their total costs to the organization.

c. *Administrative Costs: What They Are.* For the purposes of this HUD grant program, "Administrative Costs" are the grantee's allowable direct costs for the overall management of the grant program plus the allocable indirect costs. The allowable limit of such costs that can be reimbursed under this program is ten (10) percent of the total grant sum. Should the grantee's actual costs for overall management of the grant program exceed ten percent of the total grant sum, those excess costs shall be paid for by the grantee. However, excess costs paid for by the grantee may be shown as part of the requirement for cost-sharing funds to support the grant.

d. *Administrative Costs Definition:*

(1) General. Administrative costs are the allowable, reasonable, and allocable direct and indirect costs related to the overall management of the HUD grant for lead-hazard reduction activities. Those costs shall be segregated in a separate cost center within the grantee's accounting system, and they are eligible costs for reimbursement as part of the grant, subject to the ten percent limit. Such administrative costs do not

include any of the staff and overhead costs directly arising from specific sub-grantee program activities eligible under this NOFA, because those costs are eligible for reimbursement under a separate cost center as a direct part of project activities.

The grantee may elect to serve solely as a conduit to sub-grantees, who will in turn perform the direct program activities eligible under this NOFA, or the grantee may elect to perform all or a part of the direct program activities in other parts of its own organization, which shall have their own segregated, cost centers for those direct program activities. In either case, not more than 10 percent of the total HUD grant sum may be devoted to administrative costs, and not less than 90% of the total grant sum shall be devoted to direct program activities. The grantee shall take care not to mix or attribute administrative costs to the *direct* project cost centers.

(2) Specific. Reasonable costs for the grantee's overall grant management, coordination, monitoring, and evaluation are eligible administrative costs. Subject to the ten percent limit, such costs include, but are not limited to, necessary expenditures for the following goods, activities and services:

(a) Salaries, wages, and related costs of the grantee's staff, the staff of affiliated public agencies, or other staff engaged in grantee's overall grant management activities. In charging costs to this category the recipient may either include the entire salary, wages, and related costs allocable to the program for each person whose primary responsibilities (more than 65% of their time) with regard to the grant program involve direct overall grant management assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any overall grant management assignments. The grantee may use only one of these two methods during this program. Overall grant management includes the following types of activities:

(i) Preparing grantee program budgets and schedules, and amendments thereto;

(ii) Developing systems for the selection and award of funding to sub-grantees and other sub-recipients;

(iii) Developing suitable agreements for use with sub-grantees and other sub-recipients to carry out grant activities;

(iv) Developing systems for assuring compliance with program requirements;

(v) Monitoring sub-grantee and sub-recipient activities for progress and compliance with program requirements;

(vi) Preparing presentations, reports, and other documents related to the program for submission to HUD;

(vii) Evaluating program results against stated objectives;

(viii) Providing local officials and citizens with information about the overall grant program; however, a more general education program, helping the public understand the nature of lead hazards, lead hazard reduction, blood-lead screening, and the health consequences of lead poisoning is a direct project support activity);

(ix) Coordinating the resolution of overall grant audit and monitoring findings; and

(x) Managing or supervising persons whose responsibilities with regard to the program include such assignments as those described in paragraphs (a) through (i).

(b) Travel costs incurred for official business in carrying out the overall grant management;

(c) Administrative services performed under third party contracts or agreements, for services directly allocable to grant management such as: legal services, accounting services, and audit services;

(d) Other costs for goods and services required for and directly related to the overall management of the grant program; and including such goods and services as telephone, postage, rental of equipment, renter's insurance for the program management space, utilities, office supplies, and rental and maintenance (but not purchase) of office space for the program.

(e) The fair and allocable share of grantee's general costs that are not directly attributable to specific projects or operating departments such as salaries, office expenses and other related costs for local officials (e.g., mayor and city council members, etc.), and expenses for a city's legal or accounting department which are not charged back to particular projects or other operating departments. If a grantee has an established burden rate, it should be used; if not, the grantee shall be assigned a negotiated provisional burden rate, subject to final audit.

3. Eligibility of HUD-Assisted Housing. The table, "Eligibility of HUD-Assisted Housing," available at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, lists the "eligible" housing units that may participate under the Lead Hazard Reduction Demonstration Grant Program

F. *Other Submission Requirements: Other Submission Requirements*

Beginning in FY 2005, HUD requires applicants to submit applications electronically through *Grants.gov*. Applicants interested in applying for funding must submit their application

electronically via the Web site <http://www.grants.gov> unless you request and are granted a waiver to the electronic submission requirements. This site has easy to follow step-by-step instructions that will enable you to apply for HUD assistance. The <http://www.grants.gov> Web site includes a simple, unified application process to enable applicants to apply for grants online. See section IV.F of the General Section for additional information on the electronic process and how to request a waiver from the requirement.

## V. Application Review Information

### A. Criteria

#### 1. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

This factor addresses your organizational capacity necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's staff" for technical merit or threshold compliance, unless otherwise specified, includes any grassroots community-based nonprofit organizations, including faith-based organizations sub-contractors, consultants, sub-recipients, and members of consortia that are firmly committed to your project. In rating this factor, HUD will consider:

a. The applicant's recent, relevant and successful demonstrated experience (including working with governmental, parent groups, and grassroots community-based nonprofit organizations, including faith-based organizations and other community-based partners) to undertake eligible program activities. Applicants are to identify the organizations or entities that will assist the applicant in implementing the program. The applicant must describe the knowledge and experience of the current or proposed overall project director and day-to-day program manager in planning and managing large and complex interdisciplinary programs, especially involving housing rehabilitation, public health, or environmental programs. The applicant must demonstrate that it has sufficient personnel or will be able to retain qualified experts or professionals, and be prepared to perform lead hazard evaluation, lead hazard control intervention work, and other proposed activities within 120 days of the effective date of the grant award. HUD reserves the right to terminate the grant if sufficient personnel or qualified experts are not retained within these 120 days. In the narrative response for this factor, you should include

information on your program staff, their experience, their commitment to the program, salary information, and position titles. Resumes (for up to three key personnel) or position descriptions for those key personnel to be hired, and a clearly identified organizational chart for the lead hazard control grant program effort (and for the overall organization) must be included in an appendix. Indicate the percentage of time that key personnel will devote to your project (see Factor 1 Table—Key Personnel and Partners). The applicant's day-to-day program manager must be experienced in the management of housing rehabilitation or lead hazard control, childhood lead poisoning prevention, or similar work involving project management. Ideally, the program manager should be available at the inception of the program in order to implement this comprehensive program within the 120-day period after the effective date of the grant award. The applicant should provide a description of any previous experience in enrolling units and in completing lead hazard control work, housing rehabilitation or other work in a timely and effective manner. Describe how any other principal components of your agency, other public entities, or other organizations will participate in implementing or otherwise supporting or participating in the grant program. You may demonstrate capacity by thoroughly describing your prior experience in initiating and implementing lead hazard control efforts and/or related environmental, health, or housing projects. You should indicate how this prior experience will be used in carrying out your proposed comprehensive Lead Hazard Reduction Demonstration Grant Program.

b. The applicant should discuss their plans to participate in or develop a statewide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning as a major public health problem by 2010.

c. If the applicant received any previous HUD Lead-Based Paint Hazard Control Grant funding, this past experience will be evaluated in terms of cumulative progress and achievements under the previous grant(s). Where the applicant has received multiple HUD Lead Hazard Control Grants, performance under the most recent grant award will be primarily evaluated. If you are a current or prior grantee, you must provide the detail necessary to assure HUD that you will implement the proposed work immediately and perform it concurrently with existing lead hazard control grant work. The applicant must provide a description of

its progress and performance implementing the most recent grant award including the total number enrolled, assessed, and completed and cleared as a result of program efforts. The applicant must also describe outcomes, capacity building efforts and impediments experienced during a previous Lead Hazard Control Grant program. Other work plan activities and tasks associated with implementing HUD's Lead-Safe Housing Regulation, integrating lead-safe work practices into the private market, and promoting effective education, outreach, and other training activities should be described. The applicant should also describe specific instances where the program has contributed positive impacts in the community, and indicate what activities were undertaken to develop, enhance or expand the local infrastructure through collaboration.

HUD's evaluation process will consider an applicant's past performance record as reported to HUD in effectively organizing and managing their grant operations, in meeting performance and work plan benchmarks and goals, and in managing funds, including their ability to account for funds appropriately, the timely use of funds received either from HUD or other Federal, state or local programs, and meeting performance milestones. HUD may also use other information relating to these items from sources at hand, including public sources such as newspapers, Inspector General or Government Accounting Office Reports or Findings, hotline complaints, or other sources of information that have been proven to have merit. Applicants are to complete the Factor 1 Table to support the narrative information submitted.

#### 2. Rating Factor 2: Need/Extent of the Problem (15 points)

This factor addresses the extent to which there is a need for the proposed program to address a documented problem related to lead-based paint and lead-based paint hazards in your identified target area(s). An applicant will be scored in this rating factor based on their documented need as evidenced by thorough, credible, and appropriate data and information. The evaluation will be based only on the applicant's documentation of the data requested. The data submitted in response to this rating factor will be verified using data available from the Census, HUDuser, other data available to HUD and/or in cooperation with the Centers for Disease Control and Prevention. The applicant is to complete the Factor 2 Table—Need/Extent of the Problem in Section IV of this NOFA.



A maximum of 15 Points will be awarded in this rating factor based on the information documenting the number of children under age 6 years with an elevated blood lead level (EBL, that is a level of 10 µg/dL or more) and the number of pre-1940 occupied rental housing units in the applicant's jurisdiction.

a. Documented Number of Children with an Elevated Blood Lead Level (EBL) (10 Points). Provide the actual number of children under age 6 with an elevated blood lead level residing within the applicant's jurisdiction(s) for the most recent complete calendar year and identify the source of the data. Data prior to calendar year 2001 will not be accepted. States must report the number in the city, county, or other area where funds will actually be used. Consortia of local governments must report the number in the cities or counties making up the consortium. For the purposes of this application, a "documented case" of childhood lead poisoning is a child under six years of age with a blood lead level test result equal to or greater than 10 micrograms of lead per deciliter of blood, which was performed by a medical health care provider. The actual number of children with an elevated blood lead level (not an estimate) in the applicant's jurisdiction must be reported to HUD in order to be eligible for this grant program. Do not send the children's names or addresses or other identifiers. Failure to provide this number in the application means that the application will not be rated or ranked.

(1) Applicants are to complete the Factor 2 Table to document the number of children with an elevated blood lead level. Points will be awarded based on the documented number of children with an elevated blood lead level according to the table, "Points Awarded for Number of Children Under Age 6 Years with an Elevated Blood Lead Level in Target Area," that can be downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The table shows the number of points awarded based on the number of children with an elevated blood lead level in the grant target area(s).

b. Housing market data relevant to the applicant's jurisdiction Housing Age (5 Points). Housing Age for the following sub-categories: pre-1940, 1940-1949, 1950-1959, 1960-1969, 1970-1979, and 1980 or newer, are to be provided using the Factor 2 Rating Factor Table provided in Section IV.B.c.

(1) Points will be awarded for the number of pre 1940 occupied rental units in the applicant's jurisdiction according to the table, "Points Awarded

for Number of Pre-1940 Occupied Rental Housing Units in Target Area," that can be downloaded from <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. The table shows the number of points awarded based on the number of pre-1940 occupied rental housing units in the grant target area(s).

3. Rating: Soundness of Approach/Work Plan/Budget (45 points).

This factor addresses the quality and cost-effectiveness of your proposed work plan. Applicants should develop a work plan that includes specific, measurable, and time-phased objectives for each major program activity. The applicant's work plan should reflect benchmark standards for production, expenditures, and other activities that have been developed by the Office of Healthy Homes and Lead Hazard Control. These benchmark standards, as well as policy guidance on developing work plans have been included in the Section IV of this NOFA and are available at the HUD Web site at: <http://www.hud.gov/offices/lead/lhc/pgi/index.cfm>. This policy guidance provides a sample format and outline for developing a Lead Hazard Reduction Demonstration Grant Program Work Plan.

a. An applicant is to identify and describe specific methods, measures, and tools that you will use (in addition to HUD reporting requirements) to measure progress, evaluate program effectiveness, and identify program changes necessary to improve performance. Describe how you will obtain, document, and report the information. In evaluating this, HUD will consider how you have described outcome measures and benefits of your program including:

b. How your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program. Applicants should provide a description of the mechanism to assess progress and track performance in meeting the goals and objectives outlined in the work plan.

c. Applicants should describe the proposed activities and provide HUD with measurable outcome results to be achieved with the requested funds. Measurable outcome results should be stated in terms relevant to the purpose of the program funds as a direct result of the work performed within the performance period of the grant (e.g., estimated number of units to be made lead-safe, estimated number of children living in units made lead-safe, and the basis for these estimates). Each proposed activity must be eligible as

described in the NOFA and meet statutory requirements for assistance to low- and very low-income persons.

(1) Lead Hazard Control Work Plan Strategy (20 points). Describe your work plan goals and specific time-phased strategy to complete work under the grant within the 36-month period of performance for your lead hazard control grant program. You should provide information on:

(a) Implementing a Lead Hazard Control Program. Describe how you will implement the strategy for your proposed lead hazard control program. The description must include information on:

(i) How the project will be organized, managed, and staffed. You must also identify the specific steps that will be taken to train and ensure the availability of enough lead-based paint contractors and workers to conduct lead hazard control interventions, and to perform other program activities. In addition, a detailed description of the selection process for sub-grantees, subcontractors or sub-recipients, and how assistance and funding will flow from the grantee to those who will actually perform the work under the grant.

(ii) The overall number of eligible privately owned housing units scheduled for lead hazard control intervention work and the strategy for their identification, selection, prioritization, and enrollment in the selected target area(s). Discuss the eligibility criteria for unit selection and how the program will identify units that meet these criteria. Explain how you would target resources to maximize the return on investment from grant funding. As funding is a constraint for this program, it is imperative to maximize the impact of grant dollars. Include in this discussion your proposed technical approach and how this choice addresses local conditions and needs as well as attempting to maximize the number of children protected from lead hazards. As there are a variety of reduction techniques that grantees can apply to lead hazards, it is important too that HUD be able to assess the effectiveness of a grantee's choice of a technical strategy. Explain how referrals of eligible units will be obtained from childhood lead poisoning prevention programs, other health care or housing agencies, or health providers that serve children. Also discuss how referrals are made from the Section 8/ Housing Choice Voucher programs and other agencies that provide housing assistance to low-income households with children including CDBG, HOME Investment Partnerships Program-funded housing programs, or other



sources. (Include as attachments any referral agreements, commitment letters or other documents from other entities that describe their participation recruiting eligible units in your program.)

(iii) The degree to which the work plan focuses on eligible privately owned housing units occupied by low-income families with children under six years of age. Describe your planned approaches to control lead hazards in vacant and/or occupied units before children are poisoned and your plans to ensure that the program will continue to affirmatively market and match these units made lead-safe with low-income families with children under six years of age in the future. Discuss strategies to control lead hazards in units where children have already been identified with an elevated blood lead level (EBL), including your process for referring and tracking children with EBLs, and your capacity to rapidly complete lead hazard control work in their units. Provide estimates of the number of low-income children you will assist through this program.

(iv) Discuss the lead hazard control financing strategy, including eligibility requirements, terms, conditions, dollar limits, and amounts available for lead hazard control work. Applicants must also describe how the program will recapture grant funds in the event that a recipient of grant funds fails to comply with any terms and conditions of the financing arrangement (e.g. affordability, sale of property, etc.). You must discuss the way assistance from the grant funds will be administered to or on behalf of property owners (e.g. use of grants, deferred loans and/or forgivable loans and the basis and schedule for forgiveness, and the role of other resources, such as private sector financing). You should identify the entity that will administer the financing process and describe how coordination and payment between the program and contractors performing the work will be accomplished. Describe matching requirements, if any, proposed for assistance to rental property owners.

(v) Describe how your proposed program will satisfy the stated needs in the Consolidated Plan or Indian Housing Plan and eliminate impediments identified in the Analysis of Impediments (AI). Also describe how your proposed program will further and support the policy priorities of the Department: including promoting healthy homes and the quality of housing. Applicants should describe activities undertaken that remove barriers to affordable housing within

their communities or support such efforts at the State and local level.

(vi) Describe how, by September 30, 2006 you will participate in an established statewide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning as a major public health problem by 2010, or will assist in the development of such a plan in states or localities which do not have such a strategic plan (7 points). (Further guidance will be provided to grantees on developing a strategic plan.) Applicants shall demonstrate the nature of their collaboration with Centers for Disease Control and Prevention (CDC) funded Childhood Lead Poisoning Prevention grantees, which are now required to develop such plans, and the local CDC subgrantee(s) where they exist for the grant's proposed target area(s). A list of CDC childhood lead poisoning prevention programs can be downloaded from <http://www.cdc.gov/nceh/lead/grants/contacts/keyContacts.htm>. The CDC strategic elimination plans for state and local childhood lead poisoning prevention programs can be downloaded from <http://www.cdc.gov/nceh/lead/Strategic%20Elim%20Plans/strategicplans.htm>.

(vii) Community-wide Learning Opportunity (3 points). The Lead-Based Paint Hazard Control Grant provides an opportunity for learning by community members, including families, workers, small businesses and others, to help develop a strategic community health educational model that identifies lead-related health hazards and their solutions, and educates community members and affects wider efforts in the applicant's targeted area. Applicant shall discuss the opportunity-to-learn approach to educate children, parents, workers, businesspeople and other community members about lead poisoning prevention and lead hazard control. The applicant's proposed educational program shall continue to meet the needs of those children already living in units with eligible lead hazards.

(viii) Coordination Among Critical Agencies. Submit documentation of the existence and nature of formal cooperation regarding childhood lead poisoning prevention programs among health agencies, housing agencies, community development agencies, and code enforcement agencies (or equivalent) for their target area(s) local jurisdiction(s), and, for state or tribal applicants, for their state or tribal health agencies, housing agencies, development agencies, and code enforcement agencies (or equivalent). Documentation shall include

memoranda of agreement, memoranda of understanding, operating plans, or similar materials that describe the coordinated childhood lead poisoning prevention effort. Where local or state governments have combined two or more of these functions into a larger organization, the documentation may be from either the individual component entities or the larger organization. As part of this documentation, describe how the health department and the housing and/or development agency will consider enrolling housing units (or multifamily buildings) in which one or more children under age 6 years have elevated blood lead levels, with priority to housing where repeated and/or severe cases of childhood lead poisoning have occurred. (Because of the presence of a variety of priorities, it is not a requirement that units with lead-poisoned children be enrolled, but the process for giving such units high priority should be described and implemented.)

2. Technical Approach/Performance (20 pts.). Describe your process for the conduct of lead hazard evaluation (risk assessments and/or inspections) in units of eligible privately owned housing to confirm that there are lead-based paint hazards in the housing units where lead hazard control is undertaken.

(1) Describe your testing methods, schedule, and costs for risk assessments, paint inspections, and clearance examinations to be used. If you propose to use a more restrictive standard than the HUD/EPA thresholds (e.g., less than 0.5 percent or 1.0 mg/ square centimeter for lead in paint, or less than 40, 250, 400 µg/square foot for lead in dust on floors, sills and troughs, respectively); or 400 parts per million (ppm) in bare soil in children's play areas and 1200 ppm for bare soil in the rest of the yard), identify the standard(s) that will be used. All testing shall be performed in accordance with applicable regulations.

(2) Describe the lead hazard control methods and strategies you will undertake and the number of units you will treat. In cases where only a few surfaces have lead hazards in a specific unit and complete abatement of all lead paint is cost-effective, the applicant must provide a detailed rationale for selecting complete abatement as a strategy. Provide an estimate of the per unit costs (and a basis for those estimates) and a schedule for initiating and completing lead hazard control work in the selected units. Discuss efforts to incorporate cost-effective lead hazard control methods. Explain your cost estimates, providing detail on how the estimates were developed, with particular references to cost

effectiveness. Research has shown that interim controls generally yield the best benefit/cost ratio among technological approaches for eliminating lead hazards. Applicants should assume that interim controls are the preferred approach for their strategies and project unit output targets accordingly. If applicants maintain that approaches other than interim controls are necessary for their jurisdiction, they should explain why this is the case. For example, abatement might be justified in an area where significant amounts of low-income housing stock are highly distressed or where lead hazard work is being combined with rehabilitation. Where highly distressed stock is present, applicants should explain why options for households to move to lead-safe housing are not viable.

(3) Schedule. Provide a realistic schedule for completing key activities, by quarter, so that all activities can be completed within the period of performance of the grant. Key production activities include enrollment of units, paint inspections/risk assessments, and completion/clearance of units. When developing the application, the applicant shall take into consideration previous experience and performance in administering similar kinds of lead hazard control or rehabilitation programs.

(4) Time frames. Describe the estimated elapsed time frame for treating a typical unit that will receive lead hazard control, including referral/intake, enrollment (qualification of the unit as eligible), combined paint inspection/risk assessments, preparation of specifications or work write-up, selection of the contractor, lead hazard control intervention work activities, quality control and monitoring of work activities, and clearance. The time frame should include an estimate of the staff and contractor time required to treat a typical unit that will receive lead hazard control. Describe the schedule for emergency referrals (e.g., unit occupied by a child under six years of age with an elevated blood lead level). List the number of units projected in each of the following categories: Lead-based paint inspections/risk assessments, hazard control, and clearance inspections.

(5) Workflow and Production Control. Provide guidelines and/or flowcharts showing agency/partner responsibilities for each step in the process (from intake to clearance) and describe/show how coordination and hand-offs will be handled. Discuss how the actual production status of units, from intake to final clearance, will be monitored, and how and when production

bottlenecks will be identified, remedied, and monitored.

(6) Describe your contracting process, including development of specifications or adoption of existing specifications for selected lead hazard control methods. Describe the management processes you will use to ensure the cost-effectiveness of your lead hazard control methods. Your application must include a discussion of the contracting process for the conduct of lead hazard control activities in the selected units, and requirements for coordination among lead hazard control, rehabilitation, weatherization, and other contractors.

(7) Describe your plan for occupant protection or the temporary relocation of the occupants of units selected for lead hazard control work. Describe any plan to avoid overnight relocation in small-scale projects consistent with 24 CFR part 35.1345 (a)(2) and HUD's Interpretive Guidance of 24 CFR part 35, including J24, R18, and R19 (see <http://www.hud.gov/offices/lead/guidelines/leadsaferule/index.cfm>). Your work plan should address the use of safe houses and other temporary housing arrangements, storage of household goods, stipends, incentives, etc. If families or individuals are temporarily relocated in a project which utilizes Community Development Block Grant funds, the guidance and requirements of 24 CFR 570.606(b)(2)(i)(D)(1)-(3) must be met. HUD recommends you review these regulations when preparing your proposal.

(8) Describe your strategy for involving neighborhood or including grassroots community-based non-profit organizations, including faith-based organizations or other community-based organizations in your proposed activities. Priority activities should include increasing the enrollment of eligible privately owned housing units to receive lead treatments, but may also include inspection (including dust lead testing) and the conduct of lead hazard control activities. HUD will evaluate the proposed level of substantive involvement of such organizations during the review process.

(9) Identify and discuss the specific methods you will use (in addition to HUD reporting requirements) to document activities, progress, program effectiveness, and how changes necessary to improve performance will be implemented. Describe how you will obtain, document, and report on information collected.

(10) If you are a current or prior grantee or you have also applied to the fiscal year 2005 Lead Hazard Control Grant Program Notice of Funding Availability, you must describe the

actions you will take to ensure that your proposed lead hazard control work will occur concurrently with other ongoing HUD lead hazard control grant work. Your application must provide the detail necessary to assure HUD that you will implement the proposed work immediately and perform it concurrently with other ongoing lead hazard control grant work.

### 3. Budget (5 points)

Describe your budget within the 36-month (or less) period of performance for your lead hazard control grant program. You should provide information on:

(1) Allocation of Funds. You should describe your detailed total budget (total budget is the federal share and matching contribution) with supporting narrative and cost justifications for all budget categories of your grant request. The budget shall include not more than 10 percent for administrative costs and not less than 90 percent for direct project elements. The applicant is to provide adequate details on the 90 percent of the Federal funds that are required for abatement, combined lead-based paint inspections and risk assessments, temporary relocations, and interim control of lead-based paint hazards. In addition, the applicant is to provide details on the activities that will be conducted with the remaining 10 percent of Federal funds.

### 4. Rating Factor 4: Leveraging Resources (10 points)

This factor addresses your ability to obtain other community and private sector resources that can be combined with HUD's program resources to achieve program objectives. In evaluating this factor, HUD will consider the extent to which you have established working partnerships with other entities to get additional resources or commitments to increase the effectiveness of the proposed program activities. Resources may include cash or in-kind contributions of services, equipment, or supplies allocated to the proposed program. Resources may be provided by governmental entities, public or private organizations, and other entities partnering with you. Leveraging arrangements with rental property owners may have the benefits of increasing the efficiency of public lead hazard identification and control expenditures and creating a financial stake for rental property owners in the quality of lead hazard control work. Contractual or other formal relationships with grassroots community-based nonprofit organizations, including faith-based

organizations and other community-based organizations are a requirement for State and local government applicants. Documentation of relationships with grassroots community-based nonprofit organizations, including faith-based organizations, and community-based organizations must be provided in this application either in the form of signed agreements or commitment letters. This requirement does not apply to Native American Tribe applicants. You also may partner with other program funding recipients to coordinate the use of resources in your target area(s).

(1) You should detail any activities to increase the understanding of lead poisoning prevention in your community. This could include partnerships with childhood lead screening programs, collaboration with ongoing health, housing or environmental research efforts which could result in a greater availability of resources, and efforts to build capacity for lead-safe housing.

(2) Matching funds must be shown to be specifically dedicated to and integrated into supporting the lead-based paint hazard control program. Refer to Section III. B. entitled, Cost Sharing or Matching Requirements for additional information. You may not include any federal funds as part of the 25 percent match, unless those funds are specifically permitted by statute to be used as matching funds, such as CDBG or Federal Revenue Sharing funds. Other resources from the private sector or other sources committed to the program that exceed the required 25 percent match will provide points for this rating factor. Contributions above the first 25 percent may include funds from other federally funded programs, and/or state, local, charity, and nonprofit or for-profit entities.

Applicants will not receive full points under this rating factor if they do not submit evidence of a firm commitment and the appropriate use of leveraged resources under the grant program. Such evidence must be provided in the form of letters of firm commitment, memoranda of understanding, or other signed agreements to participate from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level of commitment and the responsibilities as they relate to your proposed program. The commitment must be signed by an official of the organization legally able to make commitments on behalf of the organization. Describe the role of

nonprofit grassroots community-based organizations including faith-based organizations, and other community-based organizations in specific program activities, such as: hazard evaluation and control; monitoring; and awareness, education, and outreach within the community. Describe how you will ensure that commitments to sub-grantees specified in your proposal will be honored and executed, contingent upon an award from HUD.

The signature of the authorized official on the Form SF-424 commits matching or other contributed resources of the applicant organization. A separate letter from the applicant organization is not required; however, the applicant must submit a letter of commitment from each organization other than itself that is providing a match, whether cash or in-kind. Staff in-kind contributions should be given a monetary value based on the local market value of the staff skills; you are responsible for tracking the number of labor hours provided in the match for each labor category. If you do not provide letters from contributors specifying details and the amount of the actual contributions, those contributions will not be counted. Contributions required of rental property owners may be included as part of your match. You should document and provide the amount of the match from each resource.

##### 5. Rating Factor 5: Achieving Results and Program Evaluation (10 Points)

(A) This factor emphasizes HUD's commitment to ensuring that applicants achieve the goals outlined in their work plan and other benchmark standards and assess their performance to ensure performance goals are met (5 points). Achieving results means you, the applicant, have clearly identified the benefits, or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you, the applicant, identify program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your Evaluation Plan should identify what you are going to measure, how you are going to measure it and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes. The degree to which benefits are maximized relative

to cost is important. In particular, different technical approaches vary widely in cost, but also produce different levels of benefits. Evaluation should explore how well the technical strategy meets the conditions and needs found in the grantee's jurisdiction.

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability. Applicants are required to complete the HUD 96010 Logic Form included in the General Section.

(1) An applicant is to identify and describe specific methods, measures, and tools that you will use (in addition to HUD reporting requirements) to measure progress, evaluate program effectiveness, and identify program changes necessary to improve performance. Describe how you will obtain, document and report the information. In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program including:

(a) The degree to which lead hazard control work will be done in conjunction with other housing-related activities (*i.e.*, rehabilitation, weatherization, correction of code violations, and other similar work), or your plan for the integration and coordination of lead hazard control activities into those activities in the future.

(b) Plans to develop public/private lending partnerships to finance lead hazard control as part of acquisition and rehabilitation financing such as the use of Community Reinvestment Act "credits" by lending institutions or other financing strategies.

(c) Results of any specific plans and objectives established to implement and/or maintain a registry (listing) of lead-safe housing that is available to the public, or to incorporate the inclusion of the lead-safe status of properties in another publicly accessible address-based property information system. Results could include how the information would be managed and affirmatively marketed to the public so that families (particularly low-income families with children under six years of age) can make informed decisions regarding their housing options. Prior grantee applicants must address any registry (listing) of lead-safe housing developed during the prior grant period by specifically discussing the availability, amount of information contained, and its maintenance.

(d) The extent to which affirmatively furthering fair housing for all segments of the population is advanced by the proposed activities. (This section does not apply to Native American Tribes.)

Detail how your proposed work plan will support the community's efforts to affirmatively further affordable housing and how you will quantify results of affirmatively furthering fair housing activities. As part of the background for your fair housing element of your work plan under this grant, discuss the impact of prior activities that have contributed to enhanced lead-safe housing opportunities.

(e) The resulting impact of plans to adopt or amend statutes, regulations, or policies that will more fully integrate lead hazard control into community policies and priorities.

(f) Results of activities to coordinate and cooperate with other organizations that will lead to a reduction in lead risks to community residents (5 points). This could include documenting such activities as: Free training to create a workforce properly trained in lead safe work practices; lead-safe repainting and remodeling; promotion of essential maintenance practices; and provision of lead dust testing to low-income, privately-owned homes which may not receive lead hazard control assistance under this grant program. This factor should address the quantitative measures of the following:

(1) Community outreach education that focuses on the outcomes of a workforce properly trained in lead safe work practices.

(2) Effective outreach education aimed at families, health care members and other professional colleagues.

(3) Effective outreach education assessing the needs of families and communities intended to receive lead hazard control assistance under this grant program.

(g) How your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program. Applicants should provide a description of the mechanism to assess progress and track performance in meeting the goals

and objectives outlined in the work plan. Applicants should provide assurances that work plans and performance measures developed for the program will assist intended beneficiaries, and that work will be conducted in a timely and cost-effective manner.

*B. Reviews and Selection Process*

1. Rating and Ranking. Please refer to the General Section of this SuperNOFA for details. Only those applications that meet the threshold review requirements will be rated and ranked. HUD intends to fund the highest ranked applications receiving a minimum score of 75 within the limits of funding.

a. Remaining Funds. Refer to the General Section of this SuperNOFA for HUD's procedures if funds remain after all selections have been made within a category of the NOFA.

2. Factors for Award Used to Rate and Rank Applications. The factors for rating and ranking applicants, and maximum points for each factor, are stated below.

a. Implementing HUD's Strategic Framework and Demonstrating Results. HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission. To support this effort, grant applications submitted for HUD programs will be rated on how well they tie proposed outcomes to HUD's policy priorities and Annual Goals and Objectives, and the quality of proposed Evaluation and Monitoring Plans.

HUD is encouraging applicants to undertake specific activities that will assist the Department in implementing its policy priorities that are found in the General Section and applicable to the Lead Hazard Reduction Demonstration NOFA. Activities that promote the participation of including grassroots community-based nonprofit organizations including faith-based organizations and community

organizations support HUD's policy priority for: *Providing Full and Equal Access to grassroots community-based nonprofit organizations, including faith-based organizations.* An applicant will be awarded one point under Rating Factor 3 d.(8) for activities undertaken that specifically address this policy priority. For initiatives that break down regulatory barriers that impede the production of affordable housing, an applicant will be awarded up to two points under Rating Factor 3c(1)(a)(v) for activities that remove barriers to affordable housing within their communities or support such efforts at the state and local level. This priority relates to HUD's Strategic Goal for Increasing Homeownership Opportunities and Promoting Decent Affordable Housing. Applicants addressing this policy priority are to complete Form HUD-27300—Questionnaire for HUD's Initiative on Removal of Regulatory Barriers, and are to include any documentation required. Note that currently validated Web site (URL) references to any such documents may be provided in place of providing copies of them in the application). Refer to the General Section for additional details pertaining to this policy priority.

b. Bonus Points (2 Points).

HUD's FY2005 NOFAs provide for the award of two bonus points for eligible activities/projects that the applicant proposes to locate in federally designated Empowerment Zones (EZs), Enterprise Communities (ECs), or Renewal Communities (RCs) designated by USDA in round II (EC-IIIs) (collectively referred to as RC/EZ/EC-IIIs), and which will serve the residents of these communities. In order to be eligible for the bonus points, applicants must submit a completed Form HUD 2990.

The maximum number of points to be awarded is 102. A minimum score of 75 is required for fundable applications.

Rating factor	Maximum points
1. Capacity of the Applicant and Relevant Organizational Experience .....	20
2. Demonstrated Need/Extent of the Problem .....	15
3. Soundness of Approach/Work Plan (20 Points); Technical Approach (20 Points); Budget (5 Points) .....	45
4. Leveraging Resources .....	10
5. Achieving Results and Program Evaluation .....	10
Bonus Points—RC/EZ/EC-IIIs .....	2
<b>Total .....</b>	<b>102</b>

**VI. Award Administration Information**

Refer to the General Section for additional details on award administration.

*A. Award Notices*

1. Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer

indicating that they have been selected for an award. This letter will provide additional details regarding the effective start date of the grant and any additional

data and information to be submitted to execute a grant agreement. This letter is not an authorization to begin work or incur costs under the grant. A fully executed grant agreement is the authorizing document. Unsuccessful applicants will also be notified that their application was not selected for an award and will be afforded an opportunity to request a debriefing on the unsuccessful application according to the procedures outlined in the SuperNOFA.

2. Negotiation. Refer to the General Section for additional details.

3. Adjustments to Funding.

Refer to the General Section for additional details.

4. Performance and Compliance Actions of Funding Recipients. HUD will measure and address the performance and compliance actions of funding recipients in accordance with the applicable standards and sanctions of their respective programs.

#### *B. Administrative and National Policy Requirements*

Refer to the General Section for additional details regarding the Administrative and National Policy Requirements applicable to HUD Programs.

1. Administrative Requirements.

a. Lead-Based Paint Hazard Reduction Act (Title X of the Housing and Community Development Act of 1992). Section 1011 of Title X Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) amended Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) to read as follows:

Sec. 1011. Grants for Lead-Based Paint Hazard Reduction in Target Housing

(1) General Authority. The Secretary is authorized to provide grants to eligible applicants to evaluate and reduce lead-based paint hazards in housing that is not federally assisted housing, federally owned housing, or public housing, in accordance with the provisions of this section. Grants shall only be made under this section to provide assistance for housing which meets the following criteria—

(a) for grants made to assist rental housing, at least 50 percent of the units must be occupied by or made available to families with incomes at or below 50 percent of the area median income level and the remaining units shall be occupied or made available to families with incomes at or below 80 percent of the area median income level, and in all

cases the landlord shall give priority in renting units assisted under this section, for not less than 3 years following the completion of lead abatement activities, to families with a child under the age of six years, except that buildings with five or more units may have 20 percent of the units occupied by families with incomes above 80 percent of area median income level;

(b) for grants made to assist housing owned by owner-occupants, all units assisted with grants under this section shall be the principal residence of families with income at or below 80 percent of the area median income level, and not less than 90 percent of the units assisted with grants under this section shall be occupied by a child under the age of six years or shall be units where a child under the age of six years spends a significant amount of time visiting;

For the purposes of complying with Section 1011(1)(b) above, a unit occupied by a pregnant woman meets the Congressional intent of promoting primary prevention and maybe assisted under this program.

b. Certified and Trained Service Providers. Funded activities must be conducted by persons qualified for the activities according to 24 CFR part 35 (possessing certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices).

c. National Historic Preservation Act. The National Historic Preservation Act of 1966 (16 U.S.C. 470) and the regulations at 36 CFR part 800 apply to the lead-based paint hazard control activities that are undertaken pursuant to this program. HUD and the Advisory Council for Historic Preservation have developed an optional Model Agreement for use by grantees and State Historic Preservation Officers in carrying out activities under this program. The Model Agreement may be obtained from the HUD Web site, <http://www.hud.gov>, or the Office of Healthy Homes and Lead Hazard Control Web site, [http://www.hud.gov/offices/lead/grantfrm/pgi/95\\_06.pdf](http://www.hud.gov/offices/lead/grantfrm/pgi/95_06.pdf)

d. Waste Disposal. You must handle waste disposal according to the requirements of the appropriate local, state, and federal regulatory agencies. You must handle disposal of wastes from hazard control activities that contain lead-based paint, but are not classified as hazardous in accordance with state or local law or the HUD Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines are available from the HUD

Web site at: <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>.

e. Worker Protection Procedures. You must observe the procedures for worker protection established in the HUD Guidelines, as well as the requirements of the Occupational Safety and Health Administration (OSHA) (29 CFR 1926.62, Lead Exposure in Construction), or applicable state or local occupational safety and health regulations, whichever are most protective. If other applicable requirements contain more stringent requirements than the HUD Guidelines, the more rigorous standards shall be followed.

f. Davis-Bacon Act. The Davis-Bacon Act does not apply to this program. However, if you use grant funds in conjunction with other Federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

g. Work Plan. The work plan shall consist of the goals and specific time-phased objectives established for each of the major activities and tasks required to implement the program. These major activities and tasks are outlined in the Quarterly Progress Reporting System (Form HUD-96006) and include: (1) Program Management and Capacity Building including data collection and program evaluation; (2) Community Education, Outreach and Training; and (3) Lead Hazard Activities including testing, interventions conducted, and relocation.

(1) The work plan narrative shall include:

(a) The management plan that describes how the project will be managed, and the timeline for staffing the program, establishing a lead-based paint contractor pool, and obtaining HUD approval for the Release of Funds Request (Form HUD 7015.15);

(b) A detailed description of how assistance and funding will flow from the grantee to the actual performers of the hazard reduction work;

(c) The selection process for sub-grantees, sub-contractors and/or sub-recipients;

(d) The identification, selection, and prioritization process for the particular properties where lead hazard control interventions are to be conducted;

(e) A description of the financing mechanism used to support lead hazard control work in units (name of administering agency), eligibility requirements, type of financing (grant, forgivable or deferred loans, private sector financing, etc), any owner

contribution requirement, and the terms, conditions and amounts of assistance available (include affordability terms and forgiveness and recapture of funds provisions);

(f) The inspection/risk assessment testing procedures using EPA standards to identify lead hazards and to conduct clearance testing. (Dust wipe samples, soil samples and any paint samples to be analyzed by a laboratory must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLLAP));

(g) The process for developing work specifications and bids on properties selected for lead hazard control;

(h) The levels of intervention and clearance procedures to be conducted for units enrolled;

(i) The number of rental-occupied, vacant, and owner-occupied units proposed for each intervention level;

(j) The relocation plan that will be carried out for residents required to be out of their homes during hazard control activities;

(k) The evaluation process used to measure program performance.

h. *Privacy and Disclosure.* All test results in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before

1978 (24 CFR part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether Web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any child affected.

i. Procurement of Recovered Materials. See the General Section for information concerning this requirement.

#### C. Reporting

Successful applicants will be required to submit quarterly, annual, and final program and financial reports according to the requirements of the Office of Healthy Homes and Lead Hazard Control. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (Form HUD-96010; available in the General Section) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance: <http://www.hud.gov/offices/lead>.

Specific guidance and additional details will be provided to successful applicants.

#### VII. Agency Contact(s)

For Further Information and Technical Assistance: You may contact Jonnette Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street SW., Washington, DC 20410-3000, or by telephone: (202) 755-1785, extension 126 (this is not a toll-free number), fax: (202) 755-1000; or e-mail: [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov) (use underscores). If you are a hearing-or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

#### VIII. Other Information

For technical assistance in downloading the electronic application or for other questions regarding the electronic application, including registration with Grants.gov, please contact the Grants.gov Support Desk at 800-518-GRANTS. Also refer to the General Section.

*Other Office of Healthy Homes and Lead Hazard Control Information:* For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

BILLING CODE 4210-32-P

## Request for Release of Funds and Certification

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

OMB No. 2506-0087  
(exp. 11/30/2004)

This form is to be used by Responsible Entities and Recipients (as defined in 24 CFR 58.2) when requesting the release of funds, and requesting the authority to use such funds, for HUD programs identified by statutes that provide for the assumption of the environmental review responsibility by units of general local government and States. Public reporting burden for this collection of information is estimated to average 36 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 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.

### Part 1. Program Description and Request for Release of Funds (to be completed by Responsible Entity)

1. Program Title(s)	2. HUD/State Identification Number	3. Recipient Identification Number (optional)
4. OMB Catalog Number(s)	5. Name and address of responsible entity	
6. For information about this request, contact (name & phone number)		
8. HUD or State Agency and office unit to receive request	7. Name and address of recipient (if different than responsible entity)	
<b>The recipient(s) of assistance under the program(s) listed above requests the release of funds and removal of environmental grant conditions governing the use of the assistance for the following</b>		
9. Program Activity(ies)/Project Name(s)	10. Location (Street address, city, county, State)	

11. Program Activity/Project Description

**Part 2. Environmental Certification** (to be completed by responsible entity)

With reference to the above Program Activity(ies)/Project(s), I, the undersigned officer of the responsible entity, certify that:

1. The responsible entity has fully carried out its responsibilities for environmental review, decision-making and action pertaining to the project(s) named above.
2. The responsible entity has assumed responsibility for and complied with and will continue to comply with, the National Environmental Policy Act of 1969, as amended, and the environmental procedures, permit requirements and statutory obligations of the laws cited in 24 CFR 58.5; and also agrees to comply with the authorities in 24 CFR 58.6 and applicable State and local laws.
3. After considering the type and degree of environmental effects identified by the environmental review completed for the proposed project described in Part 1 of this request, I have found that the proposal  did  did not require the preparation and dissemination of an environmental impact statement.
4. The responsible entity has disseminated and/or published in the manner prescribed by 24 CFR 58.43 and 58.55 a notice to the public in accordance with 24 CFR 58.70 and as evidenced by the attached copy (copies) or evidence of posting and mailing procedure.
5. The dates for all statutory and regulatory time periods for review, comment or other action are in compliance with procedures and requirements of 24 CFR Part 58.
6. In accordance with 24 CFR 58.71(b), the responsible entity will advise the recipient (if different from the responsible entity) of any special environmental conditions that must be adhered to in carrying out the project.

As the duly designated certifying official of the responsible entity, I also certify that:

7. I am authorized to and do consent to assume the status of Federal official under the National Environmental Policy Act of 1969 and each provision of law designated in the 24 CFR 58.5 list of NEPA-related authorities insofar as the provisions of these laws apply to the HUD responsibilities for environmental review, decision-making and action that have been assumed by the responsible entity.
8. I am authorized to and do accept, on behalf of the recipient personally, the jurisdiction of the Federal courts for the enforcement of all these responsibilities, in my capacity as certifying officer of the responsible entity.

Signature of Certifying Officer of the Responsible Entity

Title of Certifying Officer

Date signed

X

Address of Certifying Officer

**Part 3. To be completed when the Recipient is not the Responsible Entity**

The recipient requests the release of funds for the programs and activities identified in Part 1 and agrees to abide by the special conditions, procedures and requirements of the environmental review and to advise the responsible entity of any proposed change in the scope of the project or any change in environmental conditions in accordance with 24 CFR 58.71(b).

Signature of Authorized Officer of the Recipient

Title of Authorized Officer

Date signed

X

**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)



**Healthy Homes and  
Lead Hazard Programs**

**U.S. Department of Housing  
and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
(expires 4/30/2007)

<b>Factor 1 Capacity Of The Applicant And Relevant Organizational Experience</b>			
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.			
<b>A. Key Personnel</b>			
Name and Position Title (please include the organization position titles in addition to those shown). Resumes or position descriptions are to be included in appendix.	Percent of Time Proposed for this Grant (HUD Funded or In-Kind)	Percent of Time to be spent on other LHC HUD grants	Percent of Time to be spent on other Activities
	Note: These three columns should total 100%		
<b>A.1 Overall Project Director</b>			
Name:			
Organization Position Title:			
Phone Number:	Fax Number:		
Email:			
<b>A.2 Day-to-Day Program Manager</b> <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:	Fax Number:		
Email:			
<b>A.3 Other</b> <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:	Fax Number:		
Email:			
<b>B. Partners</b>			
Name of the organization or entity that partners or will partner with applicant and if partner will be subgrantee/subrecipient	Description of Commitment and Status	Proposed Activities To Be Conducted by Partner	Amount of HUD Grant Funds (If Subgrant)
<b>B.1 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.2 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.3 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.4 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.5 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.6 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.7 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<p><b>Definitions:</b></p> <p><b>Partner Name:</b> Name of organization or entity that will partner with applicant in conducting program activities.</p> <p><b>Type of Organization or Program:</b> Health, Housing, Environmental, Community Development Department, Planning Department, Grassroots Faith-Based or Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institution, Job Training and Economic Opportunity Organization, etc.</p> <p><b>Description of Commitment:</b> Memorandum of Understanding/Agreement, Contract, Subgrantees, Letter, etc.</p> <p><b>Proposed Activities to be Conducted by Partner:</b> The type of activities that will be conducted by the grant partner in support of program efforts (i.e. rehabilitation, testing, training, education and outreach, specification writing, relocation, etc.)</p> <p><b>Amount of HUD Grant Funds if Subgrantee/Subrecipient:</b> The dollar amount subgrantee/subrecipient will be receiving for the services they will provide.</p>			

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0011  
(expires 4/30/2007)

Factor 2		Need/Extent Of The Problem			
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.					
Name of Jurisdiction			Name of Target Area (s)		
<b>A. Documented Blood Lead Level (BLL)</b>					
A.1 Total Number of Children <6 Years (72 months) of Age in Jurisdiction: % of Total Population:			A.2 Total Number of Children <6 Years (72 months) of Age in Target Area: % of Total Population:		
Blood Lead Level	Number of Children Under 6 Years	% Of Total	Blood Lead Level	Number of Children Under 6 Years	% Of Total
< 10 µg/dL			< 10 µg/dL		
≥10 µg/dL and ≤19 µg/dL			≥10 µg/dL and ≤19 µg/dL		
≥ 20 µg/dL			≥ 20 µg/dL		
Total Tested		100%	Total Tested		100%
Source and Date Documented (Indicate Period Covered)*			Source and Date Documented (Indicate Period Covered)*		
*Attach documentation in appendix - State or local health department may be a good source for this information					
<b>B. Housing Age and Tenure</b>					
B.1 Jurisdiction				B.2 Target Area (s)	
Year Built	Number	% of Total	Owner	Renter	
Pre-1940					
1940-1949					
1950-1959					
1960-1969					
1970-1977					
1979 or newer					
Total					
Source: 2000 Census - <a href="http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en">http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en</a>					
Instructions:					
<ol style="list-style-type: none"> <li>1. Select "Census 2000 Summary File 3 (SF3) – Sample Data"</li> <li>2. Click on "Detailed Tables" on the side menu</li> <li>3. On the next page, select "Place" from the pull-down menu next to "Select a geographic type"</li> <li>4. Select the "State" from the pull-down menu next to "Select a State"</li> <li>5. Select one or more "cities" of interest from the selected state and click "Add"</li> <li>6. Click the button that says "Next"</li> <li>7. On the next page, select "H36. Tenure by Year Structure Built" from the pull-down menu, then "Select one or more tables" and click "Add"</li> <li>8. Click "Show Tables"</li> </ol>					
*Attach copy of the downloaded information in appendix.					
<b>C. Very Low and Low-Income Population – As Determined by HUD</b>					
C.1 Jurisdiction				C.2 Target Area (s)	
Number of Families ≤50% of AMI	%	Total Number of Families <80% of AMI*	%	Number of Families ≤50% of AMI	%
Source: Income Limits As Determined by HUD- <a href="http://www.huduser.org/datasets/il.html">http://www.huduser.org/datasets/il.html</a>					
Instructions:					
<ol style="list-style-type: none"> <li>1. Select the appropriate State</li> <li>2. Click on the link that says "Open PDF file"</li> <li>3. Search for appropriate location</li> </ol>					
*Attach copy of the downloaded information in appendix					



**WORK PLAN DEVELOPMENT WORKSHEET  
WITH MINIMUM BENCHMARK PERFORMANCE STANDARDS  
FOR 36-MONTH PERIOD OF PERFORMANCE**

Healthy Homes and Lead Hazard Program												OMB Approval Number 2539-0015 (exp 1/31/2006)			
Grant Number:	Grantee Organization:										Period of Performance: Feb 1, 2003 - January 31, 2006				
ACTIVITY	Q1 2003 Jan - Mar	Q2 2003 Apr - Jun	Q3 2003 Jul - Sep	Q4 2003 Oct - Dec	Q5 2004 Jan - Mar	Q6 2004 Apr - Jun	Q7 2004 Jul - Sep	Q8 2004 Oct - Dec	*Q9 2005 Jan - Mar	Q10 2005 Apr - Jun	Q11 2005 Jul - Sep	Q12 2005 Oct - Dec	Q13 2006 Jan - Mar	Q14 2006 Apr - Jun	
Applicant Capacity (6-120 days)															
Staff Hired	—————▶														
Approved Environmental Review and Release of Funds	—————▶														
Written Policies and Procedures	—————▶														
Lead Hazard Control Implementation Units in Grant Agreement = #															
Paint Inspections/Risk Assessments:															
Performance Standard		5%	15%	30%	45%	55%	65%	85%	95%	100%					
Work Plan Milestone															
% Planned															
Actual # Completed															
Actual % Completed															
** Units in Progress															
Units Completed and Cleared:															
Performance Standard			2%	5%	15%	30%	45%	55%	* 65%	85%	95%	100%			
Work Plan Milestone															
% Planned															
Actual # Completed															
Actual % Completed															
Cumulative LOCCS DRAWDOWNS Grant Award Amount = \$															
Performance Standard				5%	10%	15%	20%	30%	* 45%	60%	80%	95%	100%		
LOCCS Drawdown Work Plan Milestone															
% Planned															
Actual LOCCS Drawdown															
Actual Cumulative LOCCS Drawdown %															
Community Outreach / Education / Training															
Community Outreach and Education Work Plan Milestone															
Community Outreach and Education Milestone Achieved															
Skills Training Work Plan Milestone															
Skills Training Milestone Achieved															
Performance Measured Against Approved Work Plan Milestones													100%	▶	
Close-Out Feb 1 - Apr 30, 2006														—————▶	
* Renewal Eligibility Milestone															
** No bench mark standard															



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**HEALTHY HOMES DEMONSTRATION  
PROGRAM**

Billing Code 4210-32-C

## Healthy Homes Demonstration Program Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. *Funding Opportunity Title:* Healthy Homes Demonstration Program.

C. *Announcement Type:* Initial announcement.

D. *Funding Opportunity Number:* The Federal Register number is: FR-4950-N-29. The OMB Paperwork approval number is 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s):* 14.901 Healthy Homes Demonstration Program.

F. *Dates:* Your application submission date is June 15, 2005. See the General Section, Section IV, Application and Submission Information, regarding application submission procedures and timely filing requirements.

G. *Additional Overview Content Information:*

1. *Purpose of the Program.* The purpose of the Healthy Homes Demonstration Program is to develop, demonstrate, and promote cost-effective, preventive measures to correct multiple safety and health hazards in the home environment that produce serious diseases and injuries in children of low-income families. Through the Healthy Homes Demonstration program, HUD will initiate projects to promote implementation of available risk reduction techniques for the control of key hazards described in Appendix B. Appendices B, C and D to this Healthy Homes Demonstration Program NOFA can be found on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. Appendix A, which contains required forms, is attached to this NOFA.

2. *Available Funds.* HUD anticipates that approximately \$5 million in fiscal year 2005 funds will be available.

3. *Number of Awards.* Approximately four to six cooperative agreements or grants will be awarded, ranging from approximately \$250,000 to \$1,000,000. The average award in 2004 was \$958,625.

4. *Eligible Applicants.* Not-for-profit institutions and for-profit firms, located in the U.S. are eligible to apply. State and local governments, and federally recognized Indian Tribes are eligible to apply. For-profit firms are not allowed to propose a fee or profit in their cost proposal (*i.e.*, no profit can be made from the project).

5. *Type of award.* Cooperative Agreement or Grant.

6. *Match.* None required, but strongly encouraged.

7. *Limitations.* There are no limitations on the number of applications that each applicant can submit.

8. *Information on application.* The applications for this NOFA can be found at <http://www.grants.gov>. The application is an electronic application. You must register at <http://www.grants.gov> to be able to submit your application. The General Section contains information about submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand HUD's new electronic application process. Information and procedures for completing an application are provided below.

### Full Text of Announcement

#### I. Funding Opportunity Description

##### A. Background

The Healthy Homes Demonstration Program is a part of HUD's Healthy Homes Initiative (HHI). In April 1999, HUD submitted to Congress a preliminary plan containing a full description of the HHI. This description (Summary and Full Report) is available on the HUD Web site at: <http://www.hud.gov>; this site also contains additional information on the HHI and a link to its Web site.

The HHI builds upon HUD's existing housing-related health and safety issues, including lead hazard control, building structural safety, electrical safety, and fire protection to address multiple childhood diseases and injuries, such as asthma, mold-induced illness, carbon monoxide poisoning, and other conditions related to housing in a coordinated fashion. The HHI departs from the more traditional approach of attempting to correct one hazard at a time (*e.g.*, asbestos, radon). A coordinated effort is feasible because a limited number of building deficiencies contribute to multiple hazards. Substantial savings are possible using this approach, because separate visits to a home by an inspector, public health nurse, or outreach worker can add significant costs to efforts to eliminate hazards.

In addition to deficiencies in basic housing facilities that may impact health, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new and often more subtle health hazards in the residential environment. While such health hazards will tend to be found disproportionately in housing that is substandard (*e.g.*,

structural problems, lack of adequate heat, etc.), such housing-related environmental health hazards may also exist in housing that is otherwise of good quality. Appendix B of this NOFA briefly describes the housing-associated health and injury hazards HUD considers key targets for intervention. Appendix C lists some of the references that serve as the basis for the information provided in the Healthy Homes Demonstration Program NOFA (appendices B-D to this NOFA are available at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>).

##### B. Healthy Homes Initiative Goals

1. Mobilize public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations to develop the most promising, cost-effective methods for identifying and controlling housing-based health hazards;

2. Build local capacity to operate sustainable programs that will prevent and control housing-based health hazards in low- and very low-income residences when HUD funding is exhausted; and

3. Affirmatively further fair housing and environmental justice.

HUD is interested in promoting approaches that are cost-effective and efficient and that result in the reduction of health threats for the maximum number of residents and, in particular, for children in low-income families. In addition, HUD encourages applicants to undertake specific activities that will assist the Department in implementing its Policy Priorities. HUD's fiscal year 2005 Policy Priorities are discussed in the General Section.

##### C. Healthy Homes Demonstration Objectives

HUD will support projects that implement housing assessment, maintenance, renovation and construction techniques to identify and correct housing-related illness and injury risk factors, disseminate healthy homes information and replicate successful interventions. The objectives of the Healthy Homes Demonstration Program include:

1. Identification of target areas and homes where assessment and interventions will occur;

2. Identification and evaluation of effective methods of health hazard abatement and risk reduction;

3. Development of appropriately scaled, flexible, cost-effective and efficient assessment and intervention strategies that take into account the

range of unhealthy conditions likely to be encountered in housing, and that maximize the number of housing units that receive interventions;

4. Development of methodologies for evaluating intervention effectiveness;

5. Development of local capacity in target areas and training programs for target groups to operate sustainable programs to prevent and control housing-based health hazards, especially in low- and very low-income residences;

6. Development of cost-effective protocols for identifying homes that are candidates for interventions, identifying health hazards in these homes, and screening out homes where structural or other factors (*e.g.*, cost) make interventions impractical;

7. Development and delivery of public outreach programs that provide information about effective methods for preventing housing-related childhood diseases and injuries and for promoting the use of these interventions;

8. Targeting, through education and outreach, specific high-risk communities and other identified audiences such as homeowners, landlords, health care deliverers, pregnant women, children, residential construction contractors, maintenance personnel, housing inspectors, real estate professionals, home buyers, and low-income minority families;

9. Implementation of media strategies to use print, radio and television to increase public awareness of housing-related health hazards that threaten children, including the use of minority media, grassroots community based nonprofit organizations, including faith-based organizations that work with persons with disabilities (including providing materials in alternative formats), advocates for racial and ethnic minorities (including providing materials in other languages for populations with Limited English Proficiency (LEP));

10. Dissemination of tools currently used by the applicant and/or tools available from other sources and, as needed, tools to be developed, to inform parents and caregivers about housing-related health hazards and enable them to take prompt corrective action; and

11. Development of training programs for Healthy Homes activities to emphasize assessment and intervention methods applicable to public and private housing in target areas.

Specific project activities applicable to these objectives can be found under Rating Factor 3.1.b.

#### *D. Authority*

The authority for this program is sections 501 and 502 of the Housing and Urban Development Act of 1970 and the Consolidated Appropriations Act, 2005 (Pub. L. 108-477; approved December 8, 2004).

### **II. Award Information**

#### *A. Funding Available*

Approximately \$5 million in fiscal year 2005 funds are available for the Healthy Homes Demonstration Program cooperative agreements or grants. Cooperative agreements or grants will be awarded on a competitive basis. HUD anticipates that approximately four to six cooperative agreements or grants will be awarded, ranging from approximately \$250,000 to approximately \$1,000,000. In fiscal year 2004, the average award was \$958,625. The rating factors and selection process are discussed in Section V.

Abstracts of currently funded grants are available on the Healthy Homes Web site at: <http://www.hud.gov/healthyhomes>. Applicants may wish to review these for program content and may also contact Project Directors of currently funded projects for additional information.

#### *B. Anticipated Start Date and Period of Performance for New Grants*

The start date for new Cooperative Agreements or Grants is expected to be October 1, 2005, with a period of performance not to exceed 36 months. The proposed performance period should include adequate time for project components such as the Institutional Review Board process, the recruitment of study participants, and the development of new methods (*e.g.*, survey forms, data base, etc), all of which have been found to delay projects in the past. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 84.25(e)(2) or 85.30(d)(2), as applicable, and the Office of Healthy Homes and Lead Hazard Control (OHHLHC) Program Guide. Such extensions, when granted, are one time only, and for no longer than a period of one year. Applicants are encouraged to plan studies with shorter performance periods than 36 months. When developing your schedule you should consider the possibility that issues may arise that could cause delays.

#### *C. Type of Award Instrument*

Awards in response to this NOFA will be made as cooperative agreements or

grants. HUD will require quarterly reporting and will work closely with awardees to monitor projects.

### **III. Eligibility Information**

#### *A. Eligible Applicants*

Not-for-profit institutions and for-profit firms, located in the U.S. are eligible to apply. State and local governments, and federally recognized Indian Tribes are eligible to apply. For-profit firms are not allowed to propose a fee or profit in their cost proposal (*i.e.*, no profit can be made from the project).

#### *B. Cost Sharing or Matching*

Cost sharing or matching is not required. In rating your application, however, HUD will award a higher score under Rating Factor 4 (see Section V.A.2.d) if you provide evidence of significant cost sharing.

#### *C. Other*

##### *1. Threshold Requirements Applicable to all Applicants Under the SuperNOFA.*

As an applicant, you must meet all the threshold requirements described in the General Section. These requirements include the requirement to affirmatively further fair housing (AFFH). Applications that do not address the threshold items will not be funded. Cooperative agreements or grants will be awarded on a competitive basis following evaluation of all proposals according to the rating factors described in this NOFA. A minimum score of 75 out of a possible 102, *which includes up to 2 bonus points for activities proposed to be located in RC/EZ/EC-II communities (see Section V.A.1, below)*, is required for award consideration.

##### *2. Eligible Activities.*

The following activities and support tasks are eligible under the Healthy Homes Demonstration Program.

a. Performing evaluations of housing to determine the presence of housing-based health hazards (*e.g.*, moisture intrusion, mold growth, pests and allergens, unvented appliances, exposed steam pipes or radiators, deteriorated lead-based paint) through the use of accepted assessment procedures.

b. Conducting housing interventions to remediate existing housing-based health hazards and address conditions that could result in their recurrence. Refer to the HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (Guidelines) for information about conducting such remediation for lead-based paint hazards. The Guidelines and/or applicable regulations may be downloaded from HUD's Web site at <http://www.hud.gov>.



c. Undertaking housing rehabilitation activities that are specifically required to carry out effective control of housing-based health hazards, and without which the intervention could not be completed and maintained. Funds under this program may also be used to control lead-based paint hazards; however, such controls may not be a principal focus of the cooperative agreement or grant. Lead hazard control activities are carried out under HUD's Lead-Based Paint Hazard Control Grant Program.

d. Carrying out temporary relocation of families and individuals, when necessary, during the period in which the intervention is conducted and until the time the affected unit receives clearance for re-occupancy. See Section VI.B.5 for discussion of regulations that apply when relocating families.

e. Conducting medical examinations, when such examinations of young children for conditions caused or exacerbated by exposure to residential hazards are demonstrated to be critical to the outcome of your project, and alternative sources to cover these costs are not available. If you budget for such costs, you must provide documentation to the effect that other resources, such as Medicaid, SCIP or neighborhood clinics are not available to conduct these examinations. See Section III C.3.b for information on Institutional Review Board approval and HIPAA authorization where applicable.

f. Environmental sampling and medical testing recommended by a physician or applicable occupational or public health agency to protect the health of the intervention workers, supervisors, and contractors, unless reimbursable from another source.

g. Conducting testing, analysis, and mitigation for lead, mold, carbon monoxide and/or other housing-related health hazards as appropriate, with respect to generally accepted standards or criteria, or if standards are unavailable, other appropriate levels justified in conjunction with the project. A laboratory recognized by the Environmental Protection Agency's (EPA's) National Lead Laboratory Accreditation Program (NLLAP) must analyze clearance dust samples related to lead-based paint. It is recommended that samples to be analyzed for fungi be submitted to a laboratory accredited in the Environmental Microbiological Laboratory Accreditation Program (EMLAP), administered by the American Industrial Hygiene Association (AIHA).

h. Carrying out architectural, engineering and work specification development and other construction

management services to control and remediate existing housing-based health hazards.

i. Providing training on Healthy Homes practices to homeowners, renters, painters, remodelers, and housing maintenance staff working in low- or very low- income housing.

j. Providing cleaning supplies for hazard intervention and hazard control to grassroots community-based nonprofit organizations, including faith-based organizations, for use by homeowners and tenants in low-income housing, or to such homeowners and tenants directly. (See the General Section for more information about grassroots community-based nonprofit organizations, including faith-based organizations.)

k. Providing modest incentives (financial or other, *i.e.* coupons for a video rental, coupons for groceries; stipends for completion of surveys, child care, cleaning kits, etc.) subject to approval by HUD, to encourage recruitment and retention in the interventions, participation in educational and training activities and other program-related functions.

l. Conducting general or targeted community education programs on environmental health and safety hazards. This activity would include, but not be restricted to, training on Healthy Homes maintenance and renovation practices. It would also include making materials available in alternative formats for persons with disabilities (*e.g.*, Braille, audio, large type) upon request, and providing materials in languages other than English that are common in the community, consistent with HUD's published "Limited English Proficiency (LEP) Recipient Guidance".

m. Securing liability insurance for housing-related health hazard evaluation and control activities to be performed. This is not considered an administrative cost.

n. Supporting data collection, analysis, and evaluation of project activities. (As a condition of the receipt of financial assistance under this NOFA, all successful applicants will be required to cooperate with all HUD staff and contractors performing HUD funded research and evaluation studies.)

### 3. Program Requirements.

a. Work Activities. All lead hazard control activities must be conducted in compliance with the applicable requirements of HUD's Lead-Safe Housing Rule, 24 CFR part 35, especially § 35.1325 for abatement and § 35.1330 for interim controls and as clarified in HUD's Interpretive Guidance about this rule. Grantees must also

comply with any additional requirements in effect under a state or Native American Tribal Lead-Based Paint Training and Certification Program that has been authorized by the EPA pursuant to 40 CFR 745.320.

b. Institutional Review Board (IRB) Approval. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR 60.101), if your grant activities include research involving human subjects, your organization must provide an assurance (*e.g.*, a letter signed by an appropriate official) that the research has been reviewed and approved by an IRB before you can initiate activities that require IRB approval. You must also provide the number for your organization's assurance (*i.e.*, an "institutional assurance") that has been approved by the Department of Health and Human Service's Office of Human Research Protections (OHRP). For additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP Web site at: <http://www.hhs.gov/ohrp>.

c. HIPAA Authorization. The Privacy Rule of the Health Insurance Portability and Accountability Act of 1996 requires covered entities that transmit health information electronically (health care providers, health plans, etc.) to protect that information. This may be accomplished by obtaining authorization from the patient or parent, obtaining a waiver of authorization from an IRB or HIPAA Privacy Board or de-identifying data. You should identify whether your proposal will fall under the HIPAA Privacy Rule and if so how you plan to address these requirements. Additional information on HIPAA and the Privacy Rule can be found at <http://www.hhs.gov/ocr/hipaa>.

d. Program Performance. Awardees shall take all reasonable steps to accomplish all healthy homes activities within the approved period of performance. HUD will closely monitor the awardee's performance with particular attention to completion of specified activities, deliverables and milestones, and number of units proposed to be assessed or to receive interventions within the approved period of performance. HUD reserves the right to terminate the cooperative agreement or grant prior to the expiration of the period of performance if the awardee fails to meet 25 percent of the milestones, including all deliverables, as scheduled in their work plan. Any previous requests for no cost extensions will be taken into account when evaluating the capacity of the

applicant to do the work under Rating Factor 1.

e. Certified and Trained Providers.

Lead hazard control activities must be conducted by persons qualified for these activities according to 24 CFR Part 35 (possessing certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices).

f. Clearance Testing for Lead Hazard Control Activities. Clearance dust testing must be conducted according to the EPA Lead Hazards Standards Rule (40 CFR part 745) for abatement projects and the Lead-Safe Housing Rule (24 CFR part 35) for lead hazard control activities other than abatement. These are available at: <http://www.epa.gov/lead> and <http://www.hud.gov>, respectively.

g. All test results related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR Part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether Web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any child affected.

h. All pest control activities shall incorporate the principles and methods of integrated pest management (IPM). In technical terms, IPM is the coordinated use of pest and environmental information with available pest control methods to prevent unacceptable levels of pest damage by the most economical means and with the least possible hazard to people, property, and the environment. The IPM approach emphasizes a targeted use of pesticides that limits the possibility of human exposure (e.g., as opposed to wide-spread applications) and includes interventions based on the behavior of the target pest (e.g., preventing access to food or water). One source for information on IPM is Environmental Health Watch; you can download

information from its Web site: [http://www.ehw.org/Asthma/ASTH\\_Cockroach\\_Control.htm](http://www.ehw.org/Asthma/ASTH_Cockroach_Control.htm).

i. Awardees collecting samples of settled dust from participant homes for environmental allergen analyses (e.g., cockroach, dust mite) will be required to use a standard dust sampling protocol, unless there is a strong justification to use an alternate protocol. The HUD protocol is posted on the OHHLHC Web site at: <http://www.hud.gov/offices/lead/hhi/hhiresources.cfm>. Awardees conducting these analyses will also be required to include quality control dust samples, provided by OHHLHC at no cost, with the samples that are submitted for laboratory analyses. For the purpose of budgeting laboratory costs, assume that 5% of your total allergen dust samples would consist of QC samples.

j. You must follow procedures for hazardous waste disposal as required by the Occupational Health and Safety Administration (OSHA) (e.g., 29 CFR part 1910 and/or 1926, as applicable), the EPA (e.g., 40 CFR parts 61, 260–282, 300–374, and/or 700–799, as applicable), the Department of Transportation (e.g., 49 CFR parts 171–177), and/or appropriate state or local regulatory agencies and applicable EPA, HUD, state, and local regulatory agency guidance. You must handle disposal of wastes from hazard control activities that contain lead-based paint, but are not classified as hazardous in accordance with state or local law or the Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines may be downloaded from the HUD Web site at: <http://www.hud.gov>.

k. Worker Protection Procedures. You must comply with the procedures for worker protection established in the HUD Guidelines as well as the requirements of OSHA, e.g., 29 CFR part 1910 and/or 1926, as applicable, or the state or local occupational safety and health regulations, whichever are more stringent.

l. Written Policies and Procedures. You must have written policies and procedures for all phases of interventions, including evaluation, development of specifications, financing, occupant relocation, independent project inspection, and clearance testing (e.g., for mold, lead, carbon monoxide or other hazards, as applicable). You and all your subcontractors, sub-recipients, and their contractors must comply with these policies and procedures.

m. Data Collection and Provision. You must collect, maintain, and provide to

HUD the data necessary to document the various approaches used to evaluate and control housing-based health hazards, including evaluation and control methods, building conditions, medical and familial information (with confidentiality of individually-identifiable information ensured) in order to determine the effectiveness and relative cost of these methods.

n. Section 3 Employment Opportunities. Recipients of assistance in the Healthy Homes Demonstration Program must comply with Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements of subpart E. See Sec.V.c, Rating Factor 3.3, for recommendations for implementing Section 3 Employment Opportunities.

o. Certifications and Assurances. By signing the SF-424 you are agreeing to the certifications and assurances listed in the General Section and this NOFA. A Certification of Consistency with the Consolidated Plan is not required for the Healthy Homes Demonstration NOFA.

p. Conducting Business in Accordance with HUD Core Values and Ethical Standards. If awarded assistance under the Healthy Homes Demonstration NOFA, you will be required, prior to entering into a cooperative agreement or grant with HUD, to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your code of conduct. If you previously submitted your Code of Conduct to HUD and it appears in the listing on HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, you do not have to resubmit the information unless there has been a change in the legal name, address or authorizing official for your organization. See the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

#### 4. DUNS Requirement.

Refer to the General Section for information regarding the DUNS requirement.

## IV. Application and Submission Information

If you are interested in applying for funding under this program, please review carefully all sections in this Notice of Funding Availability.

### A. Web Address To Access an Application Package

Copies of this published NOFA and application forms for this program may be downloaded from the Grants.gov Web site at <http://www.grants.gov>. If you have difficulty accessing the information you may call the Grants.gov helpline toll-free at (800) 518-GRANTS or e-mail [Support@grants.gov](mailto:Support@grants.gov). Helpline customer representatives will assist you in accessing the information.

### B. Content and Form of Application Submission

The following provides instructions on the items to be submitted as part of the application. See the General Section for instructions for submitting third party documents and electronic files.

1. An abstract describing the goals and objectives of your proposed program (2-page limit, single-spaced, 12-point standard font, 3/4-inch margins) must be included in the proposal. The abstract should include the title of your proposed project, the name, mailing address and telephone number of the principal contact person for the primary entity and the same information for sub-contractors, partners, etc.

2. A narrative statement addressing the rating factors for award. Number the pages of your narrative statement and include a header and a footer that provides the name of the applicant and the name of the program to which you are applying. Narrative statements provided as part of the application should be individually labeled to identify the rating factor to which the narrative is responding (e.g. Factor 1, Capacity, etc.). The overall response to the rating factors must not exceed a total of 25 pages including all rating factors (single-sided, single-spaced, 12 point standard font, 3/4-inch margins). Any pages in excess of this limit will not be read.

3. The score for each rating factor will be based on the rating factor's numbered portion of your narrative statement, supplemented by materials referenced and discussed in that portion of your narrative statement; supplemental material that is not referenced and discussed within the narrative statements will not be rated.

4. The position descriptions and resumes, if available, of your project director and project manager and up to three additional key personnel (in accordance with Rating Factor 1), not to exceed 3 pages each (single-spaced, 12-point font with 3/4-inch margins). This information will not be counted toward the page limit.

5. Any attachments, materials, references, or other relevant information

that directly support the narrative must not exceed 20 pages for your entire application. Any pages in excess of this limit will not be read. See the General Section for instructions for submitting third party documents or material not readily available in electronic format.

6. A detailed budget with supporting justification for all budget categories of your funding request, in accordance with Rating Factor 3, (2)(b). This information will not be counted towards the page limits. In completing the budget forms and justification, you should address the following elements:

a. Direct Labor costs should include all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full time equivalent (FTE) or hours per year (hours/year) (i.e., one FTE equals 2,080 hours/year).

b. You should budget for three trips to HUD Headquarters in Washington, DC, planning each trip for two people, assuming that the first trip will occur shortly after funding, for a stay of five or six days, depending on your location, and the remaining trips will have a stay of one or two days, depending on your location.

c. A separate budget proposal should be provided for any sub-recipients receiving more than 10 percent of the total Federal budget request.

d. You should be prepared to provide supporting documentation for salaries and prices of materials and equipment upon request.

e. Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. Other organizations should submit their proposal with their suggested indirect rate. If they are funded and HUD is the cognizant agency, it will set a rate; otherwise HUD will request the cognizant federal agency to set the rate.

f. You should submit a copy of the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

7. Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. You are not required to submit this checklist with your application.

#### Checklist for Healthy Homes Demonstration Program Applicants

- Applicant Abstract (limited to 2 pages).
- Rating Factor Responses (Total narrative response limited to 25 pages).

1. Capacity of the Applicant and Relevant Organizational Experience—Form HUD 96012.

2. Need/Extent of the Problem-Form HUD-96013.
3. Soundness of Approach—Form HUD-96014.
4. Leveraging Resources—Form HUD-96015.
5. Achieving Results and Program Evaluation—Form HUD-96010 Logic Model.

- Required materials in response to rating factors (does not count towards 25-page limit).

Form SF 424 Application for Federal Assistance.

Form HUD-424-CB Grant Application Detailed Budget.

Form HUD-CBW Budget Worksheet.

Form SF-424 Supplement Survey on Ensuring Equal Opportunity for Applicants (to be completed by private nonprofit organizations only).

Form SF-LLL Disclosure of Lobbying Activities.

Form HUD-2880 Applicant/Recipient Disclosure/Update Report.

Form HUD-2990 Certification of Consistency with the RC/EZ/EC-II Strategic Plan (if applicable).

Form HUD-96011, Facsimile Transmittal to be used for faxing third party letters and other documents for your electronic application in accordance with the instructions in the General Section.

HUD's Waiver from submitting electronically (if applicable).

Form HUD-2993 Acknowledgment of Application Receipt (only if waiver from electronic submission has been obtained).

Resumes of Key Personnel (limited to 3 pages per resume).

Organizational Chart.

Letters of Commitment (if applicable).

Form HUD-2994 Client Comments and Suggestions (Optional).

- Optional material in support of the Rating Factors (20 page limit).

#### C. Submission Dates and Times

Electronic applications must be submitted and received by Grants.gov on or before 11:59:59 p.m. eastern time on June 15, 2005. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. Refer to the General Section for additional submission requirements including acceptable submission dates, times, methods, acceptable proof of application submission and receipt procedures, and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date.

Applicants receiving a waiver to the electronic submission process must submit the required number of copies of the application by the application submission date to the identified address in Appendix C of the General Section.

#### D. Intergovernmental Review

Not required for this submission.

#### E. Funding Restrictions

1. Administrative Costs. There is a 10 % maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix D of this NOFA at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

2. Purchase of Real Property is not permitted.

3. Purchase or lease of equipment having a per unit cost in excess of \$5,000 is not permitted, unless prior written approval is obtained from HUD.

4. Medical costs, except as specified above in Section III.C.2, are not permitted.

5. For-profit organizations cannot receive a fee or profit.

6. You must comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

7. Hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128), as having special flood hazards unless:

(a) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59–79), or less than a year has passed since FEMA notification regarding these hazards; and

(b) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

#### F. Other Submission Requirements

Beginning in FY 2005, HUD requires applicants to submit applications electronically through <http://www.grants.gov>. Applicants interested in applying for funding must submit their application electronically via the Web site <http://www.grants.gov> unless you request and are granted a waiver to the electronic submission requirements.

This site has easy to follow step-by-step instructions that will enable you to apply for HUD assistance. The <http://www.grants.gov> feature includes a simple, unified application process to enable applicants to apply for grants online. Refer to the General Section for other application submission requirements including instructions on how to request a waiver to the electronic application submission requirement.

### V. Application Review Information

#### A. Criteria

1. *Rating and Ranking.* Applications will be reviewed by an Application Review Panel (ARP) which will assign each application a numerical score based on the rating factors presented below. The ARP chairperson initially selects and provides at least one application to panel members to score during a calibration round to ensure that all panel members are consistent in their interpretation of the rating factors. When the calibration round is completed, each application is reviewed and scored by at least two panel members who will assign a score based on the rating factors presented in section V.A.2 below. Each factor is weighted as indicated by the number of points that are attainable for it. An average score is then computed for each application. The ARP chair may call upon an advisor to the ARP to review and comment on a proposal; however, the advisor does not score the application. Nonetheless, advisor comments will be documented and retained as a part of the record. The ARP holds a final meeting to identify the top-ranking applications to be recommended for funding. Awards will be made separately in rank order within the limits of funding availability. The maximum score that can be assigned to an application is 102 points. Applicants should be certain that these factors are adequately addressed in the project description and accompanying materials.

##### a. Five rating factors:

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points);  
 Rating Factor 2: Need/Extent of the Problem (15 points);  
 Rating Factor 3: Soundness of Approach (40 points);  
 Rating Factor 4: Leveraging Resources (10 points);  
 Rating Factor 5: Achieving Results and Program Evaluation (15 points);  
 RC/EZ/EC–II Bonus Points (2 points);  
 TOTAL: 102 points.

Applicants are eligible to receive up to two bonus points for projects located

within federally designated Renewable Communities (RCs), Empowerment Zones (EZs), or Enterprise Communities (ECs) designated by USDA in round II (EC–IIs) (collectively referred to as RC/EZ/EC–IIs), and which will serve the residents of these communities (see the General Section). In order to be eligible for the bonus points, applicants must submit a completed Form HUD–2990.

2. *Rating Factors.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below.

a. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points).

This factor addresses your organizational capacity necessary to successfully implement your proposed activities in a timely manner. The rating of you or your staff includes any grassroots community-based nonprofit organizations, including faith-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia that are firmly committed to your project. HUD strongly encourages the formation and development of consortia in implementing your project goals. Applicants that either are or propose to partner, fund, or sub-contract with grassroots community-based nonprofit organizations, including faith-based organizations, in conducting their work programs will receive higher rating points as specified in the General Section. In rating this factor, HUD will consider the four items listed below.

(1) Capacity and Qualifications of Principal Investigator and Key Personnel. Describe your recent, relevant, and successful demonstrated experience in undertaking eligible program activities. You must describe the knowledge and experience of the proposed overall project director and day-to-day project manager in planning and managing large and complex interdisciplinary programs, especially those involving housing, public health, or environmental programs. In your narrative response for this factor, you should include information on your project staff, their experience with housing and health programs, percentage commitment to the project, and position titles. Resumes of up to three pages each and position descriptions for up to three key personnel in addition to the project director and project manager, and a clearly delineated organizational chart for the Healthy Homes project you propose, must be included in your application submission. Position descriptions and copies of job announcements (including salary range)

should be included for any key positions that are currently vacant or contingent upon an award. Indicate the name of the position, the percentage of time that proposed staff will devote to your project and any salary costs to be paid by funds from this program. Successful applicants must hire all key staff positions identified in the proposal as vacant or required in the award agreement within 120 days of award. Include descriptions of the experience and qualifications of subcontractors and consultants. You may find it useful to include a table indicating the name, position and percentage contribution of staff members, specifying organizational affiliation. This table may be incorporated into the text of your proposal or included with the supporting materials.

(2) Qualifications of Applicant and Partner Organizations. Discuss your qualifications to carry out the proposed activities as evidenced by experience, academic background, training, and/or relevant publications of project staff. Document whether you have sufficient personnel, or will be able to quickly retain qualified experts or professionals to begin your proposed project immediately, and to perform your proposed activities in a timely and effective fashion. Describe how principal components of your organization will participate in, or support, your project and how you propose to coordinate with your partners. You should thoroughly describe capacity, as demonstrated by experience in initiating and implementing related environmental, health, or housing projects.

(3) Past Performance of the Organization. This section refers to applicants who have any prior experience in another Healthy Homes or Lead Hazard Control grant, another grant related to environmental health and safety issues, or other experience in a similar program. Provide details about the nature of the project, the funding agency, and your performance, relative to performance measures and the achievement of desired housing- and health-related outcomes.

(4) Performance as a Healthy Homes Grantee. If your organization is an existing Healthy Homes grantee, provide a description of the progress and outcomes achieved in that grant. Current grantees that are on or ahead of target, may earn one point based on their demonstrated ability to date. If you received previous Healthy Homes Demonstration funding, you will be evaluated in terms of cumulative progress and achievements under the previous grant.

You must complete and submit the Factor 1, Table 1, Capacity of the Applicant and Relevant Organizational Experience, posted at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>, to support narrative information submitted. Include this table in supporting materials for your application. It will not be counted towards your page limit.

b. Rating Factor 2: Need/Extent of the Problem (15 Points).

This factor addresses the extent to which there is a need for your proposed project activities to address documented problems related to healthy homes issues and housing-related hazards in your target area(s) and target group(s).

(1) Specifically identify a target area for your proposed activities. Document a critical level of need for your proposed activities in this target area. You should pay specific attention to documenting the need as it applies to your target area(s), and provide statistics for this area, if available, rather than general statistics or information pertinent to a larger geographic area. As noted above, if your target area comprises a Renewal Community, Enterprise Community or Empowerment Zone, indicate the location of this area in the narrative for this rating factor and submit Form HUD-2990, found in the General Section. (2) bonus points are awarded if your target area is located in a Renewal Zone/Empowerment Zone/Enterprise Community-II)

(2) Your documentation should summarize available data linking housing-based health hazards to disease or injuries to children in your target area(s), if available. Examples of data that might be used to demonstrate need include:

(a) Economic and demographic data relevant to your target area(s), including poverty and unemployment rates;

(b) Rates of childhood illnesses (e.g., asthma, elevated blood lead levels) or injuries (e.g., falls, burns) among children residing in your target areas that could be caused or exacerbated by exposure to conditions in the home environment; and

(3) For the areas targeted for your project activities, provide data available in your jurisdiction's currently approved Consolidated Plan and the Analysis of Impediments to Fair Housing Choice (AI) or Indian Housing Plan or derived from current census data or from other sources. Provide and reference data that address the following:

(a) The age and condition of housing;

(b) The number and percentage of low- and very low-income families with incomes less than 50 percent and 80

percent of the median income, respectively, as determined by HUD, for the area. Statistics that describe low- and very-low income families are available at: <http://www.census.gov/housing/saipe/estmod00/est00ALL.dat>. Additional census statistics are available at: <http://www.census.gov/hhes/www/income00.html>, <http://www.census.gov/hhes/income/income00/statemhi.html>, and <http://www.huduser.org/datasets/il/fmr00/index.html>. Applicants should also consult local data sources, such as city government Web sites, for target area data.

(c) To the extent that statistics and other data contained in your community's Consolidated Plan or AI support the extent of the problem, you should include references to the Consolidated Plan or AI in your response; and

(d) Data documenting targeted groups that are traditionally underserved or have special needs. For a maximum score in this rating factor, data provided should specifically represent the target area. If the data presented in your response do not specifically represent your target area, you should discuss why the target areas are being proposed.

c. Rating Factor 3: Soundness of Approach (40 Points).

This factor addresses the quality and cost-effectiveness of your proposed work plan. You should present detailed information on the proposed approach for addressing housing-based health hazards and describe how proposed activities would help HUD achieve its goals for this program area. For you to receive maximum points for this factor, there must be a direct relationship between the proposed activities, documented and demonstrated community needs, and the purpose of the project. Your application will be evaluated according to the comprehensiveness of addressing activities that are applicable to your project. The response to this factor should include details about your technical approach and project activities. HUD is looking for a clear statement of activities, timeline for completing the work and expected deliverables.

(1) Approach for Implementing the Project (25 points).

(a) Technical Approach. Describe your overall technical approach for strategizing and implementing your proposed project. Your narrative response to this sub-factor will be used to assess how well your proposed project will be executed. In this factor, describe the methods, schedule, milestones, and quality assurance

activities that will be carried out to identify and control housing-based health hazards and to achieve the desired project outcomes. Include summary information about the estimated numbers of clients to be contacted, clients enrolled, units to be assessed, units to receive interventions, individuals to be trained and individuals to be reached through education/outreach activities.

(b) Project Activities. Your project description must include a discussion of specific planned project activities that address one or more of the following activities.

(i) Describe in detail how you will identify, select, prioritize, and enroll units of housing in which you will undertake housing-based health hazard interventions, targeting low-income families with young children under six to the extent feasible, and how you will integrate safe work practices into housing maintenance, repair, and improvements. Describe impediments that you anticipate for recruitment, measures you will perform to sustain recruitment, including incentives, and the staff responsible for both monitoring recruitment status and implementing the measures identified to sustain recruitment. Discuss possible recruitment problems, probability of dropouts and plans to over-recruit to compensate for dropouts. If you anticipate the Health Insurance Portability and Accountability Act (HIPAA) to impact on your recruitment, discuss strategies to address these issues.

(ii) Describe any assessment tools you would employ to establish baseline data. These tools include questionnaires, visual assessment protocols and environmental sampling and analysis. Include a description of the process you intend to follow for obtaining IRB approval, if necessary. In particular, describe how you will provide informed consent (*e.g.*, from the subjects, and their parents and guardians, as applicable) to help ensure their understanding of, and consent to, the elements of informed consent, such as the purposes, benefits and risks of the research activities. Describe how this information will be provided and how the consent will be collected. For example, describe the use of "plain language" forms, flyers, and verbal scripts, and discuss your plans to work with persons with limited English proficiency and their families, and with families including persons with disabilities.

(iii) Describe your process for evaluating units of housing in which you will undertake housing-based

health hazard interventions. Provide the estimated total number of owner-occupied and/or rental units in which you will perform assessments and conduct interventions.

(iv) Describe any specialized testing, if applicable, or visual assessment that you will conduct during assessment of units and provide a reference to source(s) of the protocol(s). Provide a description of protocols or include protocols with the supporting materials for your application.

(v) Discuss efforts to incorporate cost-effective methods to address multiple environmental health and safety hazards, and describe the specific interventions you will employ to control housing-based health hazards before children are affected; and/or to control these hazards in units where children have already been treated for illnesses or injuries associated with housing-based health hazards (*e.g.*, burns, lead poisoning, asthma). Provide an estimate of the cost of each intervention (material costs and labor costs associated with installation) and an estimate of costs projected per unit. Describe your management processes to be used to ensure the cost-effectiveness of the housing interventions.

(vi) Describe the process to be followed for referring children for medical case management when needed, and indicate organizations that will be involved in this process.

(vii) Describe your process for the development of work specifications for the selected interventions.

(viii) Discuss your process to select and obtain contractors for conducting interventions in selected units and provide details about the competitive bidding process, if applicable.

(ix) Describe your plan for the relocation of occupants of units selected for intervention, if temporary relocation is necessary. Describe criteria that will determine the need for relocation and identify staff that will make relocation decisions. Address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc., and the source of funding for relocation.

(x) Describe your plan for ensuring right of return and/or first referral for occupants of units selected for intervention who have had to move for intervention to occur.

(xi) Describe how you will affirmatively further fair housing, which would include, but not be limited to: Affirmative marketing of the program to those least likely to apply based on race, color, sex, familial status, national origin, religion, disability, especially when persons in these demographic

groups are generally not served by the grassroots community-based nonprofit organizations, including faith-based organizations or other partner organizations; providing materials in alternative formats for persons with disabilities; providing materials in languages other than English for individuals with limited English proficiency and their families; assuring long-term residency by families currently living in the community; and assuring that priority for treated units go to those who need the features (treatment) of the unit.

(xii) Describe the financing strategy, including eligibility requirements, terms, conditions, and amounts available, to be employed for conducting housing interventions. You must discuss the way funds will be administered (*e.g.*, use of grants, deferred loans, forgivable loans, other resources, private sector financing, etc.) as well as the agency that will administer the process.

(xiii) Describe your proposed methods for community and/or targeted education and training. These should include community awareness, education, training, and outreach programs that support your work plan and are culturally sensitive and targeted appropriately. Provide information about specific educational/outreach activities with quantitative data (number of individuals to be reached, etc.) and a description of the intended audience. Describe proposed activities to deliver culturally appropriate educational materials and methods to the target population and communities. Describe efforts to understand and incorporate culturally sensitive approaches to assessment and interventions.

(xiv) Provide detailed information about training staff or other organizations to provide the knowledge and skills required to address Healthy Homes issues that are essential for successfully implementing your project (*e.g.*, education, assessments and interventions). Include an outline of training curricula, a description of qualifications of trainers, and selection of individuals or groups who will receive the training. Discuss if Healthy Homes training programs will be expanded to include public housing agencies or Tribally Designated Housing Entities and other potential collaborators, such as grassroots community-based nonprofit organizations, including faith-based organizations, and if so, your plan for doing this.

(xv) Describe your proposed involvement of grassroots community-

based nonprofit organizations, including faith-based organizations, in the proposed activities including the development of consortia. These activities may include outreach, community education, marketing, inspection, and housing evaluations and interventions.

(xvi) Describe your proposed methods to reach high-risk groups and communities, vulnerable populations and persons traditionally underserved. Discuss how you will verify that participants reside in your target area, identified by socio-economic statistics, *i.e.* low or very low-income levels. Discuss your efforts to include families with children under six in your targeted interventions.

(xvii) Indicate if, and describe how, you will address any of HUD's departmental policy priorities (see General Section for a fuller explanation of HUD's policy priorities). You will receive points under Rating Factor 3 for each of the applicable FY 2005 policy priorities that are adequately addressed in your application to a maximum of six points (see the General Section). Policy priorities that are applicable to the Healthy Homes Demonstration NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grassroots Community-based Nonprofit Organizations, including Faith-based Organizations in HUD Program Implementation; (3) Participation of Minority-Serving Institutions in HUD Programs; (4) Removal of Regulatory Barriers to Affordable Housing and (5) Promoting Energy Efficiency and Energy Star. (For information on Energy Star Programs and Appliances, see [http://oaspub.epa.gov/web/meta\\_first\\_new2.try\\_these\\_first](http://oaspub.epa.gov/web/meta_first_new2.try_these_first). HUD expects the applicant to implement Energy Star building techniques and utilize Energy Star appliances whenever activities of the grant afford the opportunity.

Each policy priority is worth one point, except for policy priority (4), Removal of Regulatory Barriers to Affordable Housing, which is worth up to 2 points, provided the applicant responds to this policy priority as described in this NOFA and submits the required documentation as described in Form HUD 27300. Applicants may also provide a URL Web site address where the documentation can be readily found. Applicants that include work activities that specifically address one or more applicable policy priorities will receive higher rating scores than applicants that do not address these HUD priorities, up to a maximum of 6 points.

(2) *Approach for Managing the Project.* (12 points). Describe your project goals and objectives and the strategy you will use in managing and executing the project. You should provide information on the general approach and overall plan employed.

(a) *Project Management Plan* (10 points). Include a management plan that:

(i) Incorporates appropriate performance goals;

(ii) Lists the project objectives, major tasks and activities. All specific activities necessary to complete the proposed project must be included in the task.

(iii) Provides a schedule for the assignment, tracking and completion of major tasks and activities, and a timeframe for delivery;

(iv) Ensures that quality assurance activities and corrective actions are managed;

(v) Designates resources and identifies responsible entities (project staff/partner organizations);

(vi) Describes the strategy and methods for coordination and communication between partners; and

(vii) Describes the management processes to manage costs and ensure that cost-effective housing interventions will be implemented.

(b) *Budget Justification* (2 points). Your proposed budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the project management plan and intended use of program funds. HUD is not required to approve or fund all proposed activities. Your detailed budget should be submitted using Form "HUD-CBW". An electronic copy of this and other budgetary forms are available at: <http://www.grants.gov>. You must thoroughly document and justify all budget categories and costs (form HUD-424-CB) and all major tasks for yourself, sub-recipients, partners, major subcontractors, joint venture participants, or others contributing resources to the project. Include a 2-page narrative that describes clearly and in detail your budgeted costs for each required program element (major task) included in your overall plan. (You may include this narrative along with the budget forms; it will not count toward the 25-page limit of the narrative.) Include a separate, detailed budget for any sub-grantee who receives 10% or more of the grant funding. HUD-424-CB and HUD 424 CBW are available at <http://www.grants.gov> in the electronic submission process.

(3) *Economic Opportunity* (3 points). To the greatest extent feasible, your project should promote job training,

employment, and other economic opportunities for low-income and minority residents and businesses which are owned by, and/or employ, low-income and minority residents as defined in 24 CFR 135.5. You should:

(a) Describe how you or your partners will comply with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and HUD's implementing rules at 24 CFR part 135. Describe how you will accomplish this requirement by:

(i) providing training and employment opportunities for low- and very low-income persons living within the awardee's jurisdiction, and by

(ii) providing business opportunities to businesses owned by low- and very low-income persons living within the targeted jurisdiction; information about Section 3 requirements is available by searching HUD's Web site, <http://www.hud.gov>;

(b) Describe how your proposed project will provide opportunities for self-sufficiency, particularly for persons enrolled in welfare-to-work programs, or providing educational and job training opportunities; and

(c) Describe the extent to which your proposed activities will occur within a federally designated Renewable Community (RC), Empowerment Zone (EZ), or Enterprise Community designated by USDA in round II (EC-II) as defined in the General Section.

d. Rating Factor 4: Leveraging Resources (10 Points).

This factor addresses your ability to secure other community resources (*e.g.*, financing, supplies, or services) that can be combined with HUD's resources to achieve project purposes. These community resources may be contributions from organizations such as the applicant, partners, or other organizations not directly involved in the project.

(1) In evaluating this factor, HUD will consider the extent to which you have developed partnerships or consortia to secure additional resources to increase the effectiveness of your proposed project. Describe how other organizations will participate in or support your project. Resources may include funding or in-kind contributions (*e.g.*, labor, fringe benefits, services, supplies, or equipment) budgeted for your proposed project. Resources may be provided by state and local governmental entities, public or private organizations, or other partners.

(2) The signature of the authorized official on the Form SF-424 commits matching or other contributed resources of the applicant organization. A separate letter of commitment for the match from



the applicant organization is not required; however, the applicant must submit a letter of commitment from each organization other than itself that is providing a match, whether cash or in-kind. The letter must describe the contributed resource(s) that will be used in your project and the dollar value of each contribution. Staff and in-kind contributions should be given a market-based monetary value. If you fail to provide letters of commitment, from other organizations, with specific details, including the amount of the actual contributions, you will not get points for this factor. Each letter of commitment, memorandum of understanding, or agreement to participate shall include the organization's name and the proposed level of commitment and responsibilities as they relate to the proposed project. The commitment must be signed by an official legally able to make commitments on behalf of the organization. See the General Section for instructions on how to submit third party documents using the electronic submission process. Letters of support (letters that indicate support, but do not specify a monetary commitment to the project) will not be considered in the scoring of Rating Factor 4. Include information to address the following elements.

(a) The extent to which you have coordinated your activities with other known organizations that are not directly participating in your proposed work activities, but with which you share common goals and objectives.

(i) Describe your plan for integrating and coordinating housing-based health hazard interventions with other housing-related activities (*e.g.*, rehabilitation, weatherization, correction of code violations, and other similar work).

(ii) Describe your plans to generate and use public subsidies or other resources, such as loan funds, to finance future interventions to prevent and control housing-based health hazards, particularly in families with children under six years of age living in low- and very low-income housing.

(b) The extent to which your project exhibits the potential to be financially self-sustaining by decreasing dependence on federal funding and relying more on state, local and private funding to continue healthy homes activities after the funding period is completed.

Applicants are to complete the Factor 4 table, Leveraging Resources that is posted at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

e. Rating Factor 5: Achieving Results and Program Evaluation (15 points).

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability. HUD is committed to ensuring that applicants keep promises made in their applications and assess their performance to ensure that performance goals are met. Achieving results means you have clearly identified the benefits or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you identify program outcomes, interim benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your Evaluation Plan should identify what you are going to measure, how you are going to measure it, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established time frames.

In your response to this rating factor, you are to discuss the performance goals for your project, and identify specific outcome measures. Identify and discuss the specific methods you will use to measure progress towards your goals, track and report results of assessments and interventions, and evaluate the effectiveness of interventions; identify important project milestones (*e.g.*, the end of specific phases in a multi-phased project) and deliverables specific to your project timeline; and identify milestones that are critical to achieving project objectives (*e.g.*, developing questionnaires or protocols, hiring staff, recruitment of participants, and IRB approval and/or HIPAA Authorization, if applicable); identify benchmarks such as number of units that received intervention, percent of interventions that occurred in high-risk communities, etc., that you will use to track the progress of your project.

You should also identify how your project will be held accountable for meeting project goals, objectives, and the actions undertaken in implementing the program. You should provide assurances that work plans and performance measures developed for your project will be achieved in a timely and cost-effective manner.

You must complete and return the Form HUD-96010, Logic Model, showing your proposed project long-term, mid-term, short-term, and final results, and how they support HUD's

departmental goals and objectives. The Logic Model and instructions for completing the form are located in the General Section. Information about developing a Logic Model is available at: <http://www.grants.gov>.

In evaluating Rating Factor 5, HUD will consider how you have described the benefits and outcome measures of your program. HUD will also consider the proposed objectives and performance objectives relative to cost and achieving the purpose of the program, as well as the evaluation plan, to ensure the project is on schedule and within budget.

#### *B. Reviews and Selection Process*

Information on the review and selection process is provided in the General Section. The General Section also provides the procedures for correcting deficient applications.

#### *C. Anticipated Announcement and Award Dates*

The anticipated award date for this NOFA is September 30, 2005.

### **VI. Award Administration Information**

#### *A. Award Notices*

1. *Applicants Selected for Award.* Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer. The letter will provide additional details regarding the effective start date of the cooperative agreement or grant and any additional data and information to be submitted to execute a cooperative agreement or grant. This letter is not an authorization to begin work or incur costs under the cooperative agreement or grant.

HUD may require that all the awardees participate in negotiations to determine the specific terms of the cooperative agreement or grant and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant. If you accept the terms and conditions of the cooperative agreement or grant, you must return your signed cooperative agreement or grant by the date specified during negotiation.

After receiving the letter, additional instructions on how to have the cooperative agreement or grant account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms



and program requirements will also be provided.

In accordance with OMB Circular A-133 (Audits of States, Local Governments and Nonprofit Organizations), awardees will have to submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse. The address can be obtained from their web site. The SF-SAC can be downloaded at: <http://harvester.census.gov/sac/>.

2. *Debriefing.* The General Section provides the procedures for unsuccessful applicants to request a debriefing.

### *B. Administrative and National Policy Requirements*

Refer to the General Section for additional details regarding the Administrative and National Policy Requirements applicable to HUD Programs.

1. *Environmental Requirements.* Under the Consolidated Appropriations Act, 2005, the provisions of section 305(c) of the Multifamily Housing Property Disposition Reform Act of 1994, implemented by HUD regulations at 24 CFR part 58, "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities," are applicable to properties assisted with Healthy Homes Demonstration Grant funds. In accordance with part 58, applicants under this NOFA that are States, units of general local governments or Indian Tribes must act as the responsible entity and assume the environmental review responsibilities for activities funded under this NOFA. Other applicants must arrange for the unit of general local government or Indian Tribe to act as the responsible entity. Under 24 CFR 58.11, if a non-recipient responsible entity objects to performing the environmental review, or if a recipient that is not a responsible entity objects to the local or tribal government performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. Healthy Homes Demonstration grant applicants and other participants in activities under this NOFA may not undertake, or commit or expend Federal or non-Federal funds (including HUD-leveraged or match funds) for, housing interventions, related rehabilitation or other physical activities until the responsible entity completes an environmental review and the applicant submits and obtains HUD approval of a request for release of funds and the

responsible entity's environmental certification in accordance with part 58 (or until HUD has completed an environmental review under part 50). The results of environmental reviews on individual projects may require that proposed activities be modified or proposed sites rejected. For assistance, contact Karen Choi, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (213) 534-2458 (this is not a toll-free number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing-or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Recipients of a cooperative agreement under this NOFA will be given guidance in these responsibilities.

2. *Executive Order 13202.* Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects" is a condition of receipt of assistance under a HUD Program NOFA.

3. *Procurement of Recovered Materials.* See the General Section for information concerning this requirement.

4. *Relocation.* Any person (including individuals, partnerships, corporations, or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property, in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity, is covered by federal relocation statutes and regulations. Specifically, this type of move is covered by the acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA), as amended, and the implementing government wide regulation at 49 CFR part 24. The relocation requirements of the URA and the government wide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of acquisition, rehabilitation or demolition for an activity undertaken with HUD assistance. While the Healthy Homes Demonstration Grant Program is not HUD assistance, the grantee must relocate families to decent, safe and sanitary housing, and should use the URA as guidance for doing so. If

families or individuals are temporarily relocated in a project which utilizes Community Development Block Grant funds, the guidance and requirements of 24 CFR 570.606(b)(2)(i)(D)(1)-(3) must be met. HUD recommends you review these regulations when preparing your proposal. (They can be downloaded from the Government Printing Office Web site at <http://www.gpoaccess.gov/cfr/> by entering "24CFR570.606" in quotes without any spaces in the Quick Search box.) See Section III.C of the General Section for additional information about relocation.

5. *Davis-Bacon Act.* The Davis-Bacon Act does not apply to this program. However, if program funds are used in conjunction with other federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other federal programs.

6. *Audit Requirements.* Any grant recipient that spends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR part 84 or 85, as applicable, in accordance with OMB Circular A-133.

### *C. Reporting*

Successful applicants will be required to submit quarterly and final program and financial reports according to the requirements of the Office of Healthy Homes and Lead Hazard Control. Specific guidance and additional details will be provided to successful applicants. The following items are a part of OHHLHC reporting requirements.

1. Final Work Plan and Budget are due prior to the effective start of the cooperative agreement or grant.

2. *Quality Assurance Plan (QAP).* Successful Healthy Homes Demonstration applicants that will be collecting housing, demographic or environmental data in a formalized manner for use in assessing effectiveness of the approaches being demonstrated under the cooperative agreement or grant will be required to submit a Quality Assurance Plan (QAP) to HUD prior to initiating work under the cooperative agreement or grant. This is a streamlined version of the format used by some other Federal agencies, and is intended to help ensure the accuracy and validity of the data that you will collect under the cooperative agreement or grant. (See the HUD Office of Healthy Homes and Lead Hazard Control's Internet site, <http://www.hud.gov/offices/lead/>, for the QAP template). Your proposed project activities should include developing

this QAP. The QAP will be submitted to HUD as a part of your work plan.

3. Progress reports are due on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance: <http://www.hud.gov/offices/lead>.

4. A final report is due at the end of the project period, which includes final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model (HUD-96010) approved and incorporated into your award agreement. Specific information on all reporting requirements will be provided to successful applicants.

5. Racial and Ethnic Beneficiary Data. HUD does not require Healthy Homes Demonstration Grantees to report ethnic and racial beneficiary data as part of their initial application package. However, such data must be reported on an annual basis, at a minimum, during the implementation of your grant. You must use the Office of Management and Budget's Standards for the Collection of

Racial and Ethnic Data to report these data, using Form HUD-27061, Racial and Ethnic Data Reporting Form, found on <http://www.grants.gov>, along with instructions for its use.

#### VII. Agency Contacts

For questions related to the application process, you may contact the Grants.gov helpline at 800-518-GRANTS. For programmatic questions, you may contact by writing: Emily Williams, Director; Healthy Homes Division; Department of Housing and Urban Development; Office of Healthy Homes and Lead Hazard Control; 451 Seventh Street, SW., Room P3206; Washington, DC 20410-3000; or by telephone by calling (336) 547-4002, extension 2067 (this is not a toll-free number); or via e-mail at: [Emily\\_E.\\_Williams@hud.gov](mailto:Emily_E._Williams@hud.gov). For administrative questions, you may contact Curtissa L. Coleman, Grants Officer, at the address above or by telephone at: (202) 755-1785, extension 119 (this is not a toll-free number) or via e-mail at: [Curtissa\\_L.\\_Coleman@hud.gov](mailto:Curtissa_L._Coleman@hud.gov). If you are hearing or speech-impaired, you may reach the above telephone numbers via TTY by calling the toll-free Federal

Information Relay Service at 800-877-8339.

#### VIII. Other Information

##### A. HUD Reform Act

The provisions of the HUD Reform Act of 1989 that apply to this NOFA are discussed in the General Section. Refer to the General Section for details regarding other information on submitting a complete application that meets HUD requirements. For additional general, technical, and program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/healthyhomes>.

##### B. Appendices

Appendix A, which contains forms that are required to be completed and submitted as part of your response to the rating factors that are discussed in Section V, and Appendices B through D to this Healthy Homes Demonstration Program NOFA, can be found and downloaded from HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

BILLING CODE 4210-32-P

**Healthy Homes and  
Lead Hazard Programs**

**U.S. Department of Housing  
and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-001  
(expires 4/30/2007)

<b>Factor 1 Capacity Of The Applicant And Relevant Organizational Experience</b>			
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.			
<b>A. Key Personnel</b>			
Name and Position Title (please include the organization position titles in addition to those shown). Resumes or position descriptions are to be included in appendix.	Percent of Time Proposed for this Grant (HUD Funded or In-Kind)	Percent of Time to be spent on other LHC HUD grants	Percent of Time to be spent on other Activities
	Note: These three columns should total 100%		
A.1 Overall Project Director			
Name:			
Organization Position Title:			
Phone Number:      Fax Number:			
Email:			
A.2 Day-to-Day Program Manager <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:      Fax Number:			
Email:			
A.3 Other <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:      Fax Number:			
Email:			
<b>B. Partners</b>			
Name of the organization or entity that partners or will partner with applicant and if partner will be subgrantee/subrecipient	Description of Commitment and Status	Proposed Activities To Be Conducted by Partner	Amount of HUD Grant Funds (If Subgrant)
B.1 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.2 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.3 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.4 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.5 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.6 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
B.7 Name:			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>Definitions:</b> <b>Partner Name:</b> Name of organization or entity that will partner with applicant in conducting program activities. <b>Type of Organization or Program:</b> Health, Housing, Environmental, Community Development Department, Planning Department, Grassroots Faith-Based or Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institution, Job Training and Economic Opportunity Organization, etc. <b>Description of Commitment:</b> Memorandum of Understanding/Agreement, Contract, Subgrantees, Letter, etc. <b>Proposed Activities to be Conducted by Partner:</b> The type of activities that will be conducted by the grant partner in support of program efforts (i.e. rehabilitation, testing, training, education and outreach, specification writing, relocation, etc.) <b>Amount of HUD Grant Funds if Subgrantee/Subrecipient:</b> The dollar amount subgrantee/subrecipient will be receiving for the services they will provide.			

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-001:  
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Factor 2		Need/Extent Of The Problem							
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.									
Name of Jurisdiction			Name of Target Area (s)						
<b>A. Documented Blood Lead Level (BLL)</b>									
A.1 Total Number of Children <6 Years (72 months) of Age in Jurisdiction: % of Total Population:			A.2 Total Number of Children <6 Years (72 months) of Age in Target Area: % of Total Population:						
Blood Lead Level	Number of Children Under 6 Years	% Of Total	Blood Lead Level	Number of Children Under 6 Years	% Of Total				
< 10 µg/dL			< 10 µg/dL						
≥10 µg/dL and ≤19 µg/dL			≥10 µg/dL and ≤19 µg/dL						
≥ 20 µg/dL			≥ 20 µg/dL						
Total Tested		100%	Total Tested		100%				
Source and Date Documented (Indicate Period Covered)*			Source and Date Documented (Indicate Period Covered)*						
*Attach documentation in appendix - State or local health department may be a good source for this information									
<b>B. Housing Age and Tenure</b>									
B.1 Jurisdiction					B.2 Target Area (s)				
Year Built	Number	% of Total	Owner	Renter	Year Built	Number	% of Total	Owner	Renter
Pre-1940					Pre-1940				
1940-1949					1940-1949				
1950-1959					1950-1959				
1960-1969					1960-1969				
1970-1977					1970-1977				
1979 or newer					1979 or newer				
Total					Total				
Source: 2000 Census - <a href="http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en">http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;program=DEC&amp;lang=en</a>									
Instructions:									
<ol style="list-style-type: none"> <li>1. Select "Census 2000 Summary File 3 (SF3) – Sample Data"</li> <li>2. Click on "Detailed Tables" on the side menu</li> <li>3. On the next page, select "Place" from the pull-down menu next to "Select a geographic type"</li> <li>4. Select the "State" from the pull-down menu next to "Select a State"</li> <li>5. Select one or more "cities" of interest from the selected state and click "Add"</li> <li>6. Click the button that says "Next"</li> <li>7. On the next page, select "H36. Tenure by Year Structure Built" from the pull-down menu, then "Select one or more tables" and click "Add"</li> <li>8. Click "Show Tables"</li> </ol>									
*Attach copy of the downloaded information in appendix.									
<b>C. Very Low and Low-Income Population – As Determined by HUD</b>									
C.1 Jurisdiction					C.2 Target Area (s)				
Number of Families ≤50% of AMI	%	Total Number of Families <80% of AMI*	%		Number of Families ≤50% of AMI	%	Total Number of Families <80% of AMI	%	
Source: Income Limits As Determined by HUD- <a href="http://www.huduser.org/datasets/il.html">http://www.huduser.org/datasets/il.html</a>									
Instructions:									
<ol style="list-style-type: none"> <li>1. Select the appropriate State</li> <li>2. Click on the link that says "Open PDF file"</li> <li>3. Search for appropriate location</li> </ol>									
*Attach copy of the downloaded information in appendix									

**Healthy Homes and  
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<b>Factor 3</b>	<b>Soundness Of Approach</b>
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<b>A. Proposed Lead Hazard Control Activities</b>		<b>Total Units To Be Completed and Cleared</b>					
Activity	Who Will Perform This Activity (Name or Agency/Organization)	Number of Units	Housing Tenure			Estimated Timeline to Complete Work	Estimated Per Unit Cost
			Owner Occupied	Rental	Vacant		
Identification, Selection, Prioritization of Units (Referrals)*							
Intake/Enrollment							N/A
Financing (Grant, Loan, Other)							N/A
Pre-Hazard Control Blood Lead Testing			N/A	N/A	N/A		
Paint Inspections/Risk Assessments							
Laboratory Analysis of Samples			N/A	N/A	N/A		
Work Specifications			N/A	N/A	N/A		
Bid Process/ Contractor Selection			N/A	N/A	N/A		
Temporary Relocation							
Interim Controls							
Hazard Abatement							
Quality Control-Contractor Performance			N/A	N/A	N/A		N/A
Clearance Evaluations			N/A	N/A	N/A		
Maintenance Plan - Unit Follow Up			N/A	N/A	N/A		N/A
Community Outreach/ Education		N/A	N/A	N/A	N/A		N/A
Training		N/A	N/A	N/A	N/A		N/A

**Activity:**  
\*Identification, Selection, Prioritization of Units (Referrals) This should be a higher number than the number of units that are projected to be completed and cleared by the program

**Who Will Perform This Activity:** Applicant Agency, Partner Organization, Contractor, Grassroots Faith-Based or Community-Based Non-Profit Organization.

**Number of Units:** Number of units to receive program services.

**Housing Tenure:** Number of units to receive program services according to housing tenure status (i.e. owner occupied, renter occupied, vacant)

**Estimated Time to Complete Work for each unit:** Hours, days, weeks required to complete an activity

**Estimated Unit Cost:** Self explanatory

**Healthy Homes and  
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<b>Factor 4</b>	<b>Leveraging Resources</b>
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Name Of The Organization Or Entity That Will Contribute Match Or Leveraged Funds And If The Organization Will Be A Subgrantee/Subrecipient	Work To Be Accomplished In Support Of The Program.	Value Of In-Kind Or Cash Match Contribution*	Additional Leveraged Funds Contribution	Total Of Match And Leveraged Contributions
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
Name: Type of Organization: Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No				\$0.00
<b>Total Amount</b>				<b>\$ 0.00 \$ 0.00 \$ 0</b>

**Name of the organization or entity that will contribute match or leveraged funds and if they are to be a subgrantee/subrecipient:** Self explanatory.

**Work to be accomplished in support of the program:** The type of activities that will be accomplished in support of the program (i.e. outreach, training, risk Assessments/paint Inspections, relocation, etc.)

**Value of In-kind or Cash Match Contribution:** As required by statute or appropriation.

**Additional Leveraged Funds Contribution:** Additional funds above the match contribution required by statute or appropriation

**Total of Match and Leveraged Contributions:** The total of an applicant's In-kind or Cash Match Contribution and any additional Leveraged Funds Contribution

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES AND LEAD  
HAZARD CONTROL PROGRAMS**

**OPERATION LEAD ELIMINATION  
ACTION PROGRAM (LEAP)**

Billing Code 4210-32-C

## Operation Lead Elimination Action Program (LEAP)

### Overview Information

A. *Federal Agency Name:* Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. *Funding Opportunity Title:* Operation Lead Elimination Action Program (LEAP).

C. *Announcement Type:* Initial Announcement.

D. *Funding Opportunity Number:* FR-4950-N-31, OMB Approval Number 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number:* 14.903, Operation Lead Elimination Action Program.

F. *Dates:* For 2005, HUD is accepting electronic applications utilizing Grants.gov. The application submission date is June 9, 2005. See the General Section for specific instructions for application submissions procedures and timely filing.

### G. *Additional Overview Content Information:*

1. *Purpose of the Program.* The purpose of the Operation Lead Elimination Action Program (LEAP) is to provide grants to private sector and nonprofit organizations to leverage funds for addressing lead hazards in privately owned housing units and eliminating lead poisoning as a major public health threat to young children.

2. *Available Funds.* Approximately \$8 million in fiscal year (FY) 2005 funds.

3. *Eligible Applicants.* To be eligible to apply for funding under this program, the applicant must be a tax-exempt nonprofit (501(c)(3)), or other non-profit or for-profit entity or firm. For-profit institutions are not allowed to earn a fee. Colleges and Universities are also eligible to apply. National and local parent groups are encouraged to apply. States and units of general local government and their departments are not eligible.

### Full Text of Announcement

#### I. Funding Opportunity Description

*Program Description.* Operation LEAP funds are for grants to private sector and non-profit organizations for activities that leverage additional funding for addressing lead hazards in eligible privately owned housing units and eliminating lead poisoning as a major public health threat to young children. HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub. L. 108-447; approved December 8, 2004). Leveraged funds must be spent exclusively on addressing lead hazards

in eligible privately owned housing units. Applicants are encouraged to employ creativity and initiative in mobilizing resources expeditiously for lead hazard control prevention efforts. Based upon the responses provided to the rating factors criteria described below, grants will be awarded to those entities that submit a detailed plan and strategy that demonstrates adequate capacity to implement the program and demonstrates the ability to generate and use private sector resources for lead hazard control prevention efforts.

LEAP funds may also be used to eliminate lead-based paint hazards in low-income privately owned housing as well as implementing other lead hazard control strategies as defined by Title X of the Housing and Community Development Act of 1992 (42 U.S.C. 4851 *et seq.*). However, these activities are only eligible if they are tied directly to a leveraging strategy. For example, LEAP funds could be used to fund the replacement of windows that are determined to be a lead-based paint hazard, while leveraged funds from owners could be used to do paint stabilization elsewhere in the unit (or in other units) where lead-based paint hazards are present.

#### II. Award Information

*Funding Available:* Approximately \$8 million in fiscal year (FY) 2005 funds. The maximum award shall be \$2 million per grant. HUD anticipates that approximately 4 to 6 grants will be awarded. The period of performance is 36 months. The first 18 months shall be used for obtaining the leveraged private sector resources. A period of performance extension for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 84.25(e)(2) and the Office of Healthy Homes and Lead Hazard Control Program Guide. Only one extension will be provided for a period not to exceed 12 months.

#### III. Eligibility Information

See the General Section for additional eligibility requirements applicable to HUD Programs.

##### A. *Eligible Applicants*

To be eligible to apply for funding under this program, the applicant must be a tax-exempt nonprofit (501(c)(3)), or other non-profit or for-profit entity or firm. For-profit institutions are not allowed to earn a fee. Colleges and Universities are also eligible. National and local parent groups are encouraged to apply. States and units of general local government and their departments

are not eligible. Applicants who received awards under the fiscal year 2004 Notice of Funding Availability published in the **Federal Register** on May 14, 2004 are eligible to apply under this NOFA.

##### B. *Cost Sharing or Matching*

There is no match requirement for this grant.

##### C. *Other*

To be eligible for funding under this NOFA, the applicant must meet all federal statutory and regulatory requirements applicable to this program including 24 CFR part 84 and applicable OMB circulars (*i.e.*, cost principal, uniform administrative requirements, audits). In addition, you will be required to comply with all state and local statutes, regulations or other applicable requirements.

1. *Threshold Requirements.* As an applicant, you and any sub-recipient must meet all of the threshold requirements in Section III.C of the General Section. Applications that do not address the threshold items will not be funded.

2. *Eligible Activities.* Activities conducted for the purpose of developing and implementing local or regional strategies designed to leverage or mobilize resources from the private sector are eligible activities. These activities may include, but are not necessarily limited to:

a. Providing technical lead safety training to workers or supervisors regarding lead safe work practices;

b. Conducting outreach and related activities that are directly tied to a leveraging strategy, and that will result in increased lead hazard control activities in low-income privately owned or owner occupied housing with lead-based paint hazards.

c. Lead hazard control activities tied directly to a leveraging strategy and conducted in low- and very low-income eligible privately-owned rental and occupied housing units, including:

(1) Performing dust, paint or soil testing, hazard screens, inspections, and risk assessments of eligible housing constructed before 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil;

(2) Conducting lead hazard control, which may include interim control of lead based paint hazards in housing (which may include specialized cleaning techniques to address lead dust); or abatement of lead-based paint hazards, including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods, where necessary. Unless there are only



a few surfaces coated with lead paint, complete abatement of all lead-based paint or lead-contaminated soil is not usually acceptable as a cost-effective strategy unless justification is provided and subsequently approved by HUD. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, *i.e.*, drip line or foundation of the structure being treated, and children's play areas. All hazard control activities must comply with 24 CFR part 35, subpart R, the HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing and all applicable Federal, state and local regulations; in the case of a conflict between any of the above, the more stringent shall apply;

(3) Carrying out temporary relocation of families and individuals during the period in which lead hazard control is conducted and until the time the affected unit receives clearance for re-occupancy;

(4) Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors, and contractors; and

(5) Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. Operation LEAP grant funds and leveraged funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD strongly encourages integration of this grant program with housing rehabilitation, weatherization, and other energy conservation activities.

(6) Conducting clearance dust-wipe testing and associated laboratory analysis.

(7) Purchasing or leasing no more than two (2) X-ray fluorescence analyzers for use by the Program, if not already available.

d. Eligible costs that include providing all necessary administrative and indirect support, including rent, equipment, materials, travel expenses and logistics, and subcontractor/consultant costs necessary to carryout grant activities.

3. *Program Requirements.* In general, applicants conducting lead hazard control activities must ensure that work is conducted in compliance with the applicable requirements of HUD's Lead-Safe Housing Regulation, 24 CFR part 35, and as clarified in HUD's Interpretive Guidance about the rule located at <http://www.hud.gov/offices/lead/guidelines/leadsaferule/index.cfm>.

a. Eligible Housing Units. LEAP funds may be used to support lead hazard control work in eligible low- and very low-income privately owned rental and occupied housing units. Refer to Section III.C.5 below about downloading a list (Eligibility of HUD-Assisted Housing) of the HUD-associated housing programs that meet the definition of eligible housing under this program.

b. Continued Availability of Lead-Safe Housing to Low-Income Families. Units in which lead hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income families for at least three years as required by Title X (Section 1011). Affirmative marketing to families (particularly low-income families with children under six years of age) is encouraged, as described under Rating Factor 5. The grantee must also notify the owner of information on lead hazard evaluation and control generated during grant activities in the housing, so that the housing owner will comply with disclosure requirements under 24 CFR part 35, subpart A.

c. Testing. For applicants conducting lead hazard control activities, all testing and sampling shall conform to the current HUD Guidelines and federal, state, or tribal regulations developed as part of the appropriate contractor certification program whichever is more stringent. Testing must be conducted according to the HUD Guidelines, located at <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>, and the EPA lead hazard standards rule at 40 CFR part 745. All units undergoing lead hazard control must have clearance testing performed.

(1) Lead-Based Paint and Lead-Based Paint Hazard Identification. For applicants conducting lead hazard control activities, an inspection or risk assessment is required. You should ensure that lead paint inspection and risk assessment reports are conducted in accordance with established protocols and sufficient to support hazard control decisions.

(2) Clearance Testing. For applicants conducting lead hazard control activities, clearance testing shall be completed in accordance with Chapter 15 of the HUD Guidelines and the EPA lead hazards standards rule at 40 CFR part 745 for abatement projects and the Lead-Safe Housing Rule (24 CFR part 35) for lead hazard control activities or other abatement. The clearance standards shall be the more restrictive of those set by the local jurisdiction or by EPA or HUD.

(3) Blood Lead Testing: HUD recommends testing each occupant who is under six years of age for lead

poisoning prior to proceeding with the housing intervention. Any child with an elevated blood lead level should be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease Control and Prevention (CDC) publications *Preventing Lead Poisoning in Young Children* (1991), and *Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials* (1997).

d. Written Policies and Procedures. For applicants conducting lead hazard control activities, you must have clearly established written policies and procedures for eligibility, program marketing, unit selection, expediting work on homes occupied by children with elevated blood lead levels, and all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, relocation, and clearance testing. Grantees, subcontractors, subgrantees, sub-recipients, and their contractors must adhere to these policies and procedures.

e. Prohibited Practices. For applicants conducting lead hazard control activities, you must not engage in the following prohibited practices:

- (1) Open flame burning or torching;
- (2) Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
- (3) Uncontained hydro blasting or high-pressure wash;
- (4) Abrasive blasting or sandblasting without HEPA exhaust control;
- (5) Heat guns operating above 1,100 degrees Fahrenheit;
- (6) Chemical paint strippers containing methylene chloride or other volatile hazardous chemicals in a poorly ventilated space; and
- (7) Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

f. Research. In conformance with the Common Rule (*Federal Policy for the Protection of Human Subjects*, codified by HUD at 24 CFR part 60), for applicants conducting blood lead testing as part of a research effort, your organization must provide an assurance (*e.g.*, a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can receive funds from HUD for activities that require IRB approval. Before receiving such funds, you must also provide the number for your

organization's assurance (*i.e.*, an "institutional assurance") that has been approved by the Department of Health and Human Service's Office of Human Research Protections (OHRP). For additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP Web site at <http://ohrp.osophs.dhhs.gov/>.

g. Conducting Business in Accordance with HUD Core Values and Ethical Standards. Refer to the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

h. Applicants must also comply with HUD's Section 3 requirements as stated at 24 CFR 135.3(a)(2)(i).

4. DUNS Requirement. Refer to the General Section for information regarding the DUNS requirement. You will need to obtain a DUNS number to receive an award from HUD.

5. Eligibility of HUD-Assisted Housing. The chart "Eligibility of HUD-Assisted Housing" available at <http://www.hud.gov>, lists the "eligible" housing units that may participate under LEAP when lead hazard control is tied directly to a leveraging strategy.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

1. Application Submission. See the General Section for specific procedures for application submission and timely receipt procedures. Be advised there is no Application Kit for the Operation Lead Elimination Action Program. All the information required to submit an application is available in the application and instructions at <http://www.grants.gov>.

a. Guidebook and Further Information. Copies of the General Section and this Program Section are also available from the NOFA Information Center at 800-HUD-8929 or 800-HUD-2209 (TTY). When requesting information, please refer to the name of the program you are interested in. Be sure to provide your name, address (including zip code), and telephone number (including area code).

##### B. Content and Form of Application Submission

1. Applicants should follow the submission requirements for the Operation Lead Elimination Action Program (LEAP). Applicants should follow the submission requirements described below.

a. Application Information.

(1) Application Format. The application narrative response to the

Rating Factors are limited to a maximum of the equivalent of 15 pages. Your word processing response must be prepared as a single-sided document, using 8½" x 11" paper, using a 12-point font with not less than ¾" margins on all sides. Additional materials should be referenced and discussed in the narrative response. These additional materials should directly apply to the rating factor narrative.

(2) Application Checklist (voluntary). Your application must contain all of the required information noted in this Program Section and the General Section. See the General Section for specific procedures for application submission and timely receipt procedures. The "Checklist and Submission Table of Contents" below includes a listing of the required items needed for submitting a complete application and receiving consideration for funding. You are to assemble the application to include the items shown in the Checklist and Submission Table of Contents. For paper copy applications, inclusion of this Checklist and Submission Table of Contents with your proposal is recommended but not required.

##### Checklist and Submission Table of Contents Lead Elimination Action Program (LEAP)

- Applicant Abstract (limited to a maximum of 2 pages).
- Rating Factor Response (limited to a maximum of 15 pages).
  1. Capacity of the Applicant and Relevant Organizational Experience—Form HUD-96012.
  2. Need/Extent of the Problem—Form HUD-96013.
  3. Soundness of Approach—Form HUD-96014; and Work Plan development Worksheet—36 Month Period of Performance—Form HUD-96008;
  4. Leveraging Resources.
  5. Achieving Results and Program Evaluation—Form HUD-96010 Logic Model.
  6. Certification of Consistency with RC/EZ/EC-II Strategic Plan (HUD-2990) if applicable;
    - Application Forms. SF-424. SF-424 Supplement. Facsimile Transmittal (HUD-96011). Form HUD-424CB. Form HUD-424CBW—Total Budget (Federal Share and Matching) with Supporting Narrative and Cost Justification. Form HUD-2880 Disclosure and Update Report. Form HUD-27300—Questionnaire for HUD's Initiative on Removal of

Regulatory Barriers (include any documentation required).

Form SF-LLL Disclosure of Lobbying Activities Required (if applicable).

HUD's Waiver from submitting electronically (if applicable).

Form HUD-2993 Acknowledgment of Application Receipt (only if waiver from electronic submission has been obtained).

Form HUD-2994 Client Comments and Suggestions (completion of this form is optional).

• Other Rating Factor Related Materials.

The following are instructions on the items to be submitted as part of the application. See the General Section for instructions for submitting third party documents and electronic files.

(a) Abstract Summary. Provide an abstract summary describing the goals and objectives of the proposed program (two-page maximum); including:

(i) the total amount of the Federal request and the amount of the matching contribution for the entire period of performance;

(ii) the specific activities that will be conducted;

(iii) the organization(s) that will participate in the program; and

(iv) your prior activities, experience and achievements in related work.

(b) Forms. See the General Section for specific instructions for application submissions procedures and timely receipt. You can download Form HUD-96008, Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months, from <http://www.hud.gov>.

(c) Budget. A total budget summary (total budget is the Federal share and leveraged contribution) with supporting narrative and cost justifications for all budget categories of your grant request. A maximum of ten percent of the Federal share can be for administrative costs. Provide a detailed budget with supporting cost justification for all budget categories of your funding request, in accordance with Rating Factor 3. This information will not be counted towards the page limits. A detailed budget must also be provided for any subcontractors, subgrantees, or subrecipients receiving greater than 10 percent of the Federal budget request. An itemized breakout (using the Form HUD-424CBW) of leveraged contributions that are directly received by the project or sub recipients should be documented including:

(i) Values placed on donated in-kind services;

(ii) Letters or other evidence of commitment from donors; and

(iii) The amounts and sources of contributed resources.

(d) Teaming. Contracts, Memoranda of Understanding or Agreement, letters of commitment or other documentation must describe the proposed roles of agencies, local broad-based task forces, participating faith-based or other community- or neighborhood-based groups or organizations, local businesses, and others working with the program. For-profit entities and/or firms must clearly demonstrate and document how activities, including the lead-based paint hazard identification and control measures to be undertaken by the applicant, will be coordinated with local organizations, state(s) or units of general local government to carry out lead hazard control and other program activities.

b. Other leveraged resources not received directly by the project and sub recipients but used to support program activities should be included in the narrative response to Rating Factor 3, but not on Form HUD-424-CBW. Applicants should describe their methodology for tracking leveraged resources not directly received by the project or sub recipients.

c. Rating Factor Responses—Proposed Activities. All applications must respond to the rating factors for award, and numbered in accordance with each factor for award (Rating Factors 1 through 4).

### C. Submission Dates and Times

*Application submission.* The submission date is June 9, 2005. Electronic applications must be submitted and received by grants.gov on or before 11:59:59 p.m. eastern time on the submission date. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. Refer to the General Section for additional submission requirements including acceptable submission methods, acceptable proof of delivery and other information to assist the applicant. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date.

Applicants receiving a waiver to the electronic submission process must submit the required number of copies of the application by the application submission date to the identified address in Appendix C of the General Section.

### D. Intergovernmental Review

Not applicable.

### E. Funding Restrictions

1. Ineligible Activities. You may not use grant funds for any of the following:

- a. Purchase of real property;
- b. Chelation or other medical treatment costs related to children with elevated blood lead levels; and
- c. Lead hazard abatement activities in public housing, or project-based Section 8 housing.

d. Activities that do not comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

e. Lead-based paint hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), as having special flood hazards unless:

(1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

### F. Other Submission Requirements

Refer to the General Section for other application submission requirements.

## V. Application Review Information

### A. Criteria

The factors for award used to evaluate and rate applications include:

Rating Factor 1: Organizational Capacity—Form HUD 96012.

Rating Factor 2: Need/Extent of the Problem—Form HUD 96013.

Rating Factor 3: Approach—Soundness of Approach—Form HUD 96014; and Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008.

Rating Factor 4: Leveraging Resources.

Rating Factor 5: Achieving Results and Program Evaluation—Logic Model—Form HUD-96010.

RC/EZ/EC-II—Bonus Points (2 Points).

Applicants are encouraged to employ creativity and initiative in mobilizing resources expeditiously for lead hazard control prevention efforts. Based upon the responses provided to the rating

factors described below, grants will be awarded to those entities who submit a detailed strategy that demonstrates adequate capacity to carry out the proposed use of funds and who demonstrate the ability to generate and use private sector resources for lead hazard control prevention efforts. The factors for rating and ranking applicants, and maximum points for each factor, are delineated below. The maximum number of points to be awarded is 102, which includes up to 2 bonus points for activities proposed to be located in RC/EZ/EC-II communities (See Section V.A.6. below).

### 1. Rating Factor 1: Organizational Capacity (20 points)

This factor addresses the applicant's organizational capacity to successfully implement the proposed activities in a timely manner.

#### a. Staff Experience (10 points).

Describe the knowledge and experience of the staff responsible for the following functions: Executive Direction; Finance, Marketing; and Program Coordination. The applicant must have sufficient qualified personnel or be able to quickly retain qualified experts or professionals in financial/grant management, marketing, and/or lead-based paint programs that will allow you to immediately begin your proposed work program and to perform your proposed activities within the 36 month period of performance (Form HUD-96008). The applicant's narrative should include information about your organizational and staff capacity in raising and/or leveraging funds, and in recent success in garnering private sector support (e.g., within the past five years). Include a discussion of staff knowledge and expertise in raising and/or leveraging funds, possessing the prerequisite organizational skills, and lead poisoning prevention activities.

The discussion on capacity should include the depth, experience, the commitment of time to the program, salary information, and position titles of the program staff.

Resumes or detailed job announcements for the above key positions must be included in your application. Indicate the percentage of time key personnel will devote to the proposed project. An applicant may demonstrate capacity by thoroughly describing prior experience in this type of activity and/or how the applicant will develop the necessary capacity to carry out proposed activities.

#### b. Grants Management (4 points).

Describe your agency's or organization's ability to manage grants

and leveraged program funds and activities.

c. Team Expertise (4 points).

Describe project knowledge and experience by participants and team members regarding lead poisoning as a public health threat to children, and/or lead-based paint issues and hazard control. Use of staff with more recent, relevant, and demonstrated successful experience will result in a higher rating.

d. Removal of Barriers to Affordable Housing (2 points).

A new applicant will be awarded up to two points under Rating Factor 1 for activities that remove barriers to affordable housing within their communities; support state and local efforts to streamline processes and procedures; and eliminate redundant requirements, statutes, regulations, and codes which impede the availability of affordable housing. This priority relates to HUD's Strategic Goals for Increasing Homeownership Opportunities and Promoting Decent Affordable Housing. For more details refer to section V.B.1.

2. Rating Factor 2: Need/Extent of the Problem (10 points)

This factor addresses the extent to which there is a need for the proposed program to address a documented problem related to lead-based paint and lead-based paint hazards in your identified target area(s). An applicant will be scored in this rating factor based on their documented need as evidenced by thorough, credible, and appropriate data and information. The evaluation will be based only on the applicant's documentation of the data submitted. The data submitted in response to this rating factor will be verified using data available from the Census, HUDuser, other data available to HUD and/or in cooperation with the Centers for Disease Control and Prevention. The applicant is to complete the Factor 2 Table—Need/Extent of the Problem in Section IV of this NOFA.

A maximum of 10 Points will be awarded in this rating factor based on the information documenting the number of children with an elevated blood lead level, the number of pre-1978 housing units, and the number and percentage of families with incomes at or below 80% of the Area Median Income as determined by HUD within your target areas.

a. Documented Number of Children with an Elevated Blood Lead (EBL) (3 Points Maximum).

Provide the actual number of children documented as having an elevated blood lead (EBL) residing within the target area for the most recent complete calendar year and identify the source of

the data. Data prior to calendar year 2001 will not be accepted. For the purposes of this application, the "documented number of children" with an EBL is based on the CDC level of concern. A child under six years of age with a blood lead level test result equal to or greater than 10 micrograms of lead per deciliter of blood, which was performed by a medical health care provider is considered to have an EBL. The actual number of children with an EBL (not an estimate) must be reported to HUD in order to receive points for this sub-factor. Do not send the children's names or addresses or other identifiers. Failure to provide this number in the application means that no points will be awarded for this sub-factor. For you to receive maximum points for this rating factor there must be a direct relationship between your proposed lead hazard control activities and the documented community needs. Since an objective of the program is to prevent at-risk children from being poisoned, specific attention must be paid to documenting the identified need as it applies to any selected targeted area(s).

Applicants are to use the Factor 2 Table to document the target area(s) need:

Points will be awarded based on the documented number of children with an elevated blood lead level according to the table, "Points Awarded for Number of Children Under Age 6 Years with an Elevated Blood Lead Level in Target Area," that can be downloaded from <http://www.hud.gov>. The table shows the number of points awarded based on the number of children with an elevated blood lead level in the grant target area(s).

b. Housing market data relevant to the specified target area(s). Housing Age for the following sub-categories: Pre-1940, 1940-1949, 1950-1959, 1960-1969, 1970-1979 and 1980 or newer (Census information includes 1970-1979 category). (3 Points Maximum). Points will be awarded for the number of pre 1940 occupied rental units in the applicant's jurisdiction according to the table, "Points Awarded for Number of Pre-1940 Occupied Rental Housing Units in Target Area," that can be downloaded from <http://www.hud.gov>. The table shows the number of points awarded based on the number of pre-1940 occupied rental housing units in the grant target area(s).

c. The number and percentage of very-low (income less than 50 percent of the area median) and low- (income less than 80 percent of the area median) income families, as determined by HUD (<http://www.huduser.org>), with

adjustments for smaller and larger families (Very-Low and Low-Income Population) (4 Points Maximum). Points will be awarded for the number of very low and low-income percentages of families in the target area according to the table, "Points Awarded for Number of Very Low and Low-Income Percentages of Families in Target Area," that can be downloaded from <http://www.hud.gov>. The table shows the number of points awarded based on the number of very low and low-income percentages of families in target area(s).

3. Rating Factor 3: Approach (40 points).

This factor addresses the approach and strategy that the applicant intends to follow in meeting the goals and objectives of the program. This strategy should address the following:

a. Selection Process for Team Organization (5 points).

Describe the selection process for those organizations that are to conduct or coordinate work activities for lead hazard control, outreach, evaluation, etc and discuss how you intend to involve faith-based or other community-based organizations in your proposed activities.

b. Strategy and Approach (35 points).

(1) Leveraging Strategy. Describe the proposed strategy for leveraging private sector resources including:

- (a) Target audiences/constituencies;
- (b) Use of contractors/subgrantees/team organizations and their method of selection;
- (c) Methods of outreach/promotion;
- (d) Types of leveraging to be employed;
- (e) Proposed use and distribution of funds/resources leveraged;
- (f) Overall project management and coordination; and
- (g) Proposed schedule of activities within the 36-month period of performance.

(2) Work Plan Strategy. A successful applicant's award is contingent upon budget negotiation and approval of a work plan. The work plan strategy narrative shall include:

- (a) The management plan that describes how the project will be managed, and the timeline for staffing the program. Applicants should develop a work plan that includes specific, measurable and time-phased objectives for each major program activity. The applicant's work plan should reflect the benchmark standards with quarterly milestones for proposed program activities and expenditures, and should provide HUD with measurable outcome results to be achieved with the requested funds. Measurable outcome results should be stated in terms

relevant to the purpose of the program funds as a direct result of the work performed within the performance period of the grant.

(b) A detailed description of how assistance and funding will flow from the grantee to the actual performers of the work;

(c) The selection process for sub-grantees, sub-contractors and/or sub-recipients (if any);

(d) The evaluation process used to measure program performance;

(e) The overall objectives for activities. Quarterly performance milestones are to be developed to achieve the overall objectives for these activities;

(f) Development of your work plan should include and reflect the benchmark standards referred to in Section III.C.5, above. The benchmark categories should be modified to reflect the activities proposed in your application and subsequent work plan. The LOCCS and Leveraged Funds categories are standard and may not be changed;

(3) *Strategies/Approaches.* The applicant is encouraged to employ creativity and initiative in achieving the objectives of the program. Some examples of possible strategies/approaches include the following:

(a) Enlisting the support and resource commitment of financial institutions, foundations, private industry, the general public, property owners, and others to make residential housing lead-safe and eliminate lead poisoning as a public health threat to children;

(b) Soliciting the support of national building materials providers, building component manufacturers, and housing-related national retail outlets to donate money and/or materials to lead hazard control programs in housing and health departments, landlords and owner-occupants to eliminate lead-based paint hazards in privately owned low-income dwellings: For example, a window, wallboard, or paint manufacturer/retailer could donate or coordinate the donation and distribution of windows or paint to lead-based paint hazard control and/or lead hazard control elements of rehabilitation projects throughout the country. This strategy could also include the distribution of discount coupons for purchases of paint or other materials from national suppliers for lead-based paint hazard control projects;

(c) Forming teams with banks or other mortgage or financial institutions willing to provide no or low-interest home improvement loans to finance lead hazard control activities and abatement measures among low-income

recipients who would not otherwise be served. By participating, banks could fulfill a major element of their responsibilities under the Community Reinvestment Act;

(d) Forming teams to facilitate the coordination and distribution of donated building materials, such as windows, trim molding, or paint, etc. to local projects involved in lead hazard control programs;

(e) Identifying and facilitating the availability and use of temporary relocation facilities for families who need to move out of their dwellings while lead hazard control work is being undertaken. For example, hotel chains, colleges, and other lead-safe sites could be contacted to make housing available for the temporary relocation of families during lead hazard control;

(f) Working with landlords, tenant groups and others to form consortia or otherwise engage landlords and owner-occupants to enroll their eligible housing units in local lead hazard control or rehabilitation programs. The applicant should obtain commitments from landlords to provide matching resources for work to be done on their units. For example, the lead hazard control program could offer landlords grant funds for replacement windows if the landlords contribute the cost of additional repairs (such as basic system upgrades, or other rehabilitation work including painting and maintenance) that is associated with lead hazard control. To encourage such commitments, efforts should be made to educate landlords about the primary benefits (effect on children's health) and supplementary benefits that can result from lead hazard reduction work such as improving an apartment's physical condition and marketability;

(g) Expanding dust testing and clearance testing, especially in high-risk communities;

(h) Promoting homebuilder, remodeler, or contractor associations to coordinate efforts to reduce lead hazards by contributing technical assistance, training, presentations and materials and/or labor to lead hazard control efforts;

(i) Encouraging landscaping firms, nurseries, and landscape architects to contribute lead-safe soil, mulch, and other forms of vegetation cover and shrubbery designed to mitigate lead contamination of soil around the exterior/perimeter and play areas of affected housing units;

(j) Working with health, housing, and community development organizations or other entities to conduct lead poisoning prevention activities, including efforts to plan, participate in,

and/or facilitate or participate in strategic planning to eliminate lead poisoning as a public health threat to young children by 2010. As part of this effort, the applicant should describe the process for considering enrolling housing units (or multifamily buildings) in which one or more children under age 6 years have elevated blood lead levels, with priority to housing where repeated and/or severe cases of childhood lead poisoning have occurred. (Because of the presence of a variety of priorities, it is not a requirement that units with lead-poisoned children be enrolled, but the process for giving such units high priority should be described and implemented.);

(k) Working with grassroots nonprofit community organizations, including faith-based or other community-based organizations, that are committed to improving the quality of life of young children in high risk housing; and

(l) Providing training for significant numbers of trades people to implement lead-safe work practices, such as window replacement and weatherization work.

The applicant is to complete the Factor 3 Table—Soundness of Approach, and the Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008.

#### *4. Rating Factor 4: Leveraging Resources (20 points).*

This factor addresses the applicant's ability to obtain and use private sector resources or leverage private sector activities that can be combined with HUD and other program resources to achieve program objectives. Private funds/resources do not include any public sector funds, e.g., funds provided by states and units of general local government including Community Development Block Grant (CDBG)/Home Investment Partnership (HOME) funds. Applicants are encouraged to use such funds as part of the program but these funds are not considered under this rating factor. Describe the types of private sector commitments, if any, currently available to devote to Operation LEAP grant program activities, and the anticipated future amounts to be generated. Based upon the estimated amount of funding anticipated for leveraging over the life of the award, identify the general geographic locations of the units that will be treated by this increased funding or leveraged resources. Also provide an estimate of the number of eligible housing units that can be expected to be treated and the number of low and very

low-income families that will benefit under LEAP. Generated resources may include cash or in-kind contributions of personnel, services, equipment, or supplies. In evaluating this factor, HUD will consider the extent to which the applicant has established working teams, memoranda of understanding and/or firm agreements with other identified entities for the commitment of additional resources. Resources may be provided by any private source, including contributions of investor-owners. However, the donations of resources, goods and services considered as leveraged resources should be based on market values and documented. Applicants that do not have such teams at the time of application will be required to establish teams immediately following notification of grant award. Only contributions that have a stated monetary value with supporting documentation from the contributing organization/entity, signed by an official authorized to make such commitment will be counted as leveraged funds. Applications with firmly established commitments will be rated more highly than applications with just expressions of interest. The most advantageous agreements will be those not solely dependent on LEAP funding, including those that create long-term commitments for leveraged funds beyond the period of the LEAP grant. Therefore it is preferable that LEAP funds act as "seed" funds so any future funding streams can be used to stimulate additional leveraging agreements and not simply support prior agreements. In evaluating this factor, HUD will examine the extent to which agreements provide for sustained contributions from non-public sources and allow for non-LEAP funds to support such leveraging in the future. Applicants that have targeted specific high-risk neighborhoods or geographic locations for leveraging/fundraising and hazard control activities will receive a higher number of rating points. Describe what the organization has done in the recent past (e.g., within the past five years) that gives evidence of its ability and experience to leverage substantial private sector resources. Describe specific activities, the amount of funds or resources leveraged, and what the leveraged funds will be used to support. If an applicant has experience in generating funds or resources for purposes similar to addressing lead paint abatement or control measures, the applicant should describe those activities and the results achieved.

#### 5. Rating Factor 5: Achieving Results and Program Evaluation. (10 Points).

This factor emphasizes HUD's commitment to ensuring that applicants achieve the goals outlined in their work plan and other benchmark standards and assess their performance to ensure performance goals are met. Achieving results means you, the applicant, have clearly identified the benefits, or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you, the applicant, identify program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. Your Evaluation Plan should identify what you are going to measure, how you are going to measure it and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes.

Applicants are required to complete the HUD Logic Form to supplement the narrative response to this rating factor.

a. An applicant is to identify and describe specific methods, measures, and tools that you will use (in addition to HUD reporting requirements) to measure progress, evaluate program effectiveness, and identify program changes necessary to improve performance. Describe how you will obtain, document and report the information. In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program including:

(1) Ability to generate substantial private sector resources. The main objective of Operation LEAP is to leverage private sector resources to eliminate lead poisoning as a major public health threat to young children. The key terms here are "leverage private sector resources." HUD is looking for those applicants that demonstrate the most realistic and successful fund raising and/or leveraging skills to mobilize substantial private sector resources for addressing lead hazards in housing.

(2) Ability to demonstrate or develop a national and/or regional (multi-state) strategy for leveraging resources from the private sector is essential. Those resources should be realistic and achievable and made part of the work plan and benchmark activities of this

proposal. The proposed budget should demonstrate how these leveraged funds will be used to address lead hazards in housing and make residential housing lead-safe and eliminate lead poisoning as a public health threat to children.

(3) Results of any specific plans and objectives to implement and/or maintain a registry (listing) of lead-safe housing available to the public, or to incorporate the inclusion of the lead-safe status of properties in another publicly accessible address-based property information system. Results could include how the information would be managed and affirmatively marketed to the public so that families (particularly low-income families with children under six years of age) can make informed decisions regarding their housing options.

(4) The extent to which affirmatively furthering fair housing for all segments of the population is advanced by the proposed activities. Detail how the proposed work plan will support the community's efforts to affirmatively further affordable housing and discuss the impact of prior activities that have contributed to enhanced lead-safe housing opportunities.

(5) How your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program. Applicants should provide a description of the mechanism to assess progress and track performance in meeting the goals and objectives outlined in the work plan. Applicants should provide assurances that work plans and performance measures developed for the program will assist intended beneficiaries, and that work will be conducted in a timely and cost-effective manner.

6. Bonus Points for Federally Designated Zones and Communities. In addition, applicants should describe whether any of the proposed activities will occur in an Empowerment Zone (EZ), Renewal Community (RC), or Enterprise Community, designated by USDA in round II (EC-IIIs), that are intended to serve the residents of these areas, and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan (TIUP), and how they will benefit the residents of those zones or communities.

#### B. Reviews and Selection Process

1. HUD's Strategic Goals. HUD is encouraging applicants to undertake specific activities that will assist the Department in implementing its policy priorities. HUD's Strategic Goals and Policy Priorities applicable to the

Operation LEAP NOFA are outlined in the General Section. Applicants will be awarded up to two points under Rating Factor 1 for activities that remove barriers to affordable housing within their communities, support state and local efforts to streamline processes and procedures, eliminate redundant requirements, statutes, regulations, and codes which impede the availability of affordable housing. This priority relates to HUD's Strategic Goal for Increasing Homeownership Opportunities and Promoting Decent Affordable Housing. Refer to the General Section for additional details pertaining to this policy priority. Applicants addressing this policy priority are to complete Form HUD-27300—Questionnaire for HUD's Initiative on Removal of Regulatory Barriers, and are to include any documentation required.

2. *Rating and Ranking.* Please refer to the General Section for details. Only those applications that meet the threshold review requirements will be rated and ranked according to their response to the Rating Factor Criteria included in this NOFA. The maximum number of points to be awarded is 102. A minimum score of 75 is required for fundable applications.

Rating factor	Maximum points
Rating Factor 1: Organizational Capacity .....	20
Rating Factor 2: Need/Extent of the Problem .....	10
Rating Factor 3: Approach .....	40
Rating Factor 4: Leveraging Resources .....	20
Rating Factor 5: Achieving Results and Program Evaluation—Form HUD-96010 Logic Model	10
RC/EZ/EC-II—Bonus Points .....	2
Total .....	102

**VI. Award Administration Information**

*A. Award Notices*

1. Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer indicating that they have been selected for an award. This letter will provide additional details regarding the effective start date of the grant and any additional data and information to be submitted to execute a grant agreement. This letter is not an authorization to begin work or incur costs under the grant. A fully executed grant agreement is the authorizing document. Unsuccessful applicants will also be notified that their application was not selected for an award and will be afforded an opportunity to request a debriefing on the unsuccessful application according

to the procedures outlined in the General Section.

2. *Negotiation.* Refer to the General Section for additional details.

3. *Adjustments to Funding.* Refer to the General Section for additional details.

*B. Administrative and National Policy Requirements*

1. *Environmental Requirements.* Under the Consolidated Appropriations Act, 2005, the provisions of section 305(c) of the Multifamily Housing Property Disposition Reform Act of 1994, implemented by HUD regulations at 24 CFR part 58, "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities," are applicable to properties assisted with Operation LEAP funds. Under part 58, a responsible entity, usually the unit of general local government, must assume the environmental review responsibilities for activities funded under this NOFA. Under 24 CFR 58.11, if a responsible entity or the recipient objects to the responsible entity performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. Applicants and other participants in activities under this NOFA may not undertake, or commit or expend Federal or non-Federal funds (including HUD-leveraged or match funds) for, lead hazard control, related rehabilitation or other physical activities until the responsible entity completes an environmental review and the applicant submits and obtains HUD approval of a request for release of funds and the responsible entity's environmental certification in accordance with part 58 (or until HUD has completed an environmental review under part 50). The results of the environmental reviews may require that proposed activities be modified or proposed sites rejected. For assistance, contact Karen Choi, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (213) 534-2458 (this is not a toll-free number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Recipients of a grant under this funded program will be given additional guidance in these responsibilities.

2. *HUD Reform Act.* Applicants must comply with the requirements for

funding competitions established by the HUD Reform Act of 1989 (42 U.S.C. 3531 *et seq.*) as defined in the General Section.

3. *Executive Order 13202.* Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects," is a condition of receipt of assistance under this NOFA.

4. *Other Requirements.* Please review the General Section for information on Statutory and Regulatory Requirements, Affirmatively Furthering Fair Housing, ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Women-Owned Businesses, OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs, Conflicts of Interest, Prohibition Against Lobbying Activities, Accessible Technology, Improving Access to Services for Persons with Limited English Proficiency, Compliance with Fair Housing and Civil Rights Laws, and Executive Orders pertaining to this NOFA.

a. *Participation in HUD Sponsored Program Evaluation.* As a condition of the receipt of financial assistance under this NOFA all successful applicants will be required to cooperate with all HUD staff or contractors performing HUD funded research and evaluation studies.

5. *Privacy and Disclosure.* All test results in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether Web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any child affected.

### *C. Reporting*

Successful applicants will be required to submit quarterly, annual, and final program and financial reports according to the requirements of the Office of Healthy Homes and Lead Hazard Control. Specific guidance and additional details will be provided to successful applicants. All applicants must also report progress against the proposed benchmarks and milestones in the Logic Model (form HUD-96010) approved and incorporated into your

award agreement part of each required report for the grant program.

### **VII. Agency Contact(s)**

For Further Information and Technical Assistance. You may contact Jonnette G. Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street SW., Washington, DC 20410-3000 or by telephone, fax, or e-mail: [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov) (use underscores), Telephone: (202) 755-

1785, extension 126 (this is not a toll-free number), facsimile (FAX): (202) 755-1000. If you are a hearing-or speech-impaired person, you may reach the above telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

### **VIII. Other Information**

Refer to the General Section for details regarding other information on submitting application that meets HUD requirements.

**BILLING CODE 4210-32-P**



**Healthy Homes and  
Lead Hazard Programs**

**U.S. Department of Housing  
and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
(expires 4/30/2007)

<b>Factor 1 Capacity Of The Applicant And Relevant Organizational Experience</b> Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.			
<b>A. Key Personnel</b>			
Name and Position Title (please include the organization position titles in addition to those shown). Resumes or position descriptions are to be included in appendix.	Percent of Time Proposed for this Grant (HUD Funded or In-Kind)	Percent of Time to be spent on other LHC HUD grants	Percent of Time to be spent on other Activities
	Note: These three columns should total 100%		
<b>A.1 Overall Project Director</b>			
Name:			
Organization Position Title:			
Phone Number:		Fax Number:	
Email:			
A.2 Day-to-Day Program Manager <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:		Fax Number:	
Email:			
A.3 Other <input type="checkbox"/> To be hired <input type="checkbox"/> On staff			
Name:			
Organization Position Title:			
Phone Number:		Fax Number:	
Email:			
<b>B. Partners</b>			
Name of the organization or entity that partners or will partner with applicant and if partner will be subgrantee/subrecipient	Description of Commitment and Status	Proposed Activities To Be Conducted by Partner	Amount of HUD Grant Funds (If Subgrant)
<b>B.1 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.2 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.3 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.4 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.5 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.6 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>B.7 Name:</b>			
Type of Organization			
Subgrantee/Subrecipient: <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Current Partner <input type="checkbox"/> Partnership to be developed			
<b>Definitions:</b> <b>Partner Name:</b> Name of organization or entity that will partner with applicant in conducting program activities. <b>Type of Organization or Program:</b> Health, Housing, Environmental, Community Development Department, Planning Department, Grassroots Faith-Based or Community-Based Organization, Childhood Lead Poisoning Prevention Program, Financial Institution, Job Training and Economic Opportunity Organization, etc. <b>Description of Commitment:</b> Memorandum of Understanding/Agreement, Contract, Subgrantees, Letter, etc. <b>Proposed Activities to be Conducted by Partner:</b> The type of activities that will be conducted by the grant partner in support of program efforts (i.e. rehabilitation, testing, training, education and outreach, specification writing, relocation, etc.) <b>Amount of HUD Grant Funds if Subgrantee/Subrecipient:</b> The dollar amount subgrantee/subrecipient will be receiving for the services they will provide.			

**Healthy Homes and Lead Hazard Programs**

**U.S. Department of Housing and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
(expires 4/30/2007)

<b>Factor 2</b>						<b>Need/Extent Of The Problem</b>									
Public reporting burden for this collection of information is estimated to average 17 hours. This includes the time for collecting, reviewing, and reporting the data. This information collection is collected during the application process and is used to select grantees under a competitive selection process. Section 1011 of Title X of the Housing and Community Development Act of 1992 authorizes this collection. Response to this request for information is required in order to receive the benefits to be derived. 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.															
<b>Name of Jurisdiction</b>						<b>Name of Target Area (s)</b>									
<b>A. Documented Blood Lead Level (BLL)</b>															
A.1 Total Number of Children <6 Years (72 months) of Age in Jurisdiction: % of Total Population:						A.2 Total Number of Children <6 Years (72 months) of Age in Target Area: % of Total Population:									
Blood Lead Level		Number of Children Under 6 Years		% Of Total		Blood Lead Level		Number of Children Under 6 Years		% Of Total					
< 10 µg/dL						< 10 µg/dL									
≥10 µg/dL and ≤19 µg/dL						≥10 µg/dL and ≤19 µg/dL									
≥ 20 µg/dL						≥ 20 µg/dL									
Total Tested				100%		Total Tested				100%					
Source and Date Documented (Indicate Period Covered)*						Source and Date Documented (Indicate Period Covered)*									
*Attach documentation in appendix - State or local health department may be a good source for this information															
<b>B. Housing Age and Tenure</b>															
B.1 Jurisdiction						B.2 Target Area (s)									
Year Built	Number	% of Total	Owner	Renter	Year Built	Number	% of Total	Owner	Renter	Year Built	Number	% of Total	Owner	Renter	
Pre-1940					Pre-1940					Pre-1940					
1940-1949					1940-1949					1940-1949					
1950-1959					1950-1959					1950-1959					
1960-1969					1960-1969					1960-1969					
1970-1977					1970-1977					1970-1977					
1979 or newer					1979 or newer					1979 or newer					
Total					Total					Total					
Source: 2000 Census - <a href="http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;_program=DEC&amp;_lang=en">http://factfinder.census.gov/servlet/DatasetMainPageServlet?_ds_name=DEC_2000_SF3_U&amp;_program=DEC&amp;_lang=en</a>															
Instructions:															
<ol style="list-style-type: none"> <li>1. Select "Census 2000 Summary File 3 (SF3) - Sample Data"</li> <li>2. Click on "Detailed Tables" on the side menu</li> <li>3. On the next page, select "Place" from the pull-down menu next to "Select a geographic type"</li> <li>4. Select the "State" from the pull-down menu next to "Select a State"</li> <li>5. Select one or more "cities" of interest from the selected state and click "Add"</li> <li>6. Click the button that says "Next"</li> <li>7. On the next page, select "H36. Tenure by Year Structure Built" from the pull-down menu, then "Select one or more tables" and click "Add"</li> <li>8. Click "Show Tables"</li> </ol>															
*Attach copy of the downloaded information in appendix.															
<b>C. Very Low and Low-Income Population - As Determined by HUD</b>															
C.1 Jurisdiction						C.2 Target Area (s)									
Number of Families ≤50% of AMI		%		Total Number of Families <80% of AMI*		%		Number of Families ≤50% of AMI		%		Total Number of Families <80% of AMI		%	
Source: Income Limits As Determined by HUD- <a href="http://www.huduser.org/datasets/il.html">http://www.huduser.org/datasets/il.html</a>															
Instructions:															
<ol style="list-style-type: none"> <li>1. Select the appropriate State</li> <li>2. Click on the link that says "Open PDF file"</li> <li>3. Search for appropriate location</li> </ol>															
*Attach copy of the downloaded information in appendix															

**Healthy Homes and  
Lead Hazard Programs**

**U.S. Department of Housing  
and Urban Development  
Office of Lead Hazard Control**

OMB Approval No. 2539-0015  
(expires 4/30/2007)

**Factor 3 Soundness Of Approach**

A. Proposed Lead Hazard Control Activities		Total Units To Be Completed and Cleared					Estimated Timeline to Complete Work	Estimated Per Unit Cost
		Who Will Perform This Activity (Name or Agency/Organization)	Number of Units	Housing Tenure				
Activity					Owner Occupied	Rental	Vacant	
Identification, Selection, Prioritization of Units (Referrals)*								
Intake/Enrollment							N/A	
Financing (Grant, Loan, Other)							N/A	
Pre-Hazard Control Blood Lead Testing			N/A	N/A	N/A			
Paint Inspections/Risk Assessments								
Laboratory Analysis of Samples			N/A	N/A	N/A			
Work Specifications			N/A	N/A	N/A			
Bid Process/ Contractor Selection			N/A	N/A	N/A			
Temporary Relocation								
Interim Controls								
Hazard Abatement								
Quality Control-Contractor Performance			N/A	N/A	N/A		N/A	
Clearance Evaluations			N/A	N/A	N/A			
Maintenance Plan - Unit Follow Up			N/A	N/A	N/A		N/A	
Community Outreach/ Education		N/A	N/A	N/A	N/A		N/A	
Training		N/A	N/A	N/A	N/A		N/A	

**Activity:**  
 \*Identification, Selection, Prioritization of Units (Referrals) This should be a higher number than the number of units that are projected to be completed and cleared by the program  
**Who Will Perform This Activity:** Applicant Agency, Partner Organization, Contractor, Grassroots Faith-Based or Community-Based Non-Profit Organization.  
**Number of Units:** Number of units to receive program services.  
**Housing Tenure:** Number of units to receive program services according to housing tenure status (i.e. owner occupied, renter occupied, vacant)  
**Estimated Time to Complete Work for each unit:** Hours, days, weeks required to complete an activity  
**Estimated Unit Cost:** Self explanatory

WORK PLAN DEVELOPMENT WORKSHEET  
WITH MINIMUM BENCHMARK PERFORMANCE STANDARDS  
FOR 36-MONTH PERIOD OF PERFORMANCE

Healthy Homes and Lead Hazard Program													OMB Approval Number 2539-0015 (exp 1/31/2006)	
Grant Number:	Grantee Organization:											Period of Performance: Feb 1, 2003 - January 31, 2006		
ACTIVITY	Q1 2003	Q2 2003	Q3 2003	Q4 2003	Q5 2004	Q6 2004	Q7 2004	Q8 2004	*Q9 2005	Q10 2005	Q11 2005	Q12 2005	Q13 2006	Q14 2006
	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun
Applicant Capacity (0-120 days)														
Staff Hired		→												
Approved Environmental Review and Release of Funds		→												
Written Policies and Procedures		→												
Lead Hazard Control Implementation Units in Grant Agreement = #														
Paint Inspections/Risk Assessments:														
Performance Standard		5%	15%	30%	45%	55%	65%	85%	95%	100%				
Work Plan Milestone														
% Planned														
Actual # Completed														
Actual % Completed														
** Units in Progress														
Units Completed and Cleared:														
Performance Standard			2%	5%	15%	30%	45%	55%	* 85%	85%	95%	100%		
Work Plan Milestone														
% Planned														
Actual # Completed														
Actual % Completed														
Cumulative LOCCS DRAWDOWNS Grant Award Amount = \$														
Performance Standard				5%	10%	15%	20%	30%	* 45%	60%	80%	95%	100%	
LOCCS Drawdown Work Plan Milestone														
% Planned														
Actual LOCCS Drawdown														
Actual Cumulative LOCCS Drawdown %														
Community Outreach / Education/ Training														
Community Outreach and Education Work Plan Milestone														
Community Outreach and Education Milestone Achieved														
Skills Training Work Plan Milestone														
Skills Training Milestone Achieved														
Performance Measured Against Approved Work Plan Milestones														100% →
Close-Out Feb 1 - Apr 30, 2006														→
* Renewal Eligibility Milestone														
** No bench mark standard														

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**BROWNFIELDS ECONOMIC  
DEVELOPMENT INITIATIVE (BEDI)**

Billing Code 4210-32-C

## Brownfields Economic Development Initiative (BEDI)

### Overview Information

*A. Federal Agency Name:* Department of Housing and Urban Development, Office of Community Planning and Development.

*B. Funding Opportunity Title:* Brownfields Economic Development Initiative.

*C. Announcement Type:* Initial announcement.

*D. Funding Opportunity Number:* The **Federal Register** number is FR-4950-N-02. The OMB approval number is 2506-0153.

*E. Catalog of Federal Domestic Assistance (CFDA) Number(s):* Brownfields Economic Development Initiative (BEDI), 14.246.

*F. Dates:* The application submission date is June 17, 2005. Applications submitted through <http://www.grants.gov> must be received by grants.gov no later than 11:59:59 eastern time on the application submission date. Applicants receiving a waiver of the electronic submission requirement must submit their application to the United States Postal Service for delivery no later than 11:59:59 eastern time on the application submission date.

*G. Optional, Additional Overview Content Information:* BEDI funds are used to enhance the security of a loan guaranteed by HUD under Section 108 of the Housing and Community Development Act of 1974, as amended, for the same brownfields economic development project, or to improve the viability of a brownfields economic development project financed with the Section 108-guaranteed loan, in order to stimulate economic development by local governments and private sector parties at brownfields sites and to return those sites to productive, economic reuse. All BEDI grants must be used in conjunction with a new Section 108-guaranteed loan commitment.

HUD encourages brownfields economic development projects that propose the redevelopment of a brownfield site through new investments by identified private sector parties in addition to BEDI/Section 108 financing and that will directly result in new business or job creation, increases in the local tax base or other near-term, measurable economic benefits.

Those interested in applying for funding under this program should review carefully the General Section and the following additional information.

## Full Text of Announcement

### I. Funding Opportunity Description

#### A. Authority

BEDI is authorized pursuant to Section 108(q), Title I, Housing and Community Development Act of 1974, as amended, (42 U.S.C. 5301); 24 CFR part 570.

#### B. Program Description

BEDI is designed to help local governments redevelop brownfields, defined in this NOFA as abandoned, idled, or underutilized real property, including industrial and commercial facilities, where expansion or redevelopment is complicated by the presence or potential presence of environmental contamination. A BEDI grant award will be conditioned upon, and must be used in conjunction with, a new (*i.e.*, not previously approved) Section 108-guaranteed loan commitment. Both Section 108 loan guarantee proceeds and BEDI grant funds are initially made available by HUD to units of general local government eligible for assistance under HUD's Community Development Block Grant (CDBG) program (specifically, the Entitlement and State programs, certain jurisdictions in the state of Hawaii under the Small Cities program, and for the first time in Fiscal Year 2005, the insular areas of Guam, American Samoa, the Northern Mariana Islands, and the Virgin Islands). A local government may re-loan the Section 108 loan proceeds and provide BEDI funds to a business or other public entity eligible to carry out a specific approved brownfields economic development project, or the public entity may carry out the eligible project itself, as provided in the approved application. In either case, BEDI grant funds and the Section 108 proceeds must be used to support the same eligible BEDI project.

Under this program, CDBG entitlement and nonentitlement grantees (and states for state-assisted nonentitlement jurisdictions) pledge their continuing CDBG allocations as security for the Section 108 loans guaranteed by HUD. BEDI grant funds are intended to reduce grantees' potential loss of future CDBG allocations by:

1. Strengthening the economic feasibility of a project financed with Section 108 funds (and thereby increasing the probability that the project will generate enough cash to repay the guaranteed loan);
2. Directly enhancing the security of the Section 108-guaranteed loan; or
3. Employing a combination of these or other risk mitigation techniques.

BEDI funds must be used as the stimulus for local governments and/or private sector parties to commence redevelopment or continue phased redevelopment efforts of brownfields sites where contamination is present or potentially present and a redevelopment plan exists. HUD desires to see BEDI and Section 108 funds used to finance projects and activities that involve investment in the brownfields site by an identified private sector party that will provide near-term results and measurable economic benefits, such as job creation and increases in the local tax base.

#### C. Program Definitions

Unless otherwise defined herein, terms defined in this NOFA shall have the same respective meanings as provided for in 24 CFR part 570.

*Act* means Title I Housing and Community Development Act of 1974 (42 U.S.C. 5301 *et seq.*).

*Application* means a single set of documents, including a request for Section 108 loan guarantee assistance, submitted by an eligible applicant for BEDI grant funds, in accordance with the provisions of this NOFA to finance a brownfields economic development project. Section IV.B.1(c) of this NOFA provides additional information on the nature and forms of Section 108 loan guarantee requests that must be submitted to HUD along with each BEDI application.

*Brownfields* means abandoned, idled, or under-used real property (including industrial and commercial facilities) where expansion or redevelopment is complicated by the presence or potential presence of contamination.

*Brownfields Economic Development Initiative (BEDI) funds* means the appropriated funds made available for the competition under this NOFA from any available appropriation.

*Brownfields Economic Development Initiative (BEDI) project or brownfields economic development project* means a single activity, or a group of activities constituting a planned, continuous, single undertaking, that is eligible under Section 108(q) of the Act and under 24 CFR 570.703 and projected to create or retain businesses or jobs, provide area or housing benefit to low- and moderate-income persons, redevelop blighted areas or sites, or otherwise lead to measurable economic benefits from redevelopment of one or more brownfields sites within five years.

*CDBG funds* means those funds collectively so defined at 24 CFR 570.3, including grant funds received pursuant to Section 108(q) and this NOFA.

*Economic Development Initiative (EDI)* grant means the provision of economic development grant assistance under Section 108(q) of the Act, as authorized by Section 232 of the Multifamily Housing Property Disposition Reform Act of 1994 (Pub. L. 103–233, approved April 11, 1994).

*EPA* means the U.S. Environmental Protection Agency.

*Firm Commitment* means either a written agreement or letter of understanding by which an applicant or a third party:

(1) Agrees to perform an activity or provide resources as specified in the application, and demonstrates their relationship to the proposed BEDI/Section 108 project;

(2) Specifies the dollar value of the commitment and demonstrates that it has the financial and organizational capacity to deliver the resources necessary to successfully complete the activity; and

(3) Irrevocably commits the resources to the activity either through cash or in-kind services or contributions; if any portion is to be financed through a grant or loan from another public or private organization, that institution's grant or loan commitment must be firmly committed as well.

Any such agreement or letter of understanding shall be understood as being contingent upon receipt of the BEDI grant. Funds expended prior to the submission of the BEDI application will not be considered as firmly committed funds for purposes of this NOFA.

Additional information related to firm commitments of other resources is provided in Section V.A.1 of this NOFA, Rating Factor 4 (Leveraging of Other Financial Resources). See Section IV.F. of the General Section for instructions on how third party documents are to be submitted electronically.

*Showcase Community* means an applicant chosen by the Federal government's Brownfields National Partnership for inclusion in the Federal government's Brownfields Showcase Communities program. A list of the federally designated Brownfield Showcase Communities is provided in Appendix C in Section VIII of this NOFA and is also available from the NOFA Information Center or through the HUD Web site, <http://www.hud.gov>.

*Strategic Plan* means a strategy or course of action developed and agreed to by the nominating local government(s) and state(s) and submitted in partial fulfillment of the application requirements for an Empowerment Zone, Enterprise Community, or a Renewal Community,

designated pursuant to 24 CFR parts 597, 598 or 599.

#### *D. Program Background*

HUD has multiple programs that are intended to stimulate economic and community development and promote economic revitalization of distressed areas, and which can be effectively employed to address and remedy brownfields conditions. Primary among HUD's resources are the Community Development Block Grant (CDBG) program and the Section 108 loan guarantee program.

1. *CDBG*. The CDBG program provides grant funds by formula to local governments (either directly or through states) to carry out community and economic development activities (\$4.1 billion appropriated in FY2005). The Section 108 loan guarantee program provides CDBG-eligible communities with a source of financing for economic development, public facilities, and other eligible large-scale physical development projects. HUD is authorized pursuant to Section 108 to guarantee notes issued by CDBG entitlement communities and non-entitlement units of general local government eligible to receive funds under the CDBG States' program, as well as certain non-entitlement units of general local government in the state of Hawaii funded under 24 CFR part 570, subpart F. The Section 108 program is subject to the regulations applicable to the CDBG program at 24 CFR part 570 as described in 24 CFR part 570, subpart M. BEDI grants must support Section 108 loan guarantees as generally described in this NOFA.

2. *Section 108 Loan Guarantees*. For FY2005, the loan guarantee authority for the Section 108 program is estimated at \$481 million including \$258 million in loan guarantee authority for FY2005 and loan guarantee authority that is still available under the FY2004 appropriation. The full faith and credit of the United States is pledged to the payment of all guarantees made under Section 108. Under this program, communities (states and insular areas, as applicable) are required to pledge their continuing CDBG allocations as security for loans guaranteed by HUD. The Section 108 program, however, does *not* require CDBG funds to be escrowed for loan repayment (unless such an arrangement is specifically negotiated as loan security and included in the applicable "Contract for Loan Guarantee Assistance"). This means that a community can ordinarily continue to spend its existing allocation for other CDBG purposes, unless needed for loan repayment.

3. *Additional Security for Section 108 Loan Guarantees*. Applicants should be aware of the need to provide additional security for the Section 108 loan guarantee pursuant to 24 CFR 570.705(b)(3). Although a public entity (and the corresponding state for a state-assisted nonentitlement entity) is required by the Act to pledge its current and future CDBG allocations as security for the Section 108 loan guarantee, it will usually be required to furnish additional collateral. In most cases, the additional collateral consists (in whole or in part) of the asset financed with the Section 108 loan funds (e.g., a loan made to a business as part of an economic development project and the related mortgage from the business). Applications proposing uses for BEDI funding that directly enhance the value of the assets securing the Section 108 loan will help ensure that the project-based asset(s) will satisfy the additional collateral requirements.

4. *Integration of Other Government Economic Development and Brownfields Programs*. HUD encourages local governments which are assisted by (a) other Federal or state economic development programs, (b) other Federal brownfields programs (e.g., the federal Brownfields Showcase Community program, EPA's Assessment, Revolving Loan Fund Cleanup or Grant programs), or (c) state-supported brownfields programs, to integrate efforts arising from those programs in developing projects for assistance under HUD's BEDI and Section 108 programs. Applicants should elaborate upon these ties in their response to the rating factors, where appropriate, in Section V.A.1 of this NOFA (e.g., "Capacity of the Applicant," "Soundness of Approach," or "Leveraging Resources,"—Rating Factors 1, 3, and 4, respectively.)

## **II. Award Information**

### *A. Available Funds*

HUD has available approximately \$24,458,130 for grant awards under this BEDI NOFA, consisting of \$23,808,000 through appropriations under the FY2005 Consolidated Appropriations Act (Pub. L. 108–447, approved December 8, 2004); \$500,000 of unobligated appropriated funds from the FY2001 HUD Appropriations Act under the "Brownfields Redevelopment" heading (Pub. L. 106–377, approved October 27, 2000); and \$150,130 of unobligated appropriated funds under the "Brownfields Redevelopment" heading in the Consolidated Appropriations Act, 2004 (Pub. L. 108–199, approved January 23,

2004, referred to as the FY2004 Appropriations Act). These funds are authorized by Section 108(q) of the Act (as described above). If any additional funds become available for the BEDI program during FY2005, including through the deobligation and recapture of previous BEDI awards, HUD may either fund additional applicants in accordance with this NOFA, or may add these funds to funds available for future competitions pursuant to Section 108(q) of the Act.

#### *B. Maximum Award*

The maximum amount of a BEDI award under this competition is \$2 million per project. An application in excess of \$2 million will be reduced to the extent HUD determines that such a reduction is appropriate and the project remains feasible.

#### *C. Limitations on Grant Amounts*

1. *Ratio of Section 108-Guaranteed Loan to BEDI Grant.* HUD expects to approve BEDI grant amounts for approvable applications with a range of ratios of BEDI grant funds awarded to new Section 108-guaranteed loan commitments for the same project, but the minimum ratio must be \$1.00 of Section 108-guaranteed loan commitments for every \$1.00 of BEDI grant funds in order to receive consideration for funding. Section V.A.1, Rating Factor 4 (Leveraging of Resources), provides additional information on the required ratio of BEDI to Section 108 funds.

#### 2. Reduction or Deobligation of BEDI Grant Award.

a. After selection, but prior to grant award, if HUD determines that an application can be funded at a lesser BEDI grant amount than requested and still be feasible and consistent with the proposed plan and the purposes of the Act, it reserves the right to reduce the amount of the BEDI award and/or increase the required Section 108 loan guarantee commitment.

b. In the event a BEDI grant is awarded and has been reduced below the original request (e.g., the application contained some activities that were ineligible, exceeded the \$2 million cap, or there were insufficient funds to fund the last competitive application at the full amount requested), the applicant will be required to modify the project plans and application to conform to the terms of HUD approval before HUD will execute a grant agreement.

c. HUD also may proportionately reduce or deobligate the BEDI award if a grantee does not submit an approvable Section 108 loan guarantee application, issue Section 108-guaranteed

obligations, and receive loan guarantee proceeds on a timely basis (including any extension authorized by HUD) in the amount required by the BEDI/108 leveraging ratio, which will be approved by HUD as a special condition of the BEDI grant award (see Section IV.B.1(c)(2) of this NOFA).

3. Increased Request for Section 108 Loan Guarantee Assistance. In the case of a requested increase in guarantee assistance for a project with a previously approved Section 108 loan guarantee commitment (as further discussed in Section IV.B.1(c)(4) below), the BEDI assistance approved will be based only on the additional amount of Section 108 loan guarantee assistance requested.

### **III. Eligibility Information**

#### *A. Eligible Applicants*

Any public entity eligible to apply for Section 108 loan guarantee assistance in accordance with 24 CFR 570.702, including Guam, the Northern Marianas, American Samoa, and the Virgin Islands for FY 2005, may apply for BEDI grant assistance under Section 108(q). Eligible applicants are CDBG entitlement units of general local government and non-entitlement units of general local government eligible to receive loan guarantees under 24 CFR part 570, subpart M. Urban Counties, as defined at 24 CFR 570.3 and 570.307, are eligible applicants for BEDI funds; units of general local government that participate in an Urban County program are not independently eligible applicants. For non-entitlement applicants other than those subject to 24 CFR part 570, subpart F (which applies only to the state of Hawaii), applicants are required to provide evidence in the BEDI application from an authorized official of the state agency responsible for administering the State CDBG program stating that it supports the related Section 108 loan with a pledge of its CDBG allocations pursuant to the requirements of 24 CFR 570.705(b)(2). Such evidence must be provided by form HUD-40122, titled "Section 108 Loan Guarantee: State Certifications Related to Nonentitlement Public Entities." This form is included in Section VIII of this NOFA, or may be downloaded as part of the application package from the Internet at <http://www.grants.gov>. Non-entitlement public entities in 49 states and Puerto Rico are eligible to participate in the Section 108 and BEDI programs, with assistance of the state's or commonwealth's pledge of CDBG allocations. The nonentitlement entities in Hawaii are able to make their own repayment pledge since they now

receive a fixed amount of annual CDBG funding.

For application submission requirements, see Section IV.B. of this NOFA regarding mandatory submission requirements. See also Sections III.C.1 and IV.E. of this NOFA, respectively, regarding eligible and ineligible uses of grant funding.

#### *B. Cost Sharing or Matching*

As described further in Section V.A.1 of this NOFA, under Rating Factor 4 (Leveraging of Resources), applications which evidence a greater level of other funds firmly committed to the BEDI project will receive more points under Rating Factor 4, to the extent consistent with the points available under Rating Factor 4. In addition, a BEDI grant must be used with at least an equal amount of Section 108 loan guarantee proceeds for the same brownfields economic development project.

#### *C. Program Threshold Requirements*

##### 1. *Eligible Activities and National Objectives.*

a. As described further in Section V.A.1 of this NOFA, under Rating Factor 3 (Soundness of Approach), to be rated and ranked or considered for funding by HUD, applications for BEDI grant funds and Section 108 loan guarantee funds must demonstrate that funds will be used for activities listed at 24 CFR 570.703 and carried out as part of a BEDI project as defined in this NOFA and meet the CDBG requirements at 24 CFR Sections 570.200, 570.208 and 570.209, as applicable. All applicants must clearly identify in their narrative response to Rating Factor 3 (Soundness of Approach) in Section V.A.1 of this NOFA each of the eligible activities that will be carried out under 24 CFR 570.703.

With respect to BEDI projects that include a housing component, applicants are cautioned that the eligible activities at 24 CFR 570.703 do not allow BEDI and Section 108 funds to be used to finance the costs of the construction of housing, unless such construction is undertaken by a Community Based Development Organization (CBDO) as part of a community economic development project, in accordance with 24 CFR 570.703(i)(2) and 24 CFR 570.204(a)(2). Provisions of 24 CFR 570.703(j) that authorized the use of BEDI or Section 108 funds for housing construction have expired and are no longer applicable, as the statute referenced therein is no longer in effect. For projects that include the construction of housing, BEDI and Section 108 funds may be used to finance activities necessary to



construct such housing, such as acquisition and related demolition and clearance on the acquired site, site improvements, public facilities and other eligible activities subject to each of the eligible activity provisions at 24 CFR 570.703; and

b. As described in Section V.A.1 of this NOFA, in the response to Rating Factor 3 (Soundness of Approach), to be rated and ranked or considered by HUD, applicants must demonstrate that each activity assisted with Section 108 loan guarantee or BEDI funds will meet a national objective of the CDBG program as described in 24 CFR 570.208.

All applicants must clearly identify in their narrative response to Rating Factor 3 (Soundness of Approach) in Section V.A.1 of this NOFA, the CDBG national objective to be achieved by the proposed project and provide the appropriate CDBG national objective regulatory citation found at 24 CFR 570.208.

Applicants must also address, when applicable, how the proposed activities will comply with the public benefit standards of the CDBG program as reflected in the regulation at 24 CFR 570.209.

c. A grantee's aggregate use of its CDBG funds, including any Section 108 loan guarantee proceeds and Section 108(q) (BEDI) funds provided pursuant to this NOFA, must comply with the CDBG primary objective requirements as described in Section 101(c) of the Act and 24 CFR 570.200(a)(3) for entitlement grantees, or 24 CFR 570.484 in the case of a recipient under a state's program, requiring that, over the period of time specified in the applicant's (or State's) CDBG certification, not less than 70 percent of the aggregate expenditures of CDBG funds be expended for activities benefiting low- and moderate-income persons under the criteria of 24 CFR 570.208(a) or 570.208(d)(5) or (6).

d. HUD may deny funding consideration to all applicants that fail to submit a full and complete Section 108 loan application pursuant to 24 CFR 570.704(b) in connection with a prior award of BEDI or competitive EDI grants on or before the application submission deadline under this NOFA.

2. *Brownfields Redevelopment.* As described further in Section V.A.1 of this NOFA, in order to be rated and ranked or considered by HUD, in the narrative response to Rating Factor 3 (Soundness of Approach) in Section V.A.1 of this NOFA, applicants must: (1) Describe the nature and extent of the brownfields problem(s) actually or potentially affecting the site and/or structure(s) already on the site and; (2) how the proposed activities will

contribute to redevelopment of the site and/or structures.

### 3. *General Section Threshold Requirements.*

a. Applications that fail to meet the threshold requirements found in Section III.C. of the General Section will not be eligible for an award under this program. Applicants for BEDI grant funds must comply with the statutory, regulatory, threshold, and public policy requirements listed in the General Section, except as otherwise specifically provided in this NOFA. In particular, applicants should carefully review those provisions that could result in the failure to receive funding, including the DUNS Number Requirement at Section III.C. of the General Section, Compliance with Fair Housing and Civil Rights Laws (Section III.C.), provisions relating to Delinquent Federal Debts (Section III.C.), and the Name Check Review (Section III.C.).

b. The Dun and Bradstreet Universal Numbering System (DUNS) Number Requirement. Refer to the General Section for information regarding the DUNS requirement. You will need to obtain a DUNS number to receive an award from HUD. You will also need a DUNS number to complete your *Grants.gov* registration, and *Grants.gov* registration is required for electronic submission. See the General Section also for a discussion of the *Grants.gov* registration process.

c. The maximum number of points to be awarded under this NOFA is 104. To be eligible for funding, a BEDI application must obtain a total score of at least 75 points. All applications meeting program and General Section threshold requirements will be rated under the selection criteria provided in Section V.A.1 below.

### 4. *Other Program Requirements.*

a. *BEDI Funding Request.* A single BEDI application must contain a request for funds for a single BEDI/108 project. The application must propose activities expected to result in redevelopment of one or more brownfields sites. An applicant may submit an additional application for each additional unrelated BEDI/108 project, but in no event will HUD rate and rank more than one BEDI project per application.

b. *Related Section 108 Loan Guarantee Request.* Each BEDI application must be accompanied by a request for a new Section 108 loan guarantee assistance as described in Section IV.B.1(c) of this NOFA. The request for Section 108 Loan Guarantee assistance must provide for a minimum ratio of \$1.00 of requested Section 108 loan guarantee commitments for every

\$1.00 of BEDI grant funds requested, or a higher ratio, as needed for the project.

c. *CDBG National Objectives and Eligible Activities.* Each BEDI application must include citations to the specific regulatory subsections supporting eligibility of activities and compliance with National Objectives (See Section III.C.1 of this NOFA).

d. *Nonentitlement Applications.* Applications submitted by nonentitlement public entities (except for those in Hawaii and the insular areas which now receive fixed amounts of CDBG funds annually) must provide for the state or commonwealth's certification agreeing to pledge its CDBG allocations to receive funding consideration, as evidenced by form HUD-40122, available in Section VIII, Appendix B, of this NOFA. See the General Section instructions for submission of third party documents.

e. *Narrative Response to Rating Factors.* Each BEDI application must provide narrative statements in response to each of the rating factors below in Section V.A.1 of this NOFA.

f. *Time Frame for Submission of Section 108 Applications.* All applications for Section 108 Loan Guarantee Assistance required for approved BEDI projects must be submitted within 60 days of written notice of BEDI selection, as provided for in Section IV.B.1(c)(2) of this NOFA.

g. *HUD Environmental Requirements.* Beginning with the submission of a BEDI application through and after HUD's award of BEDI grant funds, pursuant to 24 CFR 570.604, each project or activity assisted under this program is subject to the provisions of 24 CFR part 58. This includes limitations on the commitment of HUD and non-HUD funds by the BEDI grantee and Section 108 public entity, as well as other participants in the development process, prior to the completion of environmental review, notification, and release of funds. Neither grant nor loan funds can be disbursed by HUD until a request for release of funds is submitted and the requirements of 24 CFR part 58 have been met. All public entities, including non-entitlement public entities, shall submit the request for release of funds and related certification, required pursuant to 24 CFR part 58, to the appropriate HUD field office for each project to be assisted.

h. *Compliance with Environmental and Other Laws.* An award of BEDI funding does not, in any way, relieve the applicant or third party users of BEDI funds from compliance with all applicable federal, state, and local laws and regulations, particularly those

addressing the environment. Applicants are further advised that HUD may require evidence that any project involving remediation has been or will be carried out in accordance with applicable law, including voluntary clean up programs.

i. *CDBG Program Regulations.* In addition to 24 CFR 570.701 (Definitions), 570.702 (Eligible applicants), and 570.703 (Eligible activities), the CDBG regulatory requirements cited in 24 CFR 570.707, including subparts J (Grant Administration), K (Other Program Requirements), and O (Performance Reviews), also govern the use of BEDI funds, as applicable.

j. *Obligation to Affirmatively Further Fair Housing.* All BEDI grantees are obliged to affirmatively further fair housing, even when the proposed activities do not appear to be directly related to housing. Therefore, applicants that propose to use BEDI funds must include in their applications an explanation of how they propose to further fair housing opportunities for persons on the basis of race, color, national origin, sex, religion, familial status, or disability. Applicants should respond to this requirement in Section V.A.1 of this NOFA, under Rating Factor 3, subfactor (1)(b). Affirmative activities include, but are not limited to: initial and periodic assessments of the extent to which affordable and accessible housing opportunities are provided or denied to persons by race, color, national origin, sex, religion, familial status, or disability; outreach to persons in underserved population groups or advocacy organizations representing such persons; affirmative fair marketing of job or housing opportunities; furthering housing choice; addressing environmental justice concerns; or ensuring that employment, housing and other benefits of the BEDI grant are made available to those individuals and families living at or near the brownfields site prior to its redevelopment.

k. *Policy Priorities.* Applicants are reminded of the Department's Policy Priorities for FY2005 found in Section V.B. of the General Section, several of which apply to this NOFA, as described in Section V.A.1 of this NOFA below, under Rating Factor 5 (Achieving Results and Program Evaluation).

l. *Ineligible Sites.* Applicants must propose sites that currently meet the definition of brownfields in this program section. Applicants may not propose projects on sites which are: (i) Listed or proposed to be listed on EPA's National Priority List (NPL); (ii) subject to unilateral administrative orders, court

orders, administrative consent orders or judicial consent decrees issued or entered into by parties under the Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended (CERCLA); or (iii) subject to the jurisdiction, custody, or control of the United States Government. In order to be eligible to receive an award under this program, applicants will be required in Section V.A.1 of this NOFA, Rating Factor 3, Soundness of Approach, to indicate that the proposed BEDI project will not be undertaken at an ineligible site as provided herein.

m. *Prior Approved Section 108-Guaranteed Loans.* BEDI grant assistance cannot be used to leverage a Section 108 loan guarantee approved prior to the date of HUD's announcement of a BEDI grant pursuant to this SuperNOFA, unless the applicant requests to deobligate previously approved commitment authority as provided in Section IV.B.1(c)(5) of this NOFA. In no event, however, may a previously approved Section 108 commitment to be used with a prior BEDI or EDI award be subject to such deobligation. In an instance where a pending application for Section 108 assistance is to be leveraged by the proposed BEDI grant, the BEDI grant may be awarded before HUD approval of the Section 108 commitment if HUD determines that such award will further the purposes of the Act.

n. *Use of Section 108 Solely for Security.* A BEDI award will not be made if the Section 108 request contained in the application (See Section IV.B.1(c) of this NOFA) calls for the use of the Section 108-guaranteed obligation solely as security for other financing on the project.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

1. Copies of the published NOFAs and application forms for HUD programs announced through NOFA may be downloaded from the grants.gov Web site at <http://www.grants.gov/Find>; if you have difficulty accessing the information you may receive customer support from Grants.gov by calling their Support Desk at (800) 518-GRANTS, or sending an e-mail to [support@grants.gov](mailto:support@grants.gov). The operators will assist you in accessing the information. If you do not have Internet access and you need to obtain a copy of the NOFA you can contact HUD's NOFA Information Center toll-free at (800) HUD-8929. Persons with hearing or

speech impairments may also call toll-free at (800) HUD-2209.

2. *Satellite Broadcasts.* HUD will hold informational broadcasts via satellite for potential applicants to learn more about the BEDI program and the preparation of BEDI application(s). For more information about the date and time of the broadcast, consult the Web site <http://www.hud.gov>.

##### B. Content and Form of Application Submission

###### 1. Content of Application.

A complete application for a BEDI grant under this NOFA must contain the items listed below. The standard forms that are required for the BEDI application (and listed in Section IV.B.2 below), can also be found in the General Section. Applicants by signing the SF-424 are also agreeing to the Certifications and Assurances found in the General Section and this NOFA. Additional program forms, excluding such items as narratives or letters, etc. also referred to as the "non-standard forms", HUD-40122 and HUD-40123, are included with this NOFA. All forms required for application submission can be found in the application package and instructions on <http://www.grants.gov> for the Brownfields Economic Development Initiative (BEDI) program.

a. *Checklist and Submission Table of Contents* indicating the submission items included in the application can be found in Section VIII, Appendix A, of this NOFA. Applicants submitting an electronic application are not required to submit the Checklist. Applicants submitting a paper copy application are requested to include a copy of the checklist in their application submission.

b. *EDI/BEDI/Section 108 Funding Eligibility Statement.* A completed BEDI Section 108 Funding Eligibility Statement (Exhibit D of form HUD-40123).

c. *Request for Loan Guarantee Assistance.* A request for loan guarantee assistance under Section 108, with the project name clearly identified (and the same as the name of the BEDI project being applied for), as further described below. Full application requirements for the Section 108 program are found at 24 CFR 570.704.

Nonentitlement applicants (except those in Hawaii and the insular areas) must accompany this request with the State Certifications Related to Nonentitlement Public Entities (form HUD-40122) in order to be considered for BEDI funding.

The request for loan guarantee assistance may take any of the five forms defined in paragraphs (1), (2), (3),

(4) or (5) below. Notwithstanding the form of the request for new Section 108 loan guarantee assistance, the applicant must include citations to the specific regulatory subsection supporting activity eligibility and National Objectives compliance for the Section 108 funds described in the application. (See Section III.C.1 of this NOFA.) Both the BEDI and Section 108 funds must be used in conjunction with the same BEDI project. Applicants are encouraged to consult with HUD's Financial Management Division in Headquarters CPD (Paul Webster, Director, at (202) 708-1871, extension 4563) before submission of 108 and/or BEDI applications if unsure of CDBG national objectives, eligibility of activities, program benefits citations and the tests thereof. The request for new Section 108 guarantee assistance may be presented through a:

(1) **Concurrent Application Submitted Under Separate Cover.** A complete application for new Section 108 loan guarantee(s), including the documents listed at 24 CFR 570.704(b), submitted under separate cover in accordance with the procedures in Section IV.F.3 below. Any full application for loan guarantee assistance under Section 108 must also be submitted to the appropriate HUD field office concurrently with its submission to Headquarters. As described further in Section V.A.1, in Rating Factor 3 (Soundness of Approach), two points will be awarded for the submission of a full Section 108 loan guarantee application with a BEDI application.

(2) **Subsequent Application.** A brief description (not to exceed three pages) of the project to be applied for in a subsequent new Section 108 loan guarantee application(s). Such a 108 application(s) shall be submitted within 60 days of written notice of BEDI selection, with HUD reserving the right to extend such period on a case-by-case basis where HUD determines there is evidence of good cause. BEDI awards will be conditioned on approval of actual Section 108 loan commitments and loan guarantee proceeds in a specific ratio of BEDI funds to Section 108 funds as approved by HUD in the BEDI award. The description provided in the BEDI application must be sufficient to support the basic eligibility of the proposed project and activities for Section 108 assistance. (See Section III.C.1 of this NOFA.)

(3) **Pending, Unapproved Application.** A request to use the BEDI grant award in conjunction with a pending, unapproved Section 108 loan guarantee application. The request must identify the project name associated with the

pending application and the date of submission. Any proposed amendment to the pending Section 108 application must be submitted under separate cover, as provided for in Section IV.F.3 below. An applicant's request to use the BEDI award in conjunction with a pending application shall be deemed by HUD to constitute a request to suspend separate processing of the Section 108 application. The Section 108 application will not be approved until on or after the date of the related BEDI award.

(4) **Increase to a Project Assisted Under a Previously Approved Application.** A request for Section 108 loan guarantee assistance (analogous to Section IV.B.1(c)(1) or (2) above of this section) that proposes new Section 108 guarantee assistance in addition to the amount of Section 108 assistance for a project assisted under a previously approved Section 108 application. However, any amount of Section 108 loan guarantee authority approved before HUD's announcement of a BEDI grant for the same project is not eligible to be used in conjunction with a BEDI grant under this NOFA.

(5) **Deobligation of Previously Approved Section 108 Authority Plus a New Request.** A request to deobligate a previous commitment of Section 108 loan guarantee authority to the applicant that is no longer to be used by the applicant (except for an amount required as a condition of a previously approved BEDI or EDI award), combined with a new request or application for Section 108 loan guarantee assistance. Such request or application may be a full application as provided for in paragraph (1) above, a request for 108 assistance submitted within 60 days as provided for in paragraph (2) above, a pending unapproved application as provided for in paragraph (3) above, or an increase to a project assisted under a previously approved application as provided in paragraph (4) above.

(6) In no event may a Section 108 loan guarantee amount that is required to be used in conjunction with a previously approved BEDI or EDI grant award as of the date of the submission of the application, whether or not the Section 108 loan guarantee has been approved as of the date of this NOFA, be used in conjunction with a new BEDI award under this NOFA. For example, if a public entity has a previously approved Section 108 loan guarantee commitment of \$12 million, even if none of the funds have been utilized, or if the public entity had previously been awarded a BEDI grant of \$1 million and had agreed to submit a Section 108 loan application for \$10 million in support of that BEDI

grant, the public entity's application under this NOFA must propose to increase the amount of its total Section 108 loan guarantee commitments beyond those amounts to which it has previously agreed (*i.e.*, the \$12 million or \$10 million Section 108 loan guarantee commitments in this example).

d. *Narrative Responses to Factors for Award* (not to exceed 15 double-spaced, 8½ x 11 inch single-sided pages, with one inch margins on all sides, for all responses):

(1) **Rating Factor 1: Capacity and Relevant Organizational Experience.** Provide a narrative indicating the capacity of the applicant's organization and staff and any known third parties to perform the work for which it is requesting funding.

(2) **Rating Factor 2: Need Statement Identifying the level of Distress/Extent of the Problem.** Provide a narrative statement including any documentation supporting the statement of need, accompanied by a completed Exhibit A of form HUD-40123. (See the General Section for instructions for submitting documentation not in electronic format.)

(3) **Rating Factor 3: Soundness of Approach.** Include the CDBG eligible activities, the CDBG National Objective, the source and nature of the present or potential environmental contamination, the budget, and the time frame for conducting activities and providing project benefits to address the needs identified in Rating Factor 2 in the narrative response, accompanied by Exhibits B and C of form HUD-40123.

(4) **Rating Factor 4: Leveraging Resources.** The response to this factor should include any letters of firm commitment as defined in Section I.C of this NOFA, and any evidence of financial capacity or CDBG resolutions, as appropriate. Such letters, evidence or resolution must be submitted under the procedures provided for in Section IV.F of the General Section.

(5) **Rating Factor 5: Achieving Results and Program Evaluation.** Provide a narrative response to this factor, accompanied by the logic model provided in the General Section (Form HUD-96010) and, if applicable, form HUD-27300, relating to the removal of regulatory barriers to affordable housing, with required documentation.

## 2. *Forms, Certifications, and Assurances.*

a. In addition to any forms submitted in response to Section IV.B.1 above (which may be found in Section VIII, Appendix B, of this NOFA), the following forms and certifications must also be submitted in accordance with

the General Section and may be found in the General Section:

(1) Application for Federal Assistance (SF-424);

(2) Applicant/Recipient Disclosure/ Update Report, HUD-2880; and, if applicable,

(3) Certification of Consistency With RC/EZ/EC-II Strategic Plan, HUD-2990, if applicable;

(4) Certification of Consistency with the Consolidated Plan (HUD-2991) if applicable;

(5) Disclosure of Lobbying Activities (SF-LLL); if applicable;

(6) Acknowledgement of Application Receipt (HUD-2993) (For use with paper application submissions);

(7) Client Comments and Suggestions (HUD-2994) (Optional);

(8) Program Outcome Logic Model (HUD-96010);

(9) Questionnaire for HUD's Initiative on Removal of Regulatory Barriers (HUD-27300) with supporting documentation or URL references;

(10) Facsimile Transmittal (HUD-96011) (For use with electronic applications to provide third party letters and other documentation in accordance with the instructions found in the General Section;

(11) Section 108 Loan Guarantee (State Certifications Related to Nonentitlement Public Entities) (HUD-40122), if applicable, and

(12) Responses to BEDI Application Rating Factors (HUD-40123, Exhibits A through D).

FORMS, CERTIFICATIONS, AND ASSURANCES

What to submit	Required content	Required form or format	When to submit it
<p>Application: EDI/BEDI/Section 108 Funding Eligibility Statement.</p>	<p>Described in Section IV.B.1(b) of this NOFA.</p>	<p>Exhibit D of Form HUD-40123, found in Section VIII (Appendix B) of this NOFA and available in the application instructions on line at <a href="http://www.grants.gov">http://www.grants.gov</a> for the BEDI Program.</p>	<p>Applications submitted through <a href="http://www.grants.gov">http://www.grants.gov</a> must be received by Grants.gov no later than 11:59:59 eastern time on the application submission date.</p>
<p>Request for Loan Guarantee Assistance.</p>	<p>Described in Section IV.B.1(c) of this NOFA.</p>	<p>Described in Section IV.B.1.(c) of this NOFA. Nonentitlement applicants must also submit form HUD-40122, found in Section (Appendix B) of this NOFA and available in the application instructions on line at <a href="http://www.grants.gov">http://www.grants.gov</a> for the BEDI Program.</p>	<p>Applicants receiving a waiver of the electronic submission requirement must submit their application to the United States Postal Service no later than 11:59:59 on the application submission date. See the General Section for detailed application submission and timely receipt instructions.</p>
<p>Narrative Responses to Factors for Award.</p>	<p>Described in Section IV.B.1(d) of this NOFA.</p>	<p>Described in Section V.A.1 of this announcement and accompanied by Exhibits A, B and C of Form HUD-40123, found in Section VIII (Appendix B) of this NOFA; form HUD 96010, and form HUD-27300 (if applicable), found in the General Section and available in the application instructions on line at <a href="http://www.grants.gov">http://www.grants.gov</a> for the BEDI Program.</p>	
<p>Standard Forms, Certifications and Assurances.</p>	<p>Described in Section IV.B.2 of this NOFA.</p>	<p>Forms SF-424, SF-LLL if applicable, HUD-2994, HUD-96010 and HUD-2880; also HUD-2990 and HUD-2991, if applicable. All above forms are found in the General Section and available in the application instructions on line at <a href="http://www.grants.gov">http://www.grants.gov</a> for the BEDI Program.</p>	
<p>Facsimile Transmittal .....</p>	<p>Described in the General Section for third party letters and required documentation to be submitted with an electronic application.</p>	<p>Form HUD-96011 is found in the General Section and is available in the on-line application. Please carefully follow the instructions for downloading and using this form as part of your electronic application submittal.</p>	

### C. Submission Dates and Times

#### 1. Application Submission Date

Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on the application submission date of June 17, 2005. Applicants receiving a waiver of the electronic submission requirement must submit their application to the United States Postal Service for delivery no later than 11:59:59 on the application submission date. Please see the General Section for further information on application submission and timely receipt requirements.

Be sure to provide a Project Name in Line 11 of the SF-424 (Application for Federal Assistance), and all references to the related Section 108 application should use the same project title. Be sure to complete the SF-424 cover page first and then download the rest of the forms, as the information from the cover page will be pre-populated. In addition a brief (one or two paragraph) description of all the activities (not just those to be funded with BEDI and 108 funds) comprising the proposed project should be provided, preceding the narrative statements in response to the Rating Factors. This project description does not count against the 15-page overall limitation.

2. Proof of Timely Submission. Please see Section IV.2 of the General Section for information regarding proof of timely submission.

### D. Intergovernmental Review

BEDI is not subject to the provisions of Executive Order 12372, "Intergovernmental Review of Federal Programs."

### E. Funding Restrictions

#### 1. Eligible CDBG Activities.

Applicants shall not propose the use of BEDI and Section 108 funds for ineligible activities listed at 24 CFR 570.207, and as provided below. BEDI grant funds and Section 108 loan guarantee funds may be used only for activities listed at 24 CFR 570.703, provided such activities are carried out as part of a BEDI project as described in this NOFA and meet the CDBG requirements at 24 CFR 570.200, 570.207, 570.208 and 570.209.

#### 2. Repayment of Section 108 Principal.

The planned use of BEDI funds for the specific purpose of repayment of the principal amount of a Section 108-guaranteed loan is not an eligible activity under 24 CFR. 570.703 and therefore should not be proposed in a BEDI application. Under the "debt

service reserve" eligible activity at 24 CFR 570.703(k), however, the planned use of a limited amount of BEDI funds for the repayment of the principal of a Section 108-guaranteed loan is permissible if justified and approved by HUD under a particular application. Such a debt service reserve may be justified in the context of a loan loss reserve set up to support a "loan pool" consisting of a number of smaller third party loans. In that context, the corresponding principal amount of the Section 108 loan might be repaid from a debt service reserve when a third party loan defaults and liquidation of security for the third party loan by or on behalf of the Section 108 borrower/BEDI grantee does not yield enough cash to redeem or defease the amount of Section 108 principal corresponding to the defaulted third party loan. A debt service reserve may also be proposed and set up in an amount reasonable to pay principal and/or interest on a Section 108-guaranteed loan for a limited period, such as the start up period for an assisted business, or a construction period, when the cash flow resulting from the primary Section 108 or BEDI-funded activity would not be sufficient to support repayment. In any case, HUD requires the applicant to provide information sufficient to support the reasonableness of the amount of a debt reserve in relation to its purpose. For any Section 108- and BEDI-assisted project, HUD will have rights under the Section 108 Contract for Loan Guarantee Assistance to use undisbursed BEDI funds to make payment on, or to defease, the Section 108 loan if HUD deems that action necessary in order to avoid the need for HUD to make a payment under its Section 108 loan guarantee from non-CDBG funds.

3. *Subordination of Section 108 Obligations.* Section 108 loan obligations may not be subordinated, directly or indirectly, to federally tax exempt obligations. Pursuant to Office of Management and Budget (OMB) Circular A-129 (Rev.) Appendix A, Sections II.2.c. and d., (Policies for Federal Credit Programs and Non-Tax Receivables), Section 108-guaranteed loan funds may not, directly or indirectly, support federally tax-exempt obligations.

4. *Remediation by Responsible Parties.* BEDI grant funds shall not be used in any manner by grantees to provide public or private sector entities with funding to remediate conditions caused by their own actions, where the public entity (or other known prospective beneficiary of the proposed BEDI grant) has been determined

responsible for causation and remediation by order of a court or a Federal, state, or local regulatory agency, or is responsible for the remediation as part of a settlement approved by such a court or agency. Applicants will be required in Section V.A.1 of this NOFA, Rating Factor 3, Soundness of Approach, to indicate that the proposed BEDI project will not be used to provide assistance as prohibited herein.

### F. Other Submission Requirements

1. *Application Submission and Receipt Procedure.* Beginning in FY2005, HUD requires applicants to submit applications electronically through <http://www.grants.gov>. Applicants interested in applying for funding must submit their applications electronically via the Web site <http://www.grants.gov> unless you request and are granted a waiver to the electronic submission requirements. This site has easy to follow step-by-step instructions that will enable you to apply for HUD assistance. The <http://www.grants.gov> feature includes a simple, unified application process to enable applicants to apply for grants online.

Please read the General Section carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirements.* Please refer to Section IV.F of the General Section for instructions on how to seek a waiver to the electronic submission requirement.

#### 3. *Submission of Concurrent Section 108 Application Under Separate Cover.*

Applicants that apply via Grants.gov should submit the Section 108 Loan Guarantee application using the same procedures as those for applicants receiving a waiver of the electronic application requirement. The Section 108 Loan Guarantee application must be submitted using the mailing instructions below.

a. The Section 108 Loan Guarantee application should have the Project Title in Box 11 of the SF-424 as the related BEDI project.

b. Concurrent Section 108 Application Submission Date. Applicants choosing to submit a concurrent and complete Section 108 application as provided for in Section IV.B.1(c) of this NOFA above, must submit such application on or before the BEDI application submission date, to the addresses shown below, in order to receive points under Section V.A.1, Rating Factor 3, of this NOFA.

The concurrent Section 108 application must be submitted no later than 11:59:59 p.m. to the United States Postal Service in accordance with the instructions in the General Section. The required number of copies should be sent to the locations indicated below. If HUD receives at least one completed concurrent Section 108 application at either HUD Headquarters or the appropriate HUD Field Office, HUD will utilize the complete application for its review purposes, provided it meets the deadline and timely submission requirements.

c. Proof of Timely Submission. Proof of timely submission of a concurrent Section 108 application shall be determined under the provisions of the General Section related to mailed applications.

d. Address for Submitting Concurrent Section 108 Applications to HUD Headquarters. Submit the concurrent Section 108 application to: HUD Headquarters; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 7251; Washington, DC 20410, Attention: BEDI/Section 108 Application.

When submitting the concurrent Section 108 application, please specify BEDI/Section 108 Application on any label or mailing container, and include the applicant's name, mailing address (including zip code), street address (if different from mailing address), and zip code, and voice and facsimile telephone numbers (including area code), along with the contact person's name, and voice and facsimile telephone numbers (including area code), and email address, if available.

e. Concurrent Section 108 Applications to HUD Field Offices. At the same time the concurrent Section 108 application is submitted to HUD Headquarters, an additional copy should be submitted to the Community Planning and Development Division of the appropriate HUD field office for the applicant's jurisdiction. A listing of CPD Offices and mailing addresses can be found on HUD's website at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

f. Concurrent Section 108 Application Submission Procedures. A concurrent Section 108 application submitted pursuant to this NOFA shall be subject to the application submission procedures for other mailed applications provided for in Section IV.F of the General Section. Proof of timely submission of a concurrent Section 108 application shall be determined under the provisions of Section IV.F of the General Section related to mailed applications.

## V. Application Review Information

### A. Criteria

#### 1. Factors for Award Used to Evaluate and Rate Applications.

a. Response to Factors for Award. The applicant must provide in narrative form responses to each of the rating factors below. HUD will evaluate all applications for funding assistance based on the following factors, the responses to which demonstrate the quality of the proposed project or activities, and the applicant's capacity and commitment to use the BEDI funds in accordance with the purposes of the Act. HUD local field offices may be consulted to verify information submitted by the applicant as part of the review of applications.

b. Responses to Rating Factors 1–5. Responses to Rating Factors 1–5 below shall not exceed 15 double-spaced, 8 ½ x 11 inch single-sided pages, with one-inch margins on all sides, for all responses.

#### *Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points Maximum)*

This Factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's organization and staff" will include any subcontractors, consultants, and sub-recipients that are firmly committed (see definition in Section I.C above) to participate in the activities described in the application. In responding to subfactors (1) and (2) of this Factor, applications that merely summarize the amount of funds received, spent, or managed will receive fewer points than those providing specific measurable information on program activities undertaken, outcomes of these activities and their accomplishments. In rating this Factor, HUD will consider the following:

(1) Applicant Capacity (Up to 10 points). The applicant should demonstrate that it has the organization, the staff, and the financial resources in place to implement the specific steps required to successfully carry out its proposed BEDI/Section 108 project. The applicant should offer evidence of this capacity through a description that includes:

(a) Performance in the administration of its CDBG, HOME, or other HUD programs, including a description of successfully completed projects and other outcomes or accomplishments under these programs. In addition to citing specific projects, outcomes, or

accomplishments, CDBG entitlement recipients must also indicate the extent to which the applicant has met the HUD standard that the total amount of its undisbursed entitlement grant funds may not be more than 1.5 times the entitlement grant amount for the current program year (see 24 CFR 570.902(a)(1)(i)). All applicants must also identify any unresolved monitoring or audit findings by HUD with respect to the applicant's administration of HUD programs.

(b) Performance, if any, in carrying out economic development projects similar to that proposed, including brownfields economic development or redevelopment projects, if any, and if applicable, the ability to conduct prudent underwriting;

(c) If applicable because the applicant has such designation, the capacity to achieve state and local commitments identified in its local implementation plan, including maximizing the federal tax benefits made available as a result of a Federal Renewal Community/Empowerment Zone/Enterprise Community designation (including Enhanced Enterprise Community (EEC) designation). Applicants that have been designated as a Renewal Community (RC), Empowerment Zone (EZ), or Enterprise Community (EC/EEC) must respond to this subfactor even if the proposed brownfields economic development project is not to be located within the boundaries of the designated RC/EZ/EC-II; and

(d) An applicant that has previously received a BEDI or a competitive EDI grant award or, within the past five years, a Section 108-guaranteed loan commitment, must describe the status of the implementation of those project(s) assisted with any BEDI or competitive EDI funds or with any Section 108-guaranteed loan funds so approved within the last five years. An applicant must address any delays that have been encountered and the actions it is taking to overcome any such delays in carrying out the project(s) in a timely manner.

If HUD has not applied the performance standard applicable to all previous BEDI grantees referenced in Section III.C.1.(d), then for any such previously funded BEDI or competitive EDI grant projects, or for those Section 108-guaranteed loan projects committed within the past five years, HUD will award more rating points for applications providing evidence of achievement of specific measurable outcomes in carrying out approved activities funded with such guaranteed loan or grant funds.

If any of the rating criteria listed under (a) through (d) above do not apply

to an application, the rating for this subfactor (1) shall be based solely upon the other applicable criteria.

(2) Partner Capacity (Up to 10 points). In response to this subfactor (2), the applicant should describe the experience and performance of subrecipients, private developers and other businesses, nonprofit organizations (including grassroots faith-based and other community-based organizations), and other entities, if any, that have a role in implementing the proposed BEDI/108 program. Applicants are encouraged to identify specific economic development or other projects undertaken by each entity, which reflect the capacity of each entity to fulfill its responsibilities under the proposed brownfields economic development project, including the location, scale, and timeframe for completion of other relevant projects. If there are no third parties participating with the applicant in the proposed project, the 10 points available under this subfactor (2) will be added to the 10 points available under subfactor (1), with a maximum of 20 possible points then available under subfactor (1).

Experience will be judged in terms of recent (*i.e.*, within the past 5 years) and successful performance of activities relevant to those proposed in the BEDI application. The more recent and extensive the positive experience, the greater the number of points that will be awarded for this Factor.

In addition to the application, HUD also may rely on information at hand or available from public sources such as newspapers, from performance and/or monitoring reports, Inspector General or Government Accounting Office reports or findings, hotline complaints that have been proven to have merit, audit reports, and other reliable public information in rating this Factor.

*Rating Factor 2: Distress/Extent of the Problem (15 Points Maximum)*

This Factor addresses the extent to which there is need for funding the proposed activities based on levels of distress in both the jurisdiction of the public entity that is the applicant and the geographic or target area that will benefit from the project. Applications will be evaluated on the extent to which the level of distress for the target area is documented and compared with national data and data for the jurisdiction.

In applying this Factor, HUD will consider current levels of distress in the target area, as defined in standard geographic terms by the applicant. This may be Census Tract(s) or Block Groups immediately surrounding the project

site up to a radius of one-half mile, or it may be the target area to be served by the proposed project. HUD will also consider the current levels of distress in the applicant public entity's jurisdiction, if different from the target area. The applicant should describe the nature of the distress that the project is designed to address and the rationale for its definition of the area to be benefited. Examples of project beneficiaries may include: (a) Those receiving or using products or services produced by the project, and (b) those employed by the project.

Notwithstanding the above, an applicant proposing a project to be located outside the target area for which benefit is claimed or the applicant's jurisdiction could still receive points under this Factor if a clear rationale is provided linking the proposed project location and the benefits to be derived by persons living in the target area or the applicant jurisdiction.

To the extent that the applicant's Consolidated Plan, its Analysis of Impediments to Fair Housing choice (AI), and/or its Anti-Poverty Strategy found therein identify the level of distress in the jurisdiction and the target area in which the project is to be carried out, references to such documents should be included in preparing the response to this Factor. Applications that fail to reference these sources will receive fewer points under this Factor.

Applicants should provide data that address the following specific indicators of distress:

(1) Poverty Rate (Up to 5 points). Data should be provided in both absolute and percentage form (*i.e.*, whole numbers and percents) for both the target area and the applicant's jurisdiction as a whole; an application that compares the local poverty rate in the following manner to the national average at the time of submission will receive points under this section as follows:

(a) A poverty rate in the target area that is less than the national average, but that is greater than the rate for the applicant's jurisdiction: (2 points);

(b) A poverty rate in the target area that is at least equal to, but less than twice, the national average: (3 points);

(c) A poverty rate in the target area that is twice or more the national average: (5 points).

(2) Unemployment Rate (Up to 5 points). An application that compares the local unemployment rate for the applicant's jurisdiction and the target area in the following manner to the national average at the time of submission will receive points under this subfactor as follows:

(a) An unemployment rate in the target area that is less than the national average, but that is greater than the rate for the applicant's jurisdiction: (2 points);

(b) An unemployment rate in the target area that is at least equal to, but less than twice, the national average: (3 points);

(c) An unemployment rate in the target area that is twice or more the national average: (5 points).

(3) Other Indicators of Social and/or Economic Decline (Up to 5 points). Applicants should provide other indicators of social or economic decline that best capture the applicant's local situation. Examples that could be provided under this section include information demonstrating the target area and the jurisdiction's stagnant or falling tax base, including recent (within the last three years) commercial or industrial closings, downturns or layoffs; housing conditions, such as the number and percentage of substandard and/or overcrowded units; rent burden (defined as average housing cost divided by average income) for both the target area and jurisdiction; local crime statistics. The response to this subfactor (3) should paint a picture of the extent of need and distress in the target area and jurisdiction.

HUD requires use of sound and reliable data (*e.g.*, U.S. Census data, state statistical reports, university studies/reports that are verifiable) to support distress levels cited in each application. A source for all information along with the publication or origination date must also be provided. Updated Census data are available as follows for the listed indicators:

Unemployment rate: Unemployment rates are estimated monthly for counties, with a two-month lag, while census tract unemployment rates are available through the 2000 U.S. Census;

Poverty rate: Poverty rates are provided through the 2000 U.S. Census and are estimated every two years, with a three-year lag. Census and other relevant data can be accessed through [www.ffiec.gov](http://www.ffiec.gov). In rating applications under this Factor, HUD reserves the right to consider sources of available objective data other than, or in addition to, those provided by applicants, in order to compare such data to those provided by applicants.

*Rating Factor 3: Soundness of Approach (35 Points Maximum)*

This Factor addresses the quality and cost-effectiveness of the proposed plan for the brownfields economic development project. Applications that do not propose the productive reuse of



a specific, identified site or sites and that do not result in near-term, measurable economic benefits, such as projects that involve only the preparation of a site for potential future reuse by an unidentified party, or the capitalization of a loan pool for loans to unidentified borrowers, will receive fewer points under this Factor. The relationship between the proposed site or sites, the proposed eligible activities and the community needs and purposes of the program funding must be clearly described, as set forth below, in order to receive points for this Factor. In rating this Factor, HUD will consider the following:

(1) Consistency/Appropriateness of Proposed Activities with Identified Needs (Up to 3 points). In response to this subfactor, the applicant should describe:

(a) The extent to which the proposed plan for use of BEDI grant/Section 108-guaranteed loan funds will address the needs described in Rating Factor 2 above regarding the distress and extent of the problem in the target area or area to be benefited and the long-term benefit for current residents of the target area. The applicant should provide a clear and quantified explanation of this relationship;

(b) any unmet needs identified in the jurisdiction's Consolidated Plan and pursuant to Section III.C.4(j) of this NOFA, any impediments to fair housing identified in the jurisdiction's Analysis of Impediments to Fair Housing Choice, that will be directly addressed by the proposed project. See Section III.C.4(j) of this NOFA for examples of general affirmative fair housing actions that may be undertaken to address a jurisdiction's Analysis of Impediments to Fair Housing Choice; and

(c) the activities that will be carried out with the BEDI grant funds, and the nature and extent of the brownfields problem(s) actually or potentially affecting the site and/or structure(s) already on the site. This response must also indicate that the proposed assistance will not be used to provide funding to parties to remediate conditions caused by their own actions for which they have been determined to be legally responsible, and that the proposed brownfields site is not ineligible, as provided in Section IV.E.4 of this NOFA. This information relates to a threshold factor as well as a rating factor, as described in Section III.C.2 of this NOFA. Applications that fail to respond satisfactorily to this subfactor (c) shall not be receive funding consideration.

(2) Eligible Activities and CDBG National Objectives (Up to 10 points).

The applicant must describe how the proposed uses of BEDI funds will qualify as eligible activities under 24 CFR 570.703 governing the Section 108-guaranteed loan program, and also will meet the National Objectives of the CDBG program under 24 CFR 570.208. In describing how the proposed uses will meet the National Objectives of the CDBG program and the activity eligibility requirements of the Section 108 program, *applications must also include citations to the specific regulatory subsections supporting eligibility of activities and compliance with National Objectives.* (See Section III.C.1 of this NOFA). This information relates to a threshold factor as well as a rating factor, as described in Section III.C.1 of this NOFA. Applications that fail to respond satisfactorily to this subfactor (2) shall not receive funding consideration.

(3) Project Readiness (Up to 10 points). In responding to this subfactor (2), the applicant should demonstrate the extent to which the redevelopment plan for the brownfields site is logical, feasible, and likely to achieve its stated purpose and the extent to which the project will directly result in the productive reuse of the site and the delivery of near-term, measurable economic benefits. The applicant's response should demonstrate the extent to which the project is likely to be completed within a maximum of five years from the date of the BEDI award and will produce near-term, measurable economic benefits. Points for this subfactor will be awarded based upon the extent to which the following critical benchmarks for the redevelopment plan have been met or are approaching completion. The applicant's response to this subfactor should address:

(a) Environmental Investigation. This subfactor (a) will consider the extent to which the presence or potential presence of environmental contamination of the project site is known or understood. Proposed projects on sites where the nature and degree of environmental contamination is not well-quantified, where no environmental investigation has commenced, or that are the subject of on-going litigation or environmental enforcement actions will receive fewer points under this subfactor (a). Similarly, fewer points will be awarded to proposed projects at sites with exceptionally expensive contamination problems that may be beyond the scope of the BEDI and Section 108 programs' financial resources or other resources firmly committed to the project as described in the application, and sites

subject to pending and current litigation that may not be available for remediation and development or redevelopment in a time frame that will produce near-term and measurable economic benefits through the use of BEDI and Section 108 funds. Alternatively, any applicant indicating the completion of environmental assessment or review and the issuance of HUD approval for a Request for Release of Funds for the project under 24 CFR part 58 will receive more points under this subfactor.

(b) Site Control. This subfactor (b) will consider the extent to which control of the proposed project site has been secured or is being sought. Points for this subfactor (b) will be awarded based upon the degree of site control secured by the applicant or its development partner. Projects, for instance, in which negotiation or litigation related to site control are underway or continuing will receive fewer points than projects in which an option to purchase has been secured. Projects in which the applicant or its development partner has secured site control through acquisition, long-term lease, eminent domain or other means at the time of application will receive full points under this subfactor (b). In responding to this subfactor (b), applicants are encouraged to accompany their narrative response with a map indicating the boundaries of the proposed site or sites on which BEDI-assisted improvements are proposed. Any map included as part of the application must be submitted in accordance with the submission procedures provided for in the General Section and will not be counted in the fifteen page limitation on the narrative response to the Rating Factors as provided in Section V.A.1(b) of this NOFA.

(c) Legislative, Regulatory, and Other Approvals. This subfactor (c) will consider the extent to which any required local legislative approvals, regulatory permits, zoning classifications, environmental regulatory approvals, waivers, general, and special use permits, assessment district designations, public easements or rights-of-way, or other similar approvals have been secured or are being sought. The greater the number of outstanding legislative, regulatory, or other approvals required and not yet secured, the fewer points will be awarded. In the case of a CDBG entitlement unit of general local government, such as a county, proposing to undertake a BEDI project within the jurisdiction of another CDBG entitlement unit of general local



government, such as a city or other jurisdiction within that county, the applicant should also include a letter of support from the jurisdiction in which the BEDI project would be located.

(d) User Agreements. This subfactor (d) will consider the extent to which any development agreements, tenant leases, memoranda of understanding, or other agreements integral to returning the site to productive reuse and producing near-term measurable economic benefits, have been secured or are being sought. Applicants proposing projects that do not provide for new investment by an identified, committed private entity and the return of a brownfields site to productive reuse, with accompanying near-term, measurable economic benefits, will receive fewer points under this subfactor (d).

(e) Delivery of Economic Benefits. The response to this subfactor (e) must include the time frame in which the measurable economic benefits are to be delivered. For multi-phase projects, the response to this subfactor (e) must clearly delineate the different phases of the project and indicate whether or not they are to be funded by BEDI/Section 108 funds. Brownfields economic development projects that provide near-term, measurable economic benefits directly through the creation or retention of jobs will receive a greater number of points under this subfactor (e). In response to this subfactor (2), the applicant should also provide a specific time schedule (with both beginning and end dates) for carrying out the project and identify all interim measurable benchmarks (acquisition, demolition, site improvements, relocation, construction, etc.) to be accomplished. The applicant should also include a proposed schedule for drawing down all funds necessary to complete the project, including BEDI and Section 108 funds.

A timeline form is provided in Appendix B to this NOFA for the purpose of illustrating the project schedule (Exhibit C of form HUD-40123), but HUD will consider the timeline form only as an illustration of the narrative response to this subfactor (e).

(4) Section 108 Application (Up to 2 points). BEDI applications accompanied by a request for new Section 108 Loan Guarantee assistance as evidenced by a full and complete Section 108 application as provided for in 24 CFR 570.704, and submitted concurrently under separate cover as provided for in Section IV.F.3 of the NOFA, will receive up to two points for this subfactor (4). BEDI applications accompanied by a request to use the BEDI grant award in

conjunction with a currently pending but unapproved Section 108 loan guarantee application (together with any amendments needed for consistency with the BEDI application) for the same project described in the BEDI application, will also receive up to two points under this subfactor (4).

(5) Financial Feasibility/Need (Up to 10 points). The applicant should demonstrate the economic necessity of the proposed BEDI and Section 108 funds and the extent to which the project is not financially feasible in the absence of such funds. In responding to this subfactor (5), applicants are encouraged to accompany their narrative response, as appropriate, with development and operating "pro formas" or similar analyses of the proposed project financing. Such pro forma or other financial analysis will not be counted in the fifteen page limitation on the narrative response to the Rating Factors as provided in Section V.A.1(b) of this NOFA. In the narrative response, applicants must clearly address the question of why the BEDI funds are critical to the success of this project by providing the following items:

(a) Use of BEDI and Section 108 Funds to Fill Financing Gaps. The applicant must provide an economic rationale that demonstrates how the use of the BEDI and Section 108 funds will directly impact the financial feasibility of the proposed project. The response should discuss the critical gaps that exist in financing the proposed project, why those gaps exist and how the BEDI and Section 108 funds will be used to fill those gaps. The narrative response, including any pro forma or similar analysis, should demonstrate how the proposed BEDI and Section 108 financing will yield economic benefits critical to the success of the project, including, for example, increased rates of return or debt coverage ratios, reduced rents or other similar financial outcomes necessary to attract private investment.

(b) Project Costs and Financial Requirements. A funding sources and uses statement must also be provided that specifies the source of funds for each identified use or activity (Exhibit C of form HUD-40123), along with the derivation of project costs.

*Rating Factor 4: Leveraging Resources (15 Points Maximum)*

In evaluating this Factor, HUD will consider the extent to which the response demonstrates the likelihood that the project will leverage both Section 108 loan and other public or private funds as part of the total project

resources. Points for this Factor will be awarded in two parts, for the following:

(1) Leverage of Section 108 funds (Up to 8 points).

The minimum ratio of Section 108 funds to BEDI funds in any project may not be less than 1:1. Points will be awarded based upon the extent to which the proposed project leverages an amount of Section 108 funds greater than a 1:1 ratio. If the application has a ratio of 1:1, it will not receive any points under this subfactor. The higher the ratio of additional new Section 108 funds to BEDI funds proposed in an application, the more points it will receive under this subfactor, consistent with the points available hereunder. (See Sections II.C.1 and Section VI.B.1(a) of this NOFA regarding the conditioning of BEDI awards on achievement of a specific BEDI/Section 108 leveraging ratio.)

(2) Leverage of Other Financial Resources (Up to 7 points).

HUD will evaluate the extent to which other funds (public or private) are leveraged by BEDI grant funds, and the extent to which such other funds are firmly committed to the project. This could include the use of CDBG funds, other federal or state grants or loans, local general funds, project equity or commercial financing provided by private sources or funds from nonprofits or other sources. In order to receive points for other public and privately committed funds under this subfactor (2), letters of firm commitment, evidence of financial capacity and, for CDBG funds, the resolution of the local governing body, must be submitted for the proposed BEDI project in accordance with the submission procedures for third party documents provided in Section IV.F. of the General Section. In addition:

(a) Applicants must provide evidence that such funds are "firmly committed" as defined in Section I.C. of this NOFA.

(b) Each agreement or letter of commitment must include the name of the organization making the commitment, the proposed total level of commitment, and the responsibilities of the organization as they relate to the proposed BEDI project.

(c) Each commitment—including the donation or purchase of real property or the provision of in-kind services—must be assigned a monetary value by the party making the commitment, accompanied by an indication of the basis for that assigned value.

(d) The commitment must be signed by an official of the organization legally authorized to make commitments on behalf of the organization, with a statement confirming that authority, and

remain in effect for a period stated in the commitment.

(e) If a commitment is to be self-financed, such as a commitment by a private developer to provide a specified amount of equity investment in the project, the party making that commitment must evidence its financial capacity through the submission of a corporate or personal financial statement or other appropriate means in order to receive points under this subfactor (2).

(f) *For Applicants Committing CDBG*

*Funds:* In order for an applicant's commitment of CDBG funds to be accepted by HUD as additional financing for a BEDI project, a resolution from the local governing body (e.g., city/borough council) authorizing the amount and permitted uses of the funds must be provided.

All such funds may also be committed subject to completion of a satisfactory environmental review required under 24 CFR part 58 for the project for purposes of this section.

*Rating Factor 5: Achieving Results and Program Evaluation (15 Points Maximum)*

This Factor emphasizes HUD's commitment to ensuring that applicants maintain commitments made in their applications and assess their performance to ensure that performance goals are met. This Factor also evaluates the extent to which the results of the proposed BEDI project will address the policy priorities of the Department. In addition to a narrative response, applicants must complete the logic model provided in the General Section (form HUD-96010) in order to receive points under this Factor. Applicants seeking policy priority points for the removal of regulatory barriers to affordable housing as provided for in subfactor (2)(v) of this Factor, must also complete form HUD-27300 in order to receive points for that policy priority.

(1) Performance Measurement Plan (Up to 12 points). HUD requires applicants to develop an effective, quantifiable, outcome oriented performance measurement plan for measuring performance and determining that BEDI project goals have been met. The applicant's response to this subfactor (1) should identify: (a) Each of the specific project outcomes for the proposed BEDI project; (b) all interim benchmarks or outputs of the project and the associated time frames for meeting each interim benchmark or output, i.e., the near-term measurable economic benefits to be achieved, such as the number of jobs created or retained and the time frame for creation or

retention; and (c) the performance indicators selected by the applicant to measure its achievement of the identified project outputs and project outcomes. The performance indicators selected by the applicant should be objectively quantifiable and measure actual achievements against anticipated results. The response to this subfactor (1) should identify what will be measured, how it will be measured, and the procedures or plans that are in place to make adjustments to the project redevelopment plan if performance targets are not met within established time frames.

In response to this subfactor (1), applicants should address any of the applicable outcomes or ultimate goals identified for the BEDI project. Examples of such outcomes or goals include increased property values, or home sales prices, as a result of a series of coordinated neighborhood activities; the amount of increased wages resulting from the creation or retention of jobs; increased business sales volume in revitalized neighborhoods; or the amount of any increased land value that results from the BEDI project. Applicants should propose quantifiable outcomes or goals related to the benefits expected for the neighborhood or for persons assisted, as part of the evaluation plan.

(2) Policy Priorities (Up to 3 points). The applicant's response to this subfactor (2) should address how the project will address any of the following policy priorities of the Department, as further detailed in Section V.B. of the General Section. A maximum of three points shall be awarded to applicants that demonstrate how the proposed BEDI project addresses two or more of the following policy priorities, with the number of points afforded to each policy priority indicated below:

(i) The extent to which the proposed project will improve the quality of life in the nation's communities, by bringing private capital to distressed communities (1 point);

(ii) The extent to which the proposed project will finance business investments that will grow new businesses or maintain and expand existing businesses (1 point);

(iii) The extent to which the proposed project will create decent jobs for low-income persons (1 point).

(iv) The extent to which the project will increase affordable housing and homeownership opportunities for low- and moderate-income persons, persons with a disability, the elderly, minorities, and persons with limited English proficiency, whether through the provision of housing or employment

which will enable residents to access affordable housing and have a choice of such housing in environmentally healthy and revitalized neighborhoods (1 point);

(v) The extent to which the project will assist in breaking down regulatory barriers that impede the availability of affordable housing, accompanied by form HUD-27300. To receive points for this factor the applicant must submit the required documentation or reference to a URL(s) where the information can be found. (up to 2 points); and,

(vi) The extent to which the project will utilize energy-efficient solutions in the design or operating phases, including the purchase and use of Energy Star-labeled products and/or combined heat and power (CHP, or cogeneration) in buildings, where applicable.) (See Section V.B of the General Section, Promoting Energy Efficiency and Adopting Energy Star, for more information (1 point).

*Bonus Points*

An application may receive up to four bonus points, until the maximum of four points are achieved. Two bonus points may be awarded for each of the following:

(1) Projects that are located either in federally designated Empowerment Zones (EZs), Enterprise Communities designated by USDA in Round II (EC-IIs), or Renewal Communities (RCs) (see Section V.A. of the General Section for advice on locating a list of designated communities) that are intended to serve the residents of these areas, and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan (TIUP);

(2) Projects that are located in Brownfields Showcase Communities designated by EPA. A list of the federally designated Brownfields Showcase Communities is listed in Appendix C of Section VIII of this NOFA and is also available from the SuperNOFA Information Center or through the HUD Web site, <http://www.hud.gov>.

*B. Reviews and Selection Process*

1. *Reviews and Selection Process.* All applications meeting BEDI program and other threshold requirements will be rated under the selection criteria in Section V.A. of this NOFA. Applications will be selected for funding as follows:

a. Fundable BEDI grant applications must meet the program threshold and submission requirements of this NOFA and the other threshold requirements stipulated in Section III.C. of the General Section or they will not be ranked.

b. All BEDI grant applications that meet threshold requirements will be ranked separately in order of points assigned with the applications receiving more points ranked above those receiving fewer points.

c. In the event two or more applications are given the same score, but there are insufficient funds to fund all of the tied applications, the application(s) with the highest score(s) on Rating Factor 3 (Soundness of Approach) shall be selected. If there is still a tie, the following Factors will be considered sequentially, with the application having the high score on each Factor in the following order taking precedence until the tie is broken: Rating Factor 1 (Capacity and Experience), Rating Factor 2 (Distress/Extent of the Problem), Rating Factor 4 (Leveraging Resources), and Rating Factor 5 (Achieving Results and Program Evaluation).

d. Fundable BEDI applications will be funded in rank order until the total aggregate amount of the approvable applications funded is equal to the maximum amount available in the competition (subject to the limitations described in Section II.C above).

e. In the event an insufficient number of applications meeting the program thresholds are received to award the full amount of BEDI funds appropriated and available under this NOFA, HUD may consider for funding those applications that did not meet the performance standards found in Section III.C.1.(d) above.

2. *Corrections to Deficient Applications.* Section V.B. of the General Section provides the procedures for corrections to deficient applications.

### C. *Anticipated Announcement and Award Dates*

Historically, BEDI awardees have been notified of the approval of BEDI applications within approximately 90 days of the application deadline.

## VI. Award Administration Information

### A. Award Notices

#### 1. Notice of Award and Obligation

BEDI award recipients will receive written notice of approval of their applications and the related terms and conditions of the award. An authorized official of the applicant receiving a BEDI award will be required to sign and return an acceptance of the BEDI award. BEDI funds shall be obligated for an approved application upon the return of a signed acceptance of the award to HUD and a countersignature of that acceptance by an authorized HUD official.

#### 2. Award Disbursements and Amendments

##### a. *Timing of Section 108 Approval and BEDI Grant Disbursements.*

(1) To the extent a full and complete Section 108 application is submitted with the BEDI grant application, HUD will evaluate the Section 108 application immediately following the competition for BEDI grant funds. Note that for those applicants that are granted a waiver to the electronic submission process, the 108 application must be submitted to the appropriate HUD field office concurrently with submission to Headquarters.

(2) Notwithstanding any earlier obligation or award of BEDI funds to a grantee, or execution of a grant agreement, HUD will not permit the grantee to draw down BEDI funds before the issuance and at least partial funding of the obligations evidencing the related Section 108-guaranteed loan.

(3) Pursuant to the Consolidated Appropriations Act, 2005 (under the "Brownfields Redevelopment" heading) and 31 U.S.C. 1552, FY2005 BEDI funds must be obligated (*i.e.*, awarded) by HUD by September 30, 2006, and must be disbursed by HUD to the grantee by September 30, 2011. FY2004 BEDI funds must be obligated by September 30, 2005, and must be disbursed by HUD to the grantee by September 30, 2010. HUD reserves the right, however, to require earlier disbursement under a BEDI grant agreement. Accordingly, a BEDI awardee must ensure the timely submission of its Section 108 Loan Guarantee application, the execution of the Section 108 Contract for Loan Guarantee Assistance and BEDI Grant Agreement, and the issuance of the Section 108 Loan Guarantee Note.

#### 3. Applicant Debriefing

Section VI.A. of the General Section provides information on applicant requests for a debriefing. Applicants requesting to be debriefed must send a written request to the contact person for the BEDI program, Mr. William Seedyke, at the address listed in Section VII of this NOFA.

### B. *Administrative and National Policy Requirements*

#### 1. Terms and Conditions

a. Ratio of BEDI to Section 108 Loan Guarantee Funds. Because the proposed ratio of BEDI funds to Section 108 funds presented in an approved BEDI application represents an applicant's financial commitment to a BEDI project, HUD will condition the BEDI grant award on the grantee's achievement of that specific ratio. The failure of the

grantee to meet that condition by obtaining timely HUD approval of a commitment for, and issuance of, the required Section 108 guaranteed obligations ratio may result in the cancellation and recapture of all or a proportionate share of the BEDI grant award.

b. Approval of Section 108 Loan Guarantee Application and Disbursement of Funds. As a condition of any award under this NOFA, if the related Section 108 application has not been submitted and approved within 10 months of written HUD notification of selection for potential funding under this NOFA, HUD may deobligate the BEDI funds. BEDI grant awards and grant agreements will contain conditions requiring grantees to adhere to time frames mutually agreed on by the applicant/grantee and HUD for implementing proposed projects and drawing Section 108 and BEDI funds. If BEDI grant funds and Section 108 loan proceeds are not disbursed to the applicant within the time frames specified in the BEDI grant agreement, HUD reserves the right to cancel the award and recapture all or a portion of the BEDI funds, as applicable under the grant agreement.

c. BEDI Application Amendments. Any modifications or amendments to an application approved pursuant to this NOFA, whether requested by the applicant or by HUD, must be within the scope of the approved original BEDI application in all respects material to rating the application, unless HUD determines that the revised application remains within the competitive range and is otherwise approvable under this NOFA. In addition, if the applicant proposes an amendment after the period during which appropriated funds are available for obligation (for FY2054 BEDI funds, after September 30, 2006), HUD will be unable to approve any amendment which materially changes the scope, purpose, or need for the original award, as determined by HUD. In such a case, the unused BEDI funds must be deobligated and returned to the U.S. Treasury.

#### 2. Environmental Justice

a. Executive Order 12898 (Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations) directs Federal agencies to develop strategies to address environmental justice. Environmental justice seeks to rectify the disproportionately high burden of environmental pollution that is often borne by low-income, minority, and other disadvantaged communities, and to ensure community involvement in

policies and programs addressing this issue.

b. HUD expects that projects presented for BEDI funding will integrate environmental justice concerns and provide measurable economic benefits for affected communities and their current residents for the long term.

### 3. Economic Opportunities for Low- and Very Low-Income Persons (Section 3)

Recipients of assistance under this NOFA must comply with Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701 (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements at subpart E. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very-low income persons, particularly those who are recipients of government assistance for housing, and business concerns that provide economic opportunities to low- and very low-income persons.

### 4. Other National Requirements

BEDI applicants are directed to the Section III.C of the General Section, which provides the statutory, regulatory, threshold, and public policy requirements applicable to all HUD grantees. In particular, BEDI applicants should carefully review provisions relating to Executive Order 13202 (Preservation of Open Competition and Government Neutrality Toward Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects) and federal laws governing the procurement of recovered materials.

### C. Reporting

CDBG regulations at 24 CFR 570.507 (for metropolitan city and urban counties) and 24 CFR 570.491 (for state grantees) require the submission of a Consolidated Annual Performance Evaluation Report (CAPER) describing the use of CDBG funds during the program year. 24 CFR 570.3 defines CDBG funds to include BEDI grants, and accordingly, grantees must report specifically on the use of BEDI grant funds and Section 108 loan guarantee proceeds in the CAPER. CAPER requirements for the collection and reporting of racial and ethnic data also apply to the use of BEDI and Section 108 guaranteed loan proceeds. These data are to be reported in the CAPER using the Race and Ethnic Data Reporting form (HUD-27061). For each reporting period, as part of the required report to HUD, grant recipients must also include a completed Logic Model (form HUD-96010), which identifies output and outcome achievements.

### VII. Agency Contact

For technical assistance in completing your registration with Grants.gov or in using the electronic application, please contact the Grants.gov Support Desk by calling 800-518-GRANTS or sending an email to [Support@Grants.gov](mailto:Support@Grants.gov). For assistance with program related questions, please contact William Seedyke, BEDI Program Coordinator; Office of Economic Development; U.S. Department of Housing and Urban Development; 451 Seventh Street, SW., Room 7140; Washington, DC 20410; telephone (202) 708-3484, extension 4445 (this is not a toll-free number). Hearing or speech challenged persons may call the Federal Information Relay Service at 800-877-8339 (this is a toll-free number). Before the application submission date, HUD staff will be available to provide general guidance and assistance about this BEDI NOFA.

However, HUD staff are not permitted to assist in preparing a BEDI application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award by HUD. In addition, the Section 108 Loan Guarantee program is not a competitive program and therefore is not subject to those provisions of the HUD Reform Act pertaining to competitions that do not permit HUD staff to assist in the preparation of applications. HUD staff are available to provide advice and assistance to develop Section 108 loan applications.

### VIII. Other Information

#### *Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2506-0153. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to, a collection of information unless the collection displays a current OMB control number. Public reporting burden for the collection of information is estimated to average xx hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing and reporting the data for the application and for the annual report. The information will be used for grantee selection and monitoring and the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

#### *Appendices*

**BILLING CODE 4210-32-P**

## APPENDIX A

### BEDI CHECKLIST AND SUBMISSION TABLE OF CONTENTS

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Applicants filing electronically do not need to submit this checklist. Applicants receiving a waiver of the electronic submission must submit the checklist and place the application in the order listed in the checklist. Standard forms and required certifications are found in the **General Section**. All forms can be downloaded from the application and instructions at [www.grants.gov/Apply](http://www.grants.gov/Apply) for the BEDI NOFA

#### **Check Off**

- Application for Federal Assistance (form SF-424)
- BEDI Checklist and Submission Table of Contents
- BEDI/Section108/CDBG Funding Eligibility Statement, Pages 1 and 2, (form HUD 40123-Exhibit D)
- Request for Loan Guarantee Assistance** (check one of five options)
  - Concurrent Application Submitted Under Separate Cover
  - Subsequent Application
  - Pending, Unapproved Application
  - Increase to a Project Assisted Under Previously Approved Application
  - Deobligation of Previously Approved Section 108 Authority

#### **Response to Rating Factors**

- 1. Capacity of the Applicant and Relevant Organizational Experience
- 2. Distress/Extent of the Problem
  - Distress/Extent of Problem (form HUD-40123-Exhibit A)
- 3. Soundness of Approach
  - Project Timeline (form HUD-40123-Exhibit C)
  - Financial Feasibility (form HUD-40123-Exhibit B)
- 4. Leveraging of Resources/Financial Need
- 5. Achieving Results and Program Evaluation
  - Logic Model (form HUD-96010)
- America's Affordable Communities Initiative (form HUD-27300) with required documentation or URL references, if applicable.

#### **Application Forms and Certifications**

- Applicant/Recipient Disclosure Update Report (HUD-2880)
- Certification and Disclosure Form Regarding Lobbying (SF-LLL)
  - (if applicable)
- RC/EZ/EC-II Certification of Consistency with Strategic Plan (HUD-2990)
  - (if applicable)
- Section 108 Certifications (if submitting full 108 application)
  - Certification of Consistency with the Consolidated Plan (HUD-2991), (if applicable)
- Client Comments and Suggestions (HUD-2994) (optional)

OMB Approval No. 2506-0153 (exp. 10/31/2007)

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

Office of Community Planning and Development

**Brownfields Economic  
Development Initiative  
(BEDI) Application Form**

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The information collection requirements contained in this application have been submitted to the Office of Management and Budget (OMB) for review under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). 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.

Information is submitted in accordance with the regulatory authority contained in each program rule. The information will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the Brownfield Economic Development Initiative are based on rating factors listed in the Notice of Fund Availability (NOFA), which is published each year to announce the Brownfield Economic Development Initiative (BEDI) funding round. The information collected in the application form will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 40 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.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements.

**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)**

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**Exhibit A**  
**Rating Factor 2: Distress/Extent of Problem**

**Applicant:** \_\_\_\_\_  
**Project Name/Title:** \_\_\_\_\_

Instructions: The applicant is required to provide information related to the poverty rate for the Target Neighborhood (the area in which the BEDI assistance will be used) and the larger jurisdiction. In addition, the applicant may include optional indicators such as unemployment rate, median income of persons living in the area, or other indicators of the applicant's choosing. A data source and date are required for each indicator. Use of data from the applicant's Consolidated Plan and/or its Analysis of Impediments to Fair Housing Choice (AI) is encouraged.

Required Indicator	Target Neighborhood	Jurisdiction	Data Source and Date
1 Poverty Rate			

Optional Indicators	Target Neighborhood	Jurisdiction	Data Source and Date
2 Unemployment			
3 Median Income			
4			
5			
6			
7			
8			

**Definitions:** Describe how the areas are defined (i.e., city boundaries, census tracts, zip codes, etc.)

**Target Neighborhood:** \_\_\_\_\_  
 \_\_\_\_\_

**Jurisdiction:** \_\_\_\_\_

**Exhibit B**  
**Rating Factor 3: Soundness of Approach/Financial Feasibility**

**Applicant:** \_\_\_\_\_  
**Project Name/Title:** \_\_\_\_\_

Instructions: Use this table to show all sources and uses of funds for the proposed project through the time when the project goes into service for its intended purpose. Add additional uses in the blank spaces at the end of the column labeled Uses of Funds.

SOURCES OF FUNDS							
USES OF FUNDS	BEDI	SECTION 108	CDBG	OTHER PUBLIC	PRIVATE EQUITY	PRIVATE DEBT	TOTAL
SITE ACQUISITION							
RELOCATION							
SITE-PREP / INFRASTRUCTURE							
ENVIRONMENTAL CLEAN-UP							
M & E							
CONSTRUCTION / REHAB							
NON-RESIDENTIAL							
RESIDENTIAL							
WORKING CAPITAL							
PROJECT DELIVERY COSTS							
CONTINGENCY							
RESERVES *							
LAND WRITEDOWN							
INTEREST WRITEDOWN							
<b>TOTAL</b>							

\* e.g., Loan Loss, Debt Service, Letter of Credit, etc.

**Exhibit C**  
**Rating Factor 3: Soundness of Approach/Project Timeline**



**Applicant:** \_\_\_\_\_

**Project Name/Title:** \_\_\_\_\_

Instructions: Identify and list each major task/activity associated with the project. Darken appropriate boxes for quarter(s) when task/activity will occur. Fill in the amount of "BEDI/108 Funds for Task." Fill in the amount of other sources of funding associated with each task in the column labeled "Other Funds." If the project extends beyond the timeframe on the form, please attach a justification or description of the project term. Use as many attachments as necessary to show beginning - - end timeframes for all phases.

Task/Activities	YEAR 1				YEAR 2				YEAR 3				BEDI/108 Funds for Task	Other Funds for Task
	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q		
EXAMPLE: Construction													\$1,500,000	\$2,500,000
1														
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														
12														
TOTAL														

**Exhibit D  
BEDI/Section 108/CDBG Funding Eligibility Statement  
Page 1 of 2**

**Applicant:** \_\_\_\_\_

**Project Name/Title:** \_\_\_\_\_

Instructions: The applicant should first enter the total project cost (line 16). Then, working backwards, the applicant should enter the total costs paid with CDBG (line 14) and non CDBG-related funds (line 15). These two amounts should equal the total listed in line 16. Next, the applicant should enter dollar amounts on lines 1-13 in order to demonstrate among which eligible activities the BEDI, Section 108 or CDBG funds are to be allocated.

<b>Eligible Activities<sup>1</sup></b>	<b>BEDI</b>	<b>Section 108</b>	<b>CDBG<sup>2</sup></b>	<b>Total</b>
<b>1 Acquisition of Real Property</b> 24 CFR 570.703(a)				
<b>2 Rehabilitation of Publicly Owned Real Property</b> 24 CFR 570.703(b)				
<b>3 Payment of Interest</b> 24 CFR 570.703(c)				
<b>4 Relocation Payments</b> 24 CFR 570.703(d)				
<b>5 Clearance, Demolition, Removal</b> 24 CFR 570.703(e)				
<b>6 Site Preparation</b> 24 CFR 570.703(f)				
<b>7 Payment of Issuance Fees</b> 24 CFR 570.703(g)				
<b>8 Housing Rehabilitation</b> 24 CFR 570.703(h)				
<b>9 Economic Development Activities</b> 24 CFR 570.703 (i) (and 570.203/204)				
<b>10 Construction of Housing</b> 24 CFR 570.703(j)				
<b>11 Debt Service Reserve</b> 24 CFR 570.703(k)				
<b>12 Public Facilities</b> 24 CFR 570.703(l)				
<b>13 Public Facilities – Colonias</b> 24 CFR 570.703(m)				
<b>14 Subtotal</b>				
<b>15 Costs Paid with Non CDBG-Related Funds</b>				
<b>16 Total Project Costs<sup>3</sup></b>				

<sup>1</sup> The eligible Section 108 activities are defined in detail at 24 CFR 570.703.

<sup>2</sup> CDBG grants and program income other than BEDI or Section 108.

<sup>3</sup> This figure should match the total provided on the Sources and Uses Statement.

**Exhibit D  
BEDI/Section 108/CDBG Funding Eligibility Statement  
Page 2 of 2**

**Applicant:** \_\_\_\_\_  
**Project Name/Title:** \_\_\_\_\_

National Objective <sup>1</sup>			
Single Project (check one only)		Loan Fund (check all that apply)	
<input type="checkbox"/>	Low-Mod Area Benefit	24 CFR 570.208(a)(1)	<input type="checkbox"/>
<input type="checkbox"/>	Low-Mod Limited Clientele	24 CFR 570.208(a)(2)	<input type="checkbox"/>
<input type="checkbox"/>	Low-Mod Area Housing	24 CFR 570.208(a)(3)	<input type="checkbox"/>
<input type="checkbox"/>	Low-Mod Job Creation/ Retention	24 CFR 570.208(a)(4)	<input type="checkbox"/>
<input type="checkbox"/>	Slum/Blight Area Basis	24 CFR 570.208(b)(1)	<input type="checkbox"/>
<input type="checkbox"/>	Slum/Blight Spot Basis	24 CFR 570.208(b)(2)	<input type="checkbox"/>
<input type="checkbox"/>	Slum/Blight Urban Renewal	24 CFR 570.208(b)(3)	<input type="checkbox"/>
<input type="checkbox"/>	Urgent Need/Imminent Threat	24 CFR 570.208(c)	<input type="checkbox"/>

Public Benefit
<p><b>PLEASE NOTE:</b> This section is applicable only to projects which plan to spend funds on eligible economic development activities as defined by 24 CFR 570.703(i).</p> <p>A. If this project will meet the public benefit standard based upon the number of jobs created [see 24 CFR 570.209(b)(3)(i)(A)] enter the total number of jobs:</p> <p style="text-align: center;"> <input style="width: 100px; height: 30px;" type="text"/> </p> <p>B. If this project will meet the public benefit standard based upon the number of low- and moderate-income persons served in the project area [see 24 CFR 570.209(3)(i)(B)], enter the number of low- and moderate-income persons living in the project area:</p> <p style="text-align: center;"> <input style="width: 100px; height: 30px;" type="text"/> </p>

<sup>1</sup> The CDBG national objectives are defined in detail at 24 CFR 570.208.

**SECTION 108 LOAN GUARANTEE  
State Certifications Related to  
Nonentitlement Public Entities****U.S. Department of Housing  
and Urban Development**  
Office of Community Planning  
and Development**Pursuant to 24 CFR §570.704(b)(9), the SECTION 108 LOAN GUARANTEE****State Certifications Related to Nonentitlement Public Entities**

State of \_\_\_\_\_, with regard to the Section 108 Loan guarantee application submitted by the \_\_\_\_\_ (Nonentitlement Public Entity), certifies that:

- (i) It agrees to make the pledge of grants required under 24 CFR §570.705(b)(2).
- (ii) It possesses the legal authority to make such pledge.
- (iii) At least 70 percent of the aggregate use of the CDBG grant funds received by the State, guaranteed loan funds, and program income during the one, two, or three consecutive years specified by the State for its CDBG program will be for activities that benefit low and moderate income persons.
- (iv) It agrees to assume the responsibilities described in 24 CFR §570.710.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date (mm/dd/yyyy)

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**Appendix C – Federally-Designated Brownfields Showcase Communities.**

The following lists Federally-Designated Brownfields Showcase Communities:

- (1) Baltimore, Maryland
- (2) Cape Charles/ Northhampton County, Virginia
- (3) Chicago, Illinois
- (4) Dallas, Texas
- (5) Denver, Colorado
- (6) Des Moines, Iowa
- (7) East Palo Alto, California
- (8) Eastward Ho (Consortium), Florida
- (9) Gila River Indian Community, Arizona
- (10) Glen Cove, New York
- (11) Houston, Texas
- (12) Jackson, Mississippi
- (13) Kansas City, Kansas/Missouri
- (14) Los Angeles, California
- (15) Lowell, Massachusetts
- (16) Metlakatla Indian Community, Alaska
- (17) Milwaukee, Wisconsin
- (18) Mystic Valley Development Commission, Massachusetts  
(Cities of Everett, Malden and Medford)
- (19) New Bedford, Massachusetts
- (20) Niagara Region, New York  
(Cities of Buffalo, Niagara Falls, Counties of Niagara and Erie)
- (21) Portland, Oregon
- (22) State of Rhode Island
- (23) St. Louis, Missouri/East St. Louis, Illinois
- (24) St. Paul, Minnesota
- (25) Salt Lake City, Utah
- (26) Seattle/King County, Washington
- (27) Stamford, Connecticut
- (28) Trenton, New Jersey