U.S. Department of Housing and Urban Development
- **Office of Sustainable Housing and Communities**

U.S. Environmental Protection Agency
- **Office of Sustainable Communities**
- **Office of Water**
- **Office of Brownfields and Land Revitalization**

FY2010-11 Capacity Building for Sustainable Communities Program

Notice of Funding Availability

JUNE 15, 2011

The Federal Partnership for Sustainable Communities

- On June 16, 2009, HUD, DOT, and EPA joined together to help communities nationwide improve access to affordable housing, increase transportation options, and lower transportation costs while protecting the environment.

- The Partnership for Sustainable Communities works to coordinate federal housing, transportation, water, and other infrastructure investments that will make neighborhoods more prosperous, allow people to live closer to jobs, save households time and money, and reduce pollution.

Partnership Livability Principles

 Provide more **transportation choices** to increase safety, accessibility, and reliability while reducing household transportation costs.

 Promote equitable, affordable housing that expands location- and energy-efficient **housing choices**

 Improve **economic competitiveness** by giving people reliable access to employment centers, educational opportunities, and other basic services.

 Target Federal funding toward **existing communities** to increase community revitalization, maintain infrastructure & support local needs
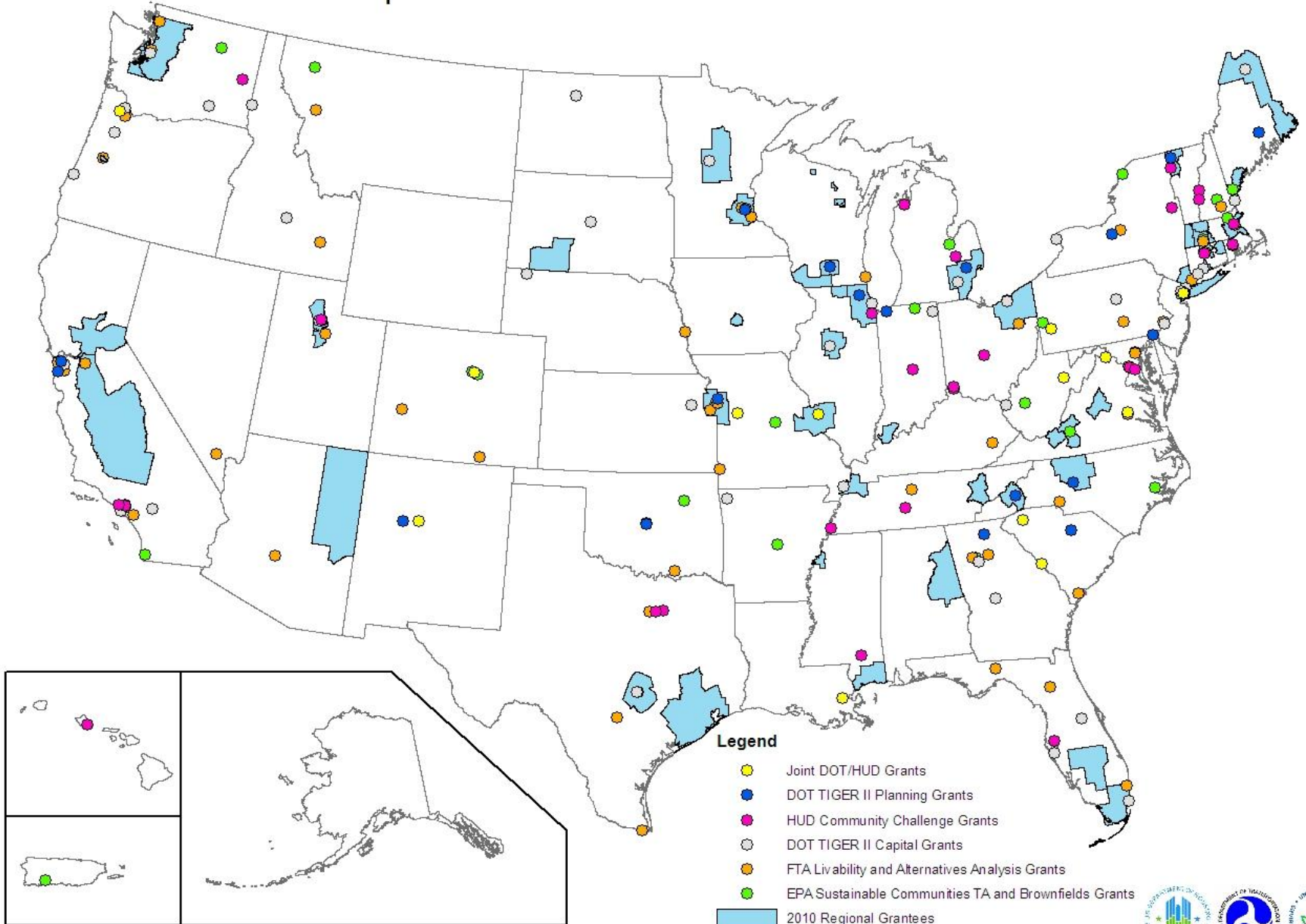
 Align federal policies to remove barriers to collaboration, leverage funding and increase the effectiveness of existing programs.

 Enhance the **unique characteristics** of all communities, whether rural, suburban or urban.

Sustainable Communities Grantees

Applies to FY2010 and 2011 Awardees of:

- HUD Sustainable Communities Regional Planning Grants
- HUD Sustainable Communities Community Challenge Planning Grants
- HUD Preferred Sustainability Status
- EPA Sustainable Community Technical Assistance
- EPA Brownfield Area Wide Planning Grants

Partnership for Sustainable Communities 2010 Grantees

Legend

- ● Joint DOT/HUD Grants
- ● DOT TIGER II Planning Grants
- ● HUD Community Challenge Grants
- ● DOT TIGER II Capital Grants
- ● FTA Livability and Alternatives Analysis Grants
- ● EPA Sustainable Communities TA and Brownfields Grants
- ▬ 2010 Regional Grantees

Purpose of the Program

- Identify intermediary organizations to provide capacity building support for Sustainable Communities Grantees

- Build a national coalition and leadership network of Sustainable Communities Grantees

- Intermediaries will work directly with Sustainable Communities Grantees

- HUD, EPA, and Partnership agencies will work with the selected intermediaries to ensure maximum benefit to grantees engaged in planning activities

Threshold Requirements

- Required minimum 10 percent match
  - ◆ 10 percent of grant funds requested
  - ◆ Match can be cash or in-kind contributions
- Applicant or all members of a Team must be eligible to apply
- FY2011 General Section Requirements

Funding Categories

- Category 1 Outcome Areas:
  Cohort-Wide Capacity Building ($500,000 – 1 million)
    - Developing Effective Implementation Strategies for Economic Development and Local and Regional Planning
    - Advancing Social Equity in Planning, Participation, and Decisionmaking
    - Strengthening Sustainability Practices for Tribes, Small Towns, and Rural Places
    - Establishing a National Sustainability Learning Network
- Category 2 Outcome Areas:
  Targeted Delivery of Issue Area Expertise ($400,000 – 600,000)
    - Scenario Planning
    - Incorporating Water Infrastructure Planning and Investments into Local and Regional Planning Efforts
    - Addressing Sustainability in Slow Local and Regional Economies

Developing Effective Implementation Strategies for Economic Development and Local and Regional Planning

Outcome Area Description (Section I.D)

- Leveraging infrastructure financing to aid implementation

- Advancing administrative reforms and improving intergovernmental cooperation to lead with social equity, environmental sustainability, and economic competitiveness

- Grantees able to implement planning, finance, and investment strategies for sustainability outcomes

Required Qualifications (Section II.B.1&2)

- Experience with jurisdictions to implement long-range plans

- Strengths in identifying and resolving barriers to implementation, infrastructure financing, housing, land cleanup, and development to support sustainable communities, testing alternative growth and reinvestment scenarios, working with community organizations and elected leaders

- Experience reviewing, assessing, and modifying local and regional land development regulations

Advancing Social Equity
in Planning, Participation, and Decision-making

Outcome Area Description (Section I.D)

- Increased participation and decision-making by populations traditionally marginalized in planning processes

- Low-income individuals and families, persons with disabilities, and limited English speakers have improved income, access, health, and civic leadership outcomes

- Targeting neighborhoods of high need, reduce disparities for low-income and communities of color, and leverage improved economic prosperity

- Improve access to affordable housing, transportation, and economic opportunity

Required Qualifications (Section II.B.1&2)

- One of the highest priorities of the HUD Regional Program is to infuse social equity principles into planning and development

- Demonstrate thorough understanding of principles of social equity, fair housing, and promoting increased economic opportunity

- Experience promoting such principles in a diversity of economic and geographic settings
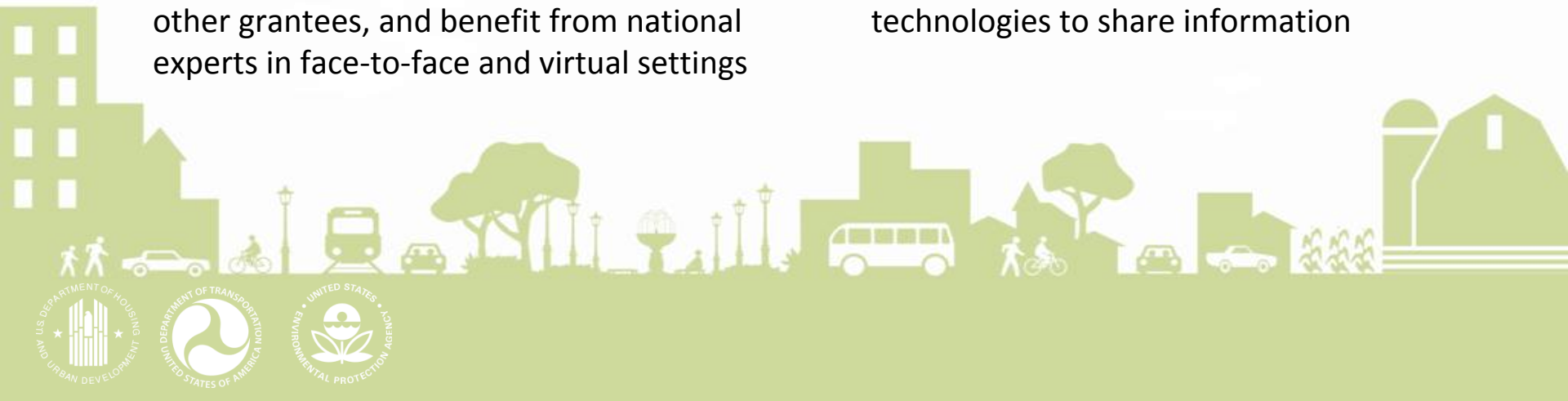
Strengthening Sustainability Practices for Tribes, Small Towns, and Rural Places

Outcome Area Description (Section I.D)

- Participation in assistance targeted to issues distinctive to their communities
- Specific policies, strategies, and approaches emerge for the challenges and opportunities for these areas
- Specific implementation strategies emerge for different types, including agricultural, tribal, mining, gateway or resort, and exurban or edge communities

Required Qualifications (Section II.B.1&2)

- These areas face distinctive challenges because of geographic distances and economic conditions
- Significant expertise working with these communities to advance planning and development in line with the Livability Principles in a way that is sensitive to local conditions and cultures

Establishing a National Sustainability Learning Network

Outcome Area Description (Section I.D)

- Infrastructure emerges for more connections across disciplines and stakeholder groups for sustainable communities

- Exchange of information on successful strategies, lessons learned, public engagement strategies, and approaches for avoiding or minimizing pitfalls

- Increase ability to connect, learn from other grantees, and benefit from national experts in face-to-face and virtual settings

Required Qualifications (Section II.B.1&2)

- Expertise building learning and peer networks to exchange best practices, share information, and connect individuals to derive mutual benefit from collective training and technical assistance

- Understanding and expertise in relevant existing networks to avoid duplication

- Expertise in development and use of new social media, online tools, and new technologies to share information

Scenario Planning

Outcome Area Description (Section I.D)

- Examine transportation, housing, environmental, fiscal, health, and other outcomes from alternative development scenarios
- Improve capacity for transportation and housing planning, infrastructure investments, environmental reviews, contaminated land cleanup and prep for reuse, and air quality and climate change mitigation strategies
- Tools for public involvement that allow for clear visualization of development scenarios

Required Qualifications (Section II.B.1&2)

- Experience in a range of tools, from simple spreadsheet modeling to GIS modeling
- Understand data requirements of different models and issues with those requirements, demonstrate ability to provide training on building data and modeling capacity
- Experience in providing training and scenario planning in rural communities and areas with limited data resources

Incorporating Water Infrastructure Planning and Investments into Local and Regional Planning Efforts

Outcome Area Description (Section I.D)

- Regional planning entities, local governments, and water sector utilities collaborate to coordinate water infrastructure and housing and transportation investments

- Considering water resources when planning for new development and redevelopment

- Examining green infrastructure approaches to water infrastructure

- Considering and implementing an approach that emphasizes investments in existing infrastructure over investments that increase maintenance burden

Required Qualifications (Section II.B.1&2)

- Understand dynamic of water infrastructure managers not included in community discussion of future growth

- Experience working with regional planning entities, local governments, and water sector utilities on planning and implementing long term capital improvement plans and understand investment requirements and external pressures

- Expertise in green infrastructure and natural resource planning approaches

Addressing Sustainability
in Slow Local and Regional Economies

Outcome Area Description (Section I.D)

- Charting a sustainable development course reflecting slower growth forecasts

- Communities increase use of infill and formerly contaminated sites to encourage revitalization white minimizing health risks and displacement

- Use of finance and market analysis to update land use and building codes to support reinvestment, economic and community development, and neighborhood revitalization

Required Qualifications (Section II.B.1&2)

- Demonstrated expertise and organizational history in helping such communities advance tailored sustainable development strategies

- Expertise in economic development strategies, including financing sustainable communities, tax policy reform, fiscal impacts of land development, and other local regulations

Eligible Activities

- Build technical skills of Sustainable Communities Grantees.

- Document model sustainability policies, codes, and standards for broad dissemination.

- Provide selected case management as designated by HUD.

- Distribute models for governance and engagement

- Enable peer exchange.

- Facilitate conference and convening opportunities.

- Develop appropriate monitoring and evaluation tools.

Rating Factor 1 – Capacity of the Applicant and Relevant Organizational Experience (30 points)

Addresses the applicant's capacity to successfully implement the proposed activities in a timely manner

- ◆ Clearly state which outcome area(s) you seek to address
- ◆ How you meet the required qualifications for that outcome area

- **A. Organizational Capacity and Qualification (20 points)**
  - ◆ Narrative of how the applicant or team is organized and how it will function
  - ◆ Explanation of capacity and relevant recent experience of the applicant or team
  - ◆ Describe experience in development and implementation in the relevant area(s), outreach efforts, and challenges in executing capacity building and how you overcame them

- **B. Capability and Qualification of Key Personnel (10 points)**
  - ◆ Must be prepared to initiate activities within 45 days of award
  - ◆ Must demonstrate that you have or can procure key staff with the knowledge and recent experience
  - ◆ Include bios or resumes for key staff, or position descriptions and commitment letters from key staff who will be hired, in the appendix

Rating Factor 2 – Understanding of Sustainability (15 points)

- **Addresses how well you demonstrate a comprehensive understanding of the sustainability framework as an approach for planning and project development in urban, suburban, and rural communities**

- Describe how you envision the elements of a sustainable regional development approach (no more than 3 pages)

- Describe the critical capacities a Sustainable Communities Grantee would need to advance the approach and what implications that has for the capacity building strategy

- Demonstrate the nexus between sustainability and the relevant outcome area

Rating Factor 3 – Soundness of Approach **(40 points)**

- **Addresses the quality and cost effectiveness of your proposed work plan.**
  - ◆ Describe how you would build a capacity building program for the outcome area(s)
  - ◆ Be explicit about how you will employ the eligible activities and how you will measure progress
  - ◆ Points awarded based on how you document how the work plan will address the Purposes of the Program, Program Goals, and how the proposed work plan incorporates each of the eligible activities
  - ◆ If applying for more than one outcome area, explain why it is appropriate to so and what value will be added because multiple outcome areas are covered by the same entity

- **A. Assessing the Needs for Capacity Within the Cohort (10 points)**
  - ◆ Describe how you plan to engage a cross-section of Sustainable Communities Grantees to determine what eligible activities will be best employed for a given outcome area
  - ◆ Describe how you intend to translate what is learned from the assessment process into an itinerary for delivering capacity building
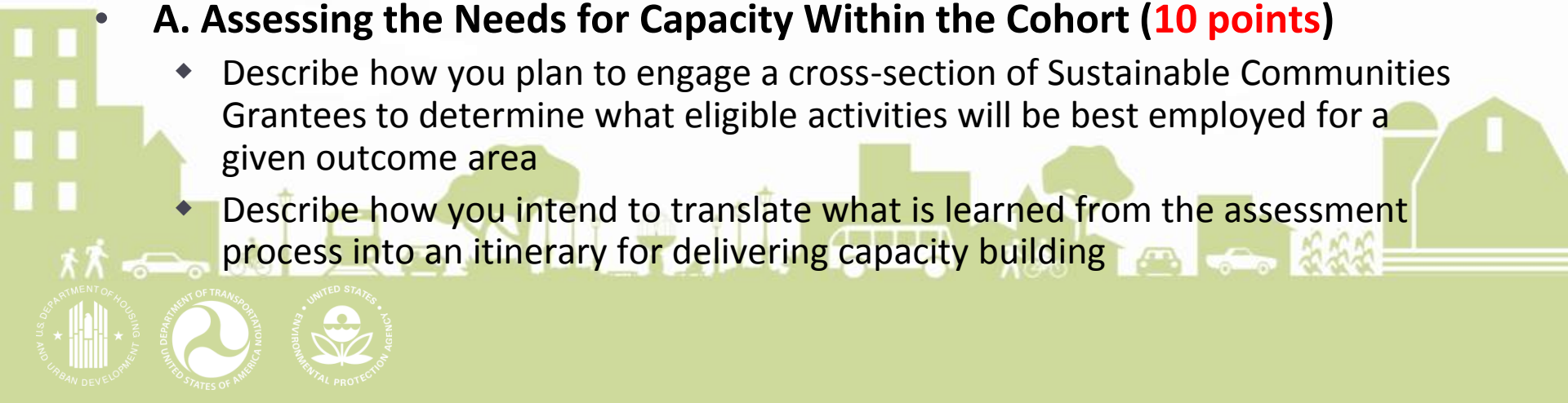
Rating Factor 3 – Soundness of Approach **(40 points)**

- **B. Capacity Building and Technical Assistance Delivery (20 points)**
  - ◆ Describe the proposed techniques and approaches you anticipate using
  - ◆ Describe the specific steps to move from assessment to action and your expected metrics to track progress
  - ◆ Describe your experience with social media tools and other new technologies

- **C. Process to Disseminate Lessons Learned from Capacity Building to a Broader Constituency (7 points)**
  - ◆ Describe how you'll broadly share lessons learned
  - ◆ Describe what learning activities support from the grant program will make possible

- **D. Budget Proposal (10 points)**
  - ◆ Thoroughly estimate all costs, presented in accordance with the requirements in the General Section
  - ◆ HUD is not required to approve or fund all proposed activities
  - ◆ Use Form HUD-424-CBW
  - ◆ Include a budget justification narrative
  - ◆ Clearly identify the funding or cash equivalent amounts being provided as leveraged resources
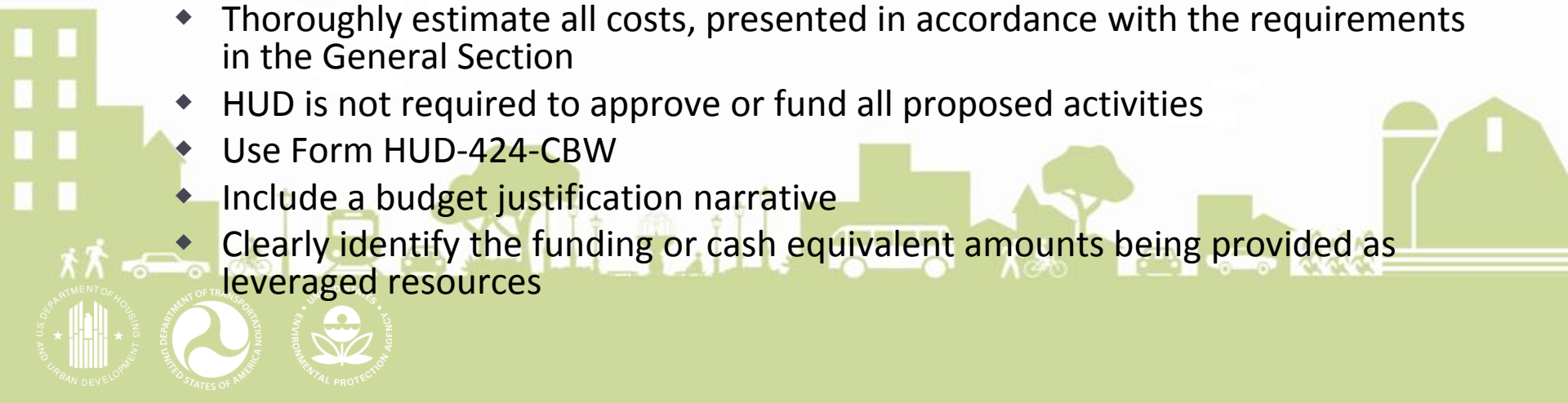
Rating Factor 4 – Leveraging Additional Resources
(5 points)

Leveraging Resources (*in addition* to required 10% match)	Points Awarded
Required match only	0 points
Up to 15%	1-2 points
Between 15 and 30%	3 points
More than 30%	4-5 points

- Can be cash or in-kind contributions
- Must support each source with a letter of commitment from the contributing entity
  - Letter of firm commitment, memorandum of understanding, or agreement to participate
  - Include the organization's name, value of the commitment, and responsibilities as they relate to the program
  - Must be signed and dated by an official authorized to make a commitment on behalf of the organization
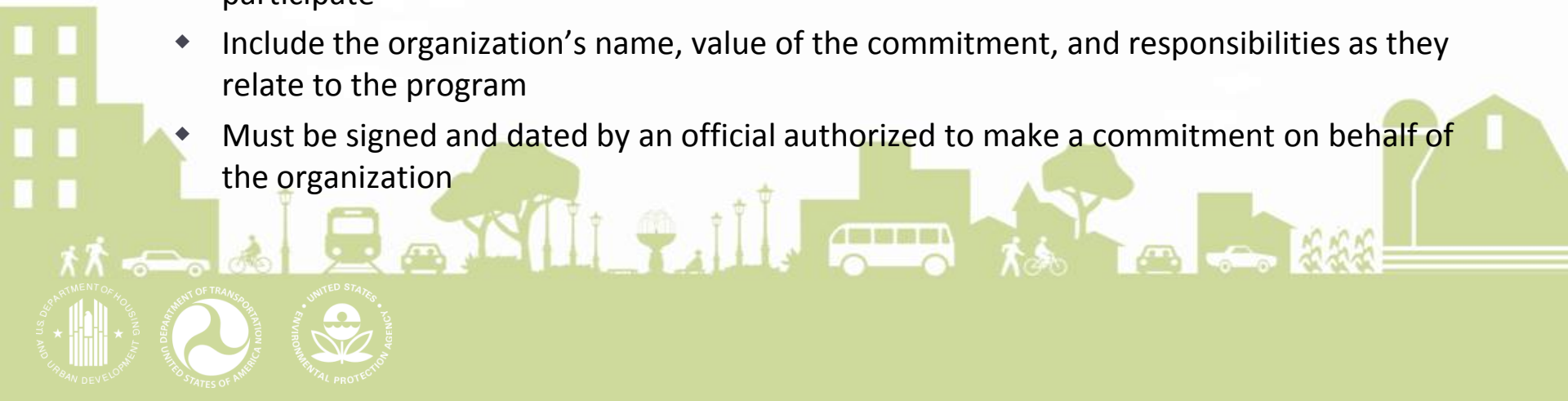
Rating Factor 5 – Achieving Results and Program Evaluation (10 points)

- Describe the anticipated milestones and expected metrics and results

- Indicate what data you will collect to track progress

- Specifically describe how will disseminate policy and lessons learned broadly: policymakers, regional consortia, and interested community leadership

- Describe how you will know that you have successfully:

  - a. Increased skills and technical expertise of partner organizations to integrate transportation, housing, water, and other infrastructure plans, align federal planning and investment, increase participation and decision-making and reduce social and economic disparities within the planning area;

  - b. Shared knowledge so that key personnel responsible for grant implementation coordinate cross-programmatic, placed-based approaches;

  - c. Supported knowledge sharing and innovation by disseminating best practices, encouraging peer learning, publishing data analysis and research, and helping to incubate and test new ideas; and

  - d. Expanded cross-cutting policy knowledge, broadening the use of successful models to other communities requires definitive evidence of which policies, codes, or standards work and how, and a plan for public dissemination of this information.
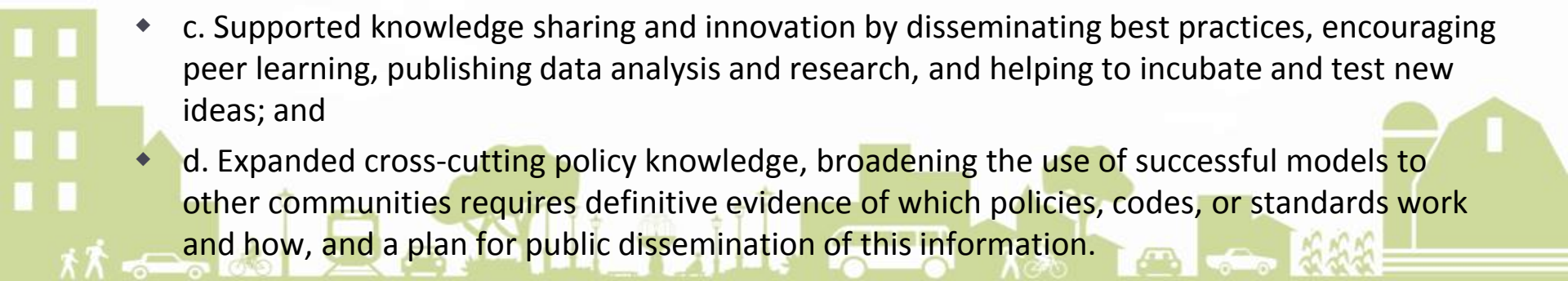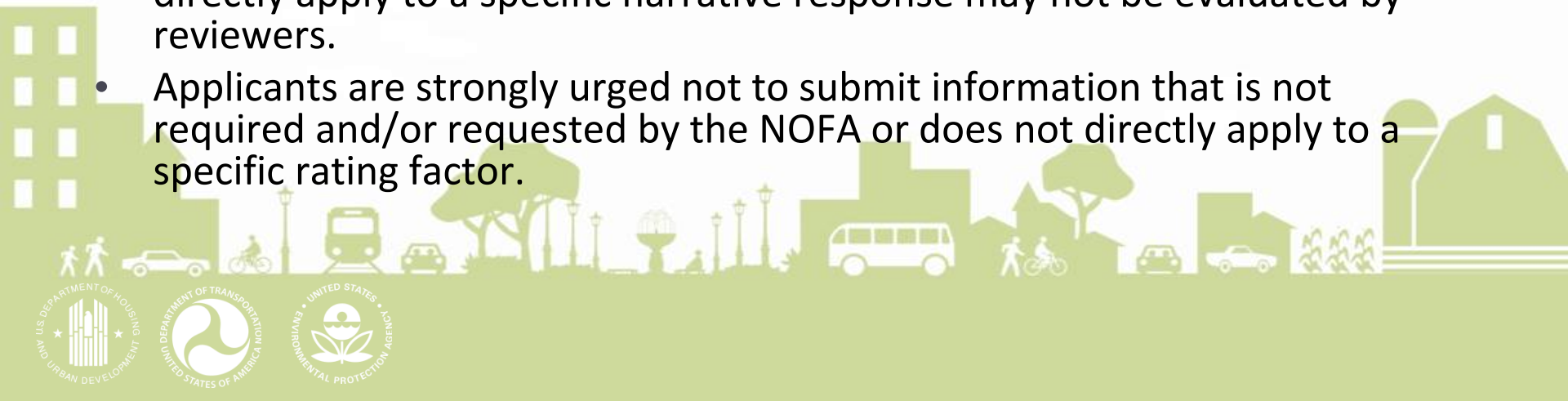
How to Apply

- Your completed application must be received by www.Grants.gov no later than 11:59:59 p.m. eastern time on July 8, 2011.

- Following receipt the application will go through a validation process. If the application fails the Grants.gov validation process, it will be rejected.

- Please see the 2011 General Section for instructions for timely receipt, including actions to take if the application is rejected.

- Applicants should carefully read the section titled "INSTRUCTIONS ON HOW TO DOWNLOAD AND APPLICATION PACKAGE AND APPLICATION INSTRUCTIONS" in the 2011 General Section. This section contains information on using Adobe Reader, HUD's timely receipt policies, and other application information.
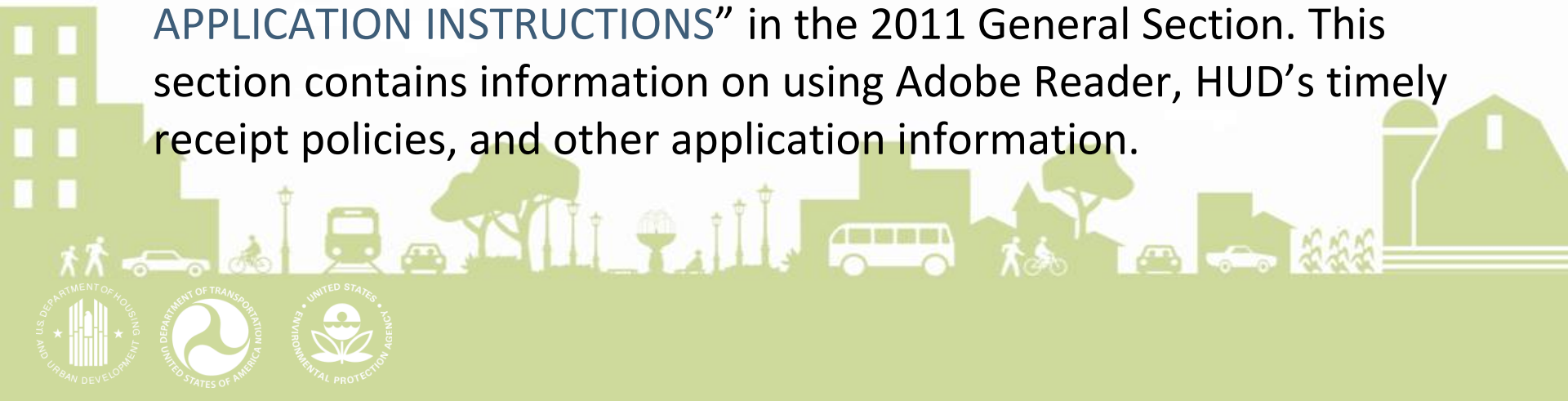
Application Format

- Narrative response to the Rating Factors is limited to a maximum of 12 pages (excluding appendices and worksheets) of size 8½ x 11" using a 12-point (minimum) font with not less than 3/4" margins on all sides.

- HUD will not refer to websites for information pertinent to the narrative response or appendices. Any materials that the applicant intends to have included in the formal review should be incorporated in the 12-page limit of the proposal narrative.

- A maximum of 10 additional pages will be allowed as appendices. Materials provided in the 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 evaluated by reviewers.

- Applicants are strongly urged not to submit information that is not required and/or requested by the NOFA or does not directly apply to a specific rating factor.

Application Abstract

- A single page (size 8½ x 11" using a 12-point (minimum) font with not less than 3/4" margins on all sides) abstract with a summary of the objectives and expected results must be included in the proposal.

- Abstract should include:
  - the applicant name (if a Capacity Building Team, include a list of partnering entities);
  - a point of contact (name, telephone number, and email);
  - the total proposed budget and applicant required match and additional leveraged resources, if any;
  - the specific outcome area(s) applied for;
  - and a narrative summary of the objectives and expected results of the proposal.

- Information contained in the abstract will not be considered in the evaluation and scoring of your application. Any information you wish to be considered should be provided under the appropriate rating factor response.

- The abstract does not count against the 12-page narrative or 10-page appendix.

Optional Application Checklist

- (1) Applicant Abstract (limited to 1 page).
- (2) Narrative response to rating factors (limited to 12 pages)
- (3) Other materials in support of rating factors:
  - (a) Organizational chart, bios, or resumes for key personnel; the percent of time those key personnel will spend on the grant; and proof of partnerships (limited to 10 pages).
  - (b) Form SF-424, Application for Federal Assistance;
  - (c) Form SF424, Supplement Survey on Equal Opportunity for Applicants ("Faith Based EEO survey (SF424 SUPP)" on Grants.gov) (optional); and
  - (d) HUD424CBW, HUD Detailed Budget Worksheet, (Include Total Budget (Federal Share and Matching) and Budget Justification Narrative;
- (4) Form HUD-2880, Applicant/Recipient Disclosure/Update Report ("HUD Applicant Recipient Disclosure Report" on Grants.gov);
- (5) Form SF-LLL, Disclosure of Lobbying Activities (if applicable);
- (6) Form HUD-96011, Third Party Documentation Facsimile Transmittal ("Facsimile Transmittal Form" on Grants.gov).
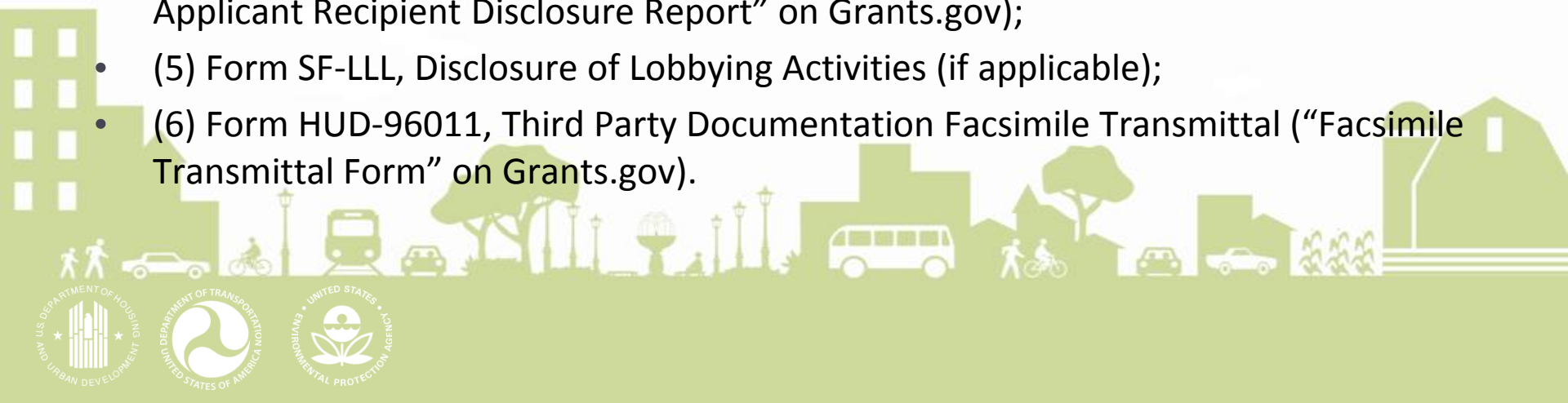
Other Important Information

DEADLINE: JULY 8, 2011

- Grants will be made in the form of Cooperative Agreements
- The period of performance is 2 years (24 months)
- The HUD FY2011 General Section applies to this program