



Tuesday
March 31, 1998

Part II

**Department of
Housing and Urban
Development**

**Super Notice of Funding Availability
(SuperNOFA) for Housing and Community
Development Programs; Notice**

**DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

[Docket No. FR-4340-N-01]

**Super Notice of Funding Availability
(SuperNOFA) for Housing and
Community Development Programs**

AGENCY: Office of the Secretary, HUD.

ACTION: Super Notice of Funding Availability (SuperNOFA) for Housing and Community Development Programs.

SUMMARY: This Super NOFA of Funding Availability (SuperNOFA) announces the availability of approximately \$1,247,906,870 in HUD program funds covering nineteen (19) Housing and Community Development Programs operated and managed by the following HUD Offices: Community Planning and Development (CPD), Public and Indian Housing (PIH), Housing, Policy Development and Research (PD&R), Office of Lead Hazard Control, and Fair Housing and Equal Opportunity (FHEO). The General Section of this SuperNOFA contains the procedures and requirements applicable to all 19 programs. The applications for funding for these programs have been consolidated into 6 applications. The Programs Section of this SuperNOFA contains a description of the specific programs for which funding is made available under this SuperNOFA and additional procedures and requirements that are applicable to each.

APPLICATION DUE DATES: The information contained in this "APPLICATION DUE DATES" section applies to all programs contained in this SuperNOFA. Completed applications must be submitted to HUD no later than the deadline established for the program for which you are seeking funding. Applications may not be sent by facsimile (FAX). See the Program Chart for specific application due dates.

ADDRESSES AND APPLICATION SUBMISSION PROCEDURES: *Addresses.* Completed applications must be submitted to the location specified in the Programs Section of this SuperNOFA. When submitting your application, please refer to the program name for which you are seeking funding.

For Applications to HUD Headquarters. Applications to be submitted to HUD Headquarters are due at: Department of Housing and Urban Development, 451 Seventh Street, SW, Room _____ (See Program Chart or Programs Section for room location), Washington DC 20410.

For Applications to HUD Field Offices. For those programs for which applications are due to the HUD Field

Offices, please see the Programs Section for the exact locations for submission.

Applications Procedures. Mailed Applications. Applications will be considered timely filed if postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office on or within ten (10) days of the application due date.

Applications Sent by Overnight/ Express Mail Delivery. Applications sent by overnight delivery or express mail will be considered timely filed if received before or on the application due date, or upon submission of documentary evidence that they were placed in transit with the overnight delivery service by no later than the specified application due date.

Hand Carried Applications. For applications submitted to HUD Headquarters, hand carried applications delivered before and on the application due date must be brought to the specified location and room number between the hours of 8:45 am to 5:15 pm, Eastern time. Applications hand carried on the application due date will be accepted in the South Lobby of the HUD Headquarters Building at the above address from 5:15 pm until 12:00 midnight, local time. Applications due to HUD Field Office locations must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the Programs Section of the SuperNOFA.

For applications submitted to the HUD Field Offices, hand carried applications will be accepted during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 pm. (Please see the Appendix A to this SuperNOFA listing the hours of operations for the HUD Field Offices.)

COPIES OF APPLICATIONS TO HUD OFFICES: The Programs Section of this SuperNOFA may specify that to facilitate processing and review of your submission a copy of the application also be sent to an additional HUD location (for example, a copy to the HUD Field Office if the original application is to be submitted to HUD Headquarters, or a copy to HUD Headquarters, if the original application is to be submitted to a HUD Field Office). Please follow the requirements of the Programs Section to ensure that you submit your application to the proper location. HUD requests additional copies in order to expeditiously review your application and appreciates your assistance in providing the copies. Please note that

for those applications for which copies are being submitted to the Field Offices and HUD Headquarters, timeliness of submission will be based on the time the application is received at HUD Headquarters.

FOR APPLICATION KITS, FURTHER INFORMATION AND TECHNICAL ASSISTANCE: The information contained in this section is applicable to all programs contained in this SuperNOFA.

For Application Kits and SuperNOFA User Guide. HUD is pleased to provide you with application kits and/or a guidebook to all HUD programs. When requesting an application kit, please refer to the program name of the application kit you are interested in receiving. Please be sure to provide your name, address (including zip code), and telephone number (including area code).

Requests for application kits should be made immediately to ensure sufficient time for application preparation. We will distribute application kits as soon as they become available.

The SuperNOFA Information Center (1-800-HUD-8929) can provide you with assistance, application kits, and guidance in determining which HUD Office(s) should receive a copy of your application.

Consolidated Application Submissions. Where an applicant can apply for funding under more than one program in this SuperNOFA, the applicant need only submit one originally signed SF-424 and one set of original signatures for the other required assurances and certifications, accompanied by the matrix contained in each application kit. As long as the applicant submits one originally signed set of these documents with an application, only copies of these documents may be submitted with any additional application submitted by the applicant.

For Further Information. For answers to your questions about this SuperNOFA, you have several options. You may call the HUD Office or Processing Center serving your area at the telephone number listed in your program area section to this SuperNOFA, or you may contact the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairment may call the Center's TTY number at 1-800-483-2209. Information on this SuperNOFA also may be obtained through the HUD web site on the Internet at <http://www.HUD.gov>.

For Technical Assistance. Before the application due date, HUD staff will be available to provide general guidance

and technical assistance about this SuperNOFA. Current law does not permit HUD staff to assist in preparing the application. Following selection of applicants, but prior to award, HUD staff will be 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.

Introduction to the SuperNOFA Process

To further HUD's objective, under the direction of Secretary Andrew Cuomo, of improving customer service and providing the necessary tools for revitalizing communities and improving the lives of people within those communities, HUD will publish three SuperNOFAs in 1998, which coordinate program funding for 39 programs and cut across traditional program lines.

(1) The first is this SuperNOFA and consolidated application process for Housing and Community Development Programs, published in today's **Federal Register**, covering 19 Housing and Community Development Programs.

(2) The second is the SuperNOFA and consolidated application process for Economic Development and Empowerment Programs. This second SuperNOFA includes funding for the following programs and initiatives: Brownfields; Youthbuild; Economic Development Initiative; Neighborhood Initiatives; Tenant Opportunity Program, Economic Development and Supportive Services; and the Section 8 Family Self-Sufficiency Service Coordinators.

(3) The third is the SuperNOFA and consolidated application process for Targeted Housing and Homeless Assistance Programs. This third SuperNOFA includes the following programs and initiatives: Housing Opportunities for Persons with AIDS; Continuum of Care Assistance; Section 202 Elderly Housing; Section 811 Disabled Housing; Service Coordinators; Section 8 Designated Housing; Section 8 Mainstream Housing Opportunities; Family Unification; and Elderly Housing Revitalization.

All three SuperNOFAs and consolidated applications, to the greatest extent possible, given statutory, regulatory and program policy distinctions, will have one set of rules that, together, offer a "menu" of approximately 39 programs. From this menu, communities will be made aware of funding available for their jurisdictions. Nonprofits, public housing agencies, local and State governments, tribal governments and tribally designated housing entities, veterans service organizations, faith-

based organizations and others will be able to identify the programs for which they are eligible for funding. HUD is anticipating publishing all three SuperNOFAs before May 1, 1998.

The National Competition NOFA. In addition to the three SuperNOFAs, HUD also will publish a single NOFA for three national competitions: the Fair Housing Initiatives Program National Competition; the Lead-Based Paint Hazard Control National Competition; and the Housing Counseling National Competition. HUD also anticipates publishing this national competition NOFA before May 1, 1998.

The Housing and Community Development SuperNOFA. This first SuperNOFA announces the availability of approximately \$1,247,906,870 in HUD program funds covering nineteen (19) Housing and Community Development Programs operated and managed by the following HUD Offices: Community Planning and Development (CPD), Public and Indian Housing (PIH), Housing, Policy Development and Research (PD&R), Office of Lead Hazard Control, and Fair Housing and Equal Opportunity (FHEO).

Assisting Communities To Make Better Use of Available Resources

This first SuperNOFA represents a marked departure from, and HUD believes a significant improvement over, HUD's past approach to the funding process. In the past, HUD has issued as many as 40 separate NOFAs, all with widely varying rules and application processing requirements. This individual program approach to funding, with NOFAs published at various times throughout the fiscal year, did not encourage and, at times, unintentionally impeded local efforts directed at comprehensive planning and development of comprehensive local solutions. Additionally, the old approach seemed to require communities to respond to HUD's needs rather than HUD responding to local needs. Secretary Cuomo brings to the leadership of HUD the experience of successfully implementing a consolidated planning process in HUD's community development programs. As Assistant Secretary for Community Planning and Development, Secretary Cuomo consolidated the planning, application, and reporting requirements of several community development programs. The Consolidated Plan rule, published in 1995, established a renewed partnership among HUD, State, and local governments, public and private agencies, tribal governments, and the general citizenry by empowering field staff to work with

other entities in fashioning creative solutions to community problems.

The SuperNOFA approach builds upon Consolidated Planning implemented by the Secretary Cuomo in HUD's community development programs, and also reflects the Secretary's organizational changes for HUD, as described in the Secretary's management reform plan. On June 26, 1997, Secretary Cuomo released the HUD 2020 Management Reform Plan, which provides for significant management reforms at HUD. This plan calls for significant consolidation of like programs to maximize efficiency and dramatically improve customer service. The plan also calls for HUD to improve customer service by adopting a principle of "menus not mandates."

By announcing the funding of these nineteen programs in one NOFA, HUD hopes to assist communities in making better use of available resources to address their needs and the needs of those living within the communities in a holistic and effective fashion. These funds are available for eligible applicants to support individual program objectives, as well as cross-cutting and coordinated approaches to improving the overall effective use of available HUD program funds.

To date, HUD has been consolidating and simplifying the submission requirements of many of its formula grant and discretionary grant programs to offer local communities a better opportunity to shape available resources into effective and coordinated neighborhood housing and community development strategies that will help revitalize and strengthen their communities, physically, socially and economically. To complement this overall consolidation and simplification effort, HUD designed this process to increase the ability of applicants to consider and apply for funding under a wide variety of HUD programs in response to a single NOFA. Everyone interested in HUD's housing and community development assistance programs can benefit from having this information made available in one NOFA.

Coordination, Flexibility, and Simplicity in the HUD Funding Process

This SuperNOFA places heavy emphasis on the coordination of activities to provide (1) greater flexibility and responsiveness in meeting local housing and community development needs, and (2) greater flexibility to eligible applicants to determine what HUD program resources best fit the community's needs, as identified in local Consolidated Plans

and Analysis of Impediments to Fair Housing Choice ("Analysis of Impediments" (AI)).

This SuperNOFA will simplify the application process; promote effective and coordinated use of program funds in communities; reduce duplication in the delivery of services and housing and community development programs; allow interested applicants to seek to deliver a wider, more integrated array of services; and improve the system for potential grantees to be aware of, and compete for program funds.

HUD encourages applicants to work together to coordinate and, to the maximum extent possible, join their activities to form a seamless and comprehensive program of assistance to meet identified needs in their communities, and address barriers to fair housing and equal opportunity that have been identified in the community's Consolidated Plan and Analysis of Impediments in the geographic area(s) in which they are seeking assistance.

As part of the simplification of this funding process, and to avoid duplication of effort, the SuperNOFA provides for consolidated applications for several of the programs for which funding is available under this NOFA. HUD programs that provide assistance for similar activities, e.g., technical assistance, drug elimination, modernization and revitalization, have a consolidated application that reduces

the administrative and paperwork burden applicants may otherwise encounter in submitting an application for each program. The Program Chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants.

The funding of these nineteen programs through this SuperNOFA will not affect the ability of eligible applicants to seek HUD funding. *Eligible applicants are able, as they have been in the past, to apply for funding under as few as one or as many as all programs for which they are eligible.*

The specific statutory and regulatory requirements of each of the nineteen separate programs continue to apply to each program. The SuperNOFA reflects, where necessary, the statutory requirements and differences applicable to the specific programs. *Please pay careful attention to the individual program requirements that are identified for each program. Also, you will note that not all applicants are eligible to receive assistance under all nineteen programs identified in this SuperNOFA.*

The SuperNOFA contains two major sections. The General Section of the SuperNOFA contains the procedures and requirements applicable to all applications. The Programs Section of the SuperNOFA describes each program

for which funding is made available in the NOFA. As in the past, each program provides a description of eligible applicants, eligible activities, factors for awards, and any additional requirements or limitations that apply to the program. Please read carefully both the General Section and the Programs Section of the SuperNOFA for the program(s) to which you are applying. This will ensure that you apply for program funding for which your organization is eligible to receive funds and you fulfill all the requirements for that program(s).

The Programs of This SuperNOFA and the Amount of Funds Allocated

The nineteen programs for which funding availability is announced in this SuperNOFA are identified in the following chart. The approximate available funds for each program are listed as expected funding levels based on appropriated funds. Should recaptured or other funds become available for any program, HUD reserves the right to increase the available program funding amounts by the amount available.

The chart also includes the application due date for each program, the OMB approval number for the information collection requirements contained in the specific program, and the Catalog of Federal Domestic Assistance (CFDA) number.

Program name	Funding available	Due date	Submission location and room
Community Development Technical Assistance Programs	\$82,395,140	6-24-98	HUD Headquarters Processing and Control Branch, Room 7251 and copies to appropriate CPD Field Offices.
Community Development Block Grant (CDBG) Technical Assistance. CFDA No.: 14.227 OMB Approval No.: pending	5,000,000		
Community Housing Development Organization (CHDO) Technical Assistance. CFDA No: 14.239 OMB Approval No.: pending	42,000,000		
HOME Technical Assistance	31,000,000		
CFDA No: 14.239 OMB Approval No.: pending			
Supportive Housing Program (SHP) Technical Assistance CFDA No.: 14.235 OMB Approval No.: pending	4,395,140		
University and College Programs	13,500,000	7-8-98	HUD Headquarters, Processing and Control Branch, Room 7251, and Appropriate Field Offices where noted in Programs Section.
Community Outreach Partnership Centers (COPCs)	7,000,000		
CFDA No.: 14.511 OMB Approval No.: 2528-0180			
Historically Black Colleges and Universities (HBCUs) Program. CFDA No.: 14.237 OMB Approval No.: 2506-0122	6,500,000		
Fair Housing Initiatives and Assisted Housing Counseling Programs.	29,500,000	6-1-98	HUD Headquarters Room 5234, except if only applying for Assisted Housing Counseling.
Education and Outreach Initiative (EOI)	1,000,000		

Program name	Funding available	Due date	Submission location and room
CFDA No.: 14.409 OMB Approval No.: 2529-0033 Private Enforcement Initiative (PEI)	9,300,000		
CFDA No.: 14.410 OMB Approval No.: 2529-0033 Fair Housing Organizations Initiative (FHOI)	1,200,000		
CFDA No.: 14.413 OMB Approval No.: 2529-0033 Housing Counseling Program	18,000,000	Appropriate HUD Field Office.
• Local Housing Counseling Agencies (\$5,000,000) • National, Regional and Multi-State Intermediaries (\$6,000,000) • State Housing Finance Agencies (\$7,000,000) CFDA No.: 14.169 OMB Approval No.: 2502-0261			
Lead-Based Paint Hazard Control Program	50,000,000	6-1-98	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room B-133 Courier Service or Hand Carried: HUD Office of Lead Hazard Control, 490 East L'Enfant Plaza, S.W., Suite 3206, Washington, DC 20024.
CFDA No.: 14.900 OMB Approval No.: 2539-0005 Modernization and Revitalization Programs	745,762,796	6-29-98	HUD Headquarters, Room 4138, and copies to appropriate Local HUD Field Office, where noted in the Programs Section.
Comprehensive Improvement Assistance Program (CIAP) CFDA No.: 14.852 OMB Approval No.: 2577-0044 HOPE VI Public Housing Revitalization	304,000,000 441,762,796		
CFDA No.: 14.866 OMB Approval No.: 2577-0208 Drug Elimination in Public and Assisted Housing Programs	326,748,934	6-15-98	Appropriate local Field Office except if only applying for Drug Elimination TA.
Public Housing Drug Elimination Program (Including Youth Sports Eligible Activities). CFDA No.: 14.854 OMB Approval No.: 2577-0124 Public Housing Drug Elimination Program—New Approaches (Formerly Safe Neighborhood Grant). CFDA No.: 14.854 OMB Control No.: 2577-0124 Drug Elimination Grants for Multifamily Low Income Housing. CFDA No.: 14.193 OMB Approval No.: 2502-0476 Public Housing Drug Elimination Program-Technical Assistance. CFDA No.: 14.854 OMB Approval No.: 2577-0124	*288,498,934 20,000,000 16,250,000 2,000,000		HUD Headquarters, Room 4112.

*This amount includes \$44,935,934 in FY 97 funds for applicants not funded in 1997.

Paperwork Reduction Act Statement. For those programs listed in the chart above which have OMB approval numbers, the information collection requirements contained in this SuperNOFA for those programs have been approved by the Office of Management and Budget (OMB) in accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). For those programs listed in the chart for which an OMB approval number is pending, the approval number when received will be announced by HUD in the **Federal Register**. An 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.

General Section of the SuperNOFA

I. Authority; Purpose; Amount Allocated; Eligible Applicants and Eligible Activities

(A) Authorities

The authority for Fiscal Year 1998 funding availability under this SuperNOFA is the Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1998 (Pub. L. 105-65, approved October 27, 1997) (FY

1998 HUD Appropriations Act). Where applicable, additional authority for each program in this SuperNOFA is identified in the Programs Section.

(B) Purpose

The purpose of this SuperNOFA is to:

- (1) Make funding available through a variety of programs to empower communities and their residents, particularly the poor and disadvantaged, to develop viable communities, provide decent housing and a suitable living environment for all citizens, without discrimination in order to improve themselves both as individuals and as a community.

(2) Simplify and streamline the application process for funding under HUD programs. By making available to State and local governments, public housing agencies, tribal governments, non-profit organizations and others, the application requirements for HUD housing and community development programs in one NOFA, HUD hopes that the result will be a less time consuming and less complicated application process. This new process also allows an applicant to submit one application for funds for several programs. Except where statutory or regulatory requirements or program policy mandate differences, the SuperNOFA strives to provide for one set of rules, standardized rating factors, and uniform and consolidated application procedures.

(3) Enhance the ability of applicants to make more effective and efficient use of housing and community development funding when addressing community needs and implementing coordinated housing and community development strategies established in local Consolidated Plans, which is the single application for HUD housing and community development and other formula funds submitted by the local or State government. Through this SuperNOFA process, applicants are encouraged to: (i) create opportunities for strategic planning and citizen participation in a comprehensive context at the local level in order to establish a full continuum of housing and services; and (ii) promote methods for developing more coordinated and effective approaches to dealing with urban, suburban, and rural problems by recognizing the interconnections among the underlying problems and ways to address them through layering of available HUD programs;

(4) Promote the ability of eligible non-profit organizations to participate in many of the programs contained in this SuperNOFA; provide an increased opportunity to assist communities in maintaining, rehabilitating, and constructing affordable housing for low and moderate income families; improve the quality of life for residents of public housing; develop and implement programs which promote fair housing practices and open housing opportunities within a community or geographic area; and provide technical assistance and services to improve program results and increase the productivity of HUD programs in meeting community needs; and

(5) Recognize and make better use of the expertise that each of the programs, and organizations eligible for funding under this SuperNOFA, can contribute

when developing and implementing local housing and community development plans, the Consolidated Plan, and the HUD required Analysis of Impediments to Fair Housing Choice.

(C) Amounts Allocated

The amounts allocated to specific programs in this SuperNOFA are based on appropriated funds. Should recaptured funds become available in any program, HUD reserves the right to increase the available funding amounts by the amount of funds recaptured.

(D) Eligible Applicants and Eligible Activities

The eligible applicants and eligible activities for each program are identified and described for the program in the Programs Section of the SuperNOFA.

II. Requirements and Procedures Applicable to All Programs

Except as may be modified in the Programs Section of this Super NOFA, or as noted within the specific provisions of this Section II, the following principles apply to all programs. Please be sure to read the program area section of the SuperNOFA for additional requirements or information.

(A) Statutory Requirements

All applicants must meet and comply with all statutory and regulatory requirements applicable to the program for which they are seeking funding in order to be awarded funds. Copies of the regulations are available from the SuperNOFA Information Center or through the Internet at <http://www.HUD.gov>. HUD may reject an application from further funding consideration if the activities or projects proposed are ineligible, or HUD may eliminate the ineligible activities from funding consideration and reduce the grant amount accordingly.

(B) Threshold Requirements—Compliance With Fair Housing and Civil Rights Laws

All applicants, with the exception of Federally recognized Indian tribes, must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR § 5.105(a). Federally recognized Indian tribes must comply with the Age Discrimination Act of 1975, Section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act. If an applicant (1) has been charged with a violation of the Fair Housing Act by the Secretary; (2) is the defendant in a Fair Housing Act lawsuit filed by the Department of Justice; or (3) has

received a letter of noncompliance findings under Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act, or Section 109 of the Housing and Community Development Act, the applicant is not eligible to apply for funding under this SuperNOFA until the applicant resolves such charge, lawsuit, or letter of findings to the satisfaction of the Department.

(C) Additional Nondiscrimination Requirements

Applicants must comply with the Americans with Disabilities Act, and Title IX of the Education Amendments Act of 1972.

(D) Affirmatively Furthering Fair Housing

Unless otherwise specified in the Programs Section of this SuperNOFA, each successful applicant will have a duty to affirmatively further fair housing. Applicants should include in their work plans the specific steps that they will take to (1) address the elimination of impediments to fair housing 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, applicants have a duty to carry out the specific activities cited in their responses to the rating factors that address affirmatively furthering fair housing in the Programs Section of this SuperNOFA.

(E) Economic Opportunities for Low and Very Low-Income Persons (Section 3)

Certain programs in this SuperNOFA require recipients of HUD assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. § 1701u (Economic Opportunities for Lower Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 CFR part 135, including the reporting requirements in subpart E. Section 3 provides that recipients shall ensure that training, employment and other economic opportunities, to the greatest extent feasible, be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing and (2) business concerns which provide economic opportunities to low and very low income persons. Section 3 is applicable to the following programs in this SuperNOFA: HOPE VI Revitalization; CIAP; and Lead-Based Paint Hazard Reduction, and may be applicable to certain activities of other programs of this SuperNOFA.

(F) Relocation

Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property as a direct result of a written notice to acquire or the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and the implementing governmentwide regulation at 49 CFR part 24. Any person who moves permanently from real property or moves personal property from real property as a direct result of rehabilitation or demolition for an activity undertaken with HUD assistance is covered by the relocation requirements of the URA and the governmentwide regulation.

(G) Forms, Certifications and Assurances

Each applicant is required to submit signed copies of the standard forms, certifications, and assurances, listed in this section, unless the program funding in the Programs Section specifies otherwise. Additionally, the Programs Section may specify additional forms, certifications or assurances that may be required for particular program in this SuperNOFA.

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

(2) Standard Form for Budget Information—Non-Construction Programs (SF-424A) or Standard Form for Budget Information—Construction Programs (SF-424C), as applicable;

(3) Standard Form for Assurances—Non-Construction Programs (SF-424B) or Standard Form for Assurances—Construction Programs (SF-424D), as applicable;

(4) Drug-Free Workplace Certification (HUD-50070);

(5) Certification and Disclosure Form Regarding Lobbying (SF-LLL); (Tribes and tribally designated housing entities (THDEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are not required to submit this certification. Tribes and TDHEs established under State law are required to submit this certification.)

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

(7) Certification that the applicant will comply with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the

Age Discrimination Act of 1975, and will affirmatively further fair housing. CDBG recipients also must certify to compliance with section 109 of the Housing and Community Development Act. Federally recognized Indian tribes must certify that they will comply with the requirements of the Age Discrimination Act of 1975, section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act.

(8) Certification required by 24 CFR 24.510. (The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status, and a certification is required.)

(H) OMB Circulars

The policies, guidances, and requirements of OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments) and 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 programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 1998 HUD Appropriations Act, other Federal statutes or the provisions of this SuperNOFA. Compliance with additional OMB Circulars may be specified for a particular program in the Programs Section of the SuperNOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 10503, telephone (202) 395-7332 (this is not a toll free number).

(I) Environmental Requirements

For programs under this SuperNOFA that assist physical development activities or property acquisition, grantees are generally prohibited from acquiring, rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these 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 grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review. Applicants

should consult the Programs Section for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program.

III. Application Selection Process**(A) General**

To review and rate applications, HUD may establish panels including persons not currently employed by HUD to obtain certain expertise and outside points of view, including views from other Federal agencies.

(1) *Rating.* All applications for funding in each program listed in this SuperNOFA will be evaluated and rated against the criteria in this SuperNOFA. The rating of the "applicant" or the "applicant's organization and staff" for technical merit or threshold compliance, unless otherwise specified, will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

(2) *Ranking.* Applicants will be ranked within each program. Applicants will be ranked only against others that applied for the same program funding and where there are set-asides within the competition, the applicant would only compete against applicants in the same set-aside competition.

(B) Threshold Requirements

HUD will review each application to determine whether the application meets all of the threshold criteria described for program funding made available under this SuperNOFA. Applications that meet all of the threshold criteria will be eligible to be rated and ranked, based on the criteria described, and the total number of points to be awarded.

(C) Factors For Award Used To Evaluate and Rate Applications

For all of the programs for which funding is available under this SuperNOFA, the points awarded for the factors total 100. The maximum number of points to be awarded, however, total 102. The SuperNOFA provides for two bonus points.

(1) *Bonus Points.* The SuperNOFA provides for the award of two bonus points for eligible activities/projects that are proposed to be located in federally designated Empowerment Zones, Enterprise Communities, Enterprise Communities, or Urban Enhanced Enterprise Communities, and serve the EZ/EC residents, and are certified to be consistent with the strategic plan of the EZs and ECs. The application kit contains a certification which must be

completed for the applicant to be considered for EZ/EC bonus points. A listing of the federally designated EZs, EZs, Enhanced ECs are available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.HUD.gov>.

(2) *The Five Standard Rating Factors.* The factors for rating and ranking applicants are listed in this Section III(c)(2) and maximum points for each factor, are provided in the Programs Section of the SuperNOFA. Each applicant should carefully read the factors for award as described in the program area section that they are seeking funding. While HUD has established the following basic factors for award, these may have been modified or adjusted to take into account specific program needs, or statutory or regulatory limitations imposed on a program. The standard factors for award, except as modified in the program area section are:

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: Comprehensiveness and Coordination

(D) Negotiation

After all applications have been rated and ranked and a selection has been made, in several programs, HUD requires that all winners participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations or a selected applicant fails to provide HUD with requested information, awards will not be made. In such instances, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

(E) Adjustments to Funding

HUD reserves the right to fund less than the full amount requested in any application to ensure the fair distribution of the funds and to ensure the purposes of the programs contained in this SuperNOFA are met. HUD may choose not to fund portions of the applications that are ineligible for funding under applicable program statutory or regulatory requirements, or which do not meet the requirements of this General Section of this SuperNOFA or the requirements in the Programs Section for the specific program, and fund eligible portions of the applications.

If funds remain after funding the highest ranking applications, HUD may

fund part of the next highest ranking application in a given program area. If the 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, remaining funds may be available for other competitions for each program area where there is a balance of funds.

Additionally, in the event of a HUD procedural error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of this SuperNOFA, HUD may select that applicant when sufficient funds become available.

(F) Performance and Compliance Actions of Grantees

Performance and compliance actions of grantees will be measured and addressed in accordance with applicable standards and sanctions of their respective programs.

IV. Application Submission Requirements

As discussed earlier in the introductory section of this SuperNOFA, part of the simplification of this funding process, is to reduce the duplication effort involved in completing and submitting similar applications for HUD funded programs. As the Program Chart shows above, this SuperNOFA provides for consolidated applications for several of the programs for which funding is available under this SuperNOFA.

V. Corrections to Deficient Applications

After the application due date, HUD may not, consistent with 24 CFR part 4, subpart B, consider unsolicited information from an applicant. HUD may contact an applicant, however, to clarify an item in the application or to correct technical deficiencies. Applicants should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of the applicant's response to any eligibility or selection criterion. *Examples* of curable technical deficiencies include failure to submit the proper certifications or failure to submit an application containing an original signature by an authorized official. In each case, HUD will notify the applicant in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. Applicants must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD

notification. If the deficiency is not corrected within this time period, HUD will reject the application as incomplete.

VI. Promoting Comprehensive Approaches to Housing and Community Development

(A) General

HUD believes the best approach for addressing community problems is through a community-based process that provides a comprehensive response to identified needs. By making HUD's Housing and Community program funding available in one NOFA, applicants may be able to relate the activities proposed for funding under this SuperNOFA to the recent and upcoming NOFAs and the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice. A complete schedule of NOFAs to be published during the fiscal year and those already published appears under the HUD Homepage on the Internet, which can be accessed at <http://www.hud.gov/nofas.html>.

(B) Linking Program Activities With AmeriCorps

Applicants are encouraged to link their proposed activities with AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000.

(C) Encouraging Visitability in New Construction and Substantial Rehabilitation Activities

In addition to applicable accessible design and construction requirements, 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 does not require that all features be made accessible. Visitability means at least one entrance at grade (no steps), approached by an accessible route such as a sidewalk; the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space. Allowing use of 2'10" doors is consistent with the Fair Housing Act (at least for the interior doors), and may be more acceptable than requiring the 3 foot doors that are required in fully accessible areas under the Uniform

Federal Accessibility Standards for a small percentage of units. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the UFAS are available from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-877 8399 (Federal Information Relay Service).

(D) Developing Healthy Homes

HUD's Healthy Homes Initiative is one of the initiatives developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities (to the extent eligible under specific programs) that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to the following: educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others; incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, properly ventilated windows to protect children from falling, proper pest management to prevent cockroaches which can cause asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323.

VII. Findings and Certifications

(A) Environmental Impact

A Finding of No Significant Impact with respect to the environment has been made 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). The Finding of No Significant Impact is available for public inspection during regular business hours in the Office of the General Counsel, Regulations Division, Room 10276, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410-0500.

(B) Federalism, Executive Order 12612

The General Counsel, as the Designated Official under section 6(a) of Executive Order 12612, *Federalism*, has determined that the policies contained in this SuperNOFA will not have substantial direct effects on States or their political subdivisions, or on the relationship between the Federal Government and the States, or on the distribution of power and responsibilities among the various levels of government. Specifically, the SuperNOFA solicits applicants to expand their role in addressing community development needs in their localities, and does not impinge upon the relationships between the Federal government and State and local governments. As a result, the SuperNOFA is not subject to review under the Order.

(C) Prohibition Against Lobbying Activities

Applicants for funding under this SuperNOFA are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 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. Applicants are required to certify, using the certification found at Appendix A to 24 CFR part 87, that they will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, applicants 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, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (THDEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but tribes and TDHEs established under State law are not excluded from the statute's coverage.)

(D) Section 102 of the HUD Reform Act; Documentation and Public Access Requirements

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 in 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 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 apply to assistance awarded under this SuperNOFA as follows:

(1) *Documentation and public access requirements.* HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA 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 5-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 in 24 CFR part 15.

(2) *Disclosures.* HUD will make available to the public for 5 years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (also Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 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 at 24 CFR part 15.

(3) *Publication of Recipients of HUD Funding.* HUD's regulations at 24 CFR 4.7 provide that HUD will publish a notice in the **Federal Register** on at least a quarterly basis to notify the public of all decisions made by the Department to provide:

(i) Assistance subject to section 102(a) of the HUD Reform Act; or

(ii) Assistance that is provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

(E) Section 103 HUD Reform Act

HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, 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 limited 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 in this competition 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.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or Headquarters counsel for the program to which the question pertains.

VIII. The FY 1998 SuperNOFA Process and Future HUD Funding Processes

In FY 1997, Secretary Cuomo took the first step at changing HUD's funding process to better promote comprehensive, coordinated approaches to housing and community development. In FY 1997, the Department published related NOFAs on the same day or within a few days of each other. In the individual NOFAs published in FY 1997, HUD advised that additional steps on NOFA coordination

may be considered for FY 1998. The three SuperNOFAs to be published for FY 1998 represent the additional step taken by HUD to improve HUD's funding process and assist communities to make better use of available resources through a coordinated approach. This new SuperNOFA process was developed based on comments received from HUD clients and the Department believes it represents a significant improvement over HUD's approach to the funding process in prior years. For FY 1999, HUD may take even further steps to enhance this process. HUD welcomes comments from applicants and other members of the public on this process, and how it may be improved in future years.

The description of program funding available under this first SuperNOFA for Housing and Community Development programs follows.

Dated: March 23, 1998.

Saul N. Ramirez, Jr.,
Acting Deputy Secretary.

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Community Development Technical Assistance Programs

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Appendix A—List of HUD Offices and Hours of Operation

BILLING CODE 4210-32-P

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**COMMUNITY DEVELOPMENT
TECHNICAL ASSISTANCE PROGRAMS**

Community Development Block
Grant (CDBG) Technical Assistance

Community Housing Development
Organization (CHDO) Technical Assistance

HOME Technical Assistance

Supportive Housing Program (SHP)
Technical Assistance

Funding Availability for Community Development Technical Assistance (TA) Programs—CDBG, CHDO, HOME and Supportive Housing

Program Description: Approximately \$82.4 million in technical assistance (TA) funds is available from four separate technical assistance programs: Community Development Block Grant (CDBG) TA, Community Housing Development Organization (CHDO) TA, HOME TA and Supportive Housing TA (collectively "CD-TA").

The funding of these four CD-TA programs through a single funding availability announcement will not affect the ability of eligible applicants to seek CD-TA funding. Eligible applicants are able to apply for funding under as few as one, and as many as four, separate CD-TA programs, individually or collectively, singularly or in combination. The specific provisions of the four separate CD-TA programs have not been changed. This Community Development Technical Assistance Programs section of the SuperNOFA reflects the statutory requirements and differences in the four different CD-TA programs.

Application Due Date: Completed applications (an original and one copy) must be submitted no later than 12:00 midnight, Eastern time, on June 24, 1998. The original application submitted to Headquarters is considered the official application. A copy of the application also should be sent to the HUD CPD Field Office or Field Offices in which you are seeking to provide services. The application kit contains the addresses and hours of operation for the HUD CPD Field Offices. See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Addresses for Submitting

Applications: The completed original application to be submitted to HUD Headquarters should be submitted to U.S. Department of Housing and Urban Development, CPD Processing and Control Branch, Room 7251, 451 Seventh Street, SW, Washington, DC 20410. The copy of the application to be submitted to the appropriate CPD Field Office should be sent to the address shown on the list of HUD CPD Field Offices included in the application kit. When submitting your application, please refer to the Community Development Technical Assistance Program. Be sure to include your name, mailing address (including zip code) and telephone number (including area code).

For Application Kits, Further Information, and Technical Assistance

For Application Kits. For an application kit and any supplemental information, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. When requesting an application kit, please refer to "Community Development Technical Assistance Programs." Please be sure to provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. For answers to your questions, you have several options. You may call the HUD CPD Office serving your area at the telephone number listed in the list of HUD CPD Field Offices included in the application kit, or you may contact the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. Information on this SuperNOFA may also be obtained through the HUD web site on the Internet at <http://www.HUD.gov>.

Additional Information

I. Authority; Purpose; Amount Allocated; Program Award Period; Eligible Applicants; Eligible and Ineligible Activities; and Sub-Grants/Pass-Through Funds.

The Authority, Purpose of the Program, Amount Allocated, Eligible Applicants, Eligible Activities, Ineligible Activities, and *Additional* Program Requirements, as applicable, are delineated under each technical assistance program area for which funding is being made available. Applicants should take care in reviewing this section to ensure they are eligible to apply for funds and that they meet the additional program requirements and limitations described for each program.

(A) Authority

CDBG Technical Assistance: The Community Development Block Grant Technical Assistance Program is authorized under Title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301-5320; 24 CFR 570.402).

CHDO Technical Assistance: The CHDO Technical Assistance Program is authorized by the Home Investment Partnerships Act (42 U.S.C. 12773) 24 CFR part 92.

HOME Technical Assistance. The HOME Technical Assistance Program is

authorized by the Home Investment Partnerships Act (42 U.S.C. 12781-12783) 24 CFR part 92.

Supportive Housing Program Technical Assistance. The Supportive Housing Program is authorized under 42 U.S.C. 11381 *et seq.*; 24 CFR 583.140.

(B) Purpose of the Program

The purposes of the technical assistance programs in this SuperNOFA are:

Community Development Block Grant Technical Assistance. To increase the effectiveness with which States and units of general local government plan, develop and administer their Community Development Block Grant (CDBG) Programs, including assistance to aid non-profits and other recipients of CDBG funds.

CHDO Technical Assistance. To provide educational and organizational support assistance to Community Housing Development Organizations (CHDOs) to promote their ability to maintain, rehabilitate and construct housing for low-income and moderate-income families; to facilitate the education of low-income homeowners and tenants; and to help women who reside in low- and moderate-income neighborhoods to rehabilitate and construct housing in the neighborhoods.

HOME Technical Assistance. To help HOME participating jurisdictions design and implement HOME programs, including: improving their ability to design and implement housing strategies and incorporate energy efficiency into affordable housing; facilitating the exchange of information to help participating jurisdictions carry out their programs; facilitating the establishment and efficient operation of employer-assisted housing programs and of land bank programs; and encouraging private lenders and for-profit developers of low-income housing to participate in public-private partnerships.

Supportive Housing Program Technical Assistance. To provide HUD-funded supportive housing projects with technical assistance to promote the development of supportive housing and supportive services as part of a Continuum of Care approach, including innovative approaches to assist homeless persons in the transition from homelessness, and promoting the provision of supportive housing to homeless persons to enable them to live as independently as possible.

(C) Amount Allocated

(1) The amounts allocated for each CD-TA program are as follows: CDBG TA funds: \$5,000,000

CHDO TA funds: \$42,000,000
HOME TA funds: \$31,000,000
SHP TA funds: \$4,395,140

(2) Each HUD/CPD Field Office has been allocated a "fair-share" of CD-TA funds for purposes of this competition. (See CD-TA Appendix A for the fair share allocations) The amounts are based on workload allocations of HOME, CDBG and SHP entitlement funds and competitive programs for which Field Offices have management oversight. These amounts are only for guidance purposes to applicants in developing their program budgets by Field Office jurisdiction and are not the exact amounts to be awarded in each area or to each provider.

The total amount to be awarded to any provider will be determined by HUD based upon the size and needs of the provider's service area within each Field Office jurisdiction in which the provider is selected to operate, the funds available for that area, the number of other awardees selected in that area, and the scope of the technical assistance 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 which cannot be budgeted or estimated by Field Office jurisdiction. HUD may require selected applicants, as a condition of funding, to provide coverage on a geographically broader basis than applied for in order to supplement or strengthen the intermediary network in terms of the location (service area), types and scope of technical assistance proposed.

(3) To the extent permitted by funding constraints, HUD intends to provide coverage for as full a range, as possible, of eligible CD-TA activities of each CD-TA program in each Field Office jurisdiction. To achieve this objective, HUD will fund the highest ranking providers that bring the required expertise in one or more specialized activity areas, and fund portions of providers' proposed programs in which they have the greatest skill and capability for given geographic areas or on a national basis. HUD also may require national, multi-jurisdictional, or other providers to provide coverage to Field Office jurisdictions which cannot otherwise receive cost-effective support from a CD-TA provider. In selecting applicants for funding, in addition to the rating factors, HUD will apply program policy criteria identified in Section III of this CD-TA Program section of SuperNOFA to select a range of providers and activities that would best serve program objectives for each

program serviced by the CD-TA funded under this SuperNOFA.

(D) Program Award Period

(1) Cooperative Agreements will be for a period of up to 36 months. HUD, however, reserves the right to:

(a) Terminate awards in accordance with provisions contained in OMB Circular A-102, and 24 CFR parts 84 and 85 anytime after 12 months;

(b) Withdraw funds from a specific 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 for assistance;

(c) Extend the performance period of individual awardees up to a total of 12 additional months.

(2) In cases where an applicant selected for funding under this program section of the SuperNOFA currently is providing CD technical assistance under an existing CD-TA grant/cooperative agreement, HUD reserves the right to adjust the start date of funding under this program to coincide with the conclusion of the previous award, or to incorporate the remaining activities from the previous award into the new agreement, adjusting the funding levels as necessary.

(E) Eligible Applicants

(1) *General.* The eligible applicants for each of the four CD-TA programs are listed in paragraphs (2), (3), and (4) of this Section (E). This paragraph (1) lists requirements applicable to all applicants.

(a) Many organizations are eligible to apply for more than one CD-TA program and are encouraged to do so to the extent they have the requisite experience, expertise and capability.

(b) All applicant organizations must have demonstrated ability to provide CD-TA in a geographic area larger than a single city or county and must propose to serve an area larger than a single city or county.

(c) An organization may not provide assistance to itself, and any organization funded to assist CHDOs under this CD-TA Program section of the SuperNOFA may not act as a CHDO itself within its service area while under award with HUD.

(d) A consortium of organizations may apply for one or more CD-TA programs, but HUD will require that one organization be designated as the legal applicant, where legally feasible. Where one organization cannot be so designated for all proposed activities, HUD may execute more than one

cooperative agreement with the members of a consortium.

(e) All applicants must meet minimum statutory eligibility requirements for each CD-TA program for which they are chosen in order to be awarded a cooperative agreement.

Copies of the Technical Assistance program regulations will be provided with the application kit.

(f) All eligible CD-TA providers may propose assistance using in-house staff, consultants, sub-contractors and sub-recipients, networks of private consultants and/or local organizations with requisite experience and capabilities. Whenever possible, applicants should make use of technical assistance 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 technical assistance services.

(2) CDBG and Supportive Housing Eligible Applicants.

(a) States and units of general local government.

(b) Public and private non-profit or for-profit groups, including educational institutions and area-wide planning organizations, qualified to provide technical assistance on CDBG programs or Supportive Housing projects. With respect to the CDBG program, an applicant group must be designated as a technical assistance provider to a unit of government's CDBG program by the chief executive officer of each unit to be assisted, unless the assistance is limited to conferences/workshops attended by more than one unit of government.

(3) *CHDO Eligible Applicants.* Public and private non-profit intermediary organizations that customarily provide services (in more than one community) related to affordable housing or neighborhood revitalization to CHDOs, or similar organizations that engage in community revitalization, including all eligible organizations under section 233 of the Cranston-Gonzalez National Affordable Housing Act, as amended.

An intermediary will be considered as a primarily single State technical assistance provider if it can document that more than 50% of its past activities in working with CHDOs or similar nonprofit and other organizations (on the production of affordable housing or revitalization of deteriorating neighborhoods and/or the delivery of technical assistance to these groups) was confined to the geographic limits of a single State.

(4) *HOME Eligible Applicants.*

(a) A for-profit or non-profit professional and technical services company or firm that has demonstrated capacity to provide technical assistance services;

(b) A HOME participating jurisdiction (PJ) or agency thereof;

(c) A public purpose organization responsible to the chief elected official of a PJ and established pursuant to State or local legislation;

(d) An agency or authority established by two or more PJs to carry out activities consistent with the purposes of the HOME program;

(e) A national or regional non-profit organization that has membership comprised predominantly of entities or officials of entities of PJs or PJs' agencies or established organizations.

(F) Eligible and Ineligible Activities

Eligible and ineligible activities as appropriate for each of the four CD-TA programs are listed below:

(1) Community Development Block Grant Technical Assistance.

(a) *Eligible Activities.* Activities performed with CDBG funds must meet the substantive nexus test contained in 24 CFR 570.402(a)(2) and may include:

(i) The provision of technical or advisory services;

(ii) The design and operation of training projects such as workshops, seminars, conferences, or computer-based training;

(iii) The development and distribution of technical materials and information;

(iv) Other methods of demonstrating and making available skills, information and knowledge to assist States, units of general local government, in planning, developing, administering or assessing assistance under CDBG programs in which they are participating or seeking to participate.

(b) *Ineligible Activities.* Activities for which costs are ineligible for funding under the Community Development Block Grant Technical Assistance Program include:

(i) In the case of technical assistance for States, the cost of carrying-out the administration of the State CDBG program for non-entitlement communities;

(ii) The cost of carrying out the activities authorized under the CDBG Program, such as the provision of public services, construction, rehabilitation, planning and administration for which the technical assistance is to be provided;

(iii) The cost of acquiring or developing the specialized skills or knowledge to be provided by a group funded under this section;

(iv) Research activities;

(v) The cost of identifying units of governments needing assistance (except the cost of selecting recipients of technical assistance under the provision of 24 CFR 570.402(j) is eligible); or

(vi) Activities designed primarily to benefit HUD, or to assist HUD, in carrying out the Department's responsibilities; such as research, policy analysis of proposed legislation, training or travel of HUD staff, or development and review of reports to Congress.

(2) *CHDO Technical Assistance.* CHDO Technical Assistance funds may be used only for the following eligible activities:

(a) *Organizational Support—*Organizational support assistance may be made available to community housing development organizations to cover operational expenses and to cover expenses for training and technical, legal, engineering and other assistance to the board of directors, staff, and members of the community housing development organization;

(b) *Housing Education—*Housing education assistance may be made available to community housing development organizations to cover expenses for providing or administering programs for educating, counseling, organizing homeowners and tenants who are eligible to receive assistance under other provisions of the HOME Program;

(c) *Program-Wide Support of Nonprofit Development and Management—*Technical assistance, training, and continuing support may be made available to eligible community housing development organizations for managing and conserving properties developed under the HOME Program;

(d) *Benevolent Loan Funds—*Technical assistance may be made available to increase the investment of private capital in housing for very low-income families, particularly by encouraging the establishment of benevolent loan funds through which private financial institutions will accept deposits at below-market interest rates and make those funds available at favorable rates to developers of low-income housing and to low-income homebuyers;

(e) *Community Development Banks and Credit Unions—*Technical assistance may be made available to establish privately owned, local community development banks and credit unions to finance affordable housing;

(f) *Community Land Trusts—*Organizational support, technical assistance, education, training and continuing support under this

subsection may be made available to community land trusts (as such term is defined in section 233(f) of the Cranston-Gonzalez National Affordable Housing Act) and to community groups for the establishment of community land trusts; and

(g) *Facilitating Women in Homebuilding Professions—*Technical assistance may be made available to businesses, unions, and organizations involved in construction and rehabilitation of housing in low- and moderate-income areas to assist women residing in the area to obtain jobs involving such activities, which may include facilitating access by helping such women develop nontraditional skills, recruiting women to participate in such programs, providing continuing support for women at job sites, counseling and educating businesses regarding suitable work environments for women, providing information to such women regarding opportunities for establishing small housing construction and rehabilitation businesses, and providing materials and tools for training such women (in an amount not exceeding 10% of any assistance provided under this paragraph). The Secretary shall give priority under this paragraph to providing technical assistance for organizations rehabilitating single family or multifamily housing owned or controlled by the Secretary pursuant to title II of the National Housing Act and which have women members in occupations in which women constitute 25% or less of the total number of workers in the occupation (in this section referred to as "nontraditional occupations").

(3) *HOME Technical Assistance Program.* HUD will provide assistance to:

(a) Facilitate the exchange of information that would help participating jurisdictions carry out the purposes of the HOME statute, including information on program design, housing finance, land use controls, and building construction techniques;

(b) Improve the ability of States and units of local government to design and implement housing strategies, particularly those States and units of local government that are relatively inexperienced in the development of affordable housing;

(c) Encourage private lenders and for-profit developers of low-income housing to participate in public-private partnerships to achieve the purposes of the HOME statute;

(d) Improve the ability of States and units of local government, community

housing development organizations, private lenders, and for-profit developers of low-income housing to incorporate energy efficiency into the planning, design, financing, construction and operation of affordable housing;

(e) Facilitate the establishment and efficient operation of employer-assisted housing programs, through research, technical assistance, and demonstration projects; and

(f) Facilitate the establishment and efficient operation of land bank programs, under which title to vacant and abandoned parcels of real estate located in or causing blighted neighborhoods is cleared for use consistent with the purposes of the HOME statute.

(4) *Supportive Housing Program Technical Assistance.* Funds are available to provide technical assistance to HUD-funded Supportive Housing projects. Funds may be used to provide technical assistance to prospective applicants, applicants, recipients or other providers (project sponsors) of Supportive Housing or SHP-funded services for homeless persons. The assistance may include, but is not limited to, written information such as papers, monographs, manuals, guides and brochures; person-to-person exchanges; and training and related costs.

(G) Sub-Grants/Pass-Through Funds

Applicants may propose to make sub-grants to achieve the purposes of their proposed CD-TA programs in accordance with program requirements in Section II of this CD-TA Program section of the SuperNOFA. In the case of CHDO TA, these sub-grants (also called "pass-through" funds) may be made for eligible activities and to eligible entities as identified in Section 233(b)(1), (2), and (7) of the Cranston-Gonzalez National Affordable Housing Act. When CHDO TA sub-grants are made to CHDOs, two statutory provisions apply:

(1) The sub-grant amount, when combined with other capacity building and operating support available through the HOME program, cannot exceed the greater of 50% of the CHDO's operating budget for the year in which it receives the funds, or \$50,000 annually;

(2) An amount not exceeding 10% of the total funds awarded for the "Women in the Homebuilding Professions" eligible activity may be used to provide materials and tools for training such women.

II. Program Requirements

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

(A) Profit/Fee

No increment above cost, no fee or profit, may be paid to any recipient or subrecipient of an award under this CD-TA Program section of the SuperNOFA.

(B) Demand/Response Delivery System

(1) All awardees must operate within the structure of the demand/response system described in this section. They must coordinate their plans with, and operate under the direction of, each HUD Field Office within whose jurisdiction they are operating. When so directed by a Field Office, they will coordinate their activities instead through a lead CD-TA provider or other organization designated by the Field Office.

(2) If selected as the lead CD-TA provider in any Field Office jurisdiction, the awardee must coordinate the activities of other CD-TA providers selected under this CD-TA Program section of the SuperNOFA under the direction of the HUD Field Office. Joint activities by CD-TA providers may be required.

(3) Under the demand/response system, CD-TA providers will be required to:

(a) When requested by a Field Office or GTR, market the availability of their services to existing and potential clients to include local jurisdictions in which the assistance will be delivered.

(b) Respond to requests for assistance from the HUD Field Office(s) with oversight of the geographic service area for which the technical assistance will be delivered, including responding to priorities established by the Field Office in its Grants Management System. CHDOs, HOME PJs, CDBG and Supportive Housing grantees may request assistance from the CD-TA provider directly, but such requests must be approved by the local HUD Field Office.

(c) When requested by a Field Office or GTR, conduct a Needs Assessment to identify the type and nature of the assistance needed by the recipients of the assistance. Such needs assessments should typically identify the nature of the problem to be addressed by the technical assistance services; the plan of action to address the need including the type of technical assistance services to be provided, the duration of the service, the staff assigned to provide the

assistance, anticipated products and/or outcomes, and the estimated cost for the provision of services; and the relationship of the proposed services to the planned or expected Consolidated Plan submission to HUD and to other technical assistance providers providing service within the locality.

(d) Obtain approval for the Technical Assistance Delivery Plan (TADP) from the HUD Field Office(s) with oversight for the area in which service will be provided. (See Section C below).

(e) Work cooperatively with other CD-TA providers in their geographic areas to ensure that clients are provided with the full range of CD-TA services needed and available. CD-TA providers are expected to be knowledgeable about the range of services available from other providers, make referrals and arrange visits by other CD-TA providers when appropriate, and carry out CD-TA activities concurrently when it is cost-effective and in the interests of the client to do so. HUD Field Offices may direct CD-TA providers to conduct joint activities.

(C) Technical Assistance Delivery Plan (TADP)

(1) After selection for funding but prior to award, each applicant must develop a TADP for each Field Office jurisdiction or National Program for which it has been selected, in consultation with the Field office and/or GTR.

(2) In developing the TADP, the applicant shall be guided by the Field Office's management strategies/workplans for each community/State in the Field Office's jurisdiction. It shall use these management strategies/workplans in determining its priority work activities, location of activities, and organizations to be assisted during the cooperative agreement performance period.

(3) The grantee management strategies/workplans are part of the Field Office's Grants Management Process (GMP) and should indicate the issues to be addressed by CD-TA, the improved performance expected as a result of CD-TA, and methods for measuring the success of the CD-TA.

(4) The TADP must delineate all the tasks and sub-tasks for each CD program the applicant will undertake in each Field Office jurisdiction. It shall show the location of the community/State in which the CD-TA activities will occur, the level of CD-TA funding and proposed activities by location, the improved program performance or other results expected from the CD-TA and the methodology to be used for measuring the success of the CD-TA. A

time schedule for delivery of the activities, budget-by-task and staffing plan shall be included in the TADP.

(D) Negotiation

After all applications have been rated and ranked and a selection has been made, HUD requires that all winners participate in negotiations to determine the specific terms of the TADP and the budget. HUD will follow the negotiation procedures described in Section III(D) of the General Section of the SuperNOFA.

(E) Forms, Certifications and Assurances

Each applicant must submit (1) the forms, certifications and assurances listed in the General Section of this SuperNOFA, and after selection for funding but prior to award (2) the CDBG Nexus Statement (where applicable).

(F) Financial Management and Audit Information

After selection for funding but prior to award, each applicant must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the financial management system employed by the applicant meets prescribed standards for fund control and accountability required by 24 CFR part 84 for Institutions of Higher Education and other Non-Profit Institutions, 24 CFR part 85 for States and local governments, or the Federal Acquisition Regulations (for all other applicants). The information should include the name and telephone number of the independent auditor, cognizant Federal auditor, or other audit agency as applicable.

(G) Designation for CDBG/CHDO Technical Assistance Providers

CDBG TA providers will be expected to obtain designation as technical assistance providers by the chief executive officers of each community within which they are working as required by 24 CFR 570.402(c)(2). CHDO TA providers will be responsible for securing a technical assistance designation 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.

(H) Training Sessions

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

(1) Design the course materials as "step-in" packages (also called "train-

the trainer" packages) so that a Field Office or other CD-TA provider may separately give the course on its own;

(2) Arrange for joint delivery of the training with Field Office participation when so requested by the Field Office; and

(3) When requested by a Field Office and/or Government Technical Representative (GTR), make provision for professional videotaping of the workshops/courses and ensure their production in a professional and high quality manner suitable for viewing by other CD clients (if this requirement is implemented, additional funds may be requested).

(I) Reports to Field Offices and/or GTRs

CD-TA providers will be required to report to the HUD Field Office(s) with oversight of the geographic area(s) in which CD-TA services are provided or to Headquarters GTRs in the case of national providers. At a minimum, this reporting shall be on a quarterly basis unless otherwise specified in the approved TADP.

(J) Active Participation

HUD Field Offices will be active participants in the delivery of all technical assistance by funded providers throughout the term of the cooperative agreement.

(K) CHDO Pass-Through Funds

CD-TA providers proposing pass-through grants are required to:

(1) Establish written criteria for selection of CHDOs receiving pass-through funds which includes the following:

(a) Participating jurisdictions (PJs) must designate the organizations as CHDOs.

(b) Generally, the organizations should not have been in existence more than 3 years.

(2) Enter into an agreement with the CHDO that the agreement and pass-through funding may be terminated at the discretion of the Department 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 receiving the pass-through funding.

(L) Affirmatively Furthering Fair Housing

Section II(D) of the General Section of the SuperNOFA does not apply to these technical assistance programs.

III. Application Selection Process

(A) Rating and Ranking

(1) Applications will be evaluated competitively and ranked against all other applicants that have applied for the same CD-TA program (CDBG, HOME, CHDO and Supportive Housing) within each Field Office or as a National Provider. There will be separate rankings for each CD-TA program, and applicants will be ranked only against others that have applied for the same CD-TA program.

(2) Once scores are assigned, all applications will be listed in rank order for each CD-TA program for which they applied by Field Office jurisdiction and/or National Program. In each Field Office jurisdiction or National Program area, all applications for the CDBG TA program will be listed in rank order on one list, all applications for the CHDO TA program will be listed in rank order on a second list, all applications for the HOME TA program will be listed in rank order on a third list, and all applications for the Supportive Housing TA program will be listed in rank order on a fourth list. Under this system, a single application from one organization for all four CD-TA programs could be assigned different scores and different rankings for each program in different Field Offices.

(3) Applications will be funded in rank order for each CD-TA program by Field Office jurisdiction, except for national providers and others which cannot be ranked by Field Office jurisdiction. National providers and others will be ranked separately and funded in rank order for each CD-TA program. Irrespective of final scores, HUD may apply program policy criteria to select no more than one applicant per Field Office among all four CD-TA programs in this section of the SuperNOFA, to ensure diversity of methods, approaches, or kinds of projects. HUD will apply these program policy criteria to provide coverage of CD-TA services for minorities; women, particularly women in the homebuilding professions under section 233(b)(7) of the Cranston-Gonzalez National Affordable Housing Act; the disabled; homeless; persons with special needs; and rural areas.

(4) In addition to the authority in the General Section to adjust funding, HUD reserves the right to adjust funding levels for each applicant for each CD-TA program as follows:

(a) Pursuant to section 233(d)(1) and (2) of the Cranston-Gonzalez National Affordable Housing Act, funding to any single eligible nonprofit intermediary organization seeking to provide CHDO

CD-TA, whether as an independent or joint applicant, is limited to the lesser of 20% of all funds, or an amount not to exceed 20% of the organization's operating budget for any one year (not including funds sub-awarded or passed through the intermediary to CHDOs);

(b) Award additional funds to organizations designated as lead CD-TA providers as discussed in Section II.(B) of this CD-TA Program section of the SuperNOFA;

(c) Adjust funding levels for any provider based upon the size and needs of the provider's service area within each Field Office jurisdiction in which the provider is selected to operate, the funds available for that area, the number of other awardees selected in that area, funds available on a national basis for providers that will be operating nationally, or the scope of the technical assistance to be provided;

(d) To negotiate increased grant awards with applicants approved for funding if HUD requests them to offer coverage to geographic areas for which they did not apply or budget, or if HUD receives an insufficient amount of applications.

(5) If funds remain after all selections have been made, remaining funds may be:

(a) Distributed among all HUD Field Offices (in proportion to their fair-share awards) and/or the National Program, or

(b) Made available for other CD-TA program competitions.

(B) Factors for Award Used to Evaluate and Rate Applications

The factors and maximum points for each factor are provided below. The maximum number of points to be awarded for a CD-TA application is 100. The CD-TA program is not an eligible program for the EZ/EC bonus points, as described in Section III(C) of the General Section of the SuperNOFA.

Rating of the "applicant" or the "applicant's organization and staff", unless otherwise specified, will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

When addressing the Factors for Award, the applicant should discuss the specific TA projects, activities, tasks, etc. that are suggested to be carried out by the applicant during the term of the cooperative agreement.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

In rating this factor, HUD will consider the extent to which the application demonstrates:

(1) (4 points) Recent, relevant and successful experience of the applicant's organization and staff in providing technical assistance in all eligible activities and to all eligible entities for the CD-TA program(s) applied for, as described in the regulations;

(2) (4 points) The experience and competence of key personnel in managing complex, multi-faceted or multi-disciplinary programs which require coordination with other CD-TA entities or multiple, diverse units in an organization;

(3) (4 points) The applicant has the skills and knowledge to aid grantees in the development of Consolidated Submissions for CD programs, comprehensive plans and planning processes and citizen participation activities, or in the case of SHP TA applicants, aid grantees in the development of supportive housing and supportive services as part of a Continuum of Care approach;

(4) (4 points) The applicant has a working knowledge of, and established relationships with, key public bodies and private organizations involved in CD programs in the geographic or national areas in which it proposes to serve;

(5) (4 points) The applicant has sufficient personnel or access to qualified experts or professionals to deliver the proposed level of technical assistance in each proposed service area in a timely and effective fashion.

Rating Factor 2: Potential Effectiveness of the Application in Meeting Needs of Target Groups/Localities and Accomplishing Project Objectives for Each CD-TA Program for which Funds Are Requested (20 Points)

In rating this factor, HUD will consider the extent to which the application:

(1) (4 points) Identifies high priority needs and issues to be addressed for each CD-TA program for which funding is requested;

(2) (4 points) Outlines a clear and effective plan of suggested TA activities for addressing those needs and aiding a broad diversity of eligible grantees and/or beneficiaries, including those which traditionally have been under-served;

(3) (4 points) Identifies creative and promising ways of carrying out eligible activities which will result in better or less costly service to CD-TA program grantees and/or program beneficiaries;

(4) (4 points) Identifies creative activities to assist eligible grantees in participating in the development of, and improving, local Consolidated Plans and comprehensive strategies;

(5) (4 points) Identifies creative ways to assist grantees in achieving the economic development and continuum of care objectives of local consolidated plans and comprehensive strategies or of creating linkages between activities they are assisting and activities to achieve these objectives.

Rating Factor 3: Soundness of Approach (40 Points)

In rating this factor, HUD will consider the extent to which the application:

(1) (20 points) Provides a technically and cost effective plan for designing, organizing, and carrying out the suggested technical assistance activities within the framework of the Demand/Response System;

(2) (10 points) Demonstrates an effective and creative plan for coordinating and conducting activities to be carried out jointly by the applicant and other entities it has partnered with in each Field Office jurisdiction in which it will operate; and/or demonstrates an effective and creative plan for working in partnership with all other CD TA providers in each Field Office jurisdiction;

(3) (5 points) Provides for full geographic coverage, including urban and rural areas, (directly or through a consortium of providers) of a single State or Field Office jurisdiction or is targeted to address the needs of rural areas, minority groups or other under-served groups;

(4) (5 points) Proposes a feasible, creative plan, which uses state of the art or new promising technology, to transfer models and lessons learned in each of its CD-TA program's activities to grantees and/or program beneficiaries in other CD-TA programs.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses the ability of the applicant to secure community resources (note: financing is a community resource) which can be combined with HUD's program resources to achieve program purposes. In evaluating this factor HUD will consider:

The extent to which the applicant has partnered 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 to the purpose(s) of the award the applicant is seeking. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private

organizations, or other entities willing to partner with the applicant. Applicants may also partner with other program funding recipients to coordinate the use of resources in the target area.

Applicants must provide evidence of leveraging/partnerships by including in the application letters of firm commitments, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which the applicant coordinated its activities with other known organizations, participates or promotes participation in a community's Consolidated Planning process, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community.

In evaluating this factor, HUD will consider the extent to which the applicant demonstrates it has:

(1) Coordinated its proposed activities with those of other groups or organizations prior to submission in order to best complement, support and coordinate all known activities and if funded, the specific steps it will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

(2) Taken or will take specific steps to work with recipients of technical assistance services become active in the community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address a need/problem that is related to the activities the applicant proposes.

(3) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

(a) Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and

(b) Other Federal, State or locally funded activities, including those proposed or on-going in the community.

IV. Application Submission Requirements

In addition to the forms, certifications and assurances listed in Section II(G) of the General Section of the SuperNOFA, all applications must, at a minimum, contain the following items:

(A) Transmittal Letter which identifies the SuperNOFA, the CD-TA programs for which funds are requested and the dollar amount requested for each program, and the applicant or applicants submitting the application.

(B) Narrative statement addressing the Factors for Award described in Section III(B) of this CD-TA Program section of this SuperNOFA. The narrative response should be numbered in accordance with each factor for award. This narrative statement will be the basis for evaluating the application. It should include a plan of suggested TA activities as described in Factors 2(b), 3(a), and elsewhere. These suggested TA activities may form a starting point for negotiating the TADP described in Section II(C) of this CD-TA Program section of the SuperNOFA.

(C) Statement which identifies the Field Office jurisdictions in which the applicant proposes to offer services. If services will not be offered throughout the full jurisdictional area of the Field Office, the statement should identify the service areas involved (e.g., States, counties, etc.), as well as the communities in which services are proposed to be offered.

(D) A matrix which summarizes the amount of funds requested for each CD-TA program in each Field Office jurisdiction or National Program for which funding is requested. (See CD-TA Appendix B for a copy of the matrix to be submitted.)

(E) A statement as to whether the applicant proposes to use pass-through funds for CHDOs under the CHDO TA program, and, if so, the amount and proposed uses of such funds.

(F) If applying for the CHDO TA program, a statement as to whether the applicant qualifies as a primarily single-State provider under section 233(e) of the Cranston-Gonzalez Affordable Housing Act and as discussed in Section I(E)(3) of the CD-TA Program section of this SuperNOFA.

(G) A statement as to whether the applicant proposes to be considered for the role of lead CD-TA provider in one or more specific program areas in a Field Office jurisdiction, and if so, the capabilities and attributes of the organization that qualify it for the role.

(H) For applicants for national program funds in one or more specific program areas, a statement as to the capabilities and attributes of the organization that qualify it to operate on a national basis. The statement should also include the nature of the suggested TA activities that make them inappropriate for funding under Field Office jurisdictions.

(I) Budget identifying costs for implementing the plan of suggested TA activities by cost category for each CD-TA program for which funds are requested by Field Office or as a National Provider (in accordance with the following):

(1) Direct Labor by position or individual, indicating the estimated hours per position, the rate per hour, estimated cost per staff position and the total estimated direct labor costs;

(2) Fringe Benefits by staff position identifying the rate, the salary base the rate was computed on, estimated cost per position, and the total estimated fringe benefit cost;

(3) Material Costs indicating the item, quantity, unit cost per item, estimated cost per item, and the total estimated material costs;

(4) Transportation Costs, as applicable.

(5) Equipment charges, if any. Equipment charges should identify the type of equipment, quantity, unit costs and total estimated equipment costs;

(6) Consultant Costs, if applicable. Indicate the type, estimated number of consultant days, rate per day, total estimated consultant costs per consultant and total estimated costs for all consultants;

(7) Subcontract Costs, if applicable. Indicate each individual subcontract and amount;

(8) Other Direct Costs listed by item, quantity, unit cost, total for each item listed, and total other direct costs for the award;

(9) Indirect Costs should identify the type, approved indirect cost rate, base to which the rate applies and total indirect costs.

These line items should total the amount requested for each CD-TA program area. The grand total of all CD-TA program funds requested should reflect the grand total of all funds for which application is made.

V. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

VI. Environmental Requirements

In accordance with 24 CFR 50.19(b)(9) and 58.34(a)(9), the assistance provided

by these programs relates only to the provision of technical assistance and is categorically excluded from the requirements of the National Environmental Policy Act and not subject to environmental review under the related laws and authorities. This determination is based on the ineligibility of real property acquisition, construction, rehabilitation, conversion, leasing or repair for HUD assistance under these technical assistance programs.

BILLING CODE 4210-32-P

**Appendix A to CD-TA Program: "Fair-Share" Amounts Allocated
to Each HUD CPD Office**

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Alabama State Office	\$50,000	\$442,750	\$322,000	\$40,000
Alaska State Office	\$50,000	\$250,250	\$182,000	\$40,000
Arkansas State Office	\$50,000	\$377,300	\$274,400	\$40,000
California State Office	\$318,360	\$2,644,950	\$1,923,600	\$345,858
Los Angeles Area Office	\$325,920	\$2,710,400	\$1,971,200	\$364,434
Caribbean Office	\$83,580	\$693,000	\$504,000	\$40,000
Colorado State Office	\$174,300	\$1,447,600	\$1,052,800	\$63,192
Connecticut State Office	\$68,040	\$565,950	\$411,600	\$40,000
District of Columbia Office	\$68,040	\$565,950	\$411,600	\$118,989

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Florida State Office	\$76,020	\$631,400	\$459,200	\$100,379
Jacksonville Area Office	\$91,140	\$754,600	\$548,800	\$70,657
Georgia State Office	\$91,140	\$754,600	\$548,800	\$44,616
Hawaii State Office	\$50,000	\$250,250	\$182,000	\$40,000
Illinois State Office	\$189,420	\$1,574,650	\$1,145,200	\$208,258
Indiana State Office	\$91,140	\$754,600	\$548,800	\$55,762
Kansas/Missouri State Office	\$83,580	\$693,000	\$504,000	\$40,000
St. Louis Area Office	\$50,000	\$377,300	\$274,400	\$52,047
Kentucky State Office	\$50,000	\$442,750	\$322,000	\$52,047

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Louisiana State Office	\$68,040	\$565,950	\$411,600	\$63,192
Maryland State Office	\$50,000	\$377,300	\$274,400	\$52,047
Massachusetts State Office	\$189,420	\$1,574,650	\$1,145,200	\$260,305
Michigan State Office	\$159,180	\$1,324,400	\$963,200	\$197,078
Minnesota State Office	\$68,040	\$565,950	\$411,600	\$74,372
Mississippi State Office	\$50,000	\$377,300	\$274,400	\$40,000
Nebraska State Office	\$60,480	\$504,350	\$366,800	\$44,616
New Jersey State Office	\$159,180	\$1,324,400	\$963,200	\$74,372
New Mexico State Office	\$50,000	\$250,250	\$182,000	\$40,000

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
New York State Office	\$204,540	\$1,701,700	\$1,237,600	\$342,198
Buffalo Area Office	\$363,720	\$3,026,100	\$2,200,800	\$81,803
North Carolina State Office	\$91,140	\$754,600	\$548,800	\$40,000
Ohio State Office	\$181,860	\$1,513,050	\$1,100,400	\$148,745
Oklahoma State Office	\$50,000	\$442,750	\$322,000	\$40,000
Oregon State Office	\$60,480	\$504,350	\$366,800	\$40,000
Pennsylvania State Office	\$159,180	\$1,324,400	\$963,200	\$152,461
Pittsburgh Area Office	\$91,140	\$754,600	\$548,800	\$81,803
South Carolina State Office	\$76,020	\$631,400	\$459,200	\$40,000

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Tennessee Knoxville Area Office	\$76,020	\$631,400	\$459,200	\$48,332
Texas State Office	\$219,660	\$1,828,750	\$1,330,000	\$126,384
San Antonio Area Office	\$60,480	\$504,350	\$366,800	\$40,901
Virginia State Office	\$68,040	\$565,950	\$411,600	\$40,000
Washington State Office	\$98,700	\$820,050	\$596,400	\$96,664
Wisconsin State Office	\$83,580	\$693,000	\$504,000	\$78,088
National	\$300,420	\$3,507,700	\$3,005,600	\$395,540
Total	\$5,000,000	\$42,000,000	\$31,000,000	\$4,395,140

Appendix B to CD-TA Program - Matrix of Amount of Funds Requested

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Alabama State Office	\$	\$	\$	\$
Alaska State Office	\$	\$	\$	\$
Arkansas State Office	\$	\$	\$	\$
California State Office	\$	\$	\$	\$
Los Angeles Area Office	\$	\$	\$	\$
Caribbean Office	\$	\$	\$	\$
Colorado State Office	\$	\$	\$	\$
Connecticut State Office	\$	\$	\$	\$
District of Columbia Office	\$	\$	\$	\$

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Florida State Office	\$	\$	\$	\$
Jacksonville Area Office	\$	\$	\$	\$
Georgia State Office	\$	\$	\$	\$
Hawaii State Office	\$	\$	\$	\$
Illinois State Office	\$	\$	\$	\$
Indiana State Office	\$	\$	\$	\$
Kansas/Missouri State Office	\$	\$	\$	\$
St. Louis Area Office	\$	\$	\$	\$
Kentucky State Office	\$	\$	\$	\$

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Louisiana State Office	\$	\$	\$	\$
Maryland State Office	\$	\$	\$	\$
Massachusetts State Office	\$	\$	\$	\$
Michigan State Office	\$	\$	\$	\$
Minnesota State Office	\$	\$	\$	\$
Mississippi State Office	\$	\$	\$	\$
Nebraska State Office	\$	\$	\$	\$
New Jersey State Office	\$	\$	\$	\$
New Mexico State Office	\$	\$	\$	\$

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
New York State Office	\$	\$	\$	\$
Buffalo Area Office	\$	\$	\$	\$
North Carolina State Office	\$	\$	\$	\$
Ohio State Office	\$	\$	\$	\$
Oklahoma State Office	\$	\$	\$	\$
Oregon State Office	\$	\$	\$	\$
Pennsylvania State Office	\$	\$	\$	\$
Pittsburgh Area Office	\$	\$	\$	\$
South Carolina State Office	\$	\$	\$	\$

HUD Field Office	CDBG TA	CHDO TA	HOME TA	SHP TA
Tennessee Knoxville Area Office	\$	\$	\$	\$
Texas State Office	\$	\$	\$	\$
San Antonio Area Office	\$	\$	\$	\$
Virginia State Office	\$	\$	\$	\$
Washington State Office	\$	\$	\$	\$
Wisconsin State Office	\$	\$	\$	\$
National	\$	\$	\$	\$
Total	\$	\$	\$	\$
Grand Total*	\$			

* Grand Total must equal total amount of funds requested

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

UNIVERSITY AND COLLEGE PROGRAMS

Community Outreach Partnership
Centers (COPCs)

Historically Black Colleges and
Universities (HBCUs) Program

BILLING CODE 4210-32-C

Funding Availability for Community Outreach Partnership Centers

Program Description: Approximately \$7 million is available to establish and operate Community Outreach Partnership Centers (COPCs) to assist in outreach and applied research activities addressing the problems of urban areas.

Application Due Date: Completed applications must be submitted no later than 12:00 midnight, Eastern time on July 8, 1998 at HUD Headquarters. See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Address for Submitting Applications: Completed applications (one original and two copies) must be submitted to: Processing and Control Branch, Office of Community Planning and Development, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7251, Washington, DC 20410. When submitting your application, please refer to COPC, and include your name, mailing address (including zip code) and telephone number (including area code).

For Application Kits, Further Information and Technical Assistance

For Application Kits. For an application kit and supplemental information please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. The application kit also will be available on the Internet through the HUD web site at <http://www.HUD.gov>. When requesting an application kit, please refer to COPC and provide your name, address (including zip code), and telephone number (including area code).

For Further Information. Jane Karadbil, Office of University Partnerships in the Office of Policy Development and Research, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room 8110, Washington, DC 20410, telephone (202) 708-5918, ext. 218. Persons with speech or hearing impairments may call HUD's TTY number (202) 708-0770, or 1-800-877 8399 (the Federal Information Relay Service TTY). Other than the "800" number, these numbers are not toll-free. Ms. Karadbil can also be reached via the Internet at Jane_R_Karadbil@HUD.GOV.

For Technical Assistance. An information broadcast via satellite will be held for potential applicants to learn more about the program and preparation of an application. For more information

about the date and time of this broadcast, please consult the HUD web site at the web address listed above.

Additional Information

I. Authority; Purpose; Amount Allocated; and Eligibility

(A) Authority

This program is authorized under the Community Outreach Partnership Act of 1992 (42 U.S.C. 5307 note; hereafter referred to as 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 authorizes \$7.5 million for each year of the 5-year demonstration to create Community Outreach Partnership Centers as authorized in the COPC Act.

(B) Purpose

The purpose of this COPC Program is to assist in establishing or carrying out outreach and applied research activities addressing the problems of urban areas. Funding under this demonstration program shall be used to establish and operate Community Outreach Partnership Centers (COPC).

The six key concepts of the COPC Program are:

- (1) The program should provide outreach, technical assistance, applied research, and empowerment to neighborhoods and neighborhood-based organizations based on what the residents decide is needed, not based on what the institution thinks is appropriate for that neighborhood;
- (2) Community-based organizations should be partners with the institutions throughout the life of the project, from planning to implementation;
- (3) Components of the program may address metropolitan or regional strategies. The applicant must clearly demonstrate how:

- (a) Those strategies are directly related to what the targeted neighborhoods and neighborhood-based organizations have decided is needed; and
- (b) Neighborhoods and neighborhood organizations are involved in the development and implementation of the metropolitan or regional strategies;

- (4) The applied research should be related to the outreach activities and be usable in these activities within the grant period or shortly after it ends, rather than research without practical application;
- (5) Assistance through the grant should be provided primarily by faculty, students, or to a limited extent, by neighborhood residents or community-

based organizations funded by the university; and

(6) The program should be part of the institution's broader effort to meet its urban mission, and be supported by senior officials, rather than just the work of a few faculty members. Proposed activities should not duplicate those of other entities in the community and should be appropriate for an institution of higher education to undertake in light of its teaching, research, and service missions.

The statute states that grants under the COPC Program must focus on the following specific problems: "problems associated with housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning, community organizing, and other areas deemed appropriate by the Secretary."

Furthermore, the COPC Act states: "The Secretary shall give preference to institutions of higher education that undertake research and outreach activities by bringing together knowledge and expertise in the various social science and technical disciplines that relate to urban problems."

(C) Amount Allocated

The competition in this program is for up to \$7.0 million to fund the fifth year of the COPC Program to fund New Grants. Institutionalization Grants will not be funded under this funding announcement for COPC. COPC grantees that have previously received a New or Institutionalization grant are not eligible to apply under this COPC funding announcement, nor are institutions of higher education that received Joint Community Development Program grants.

New Grants will be awarded to institutions of higher education to begin or expand their applied research and outreach activities. Each New Grant will be for a three-year period of performance (i.e., applicants must complete their proposed activities within three years). In order to ensure that as many eligible applicants are funded as possible, HUD has set the maximum size of any new grant at \$400,000. Because these projects are quite complex, HUD has also set the minimum grant size at \$250,000. Since the Statement of Work and other facets of the technical review are assessed in the context of the proposed budget and grant request, and in the interest of fairness to all applicants, HUD will not accept an application that is under \$250,000 or over \$400,000.

(D) Eligible Applicants

Eligible applicants are public or private nonprofit institutions of higher education granting two- or four-year degrees and accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. Consortia of eligible institutions may apply, as long as one institution is designated the lead applicant. Since the Statement of Work and other facets of the technical review are assessed in the context of the proposed staffing, and in order to fund as many eligible applicants as possible, HUD has determined that each institution may be part of only one consortium or submit only one application or it will be disqualified. HUD will hold an institution responsible for ensuring that neither it nor any part of the institution, including specific faculty, participates in more than one application.

Different campuses of the same university system are eligible to apply, even if one campus has already received COPC funding. Such campuses are eligible as separate applicants only if they have administrative and budgeting structures independent of other campuses in the system.

(E) Eligible Activities

COPC Programs must combine research with outreach, work with communities and local governments and address the multidimensional problems that beset urban areas. To meet the threshold requirements, applications should be multifaceted and address three or more urban problems. Single purpose applications are not eligible.

To be most effective during the term of the demonstration, the funded research must have a clear near-term potential for solving specific, significant urban problems. The selected institutions must have the capacity to apply their research results and to work with communities and local institutions, including neighborhood groups and other appropriate community stakeholders, in applying these results to specific real-life urban problems.

Eligible activities include:

(1) Research activities which have practical application for solving specific problems in designated communities and neighborhoods, including evaluation of the effectiveness of the outreach activities. In order to ensure that the primary focus of local projects is on outreach, research may not total more than one-quarter of the total project costs contained in any grant made under this COPC funding announcement (including the required 50% match).

(2) Outreach, technical assistance and information exchange activities which are designed to address specific urban problems in designated communities and neighborhoods. Such activities must total no less than three-quarters of the total project costs (including the required 25% match). Examples of outreach activities include, but are not limited to:

(a) Job training and other training projects, such as workshops, seminars and one-on-one and on-the-job training;

(b) Design of community or metropolitan strategies to resolve urban problems of communities and neighborhoods;

(c) Innovative use of funds to provide direct technical expertise and assistance to local community groups, residents, and other appropriate community stakeholders to assist them in resolving local problems such as homelessness, housing discrimination, and impediments to fair housing choice;

(d) 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;

(e) Technical assistance to local public housing authorities on welfare-to-work initiatives and physical transformations of public or assisted housing;

(f) Assistance to communities to improve consolidated housing and community development plans and remove impediments to design and implementation of such plans;

(g) Assistance to communities to improve the fair housing planning process; and

(h) Regional projects that maximize the interaction of targeted inner city distressed neighborhoods with suburban opportunities similar to HUD's Bridges-to-Work or Moving to Opportunity programs, or projects that link inner-city and suburban youth with leadership training that focuses on the needs of the distressed targeted neighborhoods.

(3) Funds for faculty development including paying for course time or summer support to enable faculty members to work on the COPC.

(4) Funds for stipends for students (which cannot cover tuition and fees) when they are working on the COPC.

(5) Activities to carry out the "Responsibilities" listed under Section II.(A) below. These activities may include leases for office space in which to house the Community Outreach Partnership Center, under the following conditions:

(a) The lease must be for existing facilities;

(b) No repairs or renovations of the property may be undertaken with Federal funds; and

(c) 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.

(F) Ineligible Activities

(1) Research activities which have no clear and immediate practical application for solving urban problems or do not address specific problems in designated communities and neighborhoods.

(2) Any type of construction, rehabilitation, or other physical development costs.

(3) Costs used for routine operations and day-to-day administration of regular programs of institutions of higher education, local governments or neighborhood groups.

II. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, grantees must meet the following program requirements:

(A) Responsibilities

In accordance with section 851(h) of the HCD Act of 1992, each COPC shall:

(1) Employ the research and outreach resources of its sponsoring institution of higher education to solve specific urban problems identified by communities served by the Center;

(2) Establish outreach activities in areas identified in the grant application as the communities to be served;

(3) 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;

(4) Coordinate outreach activities in communities to be served by the Center;

(5) Facilitate public service projects in the communities served by the Center;

(6) Act as a clearinghouse for dissemination of information;

(7) Develop instructional programs, convene conferences, and provide training for local community leaders, when appropriate; and

(8) Exchange information with other Centers.

The clearinghouse function in (6) above refers to a local or regional clearinghouse for dissemination of information and is separate and distinct from the functions in (8) above, which

relate to the provision of information to the University Partnerships Clearinghouse, which is the national clearinghouse for the program.

(B) Cap on Research Costs

No more than 25% of the total project costs (Federal share plus match) can be spent on research activities.

(C) Match

This non-Federal share may include cash or the value of non-cash contributions, equipment and other allowable in-kind contributions as detailed in 24 CFR part 84, and in particular § 84.23 entitled "cost sharing or matching." Applicants must meet the match requirements identified below:

(1) *Research Activities.* 50% of the total project costs of establishing and operating research activities.

(2) *Outreach Activities.* 25% of the total project costs of establishing and operating outreach activities.

An example of how to calculate the match is included in the application kit.

(D) Administrative

The grant will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and other Nonprofit Organizations), A-122 (Cost Principles for Nonprofit Organizations), and A-133 (Audits of States, Local Governments and Nonprofit Organizations).

III. Application Selection Process

Two types of reviews will be conducted: a threshold review to determine applicant eligibility; and a technical review to rate the application based on the rating factors in this Section III.

(A) Additional Threshold Criteria for Funding Consideration

Under the threshold review, the applicant will be rejected from the competition if the applicant is not in compliance with the requirements of the General Section of the SuperNOFA and if the following additional standards are not met:

(1) The applicant has met the statutory match requirements.

(2) The applicant has proposed a program in which no more than 25% of the total project costs will be for research activities.

(3) The applicant has requested a Federal grant that is no less than \$250,000 and no more than \$400,000 over the three-year grant period.

(4) The application addresses at least three urban issues, such as affordable housing, fair housing, economic

development, neighborhood revitalization, infrastructure, health care; job training, education, crime prevention, planning, and community organizing.

(5) The applicant, and any part of the applicant's organization, does not participate in more than one application.

(B) 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 for this program is 102. This includes two EZ/EC bonus points, as described in the General Section of the SuperNOFA.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 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. The rating of the "applicant" or the "applicant's organization and staff" for technical merit or threshold compliance, unless otherwise specified, will include any faculty, sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project. In rating this factor HUD will consider the extent to which the proposal demonstrates:

(1) (10 points) The knowledge and experience of the overall proposed project director and staff, including the day-to-day program manager, consultants and contractors in planning and managing programs for which funding is being requested. Experience will be judged in terms of recent, relevant and successful experience of the applicant's staff to undertake eligible program activities. In rating this factor, HUD will consider the extent to which the applicant's organization and staff have recent, relevant, and successful experience in:

(a) Undertaking research activities in specific communities that have a clear near-term potential for practical application to significant urban issues, such as affordable housing, fair housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning, and community organizing;

(b) Undertaking outreach activities in specific communities to solve or ameliorate significant urban issues;

(c) Undertaking projects with community-based organizations or local governments; and

(d) Providing leadership in solving community problems and making national contributions to solving long-term and immediate urban problems.

(2) (3 points) The applicant has sufficient personnel or will be able to quickly access qualified experts or professionals, to deliver the proposed activities in each proposed service area in a timely and effective fashion, including the readiness and ability of the applicant to immediately begin the proposed work program.

(3) (2 points) The applicant has demonstrated experience in managing programs, and carrying out *grant management* responsibilities for programs, similar in scope or nature directly relevant to the work activities proposed. If the applicant has managed large, complex, interdisciplinary programs, the applicant should include the information in the response.

Rating Factor 2: Need/Extent of the Problem (15 Points)

This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the urgency of meeting the need in the target area. In responding to this factor, applicants will be evaluated on:

(1) (10 points) The extent to which they document the level of need for the proposed activity; and

(2) (5 points) The urgency in meeting the need. Applicants should use statistics and analyses contained in a data source(s) that:

(a) Is sound and reliable. To the extent that the applicant's community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identifies the level of the problem and the urgency in meeting the need, references to these documents should be included in the response. The Department will review more favorably those applicants who used these documents to identify need, when applicable.

If the proposed activity is not covered under the scope of the Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), applicants should indicate such, and use other sound data sources to identify the level of need and the urgency in meeting the need. Types of other sources include, but are not limited to, Census reports, Continuum of Care gaps analysis, law enforcement agency crime reports, Public Housing Authorities' Five Year Comprehensive Plan, and other sound and reliable sources appropriate for the specific program and activities for which an applicant is applying for funding. Applicants may also address

needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements. For technical assistance programs, input from HUD State and Area Office(s) and assessments are included among the data sources that may be used to identify need.

(b) To the extent possible, specific to the area where the proposed activity will be carried out. Specific attention must be paid to documenting need as it applies to the area where activities will be targeted, rather than the entire locality or state. If the target area is an entire locality or state, then documenting need at this level is appropriate.

The applicant should discuss how it took into account existing and planned efforts of government agencies, community-based organizations, faith-based institutions, for-profit firms and other entities to address such needs in the community(ies) to be served, how the proposed program compliments or supplements these existing efforts, and why additional funds are being requested.

Rating Factor 3: Soundness of Approach (50 Points)

This factor addresses the quality and cost-effectiveness of the applicant's proposed work plan. There must be a clear relationship between the proposed activities, community needs and the purpose of the program funding for an applicant to receive points for this factor. The factor will be evaluated based on the extent to which the proposed activities will:

(1) (4 points) Help solve or address an urgent need or problem as identified under Rating Factor 2—Need/Extent of the Problem. The impact of the activity will be evaluated, including the tangible benefits to be attained by the community and by the target population including affirmatively furthering fair housing for classes protected under the Fair Housing Act. The applicant should demonstrate a strong familiarity with the existing and planned efforts of government agencies, community-based organizations, faith-based organizations, for-profit firms and other entities to address such needs in the communities to be served, and should demonstrate that the applicant can cost-effectively complement any such efforts to attain measurable results.

(2) (8 points) The extent to which the proposed work program identifies the specific services or activities to be performed. In reviewing this subfactor HUD will consider the extent to which:

(a) The applicant's proposal outlines a clear research agenda, based on a thorough familiarity with existing research on the subject. The applicant should demonstrate that the proposed research does not duplicate research previously completed or currently underway by others.

(b) The applicant demonstrates how the research will fit into and strengthen the outreach strategy and activities. For example, an applicant proposing to study the extent of housing abandonment in a neighborhood and then designing a plan for reusing this housing would be able to demonstrate the link between the proposed research and outreach strategies.

(c) The applicant's plan outlines a clear outreach agenda;

(d) There is a plan for involving the university as a whole in the execution of the outreach strategy.

(e) The extent to which grant funds will pay for activities conducted by the grantee, rather than passed through to other entities.

(3) (7 points) The extent to which the proposed program of activities involves the communities to be served in implementation of these activities. In reviewing this subfactor, HUD will look at the extent to which:

(a) One or more Community Advisory Committees, comprised of representatives of local institutions and a balance of the race, ethnic, disability status, gender, and income of the residents of the communities to be served, has been or will be formed to work in partnership with the COPC to develop and implement strategies to address the needs identified in Factor 2. Applicants will be expected to demonstrate that they have already formed such a committee(s) or secured the commitment of the appropriate persons to serve on the committee(s), rather than just describing generally the types of people whose involvement they will seek.

(b) A wide range of neighborhood organizations and local government entities participated in the identification of the research and outreach activities.

(c) The outreach program provides for on-site or a frequent presence in the targeted communities and neighborhoods.

(d) The outreach agenda includes training projects for local community leaders, for example, to increase their capacity to direct their organizations or undertake various kinds of community development projects.

(4) (6 points) The extent to which the proposed activities will achieve the purposes of the program from which funding is requested within the grant

period. The applicant should identify specific time phased and measurable objectives to be accomplished during the period of performance; the proposed short and long term program objectives to be achieved as a result of the proposed activities; the tangible and measurable impacts the work program will have on the community in general and the target area or population in particular; and the relationship of the proposed activities to other on-going or proposed efforts to improve the economic, social or living environment in the impact area.

(5) (4 points) The extent to which the proposed project will potentially yield innovative strategies or "best practices" that can be replicated and disseminated to other organizations, including nonprofit organizations, State and local governments. In reviewing this factor, HUD will assess the demonstrated ability of the applicant to disseminate results of research and outreach activities to other COPCs and communities. HUD will evaluate the past experience of the applicant and the scope and quality of the applicant's concrete plan to disseminate information on COPC results, strategies, and lessons learned through such means as conferences, cross-site technical assistance, publications, etc.

(6) (3 points) The extent to which the proposed application will further and support the policy priorities of HUD including:

(a) Promoting healthy homes;
 (b) Providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs;
 (c) Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through program policy efforts such as "One Strike and You're Out" or the "Officer Next Door" initiative;

(d) Providing educational and job training opportunities through such initiatives as Neighborhood Networks, Campus of Learners and linking to AmeriCorps activities.

(7) (5 points) The extent to which the applicant's work will include activities that affirmatively further fair housing, for example:

(a) Overcoming impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending;

(b) Promoting fair housing through the expansion of homeownership opportunities and improved quality of city services for minorities, families with children, and persons with disabilities; or

(c) Providing mobility counseling.

(8) (13 points) The extent to which the proposed COPC will result in the COPC function and activities being sustained by becoming part of the urban mission of the institution and being funded in the future by sources other than HUD. In reviewing this subfactor, HUD will consider the extent to which:

(a) COPC activities relate to the institution's urban mission; are part of a climate that rewards faculty work on these activities through promotion and tenure policies; benefit students because they are an overall part of a service learning program at the institution; and are reflected in the curriculum. HUD will look at the institution's commitment to faculty and staff continuing work in COPC neighborhoods or replicating successes in other neighborhoods and to its longer term commitment (e.g., five years after the start of the COPC) of hard dollars to COPC work.

(b) The applicant has received commitments for funding from sources outside the university for related non-COPC-funded projects and activities in the targeted neighborhood or other distressed neighborhoods. Funding sources to be considered include, but are not limited to, local governments, neighborhood organizations, private businesses, and foundations.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses the ability of the applicant to secure community resources which can be combined with HUD's program resources to achieve program purposes. In evaluating this factor HUD will consider:

The extent to which the applicant has partnered 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 to the purpose(s) of the award the applicant is seeking. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities willing to partner with the applicant. Applicants may also partner with the funding recipients in other grant programs to coordinate the use of resources in the target area.

Because COPC has a matching requirement, rating points for this factor will be allocated based upon the extent to which an applicant has exceeded the program's minimum match requirement. Up to a total of 5 points will be awarded for a match that is 50% over the statutorily-required match.

The Department is concerned that applicants should be providing hard dollars as part of their matching contributions in order to enhance the tangible resources going into targeted neighborhoods. Thus, while indirect costs can count towards meeting the statutorily required match, they will not be used in calculating match coverage. Only direct costs can count in this factor.

In addition, because HUD is interested in promoting the institutionalization of COPC projects and activities, up to an additional 5 points will be awarded for the extent to which matching funds are provided from eligible sources other than the applicant (e.g., funds from the city, including CDBG, other State or local government agencies, public or private organizations, or foundations).

Applicants must provide evidence of leveraging/partnerships by including in the application letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which the applicant coordinated its activities with other known organizations, participates or promotes participation in a community's Consolidated Planning process, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community.

In evaluating this factor, HUD will consider the extent to which the applicant demonstrates it has:

(1) (4 points) Coordinated its proposed activities with those of other groups or organizations prior to submission in order to best complement, support and coordinate all known activities and if funded, the specific steps it will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

(2) (3 points) Taken or will take specific steps to become active in the

community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address a need/problem that is related to the activities the applicant proposes.

(3) (3 points) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

(a) Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and

(b) Other Federal, State or locally funded activities, including those proposed or on-going in the community.

(C) Selections

In order to be funded under COPC, an applicant must receive a minimum score of 70. It is HUD's intent to fund at least one eligible applicant that serves colonias, as defined by section 916(d) of the Cranston-Gonzalez National Affordable Housing Act, as long as the applicant receives a minimum score of 70.

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 4, Leveraging Resources shall be selected.

HUD reserves the right to make selections out of rank order to provide for geographic distribution of funded COPCs. The approach HUD will use, if it decides to implement this option, will be based on combining two adjacent standard HUD regions (e.g., Southwest and Southeast Regions, Great Plains and Midwest Regions, etc.). If the rank order does not yield at least one fundable COPC within each combined region, then HUD may select the highest ranking application from such a combination, as long as the minimum score of 70 points is achieved.

After all applications have been rated and ranked and selections have been made, HUD may require that all winners participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. In cases where HUD cannot successfully conclude negotiations, or a selected applicant fails to provide HUD with requested information, awards will not be made. In such instances, HUD may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

After award but before grant execution, winners will be required to

provide a certification from an Independent Public Accountant or the cognizant government auditor, stating that the financial management system employed by the applicant meets proscribed standards for fund control and accountability required by OMB Circular A-133, Uniform Administrative Requirements for Grant Agreements With Institutions of Higher Education, Hospitals, and other Non-Profit Organizations, Revised OMB Circular A-110, or 24 CFR part 85 for States and local governments, or the Federal Acquisition Regulations (for all other applicants). This information should contain the name and telephone number of the Independent Auditor, cognizant Federal auditor, or other audit agency, as applicable.

IV. Application Submission Requirements

The application should include an original and two copies of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please, do not use colored paper. Please note the page limits below for some of the items listed below and do not exceed them.

In addition to the forms, certifications and assurances listed in Section II(G) of the General Section, all applications must, at a minimum, contain the following items:

(A) *Transmittal Letter* which must be signed by the Chief Executive Officer of the institution or his or her designee. If a designee signs, the application must include the official delegation of signatory authority;

(B) A *Statement of Work* (25 page limit) which incorporates all activities to be funded in the application and details how the proposed work will be accomplished. Following a task-by-task format, the Statement of Work must:

(1) Arrange the presentation of related major activities by project functional category (e.g., economic development, affordable housing, capacity building), summarize each activity, identify the primary persons involved in carrying out the activity, and delineate the major tasks involved in carrying it out.

(2) Indicate the sequence in which the tasks are to be performed, noting areas of work which must be performed simultaneously.

(3) Identify specific numbers of quantifiable intermediate and end products and objectives the applicant aims to deliver by the end of the award agreement period as a result of the work performed.

(C) *Narrative statement addressing the Factors for Award in Section III. (B) (2) above.* (30 page limit, not including tables, maps, and letters of matching commitments). Your narrative response should be numbered in accordance with each factor and subfactor. Please do not repeat material in your Statements of

Work or Need; instead focus on how you meet each factor.

(D) *Budget.* The budget presentation should be consistent with the Statement of Work and include:

(1) Budget Form—The sample budget form included in the application kit should be used to prepare the budget.

(2) A narrative explanation of how the applicant arrived at its cost estimates, for any line item over \$1,000.

(3) A statement of compliance with the 20% limitation on "Planning and Administration" Costs.

(4) An explanation of compliance with the requirement that not more than 25% of the total budget be allocated to research activities.

(5) An explanation of compliance with the matching requirements. More guidance on all of these items is included in the application kit.

(E) *Abstract.* (1 page limit) An abstract describing the goals and activities of the program.

V. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

VI. Environmental Requirements

In accordance with 24 CFR 50.19(b) 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.

Funding Availability for the Historically Black Colleges and Universities Program

Program Description: Approximately \$6,500,000 is available in funding for the Historically Black Colleges and Universities (HBCU) Program. The HBCU Program assists HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development.

Application Due Date: Completed applications must be submitted no later than 12:00 midnight, Eastern time on July 8, 1998, at HUD Headquarters with a copy to the appropriate HUD CPD Field Office. See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Address for Submitting Applications: An original signed application and one copy shall be submitted to the following address: Processing and Control Branch, Office of Community Planning and Development, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7251, Washington, DC 20410. When submitting your application, please refer to the HBCU Program, and include your name, mailing address (including zip code) and telephone number (including area code).

Copies of Applications to HUD Offices. To facilitate processing and review of an application, one copy of the application also should be sent to the Community Planning and Development (CPD) Director in the appropriate HUD Field Office for the HBCU. The list of HUD Field Offices is included in the application kit.

HUD will accept only *one* application per HBCU. If more than one application is received from a single HBCU, the application from that HBCU that was received earliest will be considered for funding, and the application(s) submitted later will be ineligible. If more than one application is received simultaneously from an HBCU then all such applications will be considered ineligible for funding. Applicants should take these policies into account and take steps to ensure that multiple applications are not submitted.

For Application Kits, Further Information, and Technical Assistance:

For Application Kits. For an application kit and any supplemental information, please call the SuperNOFA Information Center at 1-800-HUD-

8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-843-2209. The application kit also will be available on the Internet through the HUD web site at <http://www.HUD.gov>. When requesting an application kit, please refer to the HBCU Program and provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. For answers to your questions, you have several options. You may call Ms. Delores Pruden, Historically Black Colleges and Universities Program, Office of Community Planning and Development, Department of Housing and Urban Development, 451 Seventh St, SW, Washington, DC 20410; telephone (202) 708-1590. (This is not a toll-free number.) Persons with speech or hearing impairments may access this number via TTY by calling the Federal Information Relay Service toll-free at 1-800-877-8339. Information may also be obtained from the HUD Field Office located in the applicant's geographic area. The application kit contains the names, addresses and telephone numbers of the HUD Field Offices. For general information and information regarding training on this HBCU Program section of the SuperNOFA, applicants can call the SuperNOFA Information Center at 1-800-HUD-8929.

Additional Information:

I. Authority; Purpose; Amount Allocated; and Eligibility.

(A) Authority

This program is authorized under section 107(b)(3) of the Housing and Community Development Act of 1974 (the 1974 Act) (42 U.S.C. 5307(b)(3)), which was added by section 105 of the Department of Housing and Urban Development Reform Act of 1989 (Pub. L. 101-235). The HBCU Program is governed by regulations contained in 24 CFR 570.400 and 570.404, and in 24 CFR part 570, subparts A, C, J, K, and O.

(B) Purpose

The purpose of the HBCU Program is to assist HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

(1) For the purposes of this program, the term "locality" includes any city,

county, town, township, parish, village, or other general political subdivision of a State or the U.S. Virgin Islands within which an HBCU is located.

(2) An HBCU located in a metropolitan statistical area (MSA), as established by the Office of Management and Budget, may consider its locality to be one or more of these entities within the entire MSA. The nature of the locality for each HBCU may differ, therefore, depending on its location.

(3) A "target area" is the locality or area within the locality that the HBCU will implement its proposed HUD grant activities.

(C) Amount Allocated

(1) In order to ensure that some previously unfunded HBCUs will receive awards in this competition, approximately one-third of the available funds will be awarded to applicants that have not previously been funded under the HUD HBCU program. (The FY 1991 competition was the first funded under the current HBCU Program authorization, section 107(b)(3) of the 1974 Act.) Therefore, of the \$6.5 million in FY 1998 funds made available under this SuperNOFA for the HBCU Program:

(a) Approximately \$2.2 million will be awarded to HBCUs that have not received funding in past HUD HBCU competitions under section 107(b)(3) of the Housing and Community Development Act of 1974, as amended, which includes competitions for Fiscal Years 1991 through 1997 ("Previously-unfunded HBCUs").

(b) The remaining approximately \$4.3 million of FY 1998 funds will be awarded to HBCUs that have received funding under such competitions ("Previously-funded HBCUs") (Previously funded HBCUs are listed in HBCU Appendix A to this HBCU Program section of the SuperNOFA. Previously-unfunded HBCUs are listed in HBCU Appendix B section of the SuperNOFA.).

If recaptured funds are made available, those funds will also be divided proportionately between the two types of applicant i.e. one third to Previously-unfunded HBCUs and two-thirds to Previously-funded HBCUs.

(2) The maximum period for performance of a proposed program under this SuperNOFA for the HBCU Program is 24 months. The performance period will commence on the effective date of the grant agreement. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in a particular application. The awards will be made in the form of grants. The

maximum amount awarded to any applicant will be \$400,000.

(D) Eligible Applicants

Only HBCUs as determined by the Department of Education in 34 CFR 608.2 in accordance with that Department's responsibilities under Executive Order 12876, dated November 1, 1993, are eligible for funding under the HBCU Program. As indicated above, funds available under this program will be split between two classes of HBCU applicant.

(1) The first category, previously-funded HBCUs, includes HBCUs that have received funding in past HUD HBCU competitions under section 107(b)(3) of the Housing and Community Development Act of 1974, which includes competitions for Fiscal Years 1991 through 1997.

(2) The second category of eligible applicant, Previously-unfunded HBCUs, includes HBCUs that *have not* received funding under such competitions. Lists of Previously-funded HBCUs and Previously-unfunded HBCUs appear as Appendices A and B to the HBCU Program section of the SuperNOFA. HUD will use these lists to determine in which category the application should be considered.

(E) Eligible Activities

(1) *General.* Each activity proposed for funding must meet both a Community Development Block Grant (CDBG) Program national objective AND the CDBG eligibility requirements, which are described in Section III of the HBCU Program section of the SuperNOFA. Eligible activities that may be funded under this HBCU Program section of the SuperNOFA are those activities eligible for CDBG funding. The activities are listed in 24 CFR part 570, subpart C, particularly §§ 570.201 through 570.206. Ineligible activities are listed at § 570.207. Additionally, an activity which otherwise is eligible under §§ 570.201 through 570.206 may not be funded if State or local law requires that it be carried out by a governmental entity.

(2) *Examples of Eligible Activities.* Examples of activities that generally can be carried out with these funds include, but are not limited to:

- (a) Acquisition of real property;
- (b) Clearance and demolition;
- (c) Rehabilitation of residential structures to increase housing opportunities for low- and moderate-income persons and rehabilitation of commercial or industrial buildings to correct code violations or for certain other purposes; e.g., making accessibility and visitability

modifications to housing. Applicants proposing to undertake this activity will be required to provide reasonable estimates, from a *qualified* entity other than the applicant, of the cost to complete projects. Such an entity must be involved in the business of housing rehabilitation, construction and/or management;

(d) 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;

(e) Acquisition, construction, reconstruction, rehabilitation, or installation of public facilities and improvements, such as water and sewer facilities and streets. Applicants proposing to undertake this activity will be required to provide reasonable estimates, from a *qualified* entity other than the applicant, of the cost to complete projects. Such an entity must be involved in the business of housing rehabilitation, construction and/or management;

(f) Special economic development activities described at 24 CFR 570.203;

(g) Eligible public service activities, including activities that provide a continuum of care for the homeless; adult basic education classes; GED preparation and testing; job and career counseling and assessment; citizen participation academies, and public access telecommunications centers including "Campus of Learners" (COL) and "Neighborhood Networks" (NN); social and medical services; other support activities for youth, senior citizens, and other low- and moderate-income residents; and/or 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;

(h) Assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;

(i) Establishment of a Community Development Corporation (CDC) to undertake eligible activities;

(j) Assistance to a community based development organization (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 CDBG Neighborhood Revitalization Strategy

(NRS) or HUD approved State CDBG Community Revitalization Strategy (CRS). HBCUs proposing a Community Development Corporation (CDC) component may qualify for CBDO activities; and

(k) Program administration costs related to the planning and execution of community development activities assisted in whole or in part with grant funds. In order to expand the capacity of HBCUs eligible under this SuperNOFA, applicants may propose to use up to 10% of the award funds to acquire technical assistance (TA) from a qualified TA provider to assist in implementing the proposed activities. While applicants are responsible for ensuring that potential TA providers are qualified, HUD would expect that the most qualified providers would be entities/organizations that have demonstrated the expertise and capacity to successfully conceptualize, develop and implement community and economic development projects and initiatives similar to those proposed by the applicant. Although pre-award technical assistance costs may not be paid out of grant funds (not including matching funds, if any), applicants expecting to need technical assistance are encouraged, nonetheless, to choose a TA provider as early as possible, to ensure that the TA provider is involved in the early stages of proposal development. Previously-unfunded HBCUs are particularly encouraged to consider acquiring technical assistance from a qualified HBCU TA provider.

(3) *Activities Designed to Promote Training and Employment Opportunities.* In selecting proposed eligible activities, applicants are urged to propose undertaking activities designed to promote opportunities for training and employment of low-income residents in connection with HUD initiatives such as "Campus of Learners" (COL) in public housing and "Neighborhood Networks" (NN) in other Federally-assisted or insured housing. Applicants are also encouraged, whenever feasible, to propose implementing activities in a Federally-designated Urban or Rural (HUD or Department of Agriculture) Empowerment Zone, Urban or Rural Enterprise Community (EZ or EC), or a HUD-approved local CDBG Neighborhood Revitalization Strategy Area or HUD-approved State CDBG Community Revitalization Strategy Area.

(4) *Use of Grant Funds for Acquisition of Computer Hardware and Software.* Although acquisition of equipment is not generally an eligible activity (subject to the exceptions provided in 24 CFR

570.207(b)(1)), applicants are encouraged to propose the use of grant funds, at reasonable levels, for the acquisition of computer hardware and software compatible with Internet access and HUD's Community Planning 2020 Software, if they do not currently have such capability. More information on the Community 2020 Software can be obtained from the local HUD Community Planning and Development Office.

(5) *Use of Grant Funds for the Provision of Public Services.* Those applicants planning to use grant funds for the provision of public services are bound by the statutory requirement that not more than 15% of the total grant amount be used for public service activities. Therefore, at least 85% of the grant amount must be proposed to be used for activities qualifying under an eligibility category other than public services (as described at 24 CFR 570.201(e)).

II. Program Requirements

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

(A) Submission of a Budget

The budget should include:

(1) A budget summary covering the Federal and non-Federal share of costs proposed, by cost category, and a budget justification which includes assumptions used to determine the costs of budget items in each category. 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 in the proposed geographic area.

The application kit includes Budget Forms which must be completed in full. The Federal Share Budget Summary Forms should indicate the use of funds the applicant will receive from HUD under this HBCU funded program. In addition, funds received from other HUD programs, awarded under a locality's CDBG Program, or through other Federal agencies should be identified on the non-Federal share portion of the budget summary sheets. The non-Federal share should also identify other public or private sector funds which will be used to implement the proposed program activities.

While HUD recognizes that the costs are based upon estimates, the summary should include information such as quotes from various vendors or historical data relied upon in determining projected costs. All direct

labor or salaries must be supported with mandated city/state pay scales or other documentation. Indirect costs must be substantiated and approved by the cognizant Federal agency or the applicant must provide an indirect cost rate plan.

Particular attention should be paid to:

- Accurately estimating costs;
- The necessity and reasonableness of costs; and
- Accurate computation of all budget items and totals.

(2) A budget-by-task, which will include a listing of tasks to be completed for each activity necessary to be performed to implement the program, the overall costs for each task, and the cost for each funding source. The budget-by-task should clearly indicate the HUD grant amount and identify the source and dollar amount of the matching funds, if any. HUD will award points on the extent to which the budget documents clearly demonstrate a cost-effective use of resources based on reasonable assumptions.

This form of the budget will show the total budget by line item for the program activities to be carried out with the proposed HUD HBCU grant. This will be a functional budget. Each line item represents the task to be done, not the person who will do it. Producing the budget in this format provides both financial and reporting information that will allow the program to be more easily evaluated.

Since one person may be assigned to do several tasks, that person's salary may be prorated to the various tasks for which he or she is responsible. For example, the Program Manager may spend some of his or her time in outreach and recruitment, some time developing leadership training, and some time in evaluation or other administrative tasks. His or her time may be divided between those activities to come up with the budget. However, if the Manager and other staff are primarily engaged in program management and oversight, the HUD funded salary cost should be budgeted as an administrative cost.

Each dollar amount on this budget must represent an actual cost of the program. Do not include the value of any in-kind goods and/or services contributions to the tasks. For example, if a social service organization is donating staff time to do social work, do not enter the value of that time for a task. If a fee is to be paid for counseling work, however, enter that amount for the appropriate task. Although the dollar value of in-kind goods and/or service contributions should not be included in the budget, remember to

state this information on the Match Form.

The Line Item for Administrative costs covers salaries (except to the extent that they are attributed to other tasks) and related costs, and other costs for goods and services required for the program such as rental or purchase of office equipment, utilities, insurance, legal, staff training, office supplies, rental and maintenance of office space, mailing, advertising, and technical assistance.

Applicants proposing to undertake: rehabilitation of residential, commercial and industrial structures; and/or acquisition, construction, or installation of public facilities and improvements must submit reasonable cost estimates supplied by a *qualified* entity other than the applicant. Such an entity must be involved in the business of housing rehabilitation, construction and/or management. Guidance for securing these estimates can be obtained from the CPD Director in the HUD field office or the local government.

A format for the budget summary and the budget-by-task is included in the application kit.

(B) Leveraging

Although a match is not required to qualify for funding, if applicants claim a match, they must provide letters or other documentation evidencing the extent and firmness of commitments of a match from other Federal (e.g., Americorps Programs), State, local, and/or private sources (including the applicant's own resources). These letters or documents must be dated no earlier than the date of this published SuperNOFA. An Applicant which has evidence in support of its proposed match commitment is eligible for more rating points than those applicants not having a firm commitment for a match.

Potential Sources of Assistance

- State and local governments.
- Housing Authorities.
- Local or national nonprofit organizations.
- Banks and private businesses.
- Foundations.
- Faith Communities.

Documentation Requirements

For each match, the applicant must submit a letter from the provider on the provider's letterhead. Number each letter as a page in the application. Each Match must be supported by a letter from the provider that addresses the following:

- The dollar amount or dollar value of the in-kind goods and/or services committed. For each cash match, the

dollar amount in the commitment letter must be consistent with the dollar amount indicated by the applicant on the SF-424 and in the Budget-By-Task;

- How the Match is to be used;
- The date the Match will be made available and a statement that it will be for the duration of the grant period;
- Any terms and conditions affecting the commitment, other than receipt of a HUD HBCU Grant; and
- The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. (See the application kit for a sample commitment letter.)

(C) Environmental Review

If the applicant proposes activities (such as physical development activities) that are not excluded from environmental review under 24 CFR 50.19(b), an environmental review by HUD is required in accordance with 24 CFR part 50, as indicated by 24 CFR 570.404(i) before HUD approves the proposal (i.e., releases CDBG funds). Before any grant funds are released, environmental approval must be secured. If the requirements of part 50 are not met, HUD reserves the right to terminate all or portions of the award. The grantee is not authorized to proceed with any activity requiring such approval until written approval is received from the appropriate HUD Field Environmental Clearance Officer in its area certifying that the project has been approved and released from all environmental conditions.

(D) Forms, Certifications and Assurances

HBCU applicants are required to submit the following forms, certifications and assurances:

- (1) Standard Form (SF) 424 Application for Federal Assistance;
- (2) Standard Form (SF) 424 B for Non-Construction Programs;
- (3) Applicant Certification;
- (4) Certification of Consistency with the Local Consolidated Plan; and
- (5) Letter Certifying Local Approval.
- (6) Certification Form for EZ/EC bonus points. These bonus points will only be awarded when the HBCU is located within the geographic boundaries of the EZ/EC.

III. Application Selection Process

(A) Rating and Ranking

(1) *Threshold Review; National Objectives.* HUD will evaluate applications for funding under the HBCU Program competitively and will award points based on responses to the Factors For Award identified in this

section. Applications must be complete and consistent with the requirements of this for the HBCU Program section in this SuperNOFA, the application kit, and the HBCU Program regulations (24 CFR 570.404) in order for the application to be eligible to compete in this competition.

To be considered for funding, applicants must receive a minimum score of 70 out of the total of 100 points possible for Factors 1 through 5. HUD will not fund specific proposed activities that do not meet eligibility requirements (see, particularly, 24 CFR part 570, subpart C), or that do not meet a national objective in accordance with 24 CFR 570.208. The CDBG Publication entitled "Everything You Wanted to Know About CDBG" discusses the regulations, and a copy can be ordered from HUD's Community Connections Information Clearinghouse at 1-800-998-9999. Each activity that may be funded under this SuperNOFA for the HBCU Program must meet one of the three national objectives of the Community Development Block Grant program:

- (a) Benefit to low- or moderate-income persons;
- (b) Aid in the prevention or elimination of slums or blight; or
- (c) 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. (It is not necessary for applicants to comply with the primary objective requirement of 24 CFR 570.200(a)(3), which requires recipients to ensure that not less than 70% of the grant expenditures be for activities benefiting low and moderate income persons)

(2) *Funding of Applications.* Within each category of eligible applicant, HUD will fund applications in rank order, until it has awarded all available funds for that category of applicant, or until there are no fundable applications remaining in that category. If there is a tie in the point scores of two applications, the rank order will be determined by the applicant's scores on Factor 2. HUD will give the higher rank to the application with the most points on Factor 2. If there is still a tie, the rank order will be determined by the applicant's scores on Factor 3. HUD will give the higher rank to the application with the most points for Factor 3. If

funds remain after approving all fundable applications within a category of applicants, HUD may choose to add those funds to the funds available for the other category of applicants.

(3) *Leveraging.* Although a match is not required to qualify for funding, HUD encourages HBCUs to participate in public/private partnerships, i.e., with local or national nonprofit organizations, the local banking and real estate community, local builders/developers, faith communities, etc., to secure matches of cash and/or in-kind goods or services. The maximum number of rating points an applicant can receive for leveraging is 10 points for Factor 4 below. Applicants having a cash match will receive a higher number of points than those providing in-kind goods or services of the same value. To be recognized as leveraging, contributions must be made available for the duration of the grant period, regardless of the form of investment provided to the project. Applicants *without* evidence of leveraging will receive *zero (0) points*.

(4) *After Selection.* After selection, but prior to award, an applicant will be required to:

(a) *Negotiate.* After all applications have been rated and ranked and a selection of competition winners has been made, HUD requires that all winners participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. HUD will follow the negotiation procedures described in Section III(D) of the General Section of the SuperNOFA.

(b) *Provide Financial Management and Audit Information.* After selection for funding but prior to award, each successful applicant will be required to submit a certification from an Independent Public Accountant, or the cognizant government auditor, stating that the financial management system employed by the applicant meets prescribed standards for fund control and accountability required by OMB Circular A-133, as codified at 24 CFR part 84.

(B) Factors for Award Used To Evaluate and Rate Applications

HUD will use the Factors For Award set forth below to evaluate applications. Each application must contain sufficient information to be reviewed for its merits. The score for each factor will be based on the qualitative and quantitative aspects of the applicant's response to that factor. Applicants may use up to a total of thirty (30) pages to respond to Factor 1 through 5. Limitation applies to the applicant's

narrative response and NOT to tables, maps and firm commitment letters.

The maximum number of points that may be awarded is 102. This includes two EZ/EC bonus points, as described in the General Section of the SuperNOFA.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 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:

(1) (10 points) The knowledge and experience of the overall proposed project director and staff, including the day-to-day program manager, consultants and contractors in planning and managing programs for which funding is being requested. Experience will be judged in terms of recent, relevant and successful experience of the applicant's staff to undertake eligible program activities. In rating this factor, HUD will consider the extent to which the applicant's organization and staff have recent, relevant, and successful experience in:

(a) Undertaking outreach activities in specific communities to solve or ameliorate significant housing and community development issues;

(b) Undertaking projects with community-based organizations or local governments; and

(c) Providing leadership in solving community problems and making national contributions to solving long-term and immediate housing and community development problems.

(2) (3 points) The applicant has sufficient personnel or will be able to quickly access qualified experts or professionals, to deliver the proposed activities in each proposed service area in a timely and effective fashion, including the readiness and ability of the applicant to immediately begin the proposed work program.

(3) (2 points) The applicant has demonstrated experience in managing programs, and carrying out *grant management* responsibilities for programs, similar in scope or nature directly relevant to the work activities proposed. If the applicant has managed large, complex, interdisciplinary programs, the applicant should include the information in the response.

Rating Factor 2: Need/Extent of the Problem (15 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 the target area. In responding to this factor, applicants will be evaluated on:

(1) (10 points) The extent to which they document the level of need for the proposed activity; and

(2) (5 points) The importance of meeting the need.

Applicants should use statistics and analyses contained in a data source(s) that:

(a) Is sound and reliable. To the extent that the applicant's community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identifies the level of the problem and the urgency in meeting the need, references to these documents should be included in the response. The Department will review more favorably those applicants who used these documents to identify need, when applicable.

If the proposed activity is not covered under the scope of the Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), applicants should indicate such, and use other sound data sources to identify the level of need and the urgency in meeting the need. Types of other sources include, but are not limited to, Census reports, Continuum of Care gaps analysis, law enforcement agency crime reports, Public Housing Authorities' Five Year Comprehensive Plan, and other sound and reliable sources appropriate for the specific SuperNOFA program and activities for which an applicant is applying. Applicants may also address needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements. For technical assistance programs, input from HUD State and Area Office(s) and assessments are included among the data sources that may be used to identify need.

(b) To the extent possible, specific to the area where the proposed activity will be carried out. Specific attention must be paid to documenting need as it applies to the area where activities will be targeted, rather than the entire locality or state. If the target area is an entire locality or state, then documenting need at this level is appropriate.

Rating Factor 3: Soundness of Approach (50 Points)

This factor addresses the quality and cost-effectiveness of the applicant's proposed work plan. There must be a clear relationship between the proposed activities, community needs and the purpose of the HUD HBCU Program for

an applicant to receive points for this factor.

HUD will consider the effectiveness/impact and feasibility of the applicant's work plan in addressing the needs described in the applicant's response to Factor 2 including the extent to which the applicant will provide geographic coverage for the target area and describes how each proposed activity meets both a CDBG Program national objective and the CDBG eligibility requirements described above. HUD will also consider the extent to which the proposed activities will yield innovative strategies or "best practices" that can be readily disseminated to other organizations and State and local governments.

(1) *Work Plan* (40 Points). The applicant's work plan must incorporate all proposed activities, describing in detail how the activities will alleviate and/or fulfill the needs identified in Factor 2, including how the activities will benefit low-income and elderly residents, welfare recipients, and the working poor in the target area to be served, and how the activities will be implemented. In evaluating this factor, HUD will consider:

(a) (10 points) The extent to which the proposed work program identifies the specific services or activities to be performed. In reviewing this subfactor, HUD will consider the extent to which:

(i) The applicant's proposal outlines a clear agenda based on a thorough familiarity with existing work/activities in the target area. The applicant should demonstrate that the proposed activities do not duplicate work/activities previously completed or work/activities currently underway by others;

(ii) The applicant demonstrates how the activities will fit into and strengthen their role in addressing community development needs in their locality;

(iii) The applicant's plan outlines a clear agenda for citizen involvement in the planning and implementation.

(b) (10 points) The extent to which the proposed work/activities involve the communities to be served in implementation of these activities. In reviewing this subfactor, HUD will look at the extent to which:

(i) Representatives of the local communities are involved and have a balance of race, ethnic, disability, status, gender and income of the residents of the community to be served, or will be involved to address the needs identified in Factor 2;

(ii) Evidence is provided that neighborhood organizations and local government entities were invited to, or participated in, the identification of activities to be undertaken;

(iii) The methodology employed to outreach to the community during the development and implementation of the proposed program.

(c) (10 points) The extent to which the proposed activities will achieve the purposes of the program from which funding is requested within the grant period. The applicant should identify specific time phased and measurable objectives to be accomplished during the period of performance; the proposed short and long term program objectives to be achieved as a result of the proposed activities; the tangible and measurable impacts the work program will have on the community in general and the target area or population in particular; and the relationship of the proposed activities to other on-going or proposed efforts to improve the economic, social, or living environment in the impact area.

(d) (6 points) The extent to which the proposed project will potentially yield innovative strategies or "best practices" that can be duplicated and disseminated to other organizations.

(e) (4 points) The extent to which the proposed application will further and support the policy priorities of HUD including:

(i) Promoting healthy homes;
 (ii) Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through program policy efforts such as "One Strike and You Are Out" or the "Officer Next Door" initiative; and

(iii) Providing educational, job training, and homeownership opportunities through such initiatives as High Hopes, Neighborhood Networks, Campus of Learners, Local Homeownership Partnerships and linking programs to Americorps activities.

The High Hopes initiative promotes partnerships between colleges and middle or junior high schools in low-income communities, to help teach students how they should go to college by informing them about college options, academic requirements, costs, and financial aid, and by providing support services—including tutoring, counseling, and mentoring;

The Neighborhood Networks (NN) initiative enhances the self-sufficiency, employability, and economic self-reliance of low-income families and the elderly living in HUD-insured and HUD-assisted properties by providing such residents with on-site access to computer and training resources;

The Campus of Learners (COL) initiative is designed to transform public housing into safe and livable communities where families undertake

training in new telecommunications and computer technology and partake in educational opportunities and job training initiatives; and/or

Local Homeownership Partnerships (LPs) recognized by the National Partners in Homeownership. Local Homeownership Partnerships are local manifestations of the National Homeownership Strategy and are designed to increase homeownership opportunity through public-private collaboration.

If relocation is to be a part of the work activities the applicant should discuss the plan for temporary or permanent relocation of occupants of units affected, including storage or moving of household goods, stipends and/or incentives. The work plan must delineate tasks and subtasks for each activity, and indicate the sequence in which the tasks are to be performed, noting areas of work which must be performed simultaneously.

To the maximum extent feasible, the applicant should provide HUD with measurable results to be achieved with the requested funds, i.e., the number of persons to be trained, number of persons to be employed, number of houses to be built (pursuant to 24 CFR 570.207) or rehabilitated, number of minority owned businesses to be started, etc., in the target area as a result of the implementation of the proposed activities.

(2) *Affirmatively Furthering Fair Housing* (5 Points)

If an applicant has designed activities to affirmatively further fair housing, for example:

(a) Overcoming impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending;

(b) Promoting fair housing through the expansion of homeownership opportunities and improved quality of city services for minorities, families with children, and persons with disabilities; or (c) providing mobility counseling, 5 points will be awarded.

(3) *Products Deliverable Schedule* (5 Points)

As a result of the implementation of the proposed activities, describe products to be delivered in 6 month intervals, up to 24 months. Indicate which of the staff described under Factor 1 will be responsible and accountable for deliverables. This sub-factor will be evaluated on the extent to which the schedule represents an efficient and feasible plan for implementation of the proposed activities.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses the ability of the applicant to secure community resources (note: financing is a community resource) which can be combined with HUD program funds to achieve the program objective to assist HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development.

In evaluating this factor, HUD will consider the extent to which the applicant has partnered with other entities to secure additional resources to increase the effectiveness of the proposed activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of the award the applicant is seeking. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities willing to partner with the applicant. Applicants may also partner with other program funding recipients to coordinate the use of resources in the target area.

Applicants must provide letters or other documentation evidencing the extent and firmness of commitments of a match from other Federal (e.g., Americorps Programs), State, local, and/or private sources (including the applicant's own resources). These letters or documents must be dated no earlier than the date of this published SuperNOFA. An applicant which has evidence in support of its proposed match commitment is eligible for more rating points than those applicants not having a firm commitment for a match.

The maximum number of rating points an applicant can receive for leveraging is 10 points. Applicants having a cash match will receive a higher number of points than applicants receiving in-kind goods or services of the same value. To be recognized as leveraging, contributions must be made available for the duration of the grant period, regardless of the form of investment provided to the project. Applicants without evidence of leveraging will receive zero (0) points for this Factor.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which the applicant coordinated its activities with other known organizations, participates or promotes participation in a community's

Consolidated Planning process, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community.

In evaluating this factor, HUD will consider the extent to which the applicant demonstrates it has:

(1) (4 points) Coordinated its proposed activities with those of other groups or organizations prior to submission in order to best complement, support and coordinate all known activities, and if funded, the specific steps it will take to share information on solutions and outcomes with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

(2) (3 points) Taken or will take specific steps to become active in the community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address a need/problem that is related to the activities the applicant proposes.

(3) (3 points) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

(a) Other HUD-funded projects/ activities outside the scope of those covered by the Consolidated Plan; and

(b) Other Federal, State or locally funded activities, including those proposed or on-going in the community.

IV. Application Submission Requirements

Applicants must complete and submit applications for HBCU grants in accordance with instructions contained in the FY 1998 Historically Black Colleges and Universities Program Application Kit. The application kit will request information in sufficient detail for HUD to determine whether the proposed activities are feasible and meet all the requirements of applicable statutes, regulations, and this SuperNOFA for the HBCU Program. Following is a list of items required for HBCU applications:

(A) Transmittal Letter

A transmittal letter shall accompany the application. This cover letter shall be signed by the *Chief Executive Officer* (usually the President or Provost) of the applicant institution. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign, but a copy of the delegation must also be included.

(B) Application Checklist

(C) Abstract

(D) Budget Documents

(E) Narrative Statement Responding to the Factors for Award

(F) Certifications

Certification forms signed by the Chief Executive Officer of the applicant institution.

Appendices are not permitted. General support letters and resumes shall not be submitted. Letters of commitment and other documentation shall be included with responses to the appropriate Factors for Award.

V. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

HBCU Program Appendix A

Historically Black Colleges and Universities

(Previously Funded By HUD During Fiscal Years 1991–1997)

Alabama

Alabama A&M University
Alabama State University
Oakwood College
Stillman College
Talladega College
Tuskegee University

Arkansas

Arkansas Baptist College
Philander Smith College
University of Arkansas at Pine Bluff

District of Columbia

Howard University
University of the District of Columbia

Florida

Florida A&M University

Georgia

Albany State University
Clark Atlanta University
Fort Valley State University
Morris Brown College
Spelman College

Kentucky

Kentucky State University

Louisiana

Grambling State University
Southern University
Southern University at Shreveport/Bossier City

Xavier University of New Orleans

Maryland

Bowie State University
Coppin State College
Morgan State University
Mississippi

Alcorn State University
Jackson State University
Mississippi Valley State University
Rust College
Tougaloo College

Missouri

Harris-Stowe State College
Lincoln University

North Carolina

Bennett College
Elizabeth City State University
Fayetteville State University
Johnson C. Smith University
North Carolina A&T State University
North Carolina Central University
St. Augustine's College
Shaw University
Winston-Salem State University

Ohio

Central State University

Oklahoma

Langston University

Pennsylvania

Lincoln University

South Carolina

Benedict College
Clafflin College
South Carolina State University
Voorhees College

Tennessee

Fisk University
Lemoyne-Owen College

Texas

Prairie View A&M University
Saint Phillip's College
Texas Southern University
Wiley College

Virginia

Hampton University
Norfolk State University
Saint Paul's College

HBCU Program Appendix B

Historically Black Colleges and Universities

(Previously Unfunded By HUD During Fiscal Years 1991–1996)

Alabama

Bishop State Community College
Concordia College
Fredd State Technical College
Lawson State Community College
Miles College
Selma University
J.F. Drake Technical College
Trenholm State Technical College

Arkansas

Shorter College

Delaware

Delaware State University

Florida

Bethune-Cookman College
Edward Waters College
Florida Memorial College

Georgia

Interdenominational Theological Center
Morehouse College
Morehouse School of Medicine
Paine College
Savannah State College

Louisiana

Dillard University

Southern University at
Maryland
University of Maryland Eastern Shore
Michigan
Lewis College of Business
Mississippi
Coahoma Community College
Hinds Community College
Mary Holmes College
North Carolina
Barber-Scotia College
Livingstone College
Ohio
Wilberforce University

Pennsylvania
Cheyney University of Pennsylvania
South Carolina
Allen University
Clinton Junior College
Denmark Technical College
Morris College
Tennessee
Knoxville College
Lane College
Meharry Medical College
Tennessee State University
Texas
Huston-Tillotson College
Jarvis Christian College

Paul Quinn College
Southwestern Christian College
Texas College
Virginia
Virginia State University
Virginia Union University
West Virginia
Bluefield State College
West Virginia State University
U.S. Virgin Islands
University of the Virgin Islands

BILLING CODE 4210-32-P

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**FAIR HOUSING INITIATIVES AND
ASSISTED HOUSING COUNSELING
PROGRAMS**

Education and Outreach Initiative (EOI)

Private Enforcement Initiative (PEI)

Fair Housing Organizations Initiative (FHOI)

Housing Counseling Program

- Local Housing Counseling Agencies
- National, Regional and Multi-State Intermediaries
- State Housing Finance Agencies

Funding Availability for the Fair Housing Initiatives Program

Program Description: Approximately \$11,500,000 of funding is available for the Fair Housing Initiatives Program (FHIP) from the \$15,000,000 appropriation. The availability of the remaining \$3.5 million will be announced under a separate NOFA. This program assists projects and activities designed to enforce and enhance compliance with the Fair Housing Act and substantially equivalent State and local fair housing laws. Under this competition, HUD will fund projects undertaken through the Private Enforcement Initiative (PEI), Education and Outreach Initiative (EOI), and Fair Housing Organizations Initiative (FHOI).

Application Due Date: Completed applications for all Initiatives/Components are due no later than 12:00 midnight, Eastern time on June 1, 1998 at HUD Headquarters. See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Address for Submitting Applications: Completed applications (one original and two copies) should be submitted to: FHIP/FHAP Support Division, Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Room 5234, Washington, DC 20410. When submitting your application, please refer to FHIP and provide your name, mailing address (including zip code) and telephone number (including area code).

For Application Kits, Further Information, and Technical Assistance:

For Application Kits. For an application kit and supplemental information please call the HUD SuperNOFA Information Clearinghouse at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY at 1-800-483-2209. The application kit also will be available on the Internet at: <http://www.HUD.gov>. When requesting an application kit, please refer to FHIP, and provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. For answers to your questions, you have several options. You may contact Ivy L. Davis, Director, FHIP/FHAP Support Division at 202-708-0800 (this is not a toll-free number), or persons who use a text telephone (TTY) may call 1-800-290-1617. You may also call the SuperNOFA

Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209.

Additional Information

I. Authority; Purpose; Amount Allocated; Ineligible Activities; and Eligibility

(A) Authority

Section 561 of the Housing and Community Development Act of 1987 (42 U.S.C. 3616 note, established the Fair Housing Initiatives Program (FHIP)) and the implementing regulations are found at 24 CFR part 125.

(B) Purpose

The purpose of the FHIP is to assist projects and activities designed to enforce and enhance compliance with the Fair Housing Act and substantially equivalent State and local fair housing laws. Eligible applicants may apply to carry out private enforcement activities, educational activities and projects that establish or build the capacity of organizations to provide fair housing services.

(1) In September 1997, HUD announced a "crackdown on housing discrimination" and pledged to double its enforcement actions. The projects funded under this NOFA are expected to contribute to the accomplishment of this goal and applications will be evaluated based upon their responsiveness to this objective in Rating Factor 3.

(2) As immigrants settle in the U.S., there is a concern that they may encounter actual or perceived discriminatory housing practices. As such, it is critical that fair housing efforts be directed to educating these individuals about their fair housing rights as well as ensuring that enforcement mechanisms address the specific type of discrimination they, in particular, encounter. Therefore, activities under this NOFA should be particularly focused on addressing both the fair housing educational and enforcement needs of these new immigrant groups, as well as other underserved populations. Applicants will be evaluated on this objective in Rating Factor 2.

(3) Although almost ten years have passed since the enactment of the Fair Housing Act amendments affecting persons with disabilities, it appears that in many areas of the country, much of the covered housing still fails to comply with the Fair Housing Act requirements and persons with disabilities are still often discriminated against and are refused reasonable accommodations.

HUD recognizes the critical role that disability advocacy groups have in addressing the unique needs of persons with disabilities. For this funding round, under the Fair Housing Organizations Initiative (FHOI)—Continued Development Component (CDC), applications must include the participation of disability advocacy organizations.

(C) Amount Allocated

Of the funds appropriated for the Fair Housing Initiatives Program in FY 1998, approximately \$11,500,000 is being made available on a competitive basis to eligible organizations that submit timely applications and are selected in response to this SuperNOFA.

HUD retains the right to shift funds among the FHIP Initiatives and Components listed below, within statutorily prescribed limitations. The amounts included in this SuperNOFA are subject to change based on funds availability. The amount of FY 1998 funding available for the FHIP is divided among three Initiatives as follows:

(1) *Education and Outreach Initiative (EOI).* This SuperNOFA makes available \$1,000,000 for EOI projects under the Regional, local, and community-based component. Under this component, 18-month projects, with an award cap of \$100,000, will be funded that support regional, local and community-based education and outreach efforts. An additional \$3,500,000 will be made available for projects which are national in scope through a separate NOFA.

(2) *Private Enforcement Initiative (PEI).* The amount of \$9,300,000 is being used for the PEI for the following components:

(a) *General Component.* Of the \$9,300,000, \$7,800,000 is available for 24-month projects, with an award cap of \$350,000. Recipients of FHIP PEI grants awarded based upon applications submitted under the FY 1997 NOFA—RFA-97-1, FY 1996 FHIP NOFA—RFA-96-1, and the FY 1995 FHIP NOFA—RFA-95-1, are ineligible to apply under the FY 1998 competition for multi-year PEI—General Component awards unless their above-referenced PEI award will expire by 3/31/99. Regardless of when their awards expire, those recipients are eligible to apply for PEI—Joint Enforcement Project Component awards, as well as FHOI and EOI awards.

(b) *Joint Enforcement Project component.* Of the \$9,300,000, \$1,500,000 is available for 18-month projects, with an award cap of \$300,000, that promote partnerships between private fair housing enforcement

organizations, FHAP agencies and/or traditional civil rights organizations to focus on systemic investigations of housing discrimination.

(3) *Fair Housing Organizations Initiative (FHOI)*. The amount of \$1,200,000 is available for the FHOI for single and multi-year projects, to be used for the establishment of a new fair housing enforcement organization and for supporting the fair housing enforcement capacity development of eligible organizations to address the fair housing needs of persons with disabilities, under the following two components.

(a) *Establishing New Organizations Component (ENOC)*. Of the FHOI total of \$1,200,000, \$400,000 is available for a 24–36 month project to fund the creation of a new fair housing enforcement organization in an underserved area, with an award cap of \$400,000.

(b) *Continued Development Component (CDC)*. HUD is reserving \$800,000 of the \$1,200,000 under the FHOI for 18-month projects, with an award cap of \$200,000, to utilize the capacity of organizations to assist persons with disabilities in developing fair housing enforcement programs to address this protected class.

(D) Definitions

The definitions that apply to this FHIP section of the SuperNOFA are as follows:

Fair Housing Assistance Program Agencies means State and local agencies funded by the Fair Housing Assistance Program (FHAP), as described in 24 CFR part 115.

Fair Housing Enforcement Organization (FHO) means an organization engaged in fair housing activities as defined in 24 CFR 125.103.

Meritorious Claims means enforcement activities by an organization as defined in 24 CFR 125.103.

Qualified Fair Housing Enforcement Organization (QFHO) means an organization engaged in fair housing activities as defined in 24 CFR 125.103.

Regional/Local/Community-Based Activities are defined at 24 CFR 125.301(d).

(E) Ineligible Activities/Applications for All Components

(1) *Fair Housing and Free Speech*. None of the amounts made available under this NOFA may be used to investigate or prosecute under the Fair Housing Act any otherwise lawful activity engaged in by one or more persons, including the filing or maintaining of a nonfrivolous legal

action, that is engaged in solely for the purpose of achieving or preventing action by a government official or entity, or a court of competent jurisdiction.

(2) *Research Activities*. Projects to be aimed solely or primarily at research or dependent upon such data-gathering, including but not limited to surveys and questionnaires, are not eligible for funding under this NOFA.

(3) *Award Caps*. In order to maximize the number of grants awarded and to allow HUD to fairly assess the quality of an applicant's proposed program, applications that request FHIP funding in excess of the award cap will be deemed ineligible.

(4) *Litigation*. In accordance with 24 CFR 125.104(f), no recipient of assistance under the FHIP may use any funds provided by HUD for the payment of expenses in connection with litigation against the United States.

(F) Eligibility for Education and Outreach Initiative—Regional/Local/Community-Based Component

(1) *Eligible Applicants*. HUD particularly encourages the submission of applications from traditional civil rights organizations, which are defined as private non-profit organizations or institutions and/or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices and which have a history and primary mission of engaging in programs designed to secure Federal civil rights protections for groups and individuals. The following organizations are eligible to receive funding under the EOI—Regional/Local/Community-Based Component: QFHOs; FHOs; public or private non-profit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices; State or local governments; and FHAP Agencies.

(2) *Eligible Activities*. All projects funded under this competition must be focused on addressing the fair housing needs of underserved populations and/or new immigrant populations in geographic areas to be specified in the grant application. EOI activities must be designed to increase the referral of fair housing complaints and other information to HUD and to educate the public about their fair housing rights and the procedures for filing complaints with HUD. The application must outline the referral process and projected referrals to HUD expected in the proposed Statement of Work. The final performance measures for deliverables will be negotiated between the grantee and HUD as part of the executed grant

agreement and will be based upon the applicant's proposal.

Activities may include holding educational forums, duplication of existing fair housing materials for distribution throughout the project area, providing fair housing counseling services, conducting outreach and providing information on fair housing through printed and electronic media, developing or implementing Fair Housing Month activities, and informing persons with disabilities and/or their support organizations and service providers, housing providers, and the general public on the rights of persons with disabilities under the Fair Housing Act. Activities may not include the development of new fair housing materials except as a supplement to existing materials, but instead must use existing approved materials available locally or through the Fair Housing Information Clearinghouse.

(3) *Additional Requirements*. The following requirements are applicable to all applications under the EOI:

(a) All projects must address or have relevance to housing discrimination based on race, color, religion, sex, disability, familial status, or national origin.

(b) All proposals must contain a description of how the activities or the final products of the projects can be used by other agencies and organizations and what modifications, if any, would be necessary for that purpose.

(c) Each non-governmental applicant for funding under the EOI Regional, Local and Community-Based Component that is located within the jurisdiction of a FHAP agency must provide, with its application, documentation (such as letters between the two organizations) that it has consulted with the agency or agencies to coordinate activities to be funded under the EOI. This coordination will minimize duplication and fragmentation of activities.

(G) Eligibility for Private Enforcement Initiative (PEI)

(1) *Eligible applicants*.

(a) Organizations that are eligible to receive FY 1998 funding assistance under the PEI are QFHOs and FHOs with at least one year of experience in complaint intake, complaint investigation, testing for fair housing violations, and enforcement of meritorious claims.

(b) Current recipients of FHIP PEI grants awarded based upon applications submitted under the FY 97, FY 96 and FY 95 NOFAs that will not expire by March 31, 1999 are ineligible to apply

for multi-year PEI—General Component awards. However they are eligible to apply for PEI—Joint Enforcement Project Component awards, as well as FHOI and EOI awards.

(2) *Eligible Activities.*

(a) *General Component projects.*

Project applications must include more than one type of activity and address more than one fair housing issue. All projects must include a description of and the estimated amount of projected enforcement referrals to HUD. Eligible activities may include, but are not limited to, the following:

- (i) Conducting complaint intake of allegations of housing discrimination;
- (ii) Conducting testing, evaluating testing results or providing other investigative support for administrative and judicial enforcement of fair housing laws;
- (iii) Conducting preliminary investigations of individual and systemic housing discrimination for further enforcement processing by HUD;
- (iv) Building the capacity to investigate, through testing and other investigative methods, housing discrimination complaints covering all protected classes;
- (v) Conducting mediations or other voluntary resolutions of allegations of fair housing discrimination;
- (vi) Providing funds for the costs and expenses of litigating fair housing cases, including expert witness fees.

(b) *Joint Enforcement Project (JEP) Component Projects.* The objective of the FHIP JEP project is that partnerships between private fair housing enforcement organizations, FHAP agencies and/or traditional civil rights organizations will focus on systemic investigations of housing discrimination. Grantee activities will result in either complaints being filed with HUD or in information being provided to HUD sufficient for the filing of Secretary-Initiated Complaints. Funding under this component is for investigative/enforcement activities producing outcomes/deliverables that are provided to HUD for determination of appropriate actions/use of data. These deliverables must meet or exceed the annual performance measures outlined in the application and agreed to in the executed grant agreement. It is anticipated that the majority of the project activities would be related to cases involving allegations of systemic discrimination as defined in 24 CFR 103.205.

Through frequent and regular contact with HUD, applicants will carry out activities to be performed in conjunction with a FHAP agency/agencies, private fair housing

enforcement organization(s), and/or traditional civil rights organization(s), in order to achieve the objective outlined above. Project proposals must contain a strategy for achieving project deliverables, with related timelines and annual milestones. The activities to be performed to achieve project deliverables must include, but are not limited to:

- (i) Sharing of data analyses for use in developing the investigations;
- (ii) Conducting joint preliminary investigative activities through testing, review of property records, development of strategies, interviews, etc.;
- (iii) Development of investigative materials for referral to HUD for action;
- (iv) Regular meetings among organizations and with HUD to share information about potential violations for investigation based upon complaints, data, or other sources; and
- (v) Regular contact with HUD to ensure project activities conform with planned deliverables and that deliverables meet grant agreement requirements.

All PEI—JEP applications must be submitted by a QFHO/FHO as the sole recipient, but must contain detailed letter(s) of commitment from all FHAP agencies and traditional civil rights organizations identified as part of the JEP. The project budget should include any costs related to subcontract(s) with FHAP agencies and traditional civil rights organizations which account for activities related to the subcontractor's role in the project. A separate detailed budget for each subcontract should be included in the application.

(3) *Other Provisions.*

(a) Successful multi-year PEI projects will receive incremental funding during the life of the award subject to periodic performance reviews. Applications that request FHIP funding in excess of the award cap will be deemed ineligible.

(b) Neither the grantee nor any subcontractors are permitted to charge or claim credit for any activities performed under the JEP grant toward any other Federal project/funds. For example, FHAP agencies will not be able to count any cases/referrals arising under this project toward their FHAP case processing calculations.

(c) All applicants proposing to conduct testing must include as initial tasks in their Statement of Work that they will provide to HUD for review and approval the testing methodology to be used and the training to be provided to testers. These tasks, as well as any others identified during grant negotiations, must be completed and

accepted by HUD prior to HUD's disbursement of FHIP funds.

(H) *Eligibility for the Fair Housing Organizations Initiative (FHOI)*

(1) *Eligible Applicants.* (a) *Establishing New Organizations Component (ENOC).* Eligible applicants for funding under this component of the FHOI are limited to QFHOs.

(b) *Continued Development Component (CDC).* The following organizations are eligible to receive funding under the FHOI—CDC: QFHOs; FHOs; and non-profit groups organizing to build their capacity to provide fair housing enforcement.

(2) *Eligible activities.* (a) *Establishing New Organizations Component.* Eligible for funding under this purpose of the FHOI are 24–36 month projects that help establish, organize and build the capacity of a fair housing enforcement organizations in underserved areas. "Underserved areas" is defined as areas which are currently underserved or not served by one or more fair housing enforcement organizations as well as those areas where large concentrations of protected classes exist. Applicants must provide a justification for the selection of the geographic jurisdiction to be served by the proposed new organization and describe how the jurisdiction is underserved by any existing public or private fair housing organizations, including FHAP agencies. Applications must propose the establishment of a new fair housing enforcement organization in an underserved area. Applicants must provide a justification for the selection of the geographic jurisdiction to be served by the proposed new organization and how the jurisdiction is underserved by any existing public or private fair housing organizations, including FHAP agencies. This justification must include data and studies that indicate the presence of housing discrimination, segregation, and new immigrant groups, and/or other indices of discrimination in the locality based upon race, color, religion, sex, national origin, familial status, or disability. Project applications must include more than one type of activity and address more than one fair housing issue. Additionally, all projects must include a basis for the specific activities relating to referral of enforcement proposals to HUD.

(b) *Continued Development Component.* (i) Applications in this category are for 18-month projects that propose to expand eligible applicants' capacity to provide fair housing enforcement services that address the needs of persons with disabilities.