



# Federal Register

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## **Part II**

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

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

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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

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

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

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

#### Overview Information

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

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

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

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

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

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

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

#### Full Text of Announcement

##### I. Funding Opportunity Description

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

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

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

##### II. Award Information

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

##### III. Eligibility Information

###### A. Eligible Applicants

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

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

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

requirements related to each program, if any.

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

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

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

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

###### 2. Threshold Requirements

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

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

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

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

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

(2) If you, the applicant:

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

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

Justice alleging an ongoing pattern or practice of discrimination; or

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

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

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

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

(iii) A consent order or consent decree; or

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

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

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

*e. Delinquent Federal Debts.*

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

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

*g. Name Check Review.*

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

payment or financial reporting requirements.

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

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

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

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

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

### 3. Other Threshold Requirements

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

### 4. Additional Nondiscrimination and Other Requirements

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

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

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

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

(2) Remedy discrimination in housing; or

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

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

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

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

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

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

f. *Executive Order 13166, "Improving Access to Services for Persons With Limited English Proficiency (LEP)."* Executive Order 13166 seeks to improve access to federally assisted services, programs, and benefits for individuals with limited English proficiency.

Applicants obtaining an award from HUD must seek to provide access to program benefits and information to LEP individuals through translation and interpretive services in accordance with LEP guidance published on December 19, 2003 (68 FR 70968). For assistance and information regarding your LEP obligation, go to <http://www.lep.gov>.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### IV. Application and Submission Information

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

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

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

#### 1. Application Kits

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

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

#### 2. Guidebook and Further Information

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

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

#### 3. For Technical Assistance

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

#### 4. SuperNOFA Webcasts

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

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

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

#### 1. Forms

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

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

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

#### 2. Certifications and Assurances

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

- a. The governing body of the applicant's organization has duly authorized the application for federal assistance. In addition, by signing or electronically submitting the application, the Authorized Organization Representative (AOR) certifies that the applicant:

- (1) Has the legal authority to apply for federal assistance and the institutional, managerial, and financial capacity (including funds to pay for any non-federal share of program costs) to plan, manage, and complete the program as described in the application; will provide HUD any additional information it may require; and



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

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

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

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

#### C. Submission Dates and Times

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

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

#### D. Intergovernmental Review

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

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

#### E. Funding Restrictions

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

#### F. Other Submission Requirements

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

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

regulatory barriers to affordable housing:

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

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

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

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

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

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

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

#### 4. Waiver of Electronic Submission Requirement

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 6. Continuum of Care Application Submission

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

### V. Application Review Information

#### A. Criteria

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

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

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

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

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

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

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

Factor 2: Need/Extent of the Problem.

Factor 3: Soundness of Approach.

Factor 4: Leveraging Resources.

Factor 5: Achieving Results and Program Evaluation.

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

## B. Reviews and Selection Process

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

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

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

- (1) Expand national homeownership opportunities.
- (2) Increase minority homeownership.
- (3) Make the home-buying process less complicated and less expensive.
- (4) Fight practices that permit predatory lending.

(5) Help HUD-assisted renters become homeowners.

(6) Keep existing homeowners from losing their homes.

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

- (1) Expand access to affordable rental housing.

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

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

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

#### c. *Strengthen Communities.*

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

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

(3) End chronic homelessness.

(4) Mitigate housing conditions that threaten health.

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

(1) Resolve discrimination complaints on a timely basis.

(2) Promote public awareness of fair housing laws.

(3) Improve housing accessibility for persons with disabilities.

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

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

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

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

(4) Ensure program compliance.

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

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

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

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

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

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

## 2. Policy Priorities

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

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

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

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

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

(1) Bring private capital into distressed communities;

(a) Finance business investments to grow new businesses;

(b) Maintain and expand existing businesses;

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

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

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

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

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

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

(3) Make communities more livable by:

(a) Providing public and social services; and

(b) Improving infrastructure and community facilities.

Activities support strategic goals b, c, and d.

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

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

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

Activities support strategic goals b, c, and d.

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

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

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

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

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

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

(2) *Definitions of Grassroots Organizations.*

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

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

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

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

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

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

Activities support strategic goal f.

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

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

Activities support strategic goals c and d.

*f. Ending Chronic Homelessness.*

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

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

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

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

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

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

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

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

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

Activities support strategic goals b and c.

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

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

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

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

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

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

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

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

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

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

Activities support strategic goals a and b.

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

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

Activities support Strategic Goals 1 and 2.

### 3. Threshold Compliance

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

### 4. Corrections to Deficient Applications

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

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



## 5. Rating Panels

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

## 6. Rating

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

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

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

## 7. Ranking

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

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

## C. Anticipated Announcement and Award Dates

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

## VI. Award Administration Information

### A. Award Notices

#### 1. Negotiation

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

#### 2. Adjustments to Funding

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

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

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

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

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

#### 3. Funding Errors

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

## 4. Performance and Compliance Actions of Funding Recipients

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

## 5. Debriefing

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

## B. Administrative and National Policy Requirements

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

## C. Reporting

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

## VII. Agency Contact(s)

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

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

### VIII. Other Information

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

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

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

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

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

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

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

#### *C. Paperwork Reduction Act Statement*

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

#### *D. Environmental Impact*

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

#### *E. Executive Orders and Congressional Intent*

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

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

##### 2. Sense of Congress

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

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

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

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

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

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

## 2. Form HUD-2880

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

## 3. Publication of Recipients of HUD Funding

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

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

## G. Section 103 of the HUD Reform Act

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

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

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

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

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

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

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

Dated: March 4, 2005.

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

**BILLING CODE 4210-32-P**

### Appendix A

#### HUD 2005 SuperNOFA Funding Chart

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

## Appendix A

### HUD 2005 SuperNOFA Funding Chart

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

## Appendix A

### HUD 2005 SuperNOFA Funding Chart

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

## Appendix A

### HUD 2005 SuperNOFA Funding Chart

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



## Appendix A

### HUD 2005 SuperNOFA Funding Chart

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

## Appendix A

### HUD 2005 SuperNOFA Funding Chart

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

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## **Appendix B**

### **Standard Forms**

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

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

## INSTRUCTIONS FOR THE SF-424

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

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

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

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District </div> <div style="width: 45%;"> I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization </div> </div>	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: <ul style="list-style-type: none"> <li>"New" means a new assistance award.</li> <li>"Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>"Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter:  <div style="display: flex; justify-content: space-between;"> A. Increase Award C. Increase Duration </div> </li> </ul>	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

Version 7/03

**APPLICATION FOR  
FEDERAL ASSISTANCE**

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

Previous Edition Usable  
Authorized for Local ReproductionStandard Form 424 (Rev.9-2003)  
Prescribed by OMB Circular A-102

# SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

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

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

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

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

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

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

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

3. What is the size of the applicant's annual budget?  
(Check only one box.)

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

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

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

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

### **Paperwork Burden Statement**

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

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



# **Grant Applications Detailed Budget**

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

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

Name of Project/Activity:	Functional Categories									Column 9 Total
	Column 1 HUD Share	Column 2 Applicant Match	Column 3 Other HUD Funds	Column 4 Other Fed Share	Column 5 State Share	Column 6 Local/Tribal Share	Column 7 Other	Column 8 Program Income		
a. Personnel (Direct Labor)	\$	\$	\$	\$	\$	\$	\$	\$	\$	0.00
b. Fringe Benefits										0.00
c. Travel										0.00
d. Equipment (only items > \$5,000 depreciated value)										0.00
e. Supplies (only items < \$5,000 depreciated Value)										0.00
f. Contractual										0.00
g. Construction										0.00
1. Administration and legal expenses										0.00
2. Land, structures, rights-of way, appraisals, etc.										0.00
3. Relocation expenses and payments										0.00
4. Architectural and engineering fees										0.00
5. Other architectural and engineering fees										0.00
6. Project inspection fees										0.00
7. Site work										0.00
8. Demolition and removal										0.00
9. Construction										0.00
10. Equipment										0.00
11. Contingencies										0.00
12. Miscellaneous										0.00
h. Other (Direct Costs)										0.00
i. Subtotal of Direct Costs										0.00
j. Indirect Costs (% Approved Indirect Cost Rate: 3%)										
<b>Grand Total (Year: 2004):</b>										0.00
<b>Grand Total (All Years):</b>										0.00

U.S. Department of Housing  
and Urban DevelopmentInstructions for the HUD Grant  
Application Detailed Budget Form

Public reporting burden for this collection of information is estimated to average 3 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

**General Instructions**

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

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

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

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

**Budget Categories**

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

Lines a-4--Show the totals of Lines a to f in each column.

Lines g--Show construction related expenses in the appropriate categories below.

Line g.1.--Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government.

Line g.2.--Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line g.3.--Enter estimated costs related to relocation advisory assistance,

replacement housing, relocation payments to displaced persons and businesses, etc.

Line g.4.--Enter estimated basic engineering fees related to construction

(this includes start-up services and preparation of project performance work plan).

Line g.5.--Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line g.6.--Enter estimated engineering inspection costs.

Line g.7.--Enter the estimated site preparation and restoration which are not

included in the basic construction contract.

Line g.8.--Enter the estimated costs related to demolition activities.

Line g.9.--Enter estimated costs of the construction contract.

Line g.10.--Enter estimated cost of office, shop, laboratory, safety equipment,

etc. to be used at the facility, if such costs are not included in the construction contract.

Line g.11.--Enter any estimated contingency costs.

Line g.12.--Enter estimated miscellaneous costs.

Line h.--Enter any other direct costs not already addressed above.

Line i.--Calculate the totals of all applicable columns to determine the Subtotal of

Direct Costs.

Line j.--Indicate the approved Indirect Cost Rate (if any) and calculate the indirect cost in accordance with the terms of your approved indirect cost rate and enter the resulting amount.

**Grand Total (Year: )**--Enter the sum of lines i. and j. under column 9 for each year, and enter the applicable year, in the blank, for each sheet completed.

**Grand Total (All Years)**--Enter the sum of all the "Grand Total (Year: )" amounts from each sheet completed, under column 9, for all proposed years.

For each budget category (personnel, fringe benefits, travel, etc) you should identify the amount of funding you plan on using in your grant program. You should complete each column as follows:

**Column 1** - Identify the amount of funds that you will need from the HUD grant program for which you are seeking funding.

**Column 2** - Identify any matching funds that you are required to include in your proposed program in order to be eligible for assistance.

**Column 3** - Identify any other HUD funds that you will be adding to this program either through your formula or competitive grant programs.

**Column 4** - Identify any other Federal funds that you will be adding to this program either through your formula or competitive grant programs.

**Column 5** - Identify any State funds that you will be adding to this program.

**Column 6** - Identify any Local or Tribal Government funds that you will be adding to this program.

**Column 7** - Identify any additional funds not previously identified in Columns 1 - 6, that you intend to use for your proposed program.

**Column 8** - Identify any program income that you expect to generate under this program.

**Column 9** - Add columns 1 - 8 across and place the total in Column 9.



## Grant Application Detailed Budget Worksheet

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

form HUD-424-CBW (2/2003)

# Grant Application Detailed Budget Worksheet

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

form HUD-424-CBW (2/2003)

## Grant Application Detailed Budget Worksheet

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

form HUD-424-CBW (2/2003)

## Grant Application Detailed Budget Worksheet

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

form HUD-424-CBW (2/2003)





OMB Approval No. 2501-0017

(Exp. 03/31/2005)

**Grant Application Detailed Budget Worksheet**

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

form HUD-424-CBW (2/2003)

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

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

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

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

**DISCLOSURE OF LOBBYING ACTIVITIES**

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

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

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

**Applicant/Recipient  
Disclosure/Update Report****U.S. Department of Housing  
and Urban Development**

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

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)**Applicant/Recipient Information**Indicate whether this is an Initial Report ☐ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code):	2. Social Security Number or Employer ID Number:
3. HUD Program Name	4. Amount of HUD Assistance Requested/Received
5. State the name and location (street address, City and State) of the project or activity:	

**Part I Threshold Determinations**

- |   |  |
|---|--|
| 1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).<br><input type="checkbox"/> Yes <input type="checkbox"/> No | 2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9<br><input type="checkbox"/> Yes <input type="checkbox"/> No. |
|---|--|

If you answered "No" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form.  
**However,** you must sign the certification at the end of the report.

**Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.**

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use Additional pages if necessary.)

**Part III Interested Parties.** You must disclose:

- All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

(Note: Use Additional pages if necessary.)

**Certification**

**Warning:** If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature:  X	Date: (mm/dd/yyyy)
---------------------	--------------------

**Public reporting burden** for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

**Privacy Act Statement.** Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

**Note:** This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

## Instructions

### Overview.

#### A. Coverage. You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity and you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the fiscal year;
- (2) You are updating a prior report as discussed below; or
- (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

#### B. Update reports (filed by "Recipients" of HUD Assistance):

**General.** All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

### Line-by-Line Instructions.

#### Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

#### Part I. Threshold Determinations - Applicants Only

Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

If the answer to **either** questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

#### Part II. Other Government Assistance and Expected Sources and Uses of Funds.

**A. Other Government Assistance.** This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

**B. Non-Government Assistance.** Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** - that have been or are to be, made available for the project or activity. Non-government sources of

funds typically include (but are not limited to) foundations and private contributors.

### Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

**Note:** A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

**Note** that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need

not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

#### Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

**Certification of  
Consistency with  
the RC/EZ/EC-IIs  
Strategic Plan****U.S. Department of Housing  
and Urban Development**

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

(Type or clearly print the following information)

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

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

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

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

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

Title \_\_\_\_\_

Signature \_\_\_\_\_

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

**Certification of Consistency  
with the Consolidated Plan****U.S. Department of Housing  
and Urban Development**

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

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

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

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

\_\_\_\_\_  
\_\_\_\_\_Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_Name of  
Certifying Jurisdiction: \_\_\_\_\_Certifying Official  
of the Jurisdiction  
Name: \_\_\_\_\_

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

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

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



**Acknowledgment of  
Application Receipt****U.S. Department of Housing  
and Urban Development**

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

(fold line)

Type or clearly print the following information:

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

**To Be Completed by HUD**

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

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

- ☐ Enclosed
- ☐ Being sent under separate cover

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

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

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

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

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

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

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

is: (please check one)

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

(c) other (please specify)

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

is: (please check one)

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

(c) other comments (please specify)

**Name & Organization** (Optional): \_\_\_\_\_

Are additional pages attached? ☐ Yes ☐ No

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

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

Program Name:				Component Name:					
Strategic Goals	Policy Priorities	Problem, Need, Situation	Service or Activity	Benchmarks		Outcomes		Measurement Reporting Tools	Evaluation Process
				Output Goal	Output Result	Achievement Outcome Goals	End Results		
1		2	3	4	5	6	7	8	9
Policy				Intervention		Impact		Accountability	
				Short Term					a. b. c. d. e.
				Intermediate Term					a. b. c. d. e.
				Long Term					a. b. c. d. e.

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

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

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

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

**Instructions:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Race and Ethnic Data  
Reporting Form****U.S. Department of Housing  
and Urban Development**  
Office of AdministrationOMB Approval No. 2535-0113  
(exp. 10/31/2006)

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

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

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

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

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

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

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

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**A. General Instructions:**

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

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

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

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

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

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

**American Indian or Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

**Asian.** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**Black or African American.** A person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black" or "African American."

**Native Hawaiian or Other Pacific Islander.** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

**White.** A person having origins in any of the original peoples of Europe, the Middle East or North Africa.

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

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

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

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



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

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

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

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

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

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

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

<b>America's Affordable Communities Initiative</b>	<b>U.S. Department of Housing and Urban Development</b>	OMB approval no. 2510-0013 (exp. 03/31/2007)
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Public reporting burden for this collection of information is estimated to average 3 hours. This includes the time for collecting, reviewing, and reporting the data. The information will be used to encourage applicants to pursue and promote efforts to remove regulatory barriers to affordable housing. Response to this request for information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

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

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

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

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

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

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

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

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

**Third Party Documentation  
Facsimile Transmittal**

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

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

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

This form is used for third party applicants as required for applications submissions and other materials that are not normally available as electronic files, e.g. leverage letters, documentation from books, reports or other such items. This information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

### Instructions

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

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

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



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

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

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

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

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

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

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

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	<p><b>5. <u>Resident Opportunities and Self Sufficiency (ROSS):</u></b></p> <ul style="list-style-type: none"> <li>a. Resident Service Delivery Models-Elderly/Disabled (RSDM):</li> <li>b. Service Delivery Models-Family:</li> <li>c. Homeownership Supportive Services:</li> </ul> <p>All applicants submit an original and one copy to the GMC.</p> <p>HUD Grants Management Center (GMC)  Mail Stop: [Insert name of funding category]  501 School Street, SW, 8th floor  Washington, DC 20024</p> <p>Additionally, Tribes and TDHEs submit one hard copy to the Denver Program Office of Native American Programs.</p> <p>U.S. Department of HUD,  Denver Program Office of Native American Programs (DPONAP)  1670 Broadway, 23<sup>rd</sup> floor  Denver, CO, 80202-4801</p> <p>All other applicants submit one copy to your local HUD field office (PIH).</p>	Original and 2 copies
<p><b>Joseph F. Smith</b>  Deputy Director, Office of Healthy Homes and Lead Hazard Control (OHHLHC)</p> <p><u>Send requests for waivers to the following address:</u></p> <p>Department of Housing and Urban Development  Attn: Joseph F. Smith, Deputy Director for the Office of Healthy Homes and Lead Hazard Control (OHHLHC)  451 Seventh St, SW, Room P3206  Washington, DC 20410  Telephone (202) 708-0310</p>	<p><b>1. <u>Healthy Homes Technical Studies Program:</u></b></p> <p>Department of Housing and Urban Development  Office of Healthy Homes and Lead Hazard Control  Attn: Healthy Homes Tech Studies Program  451 Seventh St, SW, Room P3206  Washington, DC 20410</p> <p><b>2. <u>Healthy Homes Demonstration Program:</u></b></p> <p>Department of Housing and Urban Development  Office of Healthy Homes and Lead Hazard Control  Attn: Healthy Homes Tech Studies Program  451 Seventh St, SW, Room P3206  Washington, DC 20410</p>	<p>Original and 3 copies</p> <p>Original and 3 copies</p>

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	<b>3. <u>Lead Based Paint Hazard Control Grant Program:</u></b> Department of Housing and Urban Development Office of Healthy Homes and Lead Hazard Control Attn: Healthy Homes Tech Studies Program 451 Seventh St, SW, Room P3206 Washington, DC 20410	Original and 3 copies
	<b>4. <u>Lead Hazard Reduction Demonstration Grant Program:</u></b> Department of Housing and Urban Development Office of Healthy Homes and Lead Hazard Control Attn: Healthy Homes Tech Studies Program 451 Seventh St, SW, Room P3206 Washington, DC 20410	Original and 3 copies
	<b>5. <u>Lead Outreach Program:</u></b> Department of Housing and Urban Development Office of Healthy Homes and Lead Hazard Control Attn: Healthy Homes Tech Studies Program 451 Seventh St, SW, Room P3206 Washington, DC 20410	Original and 3 copies
	<b>6. <u>Lead Tech Studies Program:</u></b> Department of Housing and Urban Development Office of Healthy Homes and Lead Hazard Control Attn: Healthy Homes Tech Studies Program 451 Seventh St, SW, Room P3206 Washington, DC 20410	Original and 3 copies
	<b>7. <u>Operation Lead Elimination Action Program (LEAP):</u></b> Department of Housing and Urban Development Office of Healthy Homes and Lead Hazard Control Attn: Healthy Homes Tech Studies Program 451 Seventh St, SW, Room P3206 Washington, DC 20410	Original and 3 copies