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Part II

Department of Housing and Urban Development

**Super Notice of Funding Availability
(SuperNOFA) for HUD's Discretionary
Programs for Fiscal Year 2003; Notice**

**DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

[Docket No. FR-4800-N-01]

**Super Notice of Funding Availability
(SuperNOFA) for HUD's Discretionary
Programs for Fiscal Year 2003**

AGENCY: Office of the Secretary, HUD.

ACTION: Super Notice of Funding Availability (SuperNOFA) for HUD Discretionary Programs.

SUMMARY: This Fiscal Year (FY) 2003 SuperNOFA announces the availability of approximately \$2.3 billion in HUD program funds covering 43 funding opportunities within programs operated and administered by HUD offices. This General Section of the SuperNOFA provides the application procedures and requirements that are applicable to all the programs in this SuperNOFA unless otherwise stated in the Program NOFA. The Program Section of this SuperNOFA provides a description of the specific programs for which funding is made available and describes any additional procedures and requirements that are applicable to a specific program. Please be sure you read both the General Section and the Program Section(s) of this SuperNOFA to ensure you respond to all the requirements for all programs you will be seeking funding.

APPLICATION DUE DATES: The information in this **APPLICATION DUE DATES** section applies to all programs that are part of this SuperNOFA. You, the applicant, must submit a completed application to HUD on or before the respective program's application due date. Application due dates can be found in the HUD FY 2003 SuperNOFA Funding Chart located in this General Section. Information for each program is reiterated in the appropriate Program Section of this SuperNOFA.

ADDRESSES AND APPLICATION SUBMISSION PROCEDURES:

Mailing and Receipt Procedures. The following procedures apply to the delivery and receipt of applications in HUD Headquarters, the Grants Management Center (GMC), and field offices. Please read the following instructions carefully and completely as failure to comply with these procedures may disqualify your application. HUD's delivery and receipt policies are:

- No hand deliveries will be accepted;
- HUD will not accept any applications sent by facsimile;
- Applications sent to the Robert C. Weaver HUD Headquarters Building or the Public and Indian Housing Grants Management Center (GMC) may be

shipped using DHL, Falcon Carrier, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS), as access by other delivery services is not guaranteed. HUD strongly suggests applicants use the delivery options listed above because no other delivery services are allowed unescorted entry to the HUD Headquarters Building and therefore deliveries by other services are often turned away;

- HUD strongly suggests applications submitted to HUD field offices be sent via USPS, as access by other delivery services is not guaranteed;

- *With the exception of the Rural Housing and Economic Development NOFA*, all mailed applications must be postmarked on or before midnight of their due date and received within fifteen (15) days of the due date.

- *Applications for the Rural Housing and Economic Development NOFA must be received by the deadline date.*

Application received after the deadline date will not be considered.

Proof of Timely submission. Except for the Rural Housing and Economic Development NOFA, proof of timely submission of an application in accordance with these requirements consists of the Certificate of Mailing (USPS Form 3817) provided by the United States Post Office showing timely mailing of the application on or before the application due date. In the case of packages submitted to HUD via DHL, Falcon Carrier, FedEx, or UPS, documentary proof of timely submission will be the delivery service receipt indicating the application was submitted to the delivery service on or before the application due date and, through no fault of the applicant, delivery was not in time to meet the filing deadline. Receipts from other than DHL, Falcon Carrier, FedEx, or UPS, delivery services will not be accepted, as HUD cannot guarantee delivery due to its Security procedures. Proof of timely submission to HUD field offices will be the Certificate of Mailing (USPS Form 3817).

Proof of receipt for the Rural and Economic Development NOFA is the date HUD receives the application.

Please remember that mail to federal facilities is screened prior to delivery, so please allow time for your package to be delivered. If an application does not meet the filing requirements it will not receive funding consideration. If you mail your application to the wrong location and the office designated for receipt in accordance with these submission requirements does not receive it, your application will be considered late and not be considered

for funding. HUD will not be responsible for directing it to the appropriate office.

Addresses. You, the applicant, must submit a complete application and the required number of copies to the locations identified in the Program Section of this SuperNOFA. When submitting your application, you must refer to the name of the program for which you are seeking funding and include the correct room number to ensure that your application is properly directed. Addresses for HUD Headquarters and the Public and Indian Housing Grants Management Center (GMC) are in the HUD 2003 SuperNOFA Funding Chart. Addresses for field offices are listed in Appendix A-3 of the General Section of this SuperNOFA. *For applications directed to the Office of Native American Programs Field Offices, please be sure to use the addresses provided in Appendix A-2, Office of Native American Programs Address Listing. Please refer to the Funding Chart or pertinent Program Section of the SuperNOFA for room location or other additional information regarding address requirements for your application submission. Please make sure that you note the correct room number to ensure your application is not misdirected.*

Copies of Applications. The Program Section of this SuperNOFA may specify that to facilitate the processing and review of your application, one or more copies of the application also must be sent to an additional HUD location (for example, a copy to the HUD field office and the original application to HUD Headquarters). If you are required to submit applications to HUD Headquarters (or the GMC) and field offices, the determination that your application was received on time will be made solely on receipt of the application at HUD Headquarters or the GMC, as applicable. If an application received on time at HUD Headquarters or GMC is not complete, but a complete copy was submitted and received on time at a HUD field office, HUD may conduct its review using the field office copy. See the information in Mailing and Receipt Procedures and Proof of Timely Submission above for additional information. If you do not submit the required number of copies HUD may request that you provide the additional copies to the appropriate HUD office(s) in accordance with the procedures described in Section VIII, Corrections to Deficient Applications.

Consolidated Application Submissions. If you, the applicant, are applying for funding under more than one program in this SuperNOFA, you

need to submit only one original HUD-424, "Application for Federal Assistance," which includes the HUD-424B, "Applicant Assurances and Certifications." Page 2 of the HUD-424 allows you to list all the programs for which you are seeking funding. Once you have submitted one original set of forms, certifications, and assurances, you may send copies of these standard items with any additional application you submit. Make sure to specify the correct program on each copy of the HUD-424 application form and indicate the program to which you have submitted the original signature forms for the standard assurances and certifications. Additionally, the Program Section may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA.

FOR APPLICATION FORMS, FURTHER INFORMATION, AND TECHNICAL ASSISTANCE:

The information in this section is applicable to all programs that are part of this SuperNOFA. This section describes how you may obtain application forms, additional information about the SuperNOFA, and technical assistance. Copies of all documents related to the SuperNOFA may be downloaded from HUD's Web site, www.hud.gov or you may call HUD's SuperNOFA Information Center at 1-800-HUD-8929 or for the hearing-impaired, 1-800-HUD-2209. Copies of all materials may also be ordered online from HUD's Web site.

Application Kits. 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 our NOFAs and publish all required forms and formats for application submission in the **Federal Register**. As a result of this effort, you will not have to wait for an application kit to begin to prepare your application for funding. Our goal is to have all required forms and information needed to apply for funding available to the public within the NOFA document itself and available immediately upon publication of the NOFA and downloadable from HUD's Web site at <http://www.hud.gov>. HUD is continuing to streamline our programs and application submission requirements and encourages the applicant community to offer additional suggestions. Please pay attention to the submission requirements and format for submission specified in the Program Section of the SuperNOFA 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 evaluate applications. Therefore, if there is a discrepancy between any materials published by HUD in its **Federal Register** publication and other information provided in hard copy or on HUD's Web site, the **Federal Register** publication of the SuperNOFA prevails. Therefore, please be sure to review your application submission against the requirements in the **Federal Register** file of the SuperNOFA. A PDF copy of the General Section and Program Section for each program in the SuperNOFA is available on HUD's Web site at <http://www.hud.gov> and hard copies of these documents can be obtained from the SuperNOFA Information Center by calling 1-800-HUD-8929 or for the hearing-impaired, 1-800-HUD-2209.

Guidebook and Further Information. A guidebook to HUD programs titled "Connecting with Communities: A User's Guide to HUD Programs and the 2003 SuperNOFA Process" is available from the SuperNOFA Information Center and the HUD Web site at <http://www.hud.gov>. The guidebook provides a brief description of all HUD programs, a description of the SuperNOFA programs, eligible applicants for these programs, and examples of how programs can work in combination to serve local community needs. To obtain a guidebook, application kit, or print copy of the General Section or program NOFA, call the SuperNOFA Information Center at 1-800-HUD-8929 or 1-800-HUD-2209 (TTY).

You may request general information, copies of the General Section and Program Section of the SuperNOFA, and applications from the SuperNOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)) between the hours of 9:00 AM and 8:00 PM (Eastern Time) Monday through Friday, except on federal holidays. When requesting information, please refer to the name of the program you are interested in. Be sure to provide your name, address (including zip code), and telephone number (including area code). To ensure sufficient time to prepare your application, requests for copies of this SuperNOFA can be made immediately following publication of the SuperNOFA. The SuperNOFA Information Center opens for business simultaneously with the publication of the SuperNOFA. You can also obtain information on this SuperNOFA and download application information for this SuperNOFA through the HUD Web site, <http://www.hud.gov>.

For Technical Assistance. Before the application due date, HUD staff will be

available to provide you with general guidance and technical assistance about this SuperNOFA. However, HUD staff is not permitted to assist in preparing your application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD.

FEDERAL E-GRANTS INFORMATION

Streamlining Federal Financial Assistance. 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 the Office of Management and Budget (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.

This law also requires OMB to consult with the grantee community as it works with the federal agencies to develop and implement the course of action that would be undertaken by the federal agencies to establish an electronic site for accessing funding information and applications. Over the last two years, HUD has used its website to provide information to the public about HUD's participation in Interagency efforts to streamline grant and other financial assistance requirements and to seek your input as the federal agencies work together to achieve implementation. To find out about the work being done by the federal agencies to streamline and consolidate the application and reporting requirements, please go to <http://www.hud.gov/offices/adm/grants/pl-106107/pl106-107.cfm>

eGrants Initiative. HUD is working with the 26 federal grant-making agencies on President George W. Bush's eGrants 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. This system is being developed in response to 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, making it easier for you, our customers, to apply for funding. The first segment of the eGrants Initiative focuses on allowing the public to easily find funding opportunities and then apply via eGrants. Funding decisions would still be under the control of the federal agency sponsoring the program funding opportunity. To find out more about the eGrants vision and implementation schedule, please visit our website at <http://www.hud.gov/offices/adm/grants/egrants/egrants.cfm>

I. INTRODUCTION TO THE FY 2003 SUPERNOFA

Background

This SuperNOFA is designed to make it easier to find and apply for funding under a wide variety of HUD programs. The SuperNOFA provides a "menu" of HUD funding opportunities. From this menu, communities are made aware of funding available for their jurisdictions. By providing access to information about available funding at one time, HUD believes applicants are better able to coordinate services within communities, avoid duplication, and more efficiently serve those most in need of assistance. Public housing agencies, local and state governments, tribal governments and tribally-designated housing entities, veterans service organizations, non-profit organizations, including grass-roots faith-based and other community-based organizations, and others will be able to identify the programs for which they are eligible.

Organization of the SuperNOFA

The SuperNOFA is divided into two major sections, the General Section and the Program Section. The General Section of the SuperNOFA describes the procedures and requirements applicable to all applications. For each funding opportunity, the Program Section describes the eligible applicants, eligible activities, factors for award, and any additional requirements or limitations. Please read both sections carefully to be sure your application is complete. Your attention to the sections will ensure that you apply for funding for which your organization is eligible and that you fulfill all the requirements for application submission.

As part of the simplification of this funding process and to avoid duplication of effort, the SuperNOFA

provides for consolidated notices and applications for several of the programs that are part of this SuperNOFA. The funding chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants.

HUD provides copies of all required forms in this publication. Standard forms, certifications, and assurances applicable to all programs are published in the General Section, Appendix B. The forms and any additional certifications and assurances unique to an individual program follow that program's section of the SuperNOFA.

The specific statutory and regulatory requirements of the programs that are part of this SuperNOFA continue to apply to each program. Each SuperNOFA Program Section identifies, where necessary, the statutory requirements and other unique requirements applicable to each specific program. Please pay careful attention to the specific submission requirements that are identified for each funding opportunity. Not all applicants are eligible to receive assistance under all funding opportunities identified in this SuperNOFA.

II. HUD'S FY 2003 SUPERNOFA PROCESS

HUD's Strategic Goals

Implementing HUD's Strategic Framework and Demonstrating Results. HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission. To support this effort, grant applications submitted for HUD programs will be rated on how well they tie proposed outcomes to HUD's policy priorities and Annual Goals and Objectives, and the quality of proposed Evaluation and Monitoring Plans. HUD's Strategic Framework establishes the following Goals and Objectives for the Department:

1. Increase Homeownership Opportunities
 - Expand national homeownership opportunities.
 - Increase minority homeownership.
 - Make the home buying process less complicated and less expensive.
 - Fight practices that permit predatory lending.
 - Help HUD-assisted renters become homeowners.
 - Keep existing homeowners from losing their homes.
2. Promote Decent Affordable Housing
 - Expand access to affordable rental housing.

- Improve the physical quality and management accountability of public and assisted housing.
- Increase housing opportunities for the elderly and persons with disabilities.
- Help HUD-assisted renters make progress toward self-sufficiency.

3. Strengthen Communities

- Improve economic conditions in distressed communities.
- Make communities more livable.
- End chronic homelessness.
- Mitigate housing conditions that threaten health.

4. Ensure Equal Opportunity in Housing

- Resolve discrimination complaints on a timely basis.
- Promote public awareness of Fair Housing laws.
- Improve housing accessibility for persons with disabilities.

5. Embrace High Standards of Ethics, Management, and Accountability

- Rebuild HUD's human capital and further diversify its workforce.
- Improve HUD's management, internal controls and systems, and resolve audit issues.
- Improve accountability, service delivery, and customer service of HUD and our partners.
- Ensure program compliance.

6. Promote Participation of Grass-Roots Faith-Based and Other Community-Based Organizations

- Reduce regulatory barriers to participation by grass-roots faith-based and other community-based organizations.
- Conduct outreach to inform potential partners of HUD opportunities.
- Expand technical assistance resources deployed to grass-roots faith-based and other community-based organizations.
- Encourage partnerships between grass-roots faith-based and other community-based organizations and HUD's traditional grantees.

You can find out about HUD's Strategic Framework and Annual Performance Plans at <http://www.hud.gov/offices/cfo/reports/cforept.cfm>.

Policy Priorities. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which help the Department achieve its goals for FY 2004, when the majority of funding recipients will be reporting programmatic results and achievements. Applicants who include work activities that specifically address one or more of

these policy priorities will receive higher rating scores than applicants who do not address these HUD priorities. Each NOFA in the Program Section of this SuperNOFA 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 Families 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, or families with limited English proficiency. Many of these families are anxious to have a home of their own but are not aware of the programs and assistance that is available. Applicants are encouraged to address the housing, housing counseling, and other related supportive services 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 1, 2, and 4.

(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 which:

(1) Bring private capital into distressed communities to:

- Finance business investments to grow new businesses;
- Maintain and expand existing businesses;
- Create a pool of funds for new small and minority-owned businesses;
- 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 which:

- Coordinate lead hazard reduction programs with weatherization activities funded by state and local governments, and the federal government;
- 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.

- Provide public and social services.

• Improve infrastructure and community facilities.

Activities support strategic goals 2, 3, and 4.

(C) Encouraging Accessible Design Features. As described in Section V, 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 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 SuperNOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410-2000; 202-755-5404 or 1-800-877 8399 (TTY Federal Information Relay Service).

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 <http://www.concretechange.org>.

Activities support strategic goals 2, 3, and 4.

(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. Universal design benefits people of all ages and abilities. In addition to any applicable required accessibility features 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 which 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 <http://www.design.ncsu.edu:8120/cud/> or the Resource Center on Accessible Housing and Universal Design, at http://www.abledata.com/Site_2/accessib.htm.

Activities support strategic goals 1, 2, 3, and 4.

(D) Providing Full and Equal Access to Grassroots Faith-Based and Other Community-Based Organizations in HUD Program Implementation.

(1) HUD encourages non-profit organizations, including grassroots faith-based and other community-based organizations, to participate in the vast array of programs for which funding is available through this SuperNOFA. HUD also encourages states, units of local government, universities, and 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 wants 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 grass-roots faith-based and other community-based organizations in their workplans. Applicants, their partners, and participants must review the Program Section of this SuperNOFA 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 who currently or propose to partner, fund, subgrant, or subcontract with grassroots organizations (including grassroots faith-based or other community-based non-profits eligible under applicable program regulations) in conducting their work programs will receive higher rating points as specified in the program section of this SuperNOFA.

(2) Definition of *Grassroots Organizations*.

(a) HUD will consider an organization a "grassroots organization" if the organization is headquartered in the local community to 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 faith community or civic organization, or other charitable 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 6.

(E) *Colonias*. The Department of Housing and Urban Development is seeking to improve housing conditions for families living in Colonias. Colonias means any identifiable, rural community that:

- Is located in Arizona, California, New Mexico, or Texas;
- Is within 150 miles of the border between the United States and Mexico; and
- Is determined to be a colonia on the basis of objective need criteria, including lack of potable water supply, lack of adequate sewage systems, and lack of decent, safe, sanitary, and accessible housing.

Applicants proposing to create affordable housing and provide services to the Colonias will receive higher rating points.

Activities support strategic goals 1, 2, 3, and 4.

(F) *Participation of Minority-Serving Institutions 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 Minority-Serving Institutions (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/offices/OCR/minorityinst.html> or HUD's Web site at <http://www.hud.gov>.

Activities support strategic goals 3 and 4.

(G) *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 joint partnership to promote energy efficiency in HUD's affordable housing efforts and programs. The purpose of the Energy Star partnership is to promote energy

efficiency of the affordable housing stock, but also to help protect 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 Energy Star labeled products. Applicants providing housing assistance or counseling services are encouraged to promote Energy Star building by homebuyers and renters. Program activities can include developing Energy Star promotional and information materials, outreach to low- and moderate-income renters and buyers on the benefits and savings when using Energy Star products and appliances, and promoting the designation of community buildings and homes as Energy Star compliant. For further information about Energy Star see <http://www.energystar.gov> or call 1-888-STAR-YES (1-888-782-7937) or for the hearing-impaired, 1-888-588-9920 TTY.

Activities support strategic goals 1 and 2.

(H) *Ending Chronic Homelessness within Ten Years*. President Bush has set a national goal to end chronic homelessness within ten years. Secretary Mel Martinez has embraced this goal and has pledged that HUD's grant programs will be used to support the President's goal and more adequately 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. In this year's SuperNOFA, applicants are encouraged to target assistance to chronically homeless persons by undertaking activities that will result in:

- Creation of affordable group homes or rental housing units;
- Establishing a set-aside of units of affordable housing for the chronically homeless;
- Substance abuse treatment programs targeted to homeless population;
- Job training programs which will provide opportunities for economic self-sufficiency;
- Counseling programs that assist homeless persons in finding housing, financial management, anger management, and building interpersonal relationships;
- Supportive services, such as health care assistance that will permit

homeless individuals to become productive members of society;

- Provision of Service Coordinators or One Stop Assistance Centers that will ensure that chronically homeless persons have access to a variety of social services.

Activities support Strategic Goals 2 and 3.

Changes in the FY 2003 SuperNOFA Process

New Rating Factor 5. For FY 2003, rating Factor 5 has been changed to "Achieving Results and Program Evaluation." This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their application and assess their performance to ensure performance goals are met.

Achieving results means you, the applicant, have clearly identified the benefits or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you, the applicant, identify program outcomes, interim products or benchmarks, and performance indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual against planned achievements. Your Evaluation and Monitoring Plan should identify what you are going to measure, how it will be measured, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes. HUD has included a new form, Logic Model, to help you complete your response to Rating Factor 5. The form is included in Appendix B, with other forms applicable to most or all of the programs in this SuperNOFA.

This new rating factor reflects HUD's goal to embrace high standards of ethics, management, and accountability.

Higher Minimum Score for Fundable Applications. For FY 2003, an application for any of the programs offered by this SuperNOFA must receive at least 75 points to be funded. Please take note of this scoring threshold and be sure to read the SuperNOFA carefully to ensure that you respond to the Factors for Award. A careful reading of the NOFA can help you improve your rating score.

Use of HUD 424 Forms. HUD has consolidated many of its application forms into a single HUD-424 form. The new HUD-424 consolidates budget-reporting forms for both construction and non-construction projects into a

single form and eliminates the following separate certifications: Certification for a Drug-Free Workplace (HUD-50070), Certification of Payments to Influence Federal Transactions (HUD-50071), and Certification Regarding Debarment and Suspension (HUD-2992).

New form HUD 424 replaces SF 424 and HUD 424 M.

HUD 424 B replaces SF 424 B and D, and HUD 50070, 50071, and 2992.

HUD 424 C and CB replace SF 424 A and C.

The HUD 424 CBW is added as a common detailed Budget Worksheet to replace various budget worksheets used throughout the Department. These forms are available on HUD's Web Site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

Race and Ethnicity. OMB published revised standards for collecting racial data on October 30, 1997. All agencies were required to be in compliance with the 1997 standards by January 1, 2003. These standards allow HUD and the other Federal agencies to acknowledge the growing diversity of the U.S. population. Under this policy, HUD and its business partners must offer individuals who are responding to agency data requests for race, the option of selecting one or more of five racial categories. HUD must also treat ethnicity as a separate category from race and change terminology for certain racial and ethnic groups. These definitions have been standardized across the Federal government and are provided below.

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.

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

- *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.

Self-reporting or self-identification, rather than observer identification is the preferred method for collecting race and ethnicity data. Self-identification means that responses are based on self-perception. If you are required to provide HUD with race and ethnicity data, you must collect the data asking separate questions for race and for ethnicity. Furthermore, when collecting data the ethnicity question should precede the question about race. The Office of Management and Budget has recommended this sequence because pre-tests conducted by the U.S. Census Bureau found that placing ethnicity before race significantly reduced the non-response rate to the ethnicity question.

Thus, when collecting data from respondents it should be collected using the following two-question approach:

Ethnicity: (Select only one)

Hispanic or Latino

Not Hispanic or Latino

Race: (Select one or more):

American Indian or Alaskan Native

Asian

Black or African American

Native Hawaiian or Pacific Islander

White

Once data is collected using the method above, it can be analyzed and aggregated when reporting ethnicity and race data to HUD. You should use the categories listed in the template below to report the aggregate information. If any multiple race category not included in the template exceeds one percent of the population, you should identify the category, the actual count, and its percentage of population. In addition, you should identify the total number of all racial categories reported that do not fit the list of categories below, and do not equate to one percent of the total population being reported including, the total number of all such racial and ethnic categories. Finally, 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 ethnic categories.

For grantees that are currently collecting data, you may need to compare data collected under both standards. Guidance on bridging data

periods will be available in the Program Section of the SuperNOFA and HUD's SuperNOFA Web site at <http://www.hud.gov>. A copy of this reporting

form can be found in Appendix B of the General Section of this SuperNOFA.

Below is the standard format for reporting this information.

Racial Categories	<i>Total Number of Racial Categories Reported</i>	<i>Total Number of Ethnic Category Responses (Hispanic or Latino)</i>
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 and Black African American		
* Other multi-racial categories: [Per the form instructions, write in a description using the box on the right]		
Balance of individuals reporting more than one race		
Total:		
*If the aggregate count of any reported multi-racial category that is not listed above exceeds 1% of the population being reported, you should separately indicate each such category here. Also indicate the total number of such other multi-racial categories reported, the population percentage, and the total number of positive ethnic category responses.		

Executive Order 13166, Improving Access to Persons With Limited English Proficiency (LEP). Executive Order 13166 seeks to improve access to persons with limited English proficiency by providing materials and information in languages other than English.

Executive Order 13279 Equal Protection of the Laws for Faith-Based and Community Organizations. HUD is committed to full implementation of Executive Order 13279 and 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 grass-roots faith-based and other community-based organizations in HUD program implementation.

New Programs and Changes to Programs. The FY 2003 SuperNOFA includes the following funding opportunities, which were not included in FY2002:

- COPC Community Futures Awards;
- Housing Counseling—Predatory Lending;
- Housing Counseling—Section 8 Homeownership;
- Lead Outreach Grants;
- Lead Elimination Action Program;
- Community Development Work-Study;
- ROSS for Resident Services Delivery Model—Elderly;

- ROSS for Resident Services Delivery Model—Family.

Not Available for FY 2003. Funding opportunities that were part of the FY 2002 SuperNOFA but are not available in FY 2003 are:

- ROSS for Resident Management and Business Development;
- ROSS for Capacity Building;
- Rental Assistance for Non-elderly Persons with Disabilities Related to Certain Types of Section 8 Project-Based Development and Section 202, 221(d) and 236 Developments;
- Rental Assistance for Non-elderly Persons with Disabilities in Support of Designated Housing Plans.

Funding will be announced later in the year for:

- Permanent Housing and Special Efforts for Subpopulations Technical Assistance (PHASES-TA);
- Revitalization of Severely Distressed Public Housing (HOPE VI);
- Lead Hazard Reduction Demonstration Program;
- Community Development Block Grants for Indian Tribes and Alaska Native Villages (ICDBG);
- Urban Scholars Postdoctoral Fellowships;
- Research Studies on Homeownership and Affordable Lending;
- 202 Supportive Housing for the Elderly, Planning Grants.

Funding Notices Issued Prior to the SuperNOFA. Due to statutory deadlines

for the obligation of funds or for other reasons, there are several programs for which notices of funding availability have been issued prior to the SuperNOFA. These include:

- Collaborative Initiative to Help End Chronic Homelessness;
- Capacity Building for Community Development and Affordable Housing, and;
- Hope VI Demolition Grants;
- Research on the Socio-Economic Change in Cities.

Information on these programs is available on the HUD Web site at <http://www.hud.gov>.

III. The Programs of This SUPERNOFA and the Amount of Funds Allocated

The funding opportunities that are part of this SuperNOFA are identified in the following chart. The amount of funds available is based on funds appropriated in FY 2003 and funds recaptured from prior years' appropriations. In the event that HUD recaptures program funds or other funds become available for a program, HUD reserves the right to increase the available funding by these additional amounts.

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

HUD 2003 SuperNOFA Funding Chart

Program Name	Funding Available (funding is approximate)	Application Due Date	Submission Location and Room Number
Community Development \$240.955 million			
Community Development Technical Assistance (TA)	\$22.9 million		
HOME TA CFDA No. 14.239 OMB Approval No: 2506-0166	\$8.3 million	June 4, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410 and a copy to the appropriate HUD Field Office
CHDO (HOME) TA CFDA No: 14.239 OMB Approval No: 2506-0166	\$6 million	June 4, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410 and a copy to the appropriate HUD Field Office
McKinney-Vento Homeless Assistance Programs TA CFDA No: 14.241 OMB Approval No: 2506-0166	\$6.6 million	June 4, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410 and a copy to the appropriate HUD Field Office
HOPWA TA CFDA No: 14.235 OMB Approval No: 2506-0133	\$2 million	June 4, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410 and a copy to the appropriate HUD Field Office
University and College Programs	\$34.092million		
Historically Black Colleges and Universities (HBCU) Program CFDA No. 14.520 OMB Approval No.: 2506-0122	\$9.935 million	June 12, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410 and a copy to appropriate HUD Field Office
Hispanic-Serving Institutions Assisting Communities (HSIAC) Program CFDA No. 14.514 OMB Approval No.: 2528-0198	\$7.046 million	June 12, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410

Program Name	Funding Available (funding is approximate)	Application Due Date	Submission Location and Room Number
Alaska Native/Native Hawaiian Communities Program (AN/NHIAC) CFDA No. 14.515 OMB Approval No.: 2528-0206	\$6.981 million	June 12, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Tribal Colleges and Universities Program (TCUP) CFDA No.: 14.519 OMB Approval No.:	\$3.175 million	June 12, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Community Outreach Partnership Centers (COPC) CFDA No: 14.511 OMB Approval No: 2528-0180	\$5 million	June 24, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
COPC Community Futures Demonstration CFDA No: 14.511 OMB Approval No: 2528-0180	\$1.955 million	June 24, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Student Research and Study Programs	\$3.65 million		
Early Doctoral Student Research Grant Program CFDA No.: 14.517 OMB Approval No.: 2528-0216	\$150,000	May 27, 2003	Danya International Inc. Office of University Partnerships Clearinghouse 8737 Colesville Road Suite 1200 Silver Spring, MD 20910
Doctoral Dissertation Research Grant Program CFDA No.: 14.516 OMB Approval No.: 2528-0213	\$400,000	May 27, 2003	Danya International Inc. Office of University Partnerships Clearinghouse 8737 Colesville Road Suite 1200 Silver Spring, MD 20910
Community Development Work Study Program CFDA No.: 14.512 OMB Approval No.: 2528-0175	\$3.1 million	May 27, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Fair Housing Initiative Program	\$17.618 million		
Fair Housing - Private Enforcement Initiative (PEI) CFDA No. 14.410 OMB Approval No.: 2539-0033	\$10.2 million	June 5, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 5254 Washington, DC 20410

Program Name	Funding Available (funding is approximate)	Application Due Date	Submission Location and Room Number
Fair Housing Education and Outreach Initiative --(EOI) CFDA No.14.409 OMB Approval No.: 2539--0033	\$5.318 million	June 5, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 5254 Washington, DC 20410
Fair Housing Organizations Initiative (FHOI) CFDA No. 14.413 OMB Approval No.: 2539-0033	\$2.1 million	June 5, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 5254 Washington, DC 20410
Housing Counseling Programs	\$37.56 million		
Housing Counseling – Local Housing Counseling Agencies (LHCA) CFDA No. 14.169 OMB Approval No.: 2502-0261	\$12.45 million	June 25, 2003	Appropriate HUD Homeownership Center
Housing Counseling – National and Regional Intermediaries CFDA No. 14. 169 OMB Approval No.: 2502-0261	\$18.16 million	June 25, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 9166 Washington, DC 20410
Housing Counseling – State Housing Finance Agencies (SHFA) CFDA No. 14. 169 OMB Approval No.: 2502-0261	\$2 million	June 25, 2003	Appropriate HUD Homeownership Center
Housing Counseling – Colonias CFDA No. 14. 169 OMB Approval No.: 2502-0261	\$250,000	June 25, 2003	Santa Ana Homeownership Center
Housing Counseling – Predatory Lending CFDA No. 14. 169 OMB Approval No.: 2502-0261	\$2.7 million	June 25, 2003	Santa Ana Homeownership Center
Housing Counseling – Section 8 Homeownership CFDA No. 14. 169 OMB Approval No.: 2502-0261	\$2 million	June 25, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 9266 Washington, DC 20410

Program Name	Funding Available (funding is approximate)	Application Due Date	Submission Location and Room Number
Healthy Homes and Lead Hazard Control Programs	\$125.135 million		
Lead Hazard Control Program CFDA No.: 14.900 OMB Control No.: 2539-0015	\$103 million	June 10, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room P3206 Washington, DC 20410
Healthy Homes and Lead-Technical Studies CFDA No.: 14.902 OMB Control No.: 2539-0010	\$5 million	June 10, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room P3206 Washington, DC 20410
Healthy Homes Demonstration Program CFDA No.: 14.901 OMB Control No.: 2539-0015	\$5 million	June 10, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room P3206 Washington, DC 20410
Lead Outreach Grant Program CFDA No: 14.904 OMB Control No	\$2.2 million	June 10, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room P3206 Washington, DC 20410
Operation Lead Elimination Action Program CFDA No: 14.903 OMB Control No.	\$9.935 million	June 10, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room P3206 Washington, DC 20410
Economic Development and Empowerment Programs \$231.334 million			
Economic Development Programs	\$181.66 million		
Brownfields Economic Development Initiative (BEDI) CFDA No.: 14.246 OMB Control No.:2506-0153	\$29.5 million	July 16, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Self-Help Homeownership Opportunity Program (SHOP) CFDA No.: 14.247 OMB Control No.: N/A	\$25.08 million	July 3, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Youthbuild CFDA No.: 14.243 OMB Approval No.: 2506-0142	\$54.6 million	June 6, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410

Program Name	Funding Available (funding is approximate)	Application Due Date	Submission Location and Room Number
Rural Housing and Economic Development CFDA No.: 14.250 OMB Approval No.: 2506-0169	\$24.8 million	May 27, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410
Housing Choice Voucher (HCV) Family Self-Sufficiency (FSS) Program Coordinators CFDA No.: 14.855 & 14.85 OMB Approval No.: 2577-0198	\$47.68 million	May 30, 2003	PIH Grants Management Center Mail Stop: Housing Choice Voucher Family Self-Sufficiency Program 2001 Jefferson Davis Hwy Suite 703 Arlington, VA 22202
Public Housing Resident Opportunity and Self-Sufficiency (ROSS)	\$49.674 million		
ROSS for Resident Services Delivery Model-Elderly and Persons With Disabilities CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$9.30 million	June 11, 2003	PIH Grants Management Center Mail Stop: ROSS for Resident Services Delivery Model-Elderly 2001 Jefferson Davis Hwy Suite 703 Arlington, VA 22202
ROSS for Resident Services Delivery Model- Family CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$14.345 million	June 19, 2003	PIH Grants Management Center Mail Stop: ROSS for Resident Services Delivery Model- Family 2001 Jefferson Davis Hwy Suite 703 Arlington, VA 22202
ROSS for Neighborhood Networks CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$14.902 million	May 27, 2003	PIH Grants Management Center Mail Stop: ROSS for Neighborhood Networks 2001 Jefferson Davis Hwy Suite 703 Arlington, VA 22202
ROSS for Homeownership Supportive Services CFDA No.: 14.870 OMB Approval No.: 2577-0229	\$11.127 million	June 7, 2003	PIH Grants Management Center Mail Stop: ROSS for Homeownership Supportive Services 2001 Jefferson Davis Hwy Suite 703 Arlington, VA 22202

Program Name	Funding Available (funding is approximate)	Application Due Date	Submission Location and Room Number
Targeted Housing and Homeless Assistance Programs \$1.822 billion			
Continuum of Care Homeless Assistance Supportive Housing CFDA No. 14.235 Shelter Plus Care CFDA No. 14.238 Section 8 Moderate Rehabilitation SRO CFDA No. 14.249 OMB Approval No. 2506-0112	\$1.06 billion	July 15, 2003	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7270 Washington, DC 20410 and two copies to the appropriate HUD Field Office
Housing Opportunities for Persons With AIDS (HOPWA) Renewal Permanent Supportive Housing Projects CDC Study New or Continuing Projects CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$28.8 million	June 17, 2003 (renewals) July 9, 2003 (others)	HUD Headquarters Robert C. Weaver Building 451 7 th ST SW Room 7251 Washington, DC 20410 and two copies to the appropriate HUD Field Office
Assisted Living Conversion Program for Eligible Multifamily Projects CFDA No.: 14.314 OMB Approval No.: 2502-0542	\$64 million	July 10, 2003	Appropriate Multifamily Hub Office
Service Coordinators in Multifamily Housing CFDA No.: 14.191 OMB Approval No.: 2502-0447	\$25 million	July 10, 2003	Appropriate HUD Multifamily Hub Office or Multifamily Program Center
Mainstream Housing Opportunities For Persons With Disabilities (Mainstream Program) CFDA No.: 14.871 OMB Approval No.: 2577-0169	\$53.6 million	June 18, 2003	Grants Management Center Mail Stop: Mainstream Program 2001 Jefferson Davis Highway Suite 703 Arlington, VA 22202
Section 202 Supportive Housing for the Elderly CFDA No.: 14.157 OMB Approval No.: 2502-0267	\$473.8 million	June 13, 2003	Appropriate HUD Multifamily Hub Office or Multifamily Program Center
Section 811 Supportive Housing for Persons With Disabilities CFDA No.: 14.181 OMB Approval No.: 2502-0462	\$116.8 million	June 13, 2003	Appropriate HUD Multifamily Hub Office or Multifamily Program Center

Paperwork Reduction Act Statement. The information collection requirements in this SuperNOFA have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520). The preceding chart provides the OMB approval number for each program that is part of this SuperNOFA. Where the chart notes that an OMB number is pending, this means that HUD has submitted the information to OMB to obtain an approval number and HUD's request for the number is pending. As soon as HUD receives the approval number, the number will be published in the **Federal Register** and provided to the SuperNOFA Information Center. Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

IV. Authority, Funding Amounts, and Eligible Applicants and Activities

(A) *Authority.* HUD's authority for making funding available under this SuperNOFA is Division K, Consolidated Appropriations Resolution, 2003, Public Law 108–7, approved February 20, 2003 (FY 2003 Consolidated Appropriations). Generally, this statement of authority is not repeated in the Program Section of this SuperNOFA. The authority provision in the Program Section identifies additional statutes and regulations that authorize the requirements listed for the funding competitions that make up this SuperNOFA.

(B) *Funding Available.* As noted in Section III of this General Section of the SuperNOFA, the HUD programs in this SuperNOFA are allocated amounts based on appropriated funds. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding by those amounts.

(C) *Eligible Applicants and Eligible Activities.* The Program Section of the SuperNOFA describes the eligible applicants and eligible activities for each program.

V. Requirements and Procedures Applicable to All Programs

Except as may be modified in the Program Section of this SuperNOFA, the requirements, procedures and principles listed below apply to all programs that are part of this SuperNOFA. Please read the Program Section of the SuperNOFA for additional requirements or information.

(A) *Statutory and Regulatory Requirements.* To be eligible for funding under this SuperNOFA, 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 SuperNOFA Information Center or through the HUD Web site, <http://www.hud.gov>. See the Program Section for instructions on how HUD will respond to proposed activities that are ineligible. With the exception of the Section 202 and Section 811 programs, HUD may also eliminate the ineligible activities from funding consideration and reduce funding amounts accordingly. Because of the competitive demand for Section 202 and Section 811 funds, applications to these two programs that include ineligible activities will be rejected and will not be rated and ranked.

(B) *Threshold Requirements.*

(1) *Ineligible Applicants.* HUD will not consider an application from an ineligible applicant.

(2) *Compliance with Fair Housing and Civil Rights Laws.*

(a) With the exception of federally recognized Indian tribes and their instrumentalities, all applicants and their subrecipients must comply with all Fair Housing and Civil Rights laws, statutes, regulations, and Executive Orders as enumerated in 24 CFR 5.105(a), as applicable. If you are a federally recognized Indian tribe, you must comply with the non-discrimination provisions enumerated at 24 CFR 1000.12, as applicable. In addition to these requirements, there may be program-specific threshold requirements identified in the Program Sections of the SuperNOFA.

(b) If you, the applicant:

(i) Have been charged with a systemic violation of the Fair Housing Act alleging ongoing discrimination;

(ii) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an on-going pattern or practice of discrimination; or,

(iii) Have received a letter of non-compliance findings, identifying on-going or systemic noncompliance, under Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act, or Section 109 of the Housing and Community Development Act; and if the charge, lawsuit, or letter of findings has not been resolved to HUD's satisfaction before the application deadline stated in the individual program NOFA, you may not apply for assistance under this SuperNOFA. HUD will not rate and rank your application. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of on-

going discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

Examples of actions that may be taken prior to the application deadline to resolve the charge, lawsuit, or letter of findings, include but are not limited to a:

(i) Voluntary compliance agreement signed by all parties in response to the letter of findings;

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

(iii) Consent order or consent decree;

or

(iv) Judicial ruling or a HUD Administrative Law Judge's decision that exonerates the respondent of any allegations of discrimination.

(3) *Conducting Business In Accordance with Core Values and Ethical Standards.* Entities subject to 24 CFR parts 84 and 85 (most non-profit organizations and state, local and tribal governments or government agencies or instrumentalities who receive federal awards of financial assistance) are required to develop and maintain a written code of conduct (*see* §§ 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, and 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 this SuperNOFA, 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.

(4) *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 shall be made to an applicant who has an outstanding delinquent federal debt until: (a) The delinquent account is paid in full; (b) a negotiated repayment schedule is established and at least one payment is received; or (c) other arrangements satisfactory to the Department of Housing and Urban Development are made prior to the deadline submission date.

(5) *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, the program area has 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 make an award to any applicant who does not have a financial management system that meets federal standards.

(6) Other Threshold Requirements. The Program Section for the funding for which you are applying may specify other threshold requirements. Additional threshold requirements may be identified in the discussion of "eligibility" requirements in the Program Section.

(C) *Additional Non-discrimination Requirements.* You, the applicant, and your subrecipients must comply with the Americans with Disabilities Act of 1990 (42 U.S.C. 1201 *et seq.*) and Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 *et seq.*)

(D) *Affirmatively Furthering Fair Housing.* Under Section 808(e)(5) of the Fair Housing Act, HUD is obliged 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 are race, color, national origin, religion, sex, disability, and familial status. Unless otherwise instructed in the Program Section of this SuperNOFA, 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; and/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 SuperNOFA rating factors that address affirmatively furthering fair housing. Please see the Program Section of this SuperNOFA for additional information.

The requirements to affirmatively further fair housing apply to:

- Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC);
- Assisted Living Conversion Program (ALCP) for Eligible Multifamily Housing Projects;

- Brownfields Economic Development Initiative (BEDI);
- Community Outreach Partnership Centers (COPC);
- Continuum of Care Homeless Assistance Programs (SHP, Shelter Plus Care, Section 8 Moderate Rehab);
- Fair Housing Initiatives Program (FHIP);
- Funding Availability for Rental Certificate/Housing Choice Voucher Family Self-Sufficiency (FSS) Program;
- Healthy Homes Demonstration Program;
- Healthy Homes Initiative and Lead Technical Studies;
- Hispanic-Serving Institutions Assisting Communities (HSIAC);
- Historically Black Colleges and Universities (HBCU) Program;
- Housing Counseling;
- Housing Opportunities for Persons With AIDS (HOPWA);
- Lead Hazard Control Program;
- Mainstream Housing Opportunities for Persons with Disabilities;
- Public Housing Resident Opportunities and Self-Sufficiency (ROSS) Program;
- Rental Assistance for Non-Elderly Persons with Disabilities in Support of Designated Housing Plans;
- Rental Assistance for Non-Elderly Persons with Disabilities Related to Certain Developments;
- Resident Opportunities for Self-Sufficiency (ROSS) for Homeownership Supportive Services;
- Rural Housing and Economic Development (RHED);
- Section 202 Supportive Housing for Elderly Persons;
- Section 811 Supportive Housing for Persons with Disabilities;
- Self-Help Homeownership Opportunity Program (SHOP);
- Service Coordinators in Multifamily Housing; and
- Youthbuild Program.

(E) *Economic Opportunities for Low- and Very Low-Income Persons (Section 3).* Certain programs in this SuperNOFA 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 which

provide economic opportunities to low- and very low-income persons. As noted in the Program Section of this SuperNOFA, Section 3 is applicable to the following programs:

- Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC);
- Assisted Living Conversion Program (ALCP);
- Brownfields Economic Development Initiative (BEDI);
- Continuum of Care Homeless Assistance Programs;
- Healthy Homes and Lead Technical Studies;
- Healthy Homes Demonstration Program;
- Hispanic-Serving Institutions Assisting Communities (HSIAC);
- Historically Black Colleges and Universities (HBCU) Program;
- Housing Opportunities for Persons With AIDS (HOPWA);
- Lead Hazard Control;
- Lead Elimination Action Program (LEAP);
- Resident Opportunities and Self-Sufficiency Program (ROSS);
- Rural Housing and Economic Development (RHED);
- Section 202 Supportive Housing for the Elderly Program;
- Section 811 Supportive Housing for Persons with Disabilities Program;
- Self-Help Homeownership Opportunity Program (SHOP); and
- Youthbuild Program.

(F) *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 non-profit recipients of assistance (grantees and sub-grantees) by 24 CFR 84.44(b), to take all necessary affirmative steps in contracting for purchase of goods or services to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible, or as specified in the Program Section.

(G) *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. See, e.g., 24 CFR 570.606(b)(2)(i)(D)(1)–(3), providing guidance on temporary relocation for CDBG. Applicants should review the regulations for the programs for which they are applying when planning their project.

(H) *Forms, Certifications, and Assurances.* You, the applicant, are required to submit signed copies of the standard forms, certifications, and assurances listed in this section, unless the requirements in the Program Section specify otherwise. In addition, the Program Section may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA. As part of HUD's continuing efforts to improve the SuperNOFA process, several of the required standard forms have been simplified this year. The HUD standard forms, certifications, and assurances are:

- Disclosure of Lobbying Activities (SF–LLL);
- Application for Federal Assistance (HUD–424);
- Budget Summary for Competitive Grant Programs (HUD–424C);
- Applicant Assurances and Certifications (HUD–424B);
- Grant Application Detailed Budget (HUD–424–CB);
- Grant Application Detailed Budget Worksheet (HUD–424–CBW);
- Applicant/Recipient Disclosure/Update Report (HUD–2880);
- Certification of Consistency with RC/EZ/EC Strategic Plan (HUD–2990) if applicable;
- Certification of Consistency with the Consolidated Plan (HUD–2991) if applicable;
- Acknowledgment of Application Receipt (HUD–2993);
- Client Comments and Suggestions (HUD 2994) (Optional);
- Survey on Ensuring Equal Opportunity for Applicants (HUD–23004);
- Race and Ethnic Data Reporting Form (HUD–27061);
- Program Outcome Logic Model (HUD–96010–I).

Copies of these standard forms and the Funding Application for the Housing Choice Voucher Program (HUD 52515) follow this General Section of the SuperNOFA. Copies of forms that are particular to an individual program follow the funding information for that program.

(I) *Name Check Review.* 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 individuals have been convicted or are presently facing criminal charges. If the name check reveals significant adverse findings that reflect on the business integrity or responsibility of the recipient and/or key individual, HUD reserves the right to: (a) Deny funding or consider suspension/termination of an award immediately for cause; (b) require the removal of any key individual from association with management of and/or implementation of the award; and (c) make appropriate provisions or revisions with respect to the method of payment and/or financial reporting requirements.

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

(K) *OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs.* Certain OMB circulars also apply to programs in this SuperNOFA. The policies, guidance, and requirements of OMB Circular A–87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments), OMB Circular A–21 (Cost Principles for Education Institutions), OMB A–122 (Cost Principles for Nonprofit Organizations), OMB Circular A–133 (Audits of States, Local Governments, and Non-Profit Organizations), and the regulations in 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 programs of this SuperNOFA, and to the remedies for non-compliance, except when inconsistent with the provisions of the FY 2003 Consolidated Appropriations, other federal statutes or regulations, or the provisions of this SuperNOFA. Compliance with additional OMB Circulars or government-wide regulations may be specified for a particular program in the Program Section of the SuperNOFA. 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 1–800–877 8399 (TTY Federal Information Relay Service); or, from the Web site, <http://www.whitehouse.gov/omb/circulars/index.html>.

(L) *Environmental Requirements.* If you become a recipient under one of the programs in this SuperNOFA 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 Program Section of the SuperNOFA for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Sections 202 or 811 Programs, please note the environmental review requirements for these programs.

(M) *Conflicts of Interest.* If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA, 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 this SuperNOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this SuperNOFA. All individuals involved in rating and ranking this SuperNOFA, 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 SuperNOFA 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 this SuperNOFA. 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.

(N) *Prohibition Against Lobbying Activities.* You, the applicant, are subject to the provisions of Section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the federal government in connection with a specific contract, grant, or loan. When you sign Form HUD-424, Application for Federal Assistance, you certify, to the best of your knowledge and belief, that no federal appropriated 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with the awarding of this federal grant or its extension, renewal, amendment, or modification. 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, and 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 under state law must comply with this requirement.

(O) *Accessible Technology.* The Rehabilitation Act Amendments of 1998 (the Act) apply to all electronic information technology (EIT) used by a recipient for transmitting, receiving, using, or storing information to carry out the responsibilities of any federal funds awarded. The Act's coverage includes, but is not limited to, computers (hardware, software, word-processing, email, and web pages), facsimile machines, copiers, and telephones. When developing, procuring, maintaining, or using EIT, funding recipients must ensure that the EIT allows employees with disabilities and members of the public with disabilities to have access to and use of information and data that is comparable to the access and use of information and

data by employees and members of the public who do not have disabilities. If these standards impose a hardship on a funding recipient, a recipient may provide an alternative means to allow the individual to use the information and data. However, no recipient will be required to provide information services to a person with disabilities at any location other than the location at which the information services is generally provided.

(P) *Procurement of Recovered Materials.* State agencies and agencies of a political subdivision of a state that are using assistance under this SuperNOFA 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 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 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.

(Q) *Participation in HUD-Sponsored Program Evaluation.* As a condition of the receipt of financial assistance under this SuperNOFA all successful applicants will be required to cooperate with all HUD staff or contractors performing HUD-funded research and evaluation studies.

(R) *Executive Order 13202, Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects.* Consistent with Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects," as amended, it is a condition of receipt of assistance under this SuperNOFA that neither you nor any subrecipient or program beneficiary receiving funds under an award granted under this SuperNOFA, nor any construction manager acting on behalf of you or any

such subrecipient or program beneficiary, may require bidders, offerors, contractors, or subcontractors to enter into or adhere to any agreement with any labor organization on any construction project funded in whole or in part by such award or on any related federally funded construction project; or prohibit bidders, offerors, contractors, or subcontractors from entering into or adhering to any such agreement on any such construction project; or otherwise discriminate against bidders, offerors, contractors, or subcontractors on any such construction project because they become or refuse to become or remain signatories or otherwise to adhere to any such agreements. Contractors and subcontractors are not prohibited from voluntarily entering into such agreements. A recipient or its construction manager may apply to HUD under Section 5(c) of the Executive Order for an exemption from these requirements for a project where a construction contract on the project had been awarded as of February 17, 2001, and was subject to requirements that are prohibited under the Executive Order.

(S) *Executive Order 13166, Improving Access to Persons With Limited English Proficiency (LEP).* Consistent with Executive Order 13166, "Improving Access to Persons With Limited English Proficiency (LEP)" issued on August 11, 2000, all HUD recipients should take reasonable steps to provide certain materials and information available in languages other than English. The determination as to what materials, languages, and modes of translation/interpretation services should be used shall be based upon: (a) The specific needs and capabilities of the LEP populations among the award recipient's program beneficiaries and potential beneficiaries of assistance (e.g. tenants, community residents, counselees, trainees, etc.); (b) the recipient's primary and major program purposes; (c) resources of the recipient and size of the program; and (d) local housing, demographic, and community conditions and needs. Further guidance may be found at <http://www.lep.gov>.

(T) *Executive Order 13279 Equal Protection of the Laws for Faith-Based and Community Organizations.* HUD is committed to full implementation of 13279 and 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 grass-roots faith-based and other community-based organizations in HUD program implementation. As part of HUD's efforts to support the Administration's

Initiative, HUD has included Form HUD-23004, Survey on Ensuring Equal Opportunity for Applicants, with the standard forms in Appendix B of the General Section of this SuperNOFA. HUD asks that applicants complete this form to help HUD assess the extent of participation by grassroots faith-based and other community-based organizations.

(U) *Salary Limitation for Consultants.* FY 2003 funds may not be used to pay or to provide reimbursement for payment of the salary of a consultant at more than the daily equivalent of the rate paid for level IV of the Executive Schedule, unless specifically authorized by law.

VI. Application Selection Process

(A) *Threshold Compliance.* Only applications that meet all of the threshold requirements will be eligible to be rated and ranked.

(B) *Rating Panels.* To review and rate applications, HUD may establish panels which 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.

Rating. HUD will evaluate and rate all applications for funding that meet the threshold requirements.

- *Past Performance.* In evaluating applications for funding HUD will take into account applicants' past performance in managing funds, including 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 or available from public sources such as, but not limited to, newspapers, Inspector General or Government Accounting Office Reports or Findings, and/or hotline complaints that have been proven to have merit.

- *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 Program Section of this SuperNOFA.

Ranking. HUD will rank applicants within each program or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care section of this SuperNOFA. 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) *Factors for Award Used to Evaluate and Rate Applications.* For each program that is part of this SuperNOFA, 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 for up to four bonus points as provided in paragraphs (1) and (2) of this Section VI(C).

(1) *RC/EZ/EC.* The SuperNOFA provides for the award of two bonus points for eligible activities/projects that the applicant proposes to be located in federally designated Empowerment Zones (EZs), Enterprise Communities (ECs), Urban Enhanced Enterprise Communities (EECs), Strategic Planning Communities, or Renewal Communities (RCs), that serve the residents of these areas, and are certified to be consistent with the area's strategic plan. (For ease of reference in the SuperNOFA, all these federally designated areas are collectively referred to as "RC/EZ/ECs" and residents of any of these federally designated areas as "RC/EZ/EC residents.") The individual funding announcement will indicate if the bonus points are available for that funding. The SuperNOFA contains a certification that must be completed for the applicant to be considered for RC/EZ/EC bonus points. A list of RCs, EZs, ECs, EECs, and Strategic Planning Communities is attached to this General Section of the SuperNOFA as Appendix A-2 and is also available from the SuperNOFA Information Center, and the HUD Web site, <http://www.hud.gov>.

(2) *Brownfields Show Case Communities:* In the BEDI competition, two bonus points are available for federally designated Brownfields Show Case Communities. (Please see BEDI section of this SuperNOFA for additional information.) A list of the federally designated RCs, EZs, ECs, Enhanced ECs, and Brownfields Show Case Communities is available from the SuperNOFA Information Center or through the HUD Web site, <http://www.hud.gov>.

(D) *The Five Standard Rating Factors for FY 2003.* The majority of programs in this SuperNOFA use the five rating factors described below. Additional details about the five rating factors and the maximum points for each factor are provided in the Program Section of the SuperNOFA. You, the applicant, should carefully read the factors for award as described in the Program Section of the

SuperNOFA. HUD has established these five factors as the basic factors for award in every program that is part of this SuperNOFA. For a specific funding opportunity, however, HUD may modify these factors to take into account specific program needs or statutory or regulatory limitations imposed on a program. The standard factors for award, except as modified in the program area section, are:

Factor 1: Capacity of the Applicant and Relevant Organizational Staff

Factor 2: Need/Extent of the Problem

Factor 3: Soundness of Approach

Factor 4: Leveraging Resources

Factor 5: Achieving Results and

Program Evaluation

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

(E) *Negotiation.* After HUD has rated and ranked all applications and made selections, HUD may require, depending upon the program, that all selected applicants 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 this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant.

(F) *Adjustments to Funding.*

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

(2) 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 SuperNOFA; or may be duplicative of other funded programs or activities from prior year awards or other selected applicants. Only the eligible portions of your application (including non-duplicative portions) may be funded.

(3) 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. If funds remain after all selections have been made, remaining funds may be available for other competitions for each program where there is a balance of funds.

(4) In the event HUD commits an error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of this SuperNOFA, HUD may select that applicant when sufficient funds become available.

(G) *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.

VII. Application Submission Requirements

Be sure to read and follow the application submission requirements published in the Program Section for which you are applying. As noted above, once you have submitted one signed, original set of forms, certifications and assurances, you may send copies of these standard items with each additional application you submit.

VIII. Corrections to Deficient Applications

After the application due 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 failure to submit the proper certifications or failure to submit an application that contains an original signature by an authorized official or failure to submit the requested number of copies. In each case, 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 due 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. (Sections 202 and 811 Programs provide for appeal of rejection of an application on technical deficiency. Please see the Program Section for these programs for additional information and instructions.)

IX. Findings and Certifications

Environmental Impact. A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations at 24 CFR part 50 that implement Section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332). The Finding of No Significant Impact is available for public inspection between 8:00 a.m. and 5:00 p.m. in the Office of the General Counsel, Regulations Division, Room 10276, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410-0500.

X. Executive Orders and Congressional Intent

(A) *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 SuperNOFA 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.

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

(C) *Sense of Congress.* It is the sense of Congress, as published in section 409(a) of the Conference Report of HJR 2, that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made.

XI. Public Access, Documentation and Disclosure

(A) *Section 102 of the HUD Reform Act, Documentation and Public Access Requirements.* Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992, 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 this SuperNOFA as follows:

(1) *Documentation, public access, and disclosure requirements.* HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 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) *HUD Form 2880.* HUD will also make available to the public for five years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (also reported on HUD Form 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 decisions made by the Department to provide:

(i) Assistance subject to Section 102(a) of the HUD Reform Act; and/or

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

(4) *Debriefing.* Beginning 30 days after the awards for assistance are publicly announced and for at least 120 days after awards for assistance are publicly announced, HUD will provide a debriefing to any applicant requesting one on their application. All debriefing requests 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 "Further Information and Technical Assistance" in the Program Section of the SuperNOFA 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) *Section 103 of the HUD Reform Act.* HUD's regulations implementing Section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, subpart B, section 4.26(2)(c) *et. seq.* and 4.28 apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at 202-708-3815. (This is not a toll-free number.) 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.

XII. The FY 2003 SUPERNOFA Process and Future HUD Funding Processes

Each year, HUD strives to improve its SuperNOFA. The FY 2003 SuperNOFA

was revised based upon comments received during the FY 2002 funding process. 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. In FY 2004, as part of Public Law 106-107 streamlining efforts and the interagency eGrants Initiative, HUD anticipates making considerable changes to the format and presentation of its funding notices. We are continually striving to ensure effective communication with our program funding recipients and potential funding recipients. HUD has been posting pertinent documents related to these efforts on its website. HUD encourages you to visit our website on an ongoing basis to keep abreast of the latest developments. Our website address for information on the eGrants Initiative is <http://www.hud.gov/offices/adm/grants/egrants/egrants.cfm>. Information on Grant streamlining activities can be found on <http://www.hud.gov/offices/adm/grants/pl-106107/pl106-107.cfm>.

The description of programs for which funding is available under this SuperNOFA follows this General Section and its appendices.

Dated: April 15, 2003.

Mel Martinez,
Secretary.

APPENDIX A-1. LIST OF HUD FIELD OFFICES

Persons with hearing or speech impediments may access any of these numbers via TTY by calling the Federal Relay Service at 800-877-8339.

Region	Office	Address and phone numbers
NEW ENGLAND	Bangor, ME	Bangor Office 202 Harlow Street - Chase Bldg. Suite 101 P.O. Box 1384 Bangor, ME 04402-1384 OFC PHONE (207) 945-0467 FAX (207) 945-0533
	Boston, MA	Massachusetts State Office O'Neil Federal Building 10 Causeway Street, Room. 301 Boston, MA 02222-1092 OFC PHONE (617) 994-8200 FAX (617) 565-5257
	Burlington, VT	Burlington Office 159 Bank Street, 2nd Floor Burlington, VT 5401 OFC PHONE (802) 951-6290 FAX (802) 951-6298
	Hartford, CT	Hartford Office One Corporate Center Hartford, CT 06103-3220 OFC PHONE (860) 240-4800 x3100 FAX (860) 240-4850
	Manchester, NH	Manchester Office Norris Cotton Federal Bldg. 275 Chestnut Street Manchester, NH 03103-2487 OFC PHONE (603) 666-7510 x3016 FAX (603) 666-7667
	Providence, RI	Providence Office 10 Weybosset Street Sixth Floor Providence, RI 02903-2808 OFC PHONE (401) 528-5230 FAX (401) 528-5097
NEW YORK/NEW JERSEY	Albany, NY	Albany Area Office 52 Corporate Circle Albany, NY 12203-5121 OFC PHONE (518) 464-4200 Ext. 4204 FAX (518) 464-4300
	Buffalo, NY	Buffalo Area Office Lafayette Court, 5th Floor 465 Main Street Buffalo, NY 14203-1780 OFC PHONE (716) 551-5733 Ext. 5000 FAX (716) 551-5752
	Camden, NJ	Camden Area Office 2nd Floor - Hudson Bldg. 800 Hudson Square Camden, NJ 08102-1156 OFC PHONE (856) 757-5081 FAX (856) 757-5373
	New York, NY	New York State Office 26 Federal Plaza - Suite 3541 New York, NY 10278-0068 OFC PHONE (212) 264-1161 FAX (212) 264-3068
	Newark, NJ	Newark Office One Newark Center 13th Floor Newark, NJ 07102-5260 OFC PHONE (973) 622-7900 Ext. 3300 FAX (973) 645-2323
	Syracuse, NY	Syracuse Field Office 128 Jefferson Street Syracuse, NY 13202 OFC PHONE (315) 477-0616 FAX (315) 477-0196
MID-ATLANTIC	Baltimore, MD	Baltimore Office 10 South Howard Street, 5th Floor Baltimore, MD 21201-2505 OFC PHONE (410) 962-2520 Ext. 3474 FAX (410) 962-1849
	Charleston, WV	West Virginia State Office 405 Capitol Street, Suite 708 Charleston, WV 25301-1795 OFC PHONE (304) 347-7000 FAX (304) 347-7050
	Philadelphia, PA	Pennsylvania State Office The Wanamaker Building 100 Penn Square, East Philadelphia, PA 19107-3380 OFC PHONE (215) 656-0600 FAX (215) 656-3445
	Pittsburgh, PA	Pittsburgh Area Office 339 Sixth Avenue - Sixth Floor Pittsburgh, PA 15222-2515 OFC PHONE (412) 644-6436 FAX (412) 644-4240
	Richmond, VA	Richmond Office 600 East Broad Street Richmond, VA 23219 OFC PHONE (804) 771-2100 FAX (804) 771-2090
	Washington, DC	Washington, DC Office 820 First Street NE, Suite 300 Washington, DC 20002-4205 OFC PHONE (202) 275-9200 FAX (202) 275-9212
	Wilmington, DE	Wilmington Office 920 King Street, Suite 404 Wilmington, DE 19801 OFC PHONE (302) 573-6300 FAX (302) 573-6259
SOUTHEAST/CARIBBEAN	Atlanta, GA	Georgia State Office 40 Marietta Street - Five Points Plaza Atlanta, GA 30303-2806 OFC PHONE (404) 331-4111 FAX (404) 730-2392
	Birmingham, AL	Birmingham Office Medical Forum Building 950 22nd Street, North, Suite 900 Birmingham, AL 35203-2617 OFC PHONE (205) 731-2617 FAX (205) 731-2593

APPENDIX A-1. LIST OF HUD FIELD OFFICES

Persons with hearing or speech impediments may access any of these numbers via TTY by calling the Federal Relay Service at 800-877-8339.

Region	Office	Address and phone numbers
	Columbia, SC	South Carolina State Office 1835 Assembly Street 11th Floor Columbia, SC 29201-2480 OFC PHONE (803) 765-5592 FAX (803) 253-3040
	Greensboro, NC	North Carolina State Office Koger Building 2306 West Meadowview Road Greensboro, NC 27401-3707 OFC PHONE (336) 547-4001, 4002,4003 FAX (336) 547-4138
	Jackson, MS	Mississippi State Office McCoy Federal Building 100 W. Capitol Street, Room 910 Jackson, MS 39269-1096 OFC PHONE (601) 965- 4757 FAX (601) 965-4773
	Jacksonville, FL	Jacksonville Area Office 301 West Bay Street, Suite 2200 Jacksonville, FL 32202-5121 OFC PHONE (904) 232-2627 FAX (904) 232-3759
	Knoxville, TN	Knoxville Area Office 710 Locust Street, SW, Suite 310 Knoxville, TN 37902-2526 OFC PHONE (865) 545-4384 FAX (423) 545-4569
	Louisville, KY	Kentucky State Office 601 West Broadway PO Box 1044 Louisville, KY 40202 OFC PHONE (502) 582-5251 FAX (502) 582-6074
	Memphis, TN	Memphis Area Office 200 Jefferson Avenue, Suite 1200 Memphis, TN 38103-2335 OFC PHONE (901) 544-3367 FAX (901) 544-3697
	Miami, FL	Florida State Office 909 SE First Avenue Miami, FL 33131 OFC PHONE (305) 536-4652 FAX (305) 536-5765
	Nashville, TN	Tennessee State Office 235 Cumberland Bend, Suite 200 Nashville, TN 37228-1803 OFC PHONE (615) 736-5213 ext. 7120 FAX (615) 736-2018
	Orlando, FL	Orlando Area Office 3751 Maguire Boulevard, Room 270 Orlando, FL 32803-3032 OFC PHONE (407) 648-6441 FAX (407) 648-6310
	San Juan, PR	Caribbean Office 171 Carlos E. Chardon Avenue San Juan, PR 00918-0903 OFC PHONE (787) 766-5201 FAX (787) 766-5995
	Tampa, FL	Tampa Area Office 500 Zack Street, Suite 402 Tampa, FL 33602- 3945 OFC PHONE (813) 228-2026 FAX (813) 228-2431
MIDWEST	Chicago, IL	Illinois State Office Ralph Metcalfe Federal Building 77 West Jackson Boulevard Chicago, IL 60604-3507 OFC PHONE (312) 353- 5680 FAX (312) 886-2729
	Cincinnati, OH	Cincinnati Area Office 15 East 7th Street Cincinnati, OH 45202 OFC PHONE (513) 684-3451 FAX (513) 684-6224
	Cleveland, OH	Cleveland Area Office 1350 Euclid Avenue, Suite 500 Cleveland, OH 44115-1815 OFC PHONE (216) 522-4058 FAX (216) 522-4067
	Columbus, OH	Ohio State Office 200 North High Street, Room 700 Columbus, OH 43215-2499 OFC PHONE (614) 469-2540 FAX (614) 469-2432
	Detroit, MI	Michigan State Office 477 Michigan Avenue Detroit, MI 48226- 2592 OFC PHONE (313) 226-7900 FAX (313) 226-5611
	Flint, MI	Flint Area Office Municipal Center, North Building 1101 S. Saginaw Street Flint, MI 48502-1953 OFC PHONE (810) 766-5110 FAX (810) 766-5122
	Grand Rapids, MI	Grand Rapids Area Office Trade Center Building 50 Louis Street, N.W. Grand Rapids, MI 49503-2633 OFC PHONE (616) 456-2100 FAX (616) 456-2114
	Indianapolis, IN	Indianapolis State Office 151 North Delaware Street, Suite 1200 Indianapolis, IN 46204-2526 OFC PHONE (317) 226-6303 Ext. 7034 FAX (317) 226-6317
	Milwaukee, WI	Wisconsin State Office 310 West Wisconsin Avenue, Room 1380 Milwaukee, WI 53203-2289 OFC PHONE (414) 297-3214 Ext. 8000 FAX (414) 297-3947

APPENDIX A-1. LIST OF HUD FIELD OFFICES

Persons with hearing or speech impediments may access any of these numbers via TTY by calling the Federal Relay Service at 800-877-8339.

Region	Office	Address and phone numbers
SOUTHWEST	Minneapolis, MN	Minnesota State Office Kinnard Financial Center 920 Second Avenue South, Suite 1300 Minneapolis, MN 55402 OFC PHONE (612) 370-3000 Ext. 2201 FAX (612) 370-3220
	Springfield, IL	Springfield Office 320 West Washington St., 7th Fl. Springfield, IL 62707 OFC PHONE (217) 492-4120 FAX (217) 492-4154
	Albuquerque, NM	New Mexico State Office 625 Silver Avenue SW, Suite 100 Albuquerque, NM 87102-3185 OFC PHONE (505) 346-6463 Ext. 7332 FAX (505) 346-6704
	Dallas, TX	Dallas Office 525 Griffin Street, Rm. 860 Dallas, TX 75202-5007 OFC PHONE (214) 767-8300 FAX (214) 767-8973
	Ft. Worth, TX	Texas State Office 801 Cherry St. P.O. Box 2905 Ft. Worth, TX 76113-2905 OFC PHONE (817) 978-5980 FAX (817) 978-5567
	Houston, TX	Houston Area Office 2211 Norfolk #200 Houston, TX 77098-4096 OFC PHONE (713) 313-2274 Ext. 7021 FAX (713) 313-2319
SOUTHWEST	Little Rock, AR	Arkansas State Office 425 West Capitol Avenue #900 Little Rock, AR 72201-3488 OFC PHONE (501) 324-5401 FAX (501) 324-6142
	Lubbock, TX	Lubbock Area Office 1205 Texas Avenue, Room. 511 Lubbock, TX 79401-4093 OFC PHONE (806) 472-7265 Ext. 3030 FAX (806) 472-7275
	New Orleans, LA	New Orleans Office Hale Boggs Bldg. 501 Magazine St. 9th Fl. New Orleans, LA 70130-3099 OFC PHONE (504) 589-7201 FAX (504) 589-6619
	Oklahoma City, OK	Oklahoma State Office 500 W. Main Street, Suite 400 Oklahoma City, OK 73102-2233 OFC PHONE (405) 553-7500 FAX (405) 553-7588
GREAT PLAINS	San Antonio, TX	San Antonio Area Office 106 South Saint Mary, 1 Alamo Plaza San Antonio, TX 78207-4563 OFC PHONE (210) 475-6806 FAX (210) 472-6804
	Shreveport, LA	Shreveport Area Office 401 Edwards Street, Room. 1510 Shreveport, LA 71101 OFC PHONE (318) 676-3440 FAX (318) 676-3407
	Tulsa, OK	Tulsa Area Office 1516 S Boston Ave, Suite 100 Tulsa, OK 74119 OFC PHONE (918) 581-7434 FAX (918) 581-7440
	Des Moines, IA	Des Moines Office 210 Walnut Street, Rm. 239 Des Moines, IA 50309-2155 OFC PHONE (515) 284-4573 FAX (515) 284-4743
	Kansas City, KS	Kansas State Office 400 State Avenue, Room 200 Kansas City, KS 66101-2406 OFC PHONE (913) 551-5462 FAX (913) 551-5469
ROCKY MOUNTAINS	Omaha, NE	Omaha Office 10909 Mill Valley Road, Suite 100 Omaha, NE 68154-3955 OFC PHONE (402) 492-3103 FAX (402) 492-3150
	St. Louis, MO	Missouri State Office 1222 Spruce Street #3207 St. Louis, MO 63103-2836 OFC PHONE (314) 539-6560 FAX (314) 539-6384
	Casper, WY	Wyoming Office 100 East B Street, Rm. 1010 Casper, WY 82601-1969 OFC PHONE (307) 261-6251 FAX (307) 261-6245
	Denver, CO	Colorado State Office 633 17th Street, 14th Fl. Denver, CO 80202-3607 OFC PHONE (303) 672-5440 FAX (303) 672-5004
	Fargo, ND	North Dakota State Office 657 2nd Avenue North, Room 366 Fargo, ND 58108 OFC PHONE (701) 239-5040 FAX (701) 239-5249
	Helena, MT	Helena Field Office Power Block Bldg. 7 W 6th Avenue Helena, MT 59601 OFC PHONE (406) 449-5050 FAX (406) 449-5052
	Salt Lake City, UT	Salt Lake City Office 125 South State Street, Suite 3001 Salt Lake City, UT 84138 OFC PHONE (801) 524-6070 FAX (801) 524-3439

APPENDIX A-1. LIST OF HUD FIELD OFFICES

Persons with hearing or speech impediments may access any of these numbers via TTY by calling the Federal Relay Service at 800-877-8339.

Region	Office	Address and phone numbers
PACIFIC/HAWAII	Sioux Falls, SD	South Dakota State Office 2400 West 49th Street, Room. I-201 Sioux Falls, SD 57105-6558 OFC PHONE (605) 330-4223 FAX (605) 330-4428
	Fresno, CA	Fresno Area Office 2135 Fresno Street, Suite 100 Fresno, CA 93721-1718 OFC PHONE (559) 487-5033 FAX (559) 487-5191
	Honolulu, HI	Hawaii State Office 500 Ala Moana Blvd. #3A Honolulu, HI 96813-4918 OFC PHONE (808) 522-8175 Ext. 256 FAX (808) 522-8194
	Las Vegas, NV	Nevada State Office Atruim Bldg. 333 N. Rancho Drive - Suite 700 Las Vegas, NV 89106-3714 OFC PHONE (702) 388-6208 Ext. 6500 FAX (702) 388-6244
	Los Angeles, CA	Los Angeles Area Office 611 W. Sixth Street, Suite 800 Los Angeles, CA 90017 OFC PHONE (213) 894-8007 FAX (213) 894-8110
	Phoenix, AZ	Arizona State Office One Central Avenue, Suite 600 Phoenix, AZ 85004 OFC PHONE (602) 379-7100 FAX (602) 379-3985
	Reno, NV	Reno Area Office 3702 S. Virginia Street, Suite G-2 Reno, NV 89502-6581 OFC PHONE (775) 784-5356 FAX (775) 784-5066
	Sacramento, CA	Sacramento Area Office 925 L Street, Suite 175 Sacramento, CA 95814 OFC PHONE (916) 498-5220 Ext. 322 FAX (916) 498-5262
	San Diego, CA	San Diego Area Office Symphony Towers 750 B Street, Suite 1600 San Diego, CA 92101-8131 OFC PHONE (619) 557-5310 FAX (619) 557-5312
	San Francisco, CA	Fresno Area Office 450 Golden Gate Avenue P.O. Box 36003 San Francisco, CA 94102-3448 OFC PHONE (415) 436-6550 FAX (415) 436-6446
NORTHWEST/ALASKA	Santa Ana, CA	Santa Ana Area Office 1600 N. Broadway, Suite 101 Santa Ana, CA 92706-3927 OFC PHONE (714) 796-5577 Ext. 3006 FAX (714) 796-1285
	Tucson, AZ	Tucson Area Office 160 N. Stone Ave Tucson, AZ 85701 OFC PHONE (520) 670-6000 FAX (520) 670-6207
	Anchorage, AK	Alaska State Office 949 East 36th Avenue, Suite 401 Anchorage, AK 99508-4399 OFC PHONE (907) 271-4170 FAX (907) 271-3778
	Boise, ID	Idaho State Office Plaza IV, Suite 220 800 Park Boulevard Boise, ID 83712-7743 OFC PHONE (208) 334-1990 FAX (208) 334-9648
	Portland, OR	Oregon State Office 400 SW 6th Avenue #700 Portland, OR 97204-1632 OFC PHONE (503) 326-2561 FAX (503) 326-2568
	Seattle, WA	Washington State Office 909 First Avenue, Suite 200 Seattle, WA 98104-1000 OFC PHONE (206) 220-5101 FAX (206) 220-5108
	Spokane, WA	Spokane Area Office US Courthouse Bldg. 920 W. Riverside, Suite 588 Spokane, WA 99201-1010 OFC PHONE (509) 353-0674 ext. 3102 FAX (509) 353-0682

Appendix A-2 -- List of EZs, ECs, Urban Enhanced Enterprise Communities, Strategic Planning Communities, and Renewal Communities

Anchorage, AK

Susan Fison, Municipality of Anchorage, Department of Community Planning and Development
632 W. Sixth Ave.
Anchorage, AK 99501
(Ph.) 907-343-4303 (Fax) 907-343-4220
FisonSR@ci.anchorage.ak.us

Metlakatla Indian Community, AK

Solomon Atkinson, Metlakatla Indian Enterprise Community,
P.O. Box 8
Metlakatla, AK 99926-0008
(Ph.) 907-886-4441 (Fax) 907-886-4470
paultb@prialaska.net

Birmingham, AL

Keith Strother, City of Birmingham,
710 N. 20th St. City Hall, Third Floor
Birmingham, AL 35203
(Ph.) 205-254-2870 (Fax) 205-254-7741
kastrot@ci.birmingham.al.us

Chambers County, AL

Dawn Landholm, Chambers County Enterprise Community,
1130 Quintard Ave. Suite 300
Anniston, AL 36202
(Ph.) 256-237-6741 (Fax) 256-237-6763
dlandholm@adss.state.al.us

Greene/Sumter Counties, AL

Herlecia Hampton, Greene and Sumter Enterprise Community,
104 Hospital Dr.
Livingston, AL 35470
(Ph.) 205-652-7408 (Fax) 205-652-7410
greensum@bellsouth.net

Greene-Sumter, AL

Herlecia Hampton, Greene/Sumter Enterprise Community, Office of Planning & Development
104 Hospital Dr. P. O. Box 1786
Livingston, AL 35470
(Ph.) 205-652-7408 (Fax) 205-652-7410

Mobile, AL

Russ Wimberly, South Alabama Regional Planning Commission,
P.O. Box 1665
Mobile, AL 36633
(Ph.) 251-433-6541 (Fax) 251-433-6009
rwimberly@sarpc.org

Southern Alabama, AL

David S. Barley, II, State of Alabama, P.O. Box 5690
Montgomery, AL 36103
(Ph.) 334-242-5823 (Fax) 334-242-4203
davidb@adeca.state.al.us

Eastern Arkansas, AR

Robert Cole, Eastern Arkansas Enterprise Community,
1000 Airport Rd.
Forrest City, AR 72335
(Ph.) 870-630-2005 (Fax) 870-630-2035
eastarkec@arkansas.net

Casandra Lumpkin, Eastern Arkansas Enterprise Community,

1009 Airport Rd.
Forrest City, AR 72335
(Ph.) 870-630-2005 (Fax) 870-630-2035
eastarkec@arkansas.net

Mississippi County, AR

Sam Scruggs, Mississippi County Enterprise Community,
205 S. 2nd St. Former Market Airforce Base
Blytheville, AR 72316
(Ph.) 870-532-2348 (Fax) 870-532-2625
sameoc@arkansas.net

Pulaski County, AR

Odie Wilson, City of Little Rock
500 W. Markham St., Room 203
Little Rock, AR 72201
(Ph.) 501-371-4890 (Fax) 501-371-4498
owilson@littlerock.state.ar.us

Pulaski County, AR

Paige Grafton, County of Pulaski, Department of Community Services
201 S. Broadway St. Suite 220
Little Rock, AR 72201

(Ph.) 501-340-6157 (Fax) 501-340-8951

Pulaski County/Little Rock, AR

Henry L. McHenry, County of Pulaski, Enterprise Community Alliance, Inc.
3805 W. 12th St. Suite 205
Little Rock, AR 72204
(Ph.) 501-379-1543 (Fax) 501-379-1571
hlmchenry@aol.com

Arizona Border Region, AZ

Lisa Henderson, Arizona Border Region Enterprise Community,
3800 North Central/Suite 1200
Phoenix, AZ 85012
(Ph.) 602-280-8124 (Fax) 602-280-1470
lisah@azcommerce.com

Paul Melcher, Arizona Border Region Enterprise Community,

23222 1st Street
San Luis, AZ 85349
(Ph.) 520-627-2027 (Fax) 520-627-3879

J. Art Macias Jr., Arizona Border Region Enterprise Community,

425 Tenth Street
Douglas, AZ 85607
(Ph.) 520-364-7501 (Fax) 520-364-7507
Art.Macias@ci.douglas.az.us

Laura Ormales, Arizona Border Region Enterprise Community,

777 N. Grand Avenue
Nogales, AZ 85621
(Ph.) 520-287-6571 (Fax) 520-287-9159
lornellas@cityofnogales.net

Four Corners, AZ

Larry Rodgers, Four Corners Enterprise Communities,
151 E. 500 N.
Blanding, AZ 84511
(Ph.) 435-678-1468 (Fax)
lasar98@yahoo.com

Four Corners, AZ (Navajo Nation)

Ferdinand Notah, Four Corners Enterprise Community (Navajo Nation),
P.O. Box 4445
Kayenta, AZ 86033
(Ph.) 928-697-8225 (Fax) 928-697-8261

fnctah@yahoo.com

Phoenix, AZ

Jennifer Harper, City of Phoenix,
Department of Neighborhood Services
200 W. Washington St. Fourth Floor
Phoenix, AZ 85003-1611
(Ph.) 602-262-4730 (Fax) 602-534-1555
jharper@ci.phoenix.az.us

Tucson, AZ

Ethan Orr, City of Tucson
P.O. Box 27219
Tucson, AZ 85003-1611
(Ph.) 520-791-5093 (Fax) 520-791-5413
eorrl@ci.tucson.az.us

Central California, CA

Rebecca Mendibles, Central California
Enterprise Community,
407 S. Clovis Ave. Suite 109
Fresno, CA 93727
(Ph.) 559-452-0881 (Fax) 559-452-8038
bmendibles.serfrsno@netzero.net

City of Watsonville/County of Santa Cruz, CA

Anna Espinoza, City of
Watsonville/County of Santa Cruz
Enterprise Community,
231 Union St.
Watsonville, CA 95076
(Ph.) 831-763-4033 (Fax) 831-761-4031
aespinoz@ci.watsonville.ca.us

Desert Communities, CA

Jeffrey A. Hays, Desert Communities
Empowerment Zone,
53-990 Enterprise Way Suite 1
Coachella, CA 92236
(Ph.) 760-391-5050 (Fax) 760-391-5100
jeff@dcez.org

Oakland, CA

Mahlon Harmon, One Stop Capital Shop,
519 17th St. Sixth Floor
Oakland, CA 94612-2032
(Ph.) 510-238-2353 (Fax) 510-238-7999
mharmon@oakland1stop.org

Fresno, CA

Fred Burkhardt, City of Fresno, Office of
the City Manager
2600 Fresno St.
Fresno, CA 93721-3601
(Ph.) 559-621-8350 (Fax) 559-488-1078
fred.burkhardt@ci.fresno.ca.us

Imperial County, CA

Ken Hollis, Imperial County Enterprise
Community,
836 Main St.
El Centro, CA 92243
(Ph.) 760-337-7814 (Fax) 760-337-8907
kenhollis@imperialcounty.net

Los Angeles County/Huntington Park, CA

Alice DeCastro, City of Los Angeles
Department of Community Development
215 W. Sixth St. Third Floor
Los Angeles, CA 90014
(Ph.) 213-485-1023 (Fax) 213-847-0890
adecastro@cdd.lacity.org

Robert Perez, City of Los Angeles,
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215 W. Sixth St. Third Floor
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Lillian Kawasaki, City of Los Angeles,
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Los Angeles, CA 90014
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Cliff Weiss, City of Los Angeles,
Community Development Department
215 W. Sixth St.
Los Angeles, CA 90014
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Orange Cove, CA

Jose Antonio Ramirez, City of Orange
Cove,
633 Sixth St.
Orange Cove, CA 93646
(Ph.) 559-626-4488 (Fax) 559-626-4653
jramirez@mp.usbr.gov

Parlier, CA

Lou Martinez, City of Parlier
Department of Economic Development
1100 E. Parlier Ave.
Parlier, CA 93648
(Ph.) 559-646-3545 (Fax) 559-646-2084
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Al Puente, City of Parlier
Office of the City Manager
1100 E. Parlier Ave.
Parlier, CA 93648
(Ph.) 559-646-3545 (Fax)
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San Diego, CA

Ples Felix, City of San Diego,
600 B St., Fourth Floor MS 904
San Diego, CA 92101-4506
(Ph.) 619-533-5442 (Fax) 619-533-5250
PFelix@sandiego.gov

San Francisco, CA

Al Lerma, City of San Francisco, Office
of the Mayor
25 Van Ness Ave. Suite 700
San Francisco, CA 94102
(Ph.) 415-252-3134 (Fax) 415-252-3110
albert.lerma@sfgov.org

Santa Ana, CA

Bill Manis, City of Santa Ana,
Community Development Agency
P.O. Box 1988
Santa Ana, CA 92702
(Ph.) 714-647-5372 (Fax) 714-647-6580
wmanis@ci.santa-ana.ca.us

Denver, CO

Betty Jean Brooks, City and County of
Denver, Housing and Neighborhood
Development Services, Focus
Neighborhood Initiative
216 16th St.
Denver, CO 80202-5124
(Ph.) 720-913-1545 (Fax) 720-913-1800
b.j.brooks@ci.denver.co.us

Bridgeport, CT

Rina Bakalar, City of Bridgeport, Office
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Bridgeport, CT 06604
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Dawn Savo, City of Bridgeport, Office of
Central Grants
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Bridgeport, CT 06604
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savod0@ci.bridgeport.ct.us

New Haven, CT

Daniel Newell, Children's Center of
Hamden,
1400 Whitney Ave.
Hamden, CT 06517
(Ph.) 203-248-2117 (Fax) 203-248-2572
dnewell@childrenscenterofhamden.org

Stephen Robinson, Empower New Haven,
Inc.
59 Elm St., Suite 410
New Haven, CT 06510
(Ph.) 203-776-2777 (Fax) 203-776-0537

stephenrobinson@snet.net

District of Columbia

Gregory A. Johnson, District of
Columbia, Office of the Deputy Mayor
1350 Pennsylvania Ave., N.W., Room
317
Washington, DC 20004
(Ph.) 202-727-6883 (Fax) 202-727-6703
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Wilmington, DE

Edwina Bell-Mitchell, Wilmington
Enterprise Community/New Castle
County,
800 French St. Louis L. Redding Bldg.,
Ninth Floor
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Empowerment Alliance of Southwest Florida, FL

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Jacksonville, FL

Roslyn Phillips, Jacksonville Economic
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Miami/Dade, FL

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Empowerment Trust, Inc.,
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Tampa, FL

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(Ph.) 813-274-7954 (Fax) 813-274-7745
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Albany, GA

Julie Duke, City of Albany, Office of the
City Manager, Community Services
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Atlanta, GA

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Central Savannah River Area, GA

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(Ph.) 706-210-2000 (Fax) 706-210-2006
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Southwest Georgia United, GA

Robert Cooke, Southwest Georgia United
Empowerment Zone,
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Vienna, GA 31092

(Ph.) 229-268-7592 (Fax) 229-268-7595
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Molokai, HI

Karen M. Holt, Molokai Enterprise
 Community,
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 Kaunakakai, HI 96748
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Stacy Crivello, Molokai Enterprise
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 Des Moines, IA 50309
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Chicago, IL

Wallace Goode, City of Chicago,
 20 N. Clark St. 28th Floor
 Chicago, IL 60602-5086
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East St. Louis, IL

Ralph Muhammad, East St. Louis
 Enterprise Community/Vision 20/20,
 301 River Park Dr. Third Floor
 East St. Louis, IL 62201
 (Ph.) 618-482-6642 (Fax) 618-482-6788
ralphmuhammad@accessus.net

Southernmost Illinois Delta, IL

Donna Raynalds, Southernmost Illinois
 Delta Empowerment Zone,
 203 Rustic Campus Dr.
 Ullin, IL 62992
 (Ph.) 618-634-9471 (Fax) 618-634-9452
djraynalds@sidezoffice.org

Springfield, IL

Cleatia Bowen, City of Springfield, Office
 of Planning and Economic Development
 231 S. Sixth St.

Springfield, IL 62701
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Gary/Hammond/East Chicago, IN

John D. Artis, City of East Chicago,
 Department of Redevelopment and
 Housing Authority
 P.O. Box 498
 East Chicago, IN 46312-0498
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jdart@neinitco.net

Venus Cobb, City of Gary/East
 Chicago/Hammond, Empowerment Zone
 Office
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eva.gladstein@phila.gov

Philadelphia, PA/Camden, NJ

Eva Gladstein, City of Philadelphia,
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Pittsburgh, PA

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Department of Planning
200 Ross St. Fourth Floor
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Brandi.Rosselli@city.pittsburgh.pa.us

Providence, RI

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The Providence Plan
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Providence, RI 02903
(Ph.) 401-455-8880 (Fax) 401-331-6840
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Allendale ALIVE, SC

Allendale County ALIVE Enterprise Community,
P.O. Box 252
Allendale, SC 29810
(Ph.) 803-584-3600 (Fax) 803-584-0700

Henry Lefite, Allendale County ALIVE Enterprise Community,
P.O. Box 252
Allendale, SC 29810
(Ph.) 803-584-3600 (Fax) 803-584-0700
acalive@barnwellsc.com

Charleston, SC

Jacquetta P. Jones, City of Charleston,
Department of Housing and Community
Development
75 Calhoun St. Third Floor
Charleston, SC 29401
(Ph.) 843-579-7636 (Fax) 843-965-4180
ionesj@ci.charleston.sc.us

Charleston, SC

Patricia Crawford, City of Charleston,
Department of Housing and Community
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75 Calhoun St. Division 616
Charleston, SC 29401-3506
(Ph.) 843-724-3766 (Fax) 843-965-4180
crawfordp@ci.charleston.sc.us

Sumter/Columbia, SC

Milton Smalls, Sumter/Columbia
Empowerment Zone, Department of
Community Services
1225 Laurel St.
Columbia, SC 29201
(Ph.) 803-545-3336 (Fax) 803-733-8312
masmall@columbiasc.net

Leona Plaugh, City of Columbia,
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Columbia, SC 29202-0147
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Talmadge Tobias, City of Sumter,
P.O. Box 1449
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Sumter/Columbia, SC

Chikwe Njoku, Sumter/Columbia
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cnjoku@sumter-sc.com

Williamsburg/Lake City, SC

John H. Whittleton, Williamsburg/Lake
City Enterprise Community,
P.O. Box 428 114 W. Main St.
Kingstree, SC 29556
(Ph.) 843-354-9070 (Fax) 843-354-3252
ecwecc@fic-i.net

Beadle-Spink, SD

Lori Hintz, Beadle & Spink Enterprise
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Yale, SD 57386
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Oglala Sioux Tribe/Pine Ridge, SD

David "Tally" Plume, Oglala Sioux-Pine
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Chattanooga, TN

Amy Walker Cherry, City of
Chattanooga, Office of the Mayor
City Hall, Suite 100
Chattanooga, TN 37402
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cherry_a@mail.chattanooga.gov

Clinch-Powell, TN

Lindy Turner, Clinch-Powell Enterprise
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Fayette/Haywood County, TN

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Knoxville, TN

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dlobertini@ci.knoxville.tn.us

Terrence Carter, Partnership for
Neighborhood Improvement,
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(Ph.) 865-251-5300 (Fax) 865-522-5085
tcarter@pmiez.org

Memphis, TN

Joseph C. Gibbs, City of Memphis,
Business Development Center
555 Beale St.
Memphis, TN 38103-3297
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jgibbs@memphisbdc.org

Dottie Jones, City of Memphis, Office of
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dottie.jones@cityofmemphis.org

Nashville, TN

Paul Johnson, City of Nashville/County of
Davidson, Metropolitan Development and
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Scott-McCreary, TN

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Corpus Christi, TX

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Dallas, TX

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El Paso County, TX

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FUTURO, TX

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Houston, TX

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Rio Grande Valley, TX

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Accomack/Norhampton, VA

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Norfolk/Portsmouth, VA

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Northeast Kingdom of Vermont REAP EZ

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Tacoma, WA

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Yakima, WA

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Milwaukee, WI

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Milwaukee, WI 53202
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lwake@mkedcd.org

Laura Wake, City of Milwaukee, Department of Economic Development
809 N. Broadway
Milwaukee, WI 53202-2617
(Ph.) 414-286-8639 (Fax) 414-286-5467
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Northwoods NiiJii, WI

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Huntington, WV/Ironton, OH

Cathy Burns, Huntington WV/Ironton OH Empowerment Zone Inc.,
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McDowell County, WV

Dr. Clif Moore, McDowell County Enterprise Community.

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Wilcoe, WV 24895
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mcan24895@yahoo.com

Upper Kanawha Valley, WV

Ben Newhouse, Upper Kanawha Valley Enterprise Community,
200 Upper Kanawha Valley Way
Cabin Creek, WV 25035
(Ph.) 304-595-5991 (Fax) 304-595-5993
bnewhouse@ukvac.org

APPENDIX A-3. OFFICE OF NATIVE AMERICAN PROGRAMS (ONAP)

Persons with hearing or speech impediments may access any of these numbers via TTY by calling the Federal Relay Service at 800-877-8339.

Location of Tribes and TDDEs	ONAP Contact Information
All States east of the Mississippi River (plus Minnesota and Iowa)	Eastern/Woodlands Office of Native American Programs, SAPI Metcalfe Federal Building 77 West Jackson Boulevard, Room 2400 Chicago, IL 60604-3507 312-886-4532 or 800-735-3239
Kansas, Louisiana, Missouri, Oklahoma, and Texas (except for Ysleta del Sur)	Southern Plains Office of Native American Programs, 6IPI 500 West Main Street, Suite 400 Oklahoma City, OK 73102 405-553-7520 TDD Number: 405-553-7480
Colorado, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming	Northern Plains Office of Native American Programs, 8API Wells Fargo Tower, North 633 17th Street Denver, CO 80202-3607 303-672-5465 TDD Number: 303-672-5116
All Regions	Denver Program Office of Native American Programs 1999 Broadway, Suite 3390, Box 4 Denver, CO 80202 303-675-1600 or 800-561-5913
Arizona, California, New Mexico, Nevada, and Ysleta del Sur in Texas	Southwest Office of Native American Programs, 9EPI One North Central Avenue, Suite 600 Phoenix, AZ 85004-2361 602-379-7200 OR Southwest Office of Native American Programs (Albuquerque Office), 9EPI 625 Silver Avenue, SW., Suite 300 Albuquerque, NM 87102 505-346-6923
Idaho, Oregon, and Washington	Northwest Office of Native American Programs, OAPI 909 First Avenue, Suite 300 Seattle, WA 98104-1000 206-220-5270 TDD Number: 206-220-5185
Alaska	Alaska Office of Native American Programs, OCPI 949 East 36th Avenue, Suite 401 Anchorage, AK 99508-4399 907-271-4633 TDD Number: 907-271-4328

Appendix B

This appendix to the General Section of the SuperNOFA contains the standard forms, certifications, and assurances used by the majority if not all the programs that are part of the SuperNOFA.

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.)

1. Type of Federal Action: <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	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
11. 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 reported to the Congress semi-annually and 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: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

Application for Federal Assistance

U.S. Department of Housing and Urban Development

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

1. Type of Submission

Application

Preapplication

2. Date Submitted	4. HUD Application Number
3. Date and Time Received by HUD	5. Existing Grant Number
	6. Applicant Identification Number

7. Applicant's Legal Name		8. Organizational Unit																	
9. Address (give city, county, State, and zip code) A. Address: B. City: C. County: D. State: E. Zip Code:		10. Name, title, telephone number, fax number, and e-mail of the person to be contacted on matters involving this application (including area codes) A. Name: B. Title: C. Phone: D. Fax: E. E-mail:																	
11. Employer Identification Number (EIN) or SSN		12. Type of Applicant (enter appropriate letter in box)																	
13. Type of Application <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Renewal <input type="checkbox"/> Revision If Revision, enter appropriate letters in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Amount B. Decrease Amount C. Increase Duration D. Decrease Duration E. Other (Specify)		<table border="0"> <tr> <td>A. State</td> <td>I. University or College</td> </tr> <tr> <td>B. County</td> <td>J. Indian Tribe</td> </tr> <tr> <td>C. Municipal</td> <td>K. Tribally Designated Housing Entity (TDHE)</td> </tr> <tr> <td>D. Township</td> <td>L. Individual</td> </tr> <tr> <td>E. Interstate</td> <td>M. Profit Organization</td> </tr> <tr> <td>F. Intermunicipal</td> <td>N. Non-profit</td> </tr> <tr> <td>G. Special District</td> <td>O. Public Housing Authority</td> </tr> <tr> <td>H. Independent School District</td> <td>P. Other (Specify)</td> </tr> </table>		A. State	I. University or College	B. County	J. Indian Tribe	C. Municipal	K. Tribally Designated Housing Entity (TDHE)	D. Township	L. Individual	E. Interstate	M. Profit Organization	F. Intermunicipal	N. Non-profit	G. Special District	O. Public Housing Authority	H. Independent School District	P. Other (Specify)
A. State	I. University or College																		
B. County	J. Indian Tribe																		
C. Municipal	K. Tribally Designated Housing Entity (TDHE)																		
D. Township	L. Individual																		
E. Interstate	M. Profit Organization																		
F. Intermunicipal	N. Non-profit																		
G. Special District	O. Public Housing Authority																		
H. Independent School District	P. Other (Specify)																		
15. Catalog of Federal Domestic Assistance (CFDA) Number 14 -- Title: Component Title:		14. Name of Federal Agency U.S. Department of Housing and Urban Development																	
17. Areas affected by Program (boroughs, cities, counties, States, Indian Reservation, etc.)		16. Descriptive Title of Applicant's Program																	
18a. Proposed Program start date	18b. Proposed Program end date	19a. Congressional Districts of Applicant	19b. Congressional Districts of Program																
20. Estimated Funding: Applicant must complete the Funding Matrix on Page 2.																			
21. Is Application subject to review by State Executive Order 12372 Process? A. Yes <input type="checkbox"/> This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date _____ B. No <input type="checkbox"/> Program is not covered by E.O. 12372 <input type="checkbox"/> Program has not been selected by State for review.																			
22. Is the Applicant delinquent on any Federal debt? <input type="checkbox"/> No <input type="checkbox"/> Yes If "Yes," explain below or attach an explanation.																			

Funding Matrix									
The applicant must provide the funding matrix shown below, listing each program for which HUD funding is being requested, and complete the certifications.									
Grant Program*	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income	Total
Grand Totals									
* For FHIPs, show both initiative and component									
<p>Certifications</p> <p>I certify, to the best of my knowledge and belief, that no Federal appropriated 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with the awarding of this Federal grant or its extension, renewal, amendment or modification. If funds other than Federal appropriated funds have or will be paid for influencing or attempting to influence the persons listed above, I shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying. I certify that I shall require all sub awards at all tiers (including sub-grants and contracts) to similarly certify and disclose accordingly.</p> <p>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 under State law are not excluded from the statute's coverage.</p> <p>This application incorporates the Assurances and Certifications (HUD-424B) attached to this application or renews and incorporates for the funding you are seeking the Assurances and Certifications currently on file with HUD. To the best of my knowledge and belief, all information in this application is true and correct and constitutes material representation of fact upon which HUD may rely in awarding the agreement.</p>									
23. Signature of Authorized Official					Name (printed)				
Title							Date (mm/dd/yyyy)		

Applicant Assurances and Certifications	U.S. Department of Housing and Urban Development	OMB Approval No. 2501-0017 (exp. 03/31/2005)
Instructions for the HUD-424-B Assurances and Certifications		
As part of your application for HUD funding, you, as the official authorized to sign on behalf of your organization or an individual must provide the following assurances and certifications. By signing this form, you are stating that to the best of your knowledge and belief, all assertions are true and correct.		
As the duly authorized representative of the applicant, I certify that the applicant [insert below the Name and title of the Authorized Representative, name of Organization and the date of signature]:		
Name: _____, Title: _____		
Organization: _____, Date: _____		
<p>1. Has the legal authority to apply for Federal assistance, has the institutional, managerial and financial capability (including funds to pay the non-Federal share of program costs) to plan, manage and complete the program as described in the application and the governing body has duly authorized the submission of the application, including these assurances and certifications, and authorized me as the official representative of the applicant to act in connection with the application and to provide any additional information as may be required.</p> <p>2. Will administer the grant in compliance with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000(d)) and implementing regulations (24 CFR Part 1), which provide that no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance OR if the applicant is a Federally recognized Indian tribe or its tribally designated housing entity, is subject to the Indian Civil Rights Act (25 U.S.C. 1301-1303).</p> <p>3. Will administer the grant in compliance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended, and implementing regulations at 24 CFR Part 8, and the Age Discrimination Act of 1975 (42 U.S.C. 6101-07), as amended, and implementing regulations at 24 CFR Part 146 which together provide that no person in the United States shall, on the grounds of disability or age, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance; except if the grant program authorizes or limits participation to designated populations, then the applicant will comply with the nondiscrimination requirements within the designated population.</p> <p>4. Will comply with the Fair Housing Act (42 U.S.C. 3601-19), as amended, and the implementing regulations at 24 CFR Part 100, which prohibit discrimination in housing on the basis of race, color, religion, sex, disability, familial status, or national origin; except an applicant which is an Indian tribe or its instrumentality which is excluded by statute from coverage does not make this certification, and further except if the grant program authorizes or limits participation to designated populations, then the applicant will comply with the nondiscrimination requirements within the designated population.</p>	<p>5. Will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (42 U.S.C. 4601) and implementing regulations at 49 CFR Part 24 and 24 CFR 42, Subpart A.</p> <p>6. Will comply with the environmental requirements of the National Environmental Policy Act (42 U.S.C. 4321 <i>et seq.</i>) and related Federal authorities prior to the commitment or expenditure of funds for property acquisition and physical development activities subject to implementing regulations at 24 CFR parts 50 or 58.</p> <p>7. Will or will continue to provide a drug-free workplace by:</p> <p>(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;</p> <p>(b) Establishing an on-going drug-free awareness program to inform employees about --</p> <p>(1) The dangers of drug abuse in the workplace;</p> <p>(2) The applicant's policy of maintaining a drug-free workplace;</p> <p>(3) Any available drug counseling, rehabilitation, and employee assistance programs; and</p> <p>(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;</p> <p>(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required in Paragraph (a);</p> <p>(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --</p> <p>(1) Abide by the terms of the statement; and</p> <p>(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;</p>	

Applicant Assurances and Certifications (Continued)	U.S. Department of Housing and Urban Development	OMB Approval No. 2501-0017 (exp. 03/31/2005)
<p>(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee has worked, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;</p> <p>(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted--</p> <p>(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or</p> <p>(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency;</p> <p>(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).</p> <p>(h). The applicant may insert in the space provided below the site(s) for the performance of work or may provide this information in connection with each application.</p> <p>(i). Place of Performance (street address, city, county, state, zip code)</p> <p>8. In accordance with 24 CFR Part 24, and its principals:</p> <p>(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;</p> <p>(b) Have not within a three year period preceding this proposal, been convicted of or had a civil judgement 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 antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;</p> <p>(c) Are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in the preceding paragraph of this certification; and</p> <p>(d) Where the applicant is unable to certify to any of the statements in this certification, an explanation shall be attached.</p>	<p>(e) Will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the HUD without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.</p> <p>These certifications and assurances are material representations of the fact upon which HUD can rely when awarding a grant. If it is later determined that I, the applicant, knowingly made an erroneous certifications or assurance, I may be subject to criminal prosecution. HUD may also terminate the grant and take other available remedies.</p>	

CMB Approval No. 2501-0017
(exp. 03/31/2006)

U.S. Department of Housing
and Urban Development

**Budget Summary for
Competitive Grant Programs**

Section A - Budget Categories

1. Object Class Categories	Grant Program, Function or Activity							Total
	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	
a. Personnel (Direct Labor)	\$	\$	\$	\$	\$	\$	\$	\$
b. Fringe Benefits								
c. Travel								
d. Equipment (Only Items > \$5,000 Depreciated Value)								
e. Supplies (Only Items with Depreciated Value < \$5,000)								
f. Contractual								
g. Construction								
1. Administrative and legal expenses								
2. Land, structures, rights-of way, appraisals, etc.								
3. Relocation expenses and payments								
4. Architectural and engineering fees								
5. Other architectural and engineering fees								
6. Project inspection fees								
7. Site Work								
8. Demolition and removal								
9. Construction								
10. Equipment								
11. Contingencies								
12. Miscellaneous								
h. Other (Direct Costs)								
1.								
2.								
3.								
4.								
5.								
6.								
i. Indirect Charges (% Approved Indirect Cost Rate: %)								
j. Total Costs								
k. Program Income								

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 consolidates OMB's Standard Form 424-A (Budget Summary - Non-Construction Programs) and Standard Form 424-C (Budget Summary Construction Programs) into a single Summary Budget for use with HUD competitive program applications.

This form is designed so that an application can be made for any of HUD's grant programs. 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 be separately shown by function or activity.

Your budget information should show the entire cost of your proposed program of activities, if you are not doing construction as part of your program, you do not have to complete that information.

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.

Section A. Budget Categories

For each budget category (personnel, fringe benefits, travel, etc.) you should complete 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 - 6 across and place the total in Column 9.

Section A. Budget Categories (Continued)

Object Class Categories

be broken out under each column.

Lines a-f--Show the totals of Lines 1a to 1f in each column.

Line g.1.--

are related to the normal functions of government.

Line g.2.--

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,

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

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

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

Line i.--

Line j.--Total all the budget categories and place the amounts under each column of line j.

Line k

determining the total amount of the grant award.

Instructions for the HUD Grant Application Detailed Budget Form

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

General Instructions

This form is designed so that an application can be made for any of HUD's grant programs. Space is provided for 3 separate program years. 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-f--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.-- Line j.--Indicate the approved Indirect Cost Rate (if any) and calculate the indirect cost by Grand Total (by Year)--Enter the sum of lines i. and j. under column 9 for each year. column as follows: Column 1 which you are seeking funding. Column 2 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 - through your formula or competitive grant programs. Column 5 - Identify any State funds that you will be adding to this program. Column 6 - program. Column 7 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.

U.S. Department of Housing and Urban Development									
OMB Approval No. 2501-0017 (exp. 03/31/2005)									
Grant Application Detailed Budget									
(Applicant should duplicate this first page as necessary)									
Name of Project/Activity:	Functional Categories (Year 1)								
	Column 1 HUD Share	Column 2 Applicant Match	Column 3 Other HUD Funds	Column 4 Other Federal Share	Column 5 State Share	Column 6 Local/Tribal Share	Column 7 Other	Column 8 Program Income	Column 9 Total
a. Personnel (Direct Labor)	\$	\$	\$	\$	\$	\$	\$	\$	\$
b. Fringe Benefits									
c. Travel									
d. Equipment (Only Items > \$5,000 Depreciated Value)									
e. Supplies (Only Items with Depreciated Value < \$5,000)									
f. Contractual									
g. Construction									
1. Administration and legal expenses									
2. Land, structures, rights-of-way, appraisals, etc.									
3. Relocation expenses and payments									
4. Architectural and engineering fees									
5. Other architectural and engineering fees									
6. Project inspection fees									
7. Site work									
8. Demolition and removal									
9. Construction									
10. Equipment									
11. Contingencies									
12. Miscellaneous									
h. Other (Direct Costs)									
i. Subtotal of Direct Costs									
j. Indirect Costs (% Approved Indirect Cost Rate: %)									
Grand Total (Year 1):									

Grant Application Detailed Budget (Applicant should duplicate this first page as necessary)		U.S. Department of Housing and Urban Development Functional Categories (Year 2)								
		Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9
Name of Project/Activity:		HUD Share	Applicant Match	Other HUD Funds	Federal Share	State Share	Local/Tribal Share	Other	Program Income	Total
a. Personnel (Direct Labor)	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
b. Fringe Benefits										
c. Travel										
d. Equipment (Only Items > \$5,000 Depreciated Value)										
e. Supplies (Only Items with Depreciated Value < \$5,000)										
f. Contractual										
g. Construction										
1. Administration and legal expenses										
2. Land, structures, rights-of-way, appraisals, etc.										
3. Relocation expenses and payments										
4. Architectural and engineering fees										
5. Other architectural and engineering fees										
6. Project inspection fees										
7. Site work										
8. Demolition and removal										
9. Construction										
10. Equipment										
11. Contingencies										
12. Miscellaneous										
h. Other (Direct Costs)										
i. Subtotal of Direct Costs										
j. Indirect Costs (% Approved Indirect Cost Rate: _____ %)										
Grand Total (Year 2):										

Grant Application Detailed Budget (Applicant should duplicate this first page as necessary)									
U.S. Department of Housing and Urban Development OMB Approval No. 2501-0017 (exp. 03/31/2005)									
Functional Categories (Year 3)									
Name of Project/Activity:	Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9
	HUD Share	Applicant Match	Other HUD Funds	Federal Share	State Share	Local/Tribal Share	Other	Program Income	Total
	\$	\$	\$	\$	\$	\$	\$	\$	\$
a. Personnel (Direct Labor)									
b. Fringe Benefits									
c. Travel									
d. Equipment (Only items > \$5,000 Depreciated Value)									
e. Supplies (Only items with Depreciated Value < \$5,000)									
f. Contractual									
g. Construction									
1. Administration and legal expenses									
2. Land, structures, rights-of-way, appraisals, etc.									
3. Relocation expenses and payments									
4. Architectural and engineering fees									
5. Other architectural and engineering fees									
6. Project inspection fees									
7. Site work									
8. Demolition and removal									
9. Construction									
10. Equipment									
11. Contingencies									
12. Miscellaneous									
h. Other (Direct Costs)									
i. Subtotal of Direct Costs									
j. Indirect Costs (% Approved Indirect Cost Rate: ___%)									
Grand Total (Year 3):									

Instructions for Completing the Grant Application Detailed Budget Worksheet

Item	Discussion
	<p>This form is to be used to provide detailed budget information regarding your proposed program. If your program requires you to provide program activity information you should use a separate HUD-424-CBW to provide information related to each program activity. The detailed information provided on this form should be summarized on either the HUD-424-C or HUD-424-CB forms depending on whether you are requesting funding for a one year period or a multi year period of performance.</p>
<p>1 - Personnel (Direct Labor)</p>	<p>This section should show the labor costs for all individuals supporting the grant program effort (regardless of the source of their salaries). The hours and costs are for the full life of the grant. If an individual is employed by a contractor or sub-grantee, their labor costs should not be shown here.</p> <p>Please include all labor costs which are associated with the proposed grant program, including those costs which will be paid for with in-kind or matching funds.</p> <p>Do not show fringe or other indirect costs in this section.</p> <p>Please use the hourly labor cost for salaried employees (use 2080 hours per year or the value your organization uses to perform this calculation). An employee working less than full time on the grant should show the numbers of hours they will work on the grant.</p>
<p>2 - Fringe Benefits</p>	<p>Use the standard fringe rates used by your organization. You may use a single fringe rate (a percentage of the total direct labor) or list each of the individual fringe charges. The spreadsheet is set up to use the Total Direct Labor Cost as the base for the fringe calculation. If your organization calculates fringe benefits differently, please use a different base and discuss how you calculate fringe as a comment.</p>
<p>3 - Travel</p>	
<p>3a - Transportation - Local Private Vehicle</p>	<p>If you plan on reimbursing staff for the use of privately owned vehicles or if you are required to reimburse your organization for mileage charges, show your mileage and cost estimates in this section.</p>
<p>3b - Transportation - Airfare</p>	<p>Show the estimated cost of airfare required to support the grant program effort. Show the destination and the purpose of the travel as well as the estimated cost of the tickets.</p> <p>Each program NOFA discusses the travel requirements which should be listed here.</p>
<p>3c - Transportation - Other</p>	<p>If you or are charged monthly by your organization for a vehicle for use by the grant program, indicate those costs in this section.</p> <p>Provide estimates for other transportation costs which may be incurred (metro, etc.).</p>

form HUD-424-CBW-1 (1/2003)

3d - Per Diem or Subsistence	<p>For travel which will require the payment of subsistence or per diem in accordance with your organization's policies. Indicate the location of the travel.</p> <p>Each program NOFA discusses the travel requirements which should be listed here.</p>
4 - Equipment	<p>Equipment is defined by HUD regulations as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.</p> <p>Each program NOFA describes what equipment may be purchased using grant funding.</p>
5 - Supplies and Materials	<p>Supplies and materials are consumable and non-consumable items which have a depreciated unit value of less than \$5,000. Please list the proposed supplies and materials as either Consumable Supplies or as Non-Consumable Materials.</p>
5a - Consumable Supplies	<p>List the consumable supplies you propose to purchase. General office or other common supplies may be estimated using an anticipated consumption rate.</p>
5b - Non-consumable materials	<p>List furniture, computers, printers, and other items which will not be consumed in use. Please list the quantity and unit cost.</p>
6 - Consultants	<p>Please indicate the consultants you will use. Indicate the type of consultant (skills), the number of days you expect to use them, and their daily rate.</p>
7 - Contracts and Sub-Grantees	<p>List the contractors and sub-grantees which will help accomplish the grant effort. Examples of contracts which should be shown here include contracts with Community Based Organizations; liability insurance; and training and certification for contractors and workers.</p> <p>If any contractor, sub-contractor, or sub-grantee is expected to receive over 10% of the total Federal amount requested, a separate Grant Application Detailed Budget (Worksheet) should be developed for that contractor or sub-grantee and the total amount of their proposed effort should be shown as a single entry in this section.</p> <p>Unless your proposed program will perform the primary grant effort with in-house employees (which should be listed in section 1), the costs of performing the primary grant activities should be shown in this section.</p> <p>Types of activities which should be shown in this section:</p> <ul style="list-style-type: none"> • Contracts for all services • Training for individuals not on staff • Contracts with Community Based Organizations or Other Governmental Organizations (note the 10% requirement discussed above) • Insurance if your program will procure it separately <p>Please provide a short description of the activity the contractor or subgrantee will perform, if not evident</p>

form HUD-424-CBW-I (1/2003)

8 – Construction Costs	
8a – Administrative and legal expenses	Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government.
8b – Land, structures, rights-of way, appraisal, etc.	Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).
8c – Relocation expenses and payments	Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.
8d – Architectural and engineering fees	Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).
8e – Other architectural and engineering fees	Enter estimated engineering costs, such as surveys, tests, soil borings, etc.
8f – Project inspection fees	Enter estimated engineering inspection costs.
8g – Site work	Enter the estimated site preparation and restoration which are not included in the basic construction contract.
8h – Demolition and removal	Enter the estimated costs related to demolition activities.
8i – Construction	Enter estimated costs of the construction contract.
8j – Equipment	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.
8k – Contingencies	Enter any estimated contingency costs.
8l – Miscellaneous	Enter estimated miscellaneous costs.
9 - Other Direct Costs	<p>Other Direct Costs include a number of items that are not appropriate for other sections.</p> <p>Other Direct Costs may include:</p> <ul style="list-style-type: none"> • Staff training • Telecommunications • Printing and postage • Relocation, if costs are paid directly by your organization (if relocation costs are paid by a subgrantee, it should be reflected in Section 7)
10 - Indirect Costs	<p>OMB Circular A87 defines indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. Indirect costs include (a) the indirect costs originating in each department or agency of the governmental unit carrying out Federal awards and (b) the costs of central governmental services distributed through the central service cost allocation plan and not otherwise treated as direct costs.</p> <p>The spreadsheet is set up to use the Total Direct Labor plus the Fringe Benefits costs as the base for the indirect cost calculation. If your organization calculates indirect costs differently, please use a different base and discuss how you calculate fringe as a comment.</p>

form HUD-424-CBW-1 (1/2003)

Total Estimated Costs	Enter the grand total of all the applicable columns.
-----------------------	--

The eight rightmost columns allow you to identify how the costs will be spread between the HUD Share and other contributors (including Match funds and Program Income). This information will help the reviewers better understand your program and priorities.

form HUD-424-CBW-1 (1/2003)

OMB Approval No. 2501-0017

(Exp. 03/31/2005)

Name and Address of Applicant:

Category

Detailed Description of Budget (for full grant period)

1. Personnel (Direct Labor)

Position or Individual

Category	Estimated Hours	Rate per Hour	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
Total Direct Labor Cost											
2. Fringe Benefits		Rate (%)	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
Total Fringe Benefits Cost											

3. Travel

3a. Transportation - Local Private Vehicle

Category	Mileage	Rate per Mile	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
Subtotal - Trans - Local Private Vehicle											

form HUD-424-CBW (02/12/2002)

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)											
Subtotal - Transportation - Airfare											
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
Subtotal - Transportation - Other											
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
Subtotal - Per Diem or Subsistence											
Total Travel Cost											
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
Total Equipment Cost											

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											
Subtotal - Consumable Supplies											
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	HUD Share	Applicant Match	Other HUD Funds	Other Federal Share	State Share	Local/Tribal Share	Other	Program Income
Subtotal - Non-Consumable Materials											
Subtotal - Non-Consumable Materials											
Total Supplies and Materials Cost											
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
Total Consultants Cost											
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
Total Subcontracts Cost											

Form HUD-424-CBW (03/2002)

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 06/30/2003)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

Indicate whether this is an Initial Report or an Update Report

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

Part I Threshold Determinations

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

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

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

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

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

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

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).

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

(Note: Use Additional pages if necessary.)

Certification

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

I certify that this information is true and complete.

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

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

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

Instructions

Overview.

A. Coverage. You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity and you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the 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 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 (EZ), Enterprise Community (EC), an Urban Enhanced Enterprise Community, Strategic Planning Community or Renewal Community.

(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/Urban Enhanced EC or Strategic Planning Community and will serve the RC/EZ/EC/Urban Enhanced EC, 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: _____

Certification Regarding Debarment and Suspension

U.S. Department of Housing
and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, 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 or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official		Title

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

Survey on Ensuring Equal Opportunity for Applicants

U.S. Department of Housing and Urban Development

OMB No. 1890-0014 (Exp. 1/31/2006)

Do not enter information below unless instructed to do so.

Purpose: This form is for applicants that are nonprofit private organizations. Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Office of Departmental Grants Management and Oversight, U.S. Department of Housing and Urban Development, AJT, Room 3156, 451 Seventh St., SW, Washington, DC 20410.

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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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. 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.

Race and Ethnic Data Reporting Form

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

OMB Approval No. 2535-0113
(exp. 08/31/2003)

Program Title: _____

Grantee/Recipient Name: _____

Grantee Reporting Organization: _____

Reporting Period From (mm/dd/yyyy): _____ To (mm/dd/yyyy): _____

Racial Categories	Total Number of Racial Categories Reported	Total Number of Ethnic Category Responses (Hispanic or Latino)
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 multi-racial categories: [Per the form instructions, write in a description using the box on the right]		
Balance of individuals reporting more than one race		
Total:		
* If the aggregate count of any reported multi-racial category that is not listed above exceeds 1% of the total population being reported, you should separately indicate each such category here. Also indicate the total number of such other multi-racial categories reported, the population percentage, and the total number of positive ethnic category responses.		

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.

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

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 Categories Reported: Under this column you should indicate the total number of responses collected in the blocks next to the applicable categories.

Total Number of Ethnic Category Responses (Hispanic or Latino): 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 multi-racial categories: Next to this racial category, indicate all racial categories (if any) identified by respondents that do not fit the nine racial categories above, and which have a total count that exceeds one percent of the total population being reported. You must identify each such racial category, including the actual count, the percentage of the total population (in parenthesis), and the actual count for the ethnic categories.

For example, if you obtain data that indicates that the total population being served is 200 and includes 10 Cajun Americans and 12 Creole Americans, and those numbers of Cajun and Creole Americans each equates to more than one percent of the total population being served, and 2 of the Cajun Americans indicate they belong to the Hispanic/Latino ethnic category and 3 of the Creole Americans indicate they belong to the Hispanic/Latino ethnic category, you should complete the form as follows:

Racial Categories	Total Number of Racial Categories Reported	Total Number of Ethnic Category Responses (Hispanic or Latino)
* Other multi-racial categories: [Per the form instruction, write in a description using the box on the right]	Cajun American 10 (5%) Creole American 12 (6%)	2 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 multi-racial categories.**” 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 such ethnic categories.

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 ethnic categories.

Funding Application

Section 8 Tenant-Based Assistance
 Rental Certificate Program
 Rental Voucher Program

**U.S. Department of Housing
 and Urban Development**
 Office of Public and Indian Housing

OMB Approval No. 2577-0169
 (exp. 03/31/2004)

Send the original and two copies of this application form and attachments to the local HUD Field Office

Public reporting burden for this collection of information is estimated to average 1 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.

Eligible applicants (HAs) must submit this information when applying for grant funding for tenant-based housing assistance programs under Section 8 of the U.S. Housing Act of 1937 (42 U.S.C. 1437f). HUD will use the information to evaluate an application based on selection criteria stated in the Notice of Funding Availability (NOFA). HUD will notify the HA of its approval/disapproval of the funding application. Responses are required to obtain a benefit from the Federal Government. The information requested does not lend itself to confidentiality.

Name and Mailing Address of the Housing Agency (HA) requesting housing assistance payments

Application/Project No. (HUD use only)
--

Do you have an ACC with HUD	No	Yes	Date of Application	Legal Area of Operation (area in which the HA has authority under State and local law to administer the program)
for Section 8 Certificates?	<input type="checkbox"/>	<input type="checkbox"/>		
for Section 8 Vouchers?	<input type="checkbox"/>	<input type="checkbox"/>		

A. Area(s) From Which Families To Be Assisted Will Be Drawn.
 Locality (city, town, etc.)

Locality (city, town, etc.)	County	Congressional District	Units

B. Proposed Assisted Dwelling Units.
 (Complete this section based on the unit sizes of the applicants at the top of the waiting list)

	Number of Dwelling Units by Bedroom Size						Total Dwelling Units
	0-BR	1-BR	2-BR	3-BR	4-BR	5-BR	
Certificates							
Vouchers							

C. Average Monthly Adjusted Income. Complete this section based on actual incomes of current participants by unit size. Enter average monthly adjusted income for each program separately and only for the unit sizes requested in Section B.

	0-BR	1-BR	2-BR	3-BR	4-BR	5-BR	6+BR
Certificates	\$	\$	\$	\$	\$	\$	\$
Vouchers	\$	\$	\$	\$	\$	\$	\$

D. Need for Housing Assistance. Demonstrate that the project requested in this application is responsive to the condition of the housing stock in the community and the housing assistance needs of low-income families residing in or expected to reside in the community. (If additional space is needed, add separate pages.)

E. Housing Quality Standards (HQS). (Check applicable box)

HUD's HQS will be used with no modifications Attached for HUD approval are HQS acceptability criteria variations

F. New HA Information. Complete this section if HA currently does not administer a tenant-based certificate or voucher program.

Financial and Administrative Capability. Describe the experience of the HA in administering housing or other programs and provide any other relevant information which evidences present or potential management capability for the proposed rental assistance program. Submit this narrative on a separate page.

Qualification as an HA. Demonstrate that the applicant qualifies as an HA and is legally qualified and authorized to administer the funds applied for in this application. Submit the relevant enabling legislation and a supporting legal opinion.

Note: If this application is approved, the HA must submit for HUD approval a utility allowance schedule and budget documents.

G. Certifications. The following certifications are incorporated as a part of this application form. The signature on the last page of this application of the HA representative authorized to sign the application signifies compliance with the terms of these certifications.**Equal Opportunity Certification**

The Housing Agency (HA) certifies that:

- (1) The HA will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations issued pursuant thereto (24 CFR Part 1) which state that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives financial assistance; and will take any measures necessary to effectuate this agreement.
- (2) The HA will comply with the Fair Housing Act (42 U.S.C. 3601-19) and regulations issued pursuant thereto (24 CFR Part 100) which prohibit discrimination in housing on the basis of race, color, religion, sex, handicap, familial status, or national origin, and administer its programs and activities relating to housing in a manner to affirmatively further fair housing.
- (3) The HA will comply with Executive Order 11063 on Equal Opportunity in Housing which prohibits discrimination because of race, color, creed, or national origin in housing and related facilities provided with Federal financial assistance and HUD regulations (24 CFR Part 107).
- (4) The HA will comply with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR Part 8) which state that no otherwise qualified individual with handicaps in the United States shall solely by reason of the handicap be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
- (5) The HA will comply with the provisions of the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR Part 146) which state that no person in the United States shall on the basis of age be excluded from participation in, be denied the benefits of, or be subjected to discrimination under a program or activity receiving Federal financial assistance.
- (6) The Housing Agency will comply with the provisions of Title II of the Americans with Disabilities Act (42 U.S.C. 12131) and regulations issued pursuant thereto (28 CFR Part 35) which state that subject to the provisions of Title II, no qualified individual with a disability shall, by reason of such disability, be excluded from participation in or be denied the benefits of the services, programs or activities of a public entity, or be subjected to discrimination by any such entity.

The following provisions apply only to housing assisted with Project-Based Certificates:

- (7) The HA will comply with Executive Order 11246 and all regulations pursuant thereto (41 CFR Chapter 60-1) which state that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal contracts and shall take affirmative action to ensure equal employment opportunity.
- (8) The HA will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u) and regulations issued pursuant thereto (24 CFR Part 135), which require that, to the greatest extent feasible, opportunities for training and employment be given to low-income persons residing within the unit of local government for metropolitan area (or non-metropolitan county) in which the project is located.

Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Certification Regarding Drug-Free Workplace Requirements

Instructions for Drug-Free Workplace Requirements Certification:

By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).

6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All *direct charge* employees; (ii) All *indirect charge* employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees or subrecipients or subcontractors in covered workplaces).

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

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

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

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

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to 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;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check if there are workplaces on file that are not identified here.

Housing Agency Signature

Signature of HA Representative

Print or Type Name of Signatory

Phone No.

Date

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

OMB Approval No. 2535-0114
(exp. 9/30/2003)

The public reporting burden for this collection of information for the Logic Model is estimated to average 2 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. Providing 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 the Quality of Life in our Nation's Communities.
3. Encouraging Accessible Design Features.
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organizations in HUD Program Implementation.
5. Improving Housing Conditions in Colonias.
6. Increasing Participation of Minority Serving Institutions in HUD Programs.
7. Increasing Participation in Energy Star.
8. Ending Chronic Homelessness in Ten Years

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.

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.

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.

Logic Model

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

OMB Approval No. 2535-0114
(exp. 9/30/2003)

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

<p>HUD's Strategic Goals</p> <ol style="list-style-type: none"> Increase homeownership opportunities. Promote decent affordable housing. Strengthen communities. Ensure equal opportunity in housing. Embrace high standards of ethics, management, and accountability. Promote participation of grass-roots faith-based and other community-based organizations. 	<p>Policy Priorities</p> <ol style="list-style-type: none"> Providing increased homeownership and rental opportunities for low- and moderate-income persons, persons with disabilities, the elderly, minorities, and families with limited English proficiency. Improving the quality of life in our Nation's communities. Encouraging accessible design features. Providing full and equal access to grass-roots faith-based and other community-based organizations in HUD program implementation. Improving housing conditions in colonies. Increasing participation of minority serving institutions in HUD programs. Increasing participation in the State. Ending chronic homelessness in ten years.
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