

# *Drug Elimination in Public and Assisted Housing Application*



U.S. Department of Housing and Urban Development  
Andrew Cuomo, Secretary



---

OMB Approval No. (Pending)

The information collection requirements contained in this application have been submitted to the ;Office of Management and Budget (OMB) for review under the paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

Information is submitted in accordance with the regulatory authority contained in each program rule. The information will be used to rate applications, determine eligibility, and to establish grant amounts.

Selection of applications for funding is based on rating factors listed in the Notice of Fund Availability (NOFA), which is published each year. The information collected in the application form will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 44 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

---



**U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**  
**THE SECRETARY**  
WASHINGTON, D.C. 20410-0001

MAR 31 1998

Dear Friend:

For many years, local citizens and organizations have worked hard to build strong and healthy communities, and the U.S. Department of Housing and Urban Development (HUD) has often been an important partner in those efforts. Under the direction of President Clinton, HUD has streamlined operations and redesigned programs to make our assistance more effective and to make it easier for people to work with the agency. HUD's reinvention is well underway, and we continue to make substantial reforms so that HUD will truly be one department with one mission – empowering people to create viable communities for all Americans.

The key elements of viable and sustainable American communities are good, safe homes and supportive living environments for people of all income levels. The Drug Elimination Grant Programs for public and Indian and multifamily housing makes strong communities possible by helping to address one of the most destructive elements in communities today. These programs fund comprehensive strategies to eliminate drugs and drug-related crime in and around public and other federally-assisted housing communities.

We know that these Drug Elimination Grant programs can have an even greater impact on a community when they work in tandem with other HUD programs. As part of HUD's continuing management reforms, we have streamlined our competitive grant funding process for Fiscal Year 1998 to make it easier for citizens to do just that. Instead of 40 separate, hard-to-track Notices of Funding Availability (NOFAs), we are using three consolidated "SuperNOFAs" to provide information on the array of HUD's competitive programs. Because we use a standardized format, the application and selection process is simplified. Our SuperNOFAs will give those interested in the health and vitality of our communities greater opportunities to create and implement successful, comprehensive local plans. When designing your proposed drug

elimination strategies, we urge you to use the new SuperNOFA process as an opportunity to create truly holistic, coordinated strategies by combining your drug elimination efforts with other efforts designed to effectively address your community's housing and development needs.

Good luck! We look forward to working with you in addressing the needs and interests of our nation's communities and of the people who live and work within them.

Sincerely,



Andrew Cuomo



U. S. Department of Housing and Urban Development  
Washington, D.C. 20410-5000

March 26, 1998

OFFICE OF THE ASSISTANT SECRETARY  
FOR PUBLIC AND INDIAN HOUSING

Dear Colleague:

I am pleased to announce the availability of \$243 million in Public Housing Drug Elimination Program Funds (PHDEP); \$20 million in New Approach Anti-Drug Program Funds; \$16 million in Drug Elimination Grants for Federally Assisted Low-Income Housing (Multifamily Low-Income Housing funds); and \$2 million in Public Housing Drug Elimination Technical Assistance Program funds. The program has provided over \$1.4 billion in funding over the past nine years, and I invite you to submit an application for this year's funding round.

Program participation reached new heights in 1997, with over 1,000 applicants competing for drug elimination funding. While not all applications could be funded, the outstanding response shows the role drug elimination funds have played in reducing drugs and crime in housing communities, and how obtaining drug elimination funding has become a top priority for such a substantial number of housing entities nationwide.

This year's Notice of Funding Availability (NOFA) is a part of the Department's Super NOFA process and reflects significant changes and additional funding for the Department's Drug Elimination Programs. The Department is making approximately \$44.9 million of FY 1997 Public Housing Drug Elimination Program carryover funds available to Public Housing Agencies (PHAs) and former Indian Housing Authorities (IHAs) that have not already received an award of FY 1997 PHDEP funds. In FY 1998, HUD is not announcing a separate competition for the Youth Sports Program although Youth Sports-type activities are eligible under "Programs to Reduce and Eliminate Drug Activities."

Funding is being made available for the New Approach Anti-Drug Program (formerly known as the Safe Neighborhood Grant Program) to assist owners or managers of certain housing developments to (1) augment security; (2) assist in the investigation and prosecution of drug-related criminal activity in and around the housing developments; and (3) provide for the development of capital improvements directly relating to the security of the developments. Although funding for the New Approach Anti-Drug Program is available to housing authorities in FY 1998, housing authorities shall form partnerships as sub-grantees to be eligible for this assistance.

This year, applicants are required to discuss in their strategies how they intend to coordinate drug and crime reduction efforts, on the local level, with their Communities Consolidated Plan, and applicants must submit a program plan and evaluation, specifically demonstrating how the activities under this program will be evaluated. Each year, a Report is provided to Congress and the Office of National Drug Control Policy of goals attained in PHDEP. Applicants will now be required to develop and provide performance goals that must be expressed in an objective, quantifiable and measurable form to define the results to be achieved by all major grant activities proposed in the grant.

The Department wishes you the best of luck during this funding round. We encourage you to compete for a grant using the attached application kit, and we look forward to working with you as we continue our efforts to eradicate crime and drugs in housing neighborhoods.

Sincerely,



Deborah Vincent  
Acting Assistant Secretary



Art Agnos  
Acting General Deputy  
Assistant Secretary  
for Housing

---



---

## TABLE OF CONTENTS

---

	<b>Application Deadline Schedule.....</b>	<b>3</b>
<b>SECTION I:</b>	<b>General Application Information .....</b>	<b>7</b>
	*Drug Elimination Programs .....	12
	**DETAP .....	16
	New Approach Anti-Drug Program .....	21
<b>SECTION II:</b>	<b>Application TAB Order and Tips .....</b>	<b>24</b>
	Specific for Drug Elimination Programs .....	25
	Specific for DETAP .....	27
	Specific for New Approach Anti-Drug Program .....	28
<b>SECTION III:</b>	<b>Sample Application Documents .....</b>	<b>32</b>
	General Application Documents .....	33
	Specific for Drug Elimination Programs .....	58
	Specific for DETAP .....	65
	Specific for New Approach Anti-Drug Program .....	66
<b>SECTION IV:</b>	<b>Blank Forms .....</b>	<b>70</b>
	General Application Documents .....	71
	Specific for Drug Elimination Programs .....	104
	Specific for DETAP .....	120
	Specific for New Approach Anti-Drug Program .....	128
<b>SECTION V:</b>	<b>Notice of Funding Availability (NOFA).....</b>	<b>134</b>

\* FISCAL YEAR (FY) 1998 PUBLIC HOUSING DRUG ELIMINATION PROGRAM, FY 1998 LOW- INCOME HOUSING DRUG ELIMINATION GRANT AND THE FY 1997 PUBLIC HOUSING DRUG ELIMINATION CARRY- OVER PROGRAM.

\* \*PUBLIC HOUSING DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM

## APPLICATION DEADLINE SCHEDULE

Program	Application Due Date
Public Housing Drug Elimination Program	June 15, 1998
New Approach Anti-Drug Program	June 15, 1998
Drug Elimination Technical Assistance Program	June 15, 1998

### **MAILED APPLICATIONS**

Applications will be considered timely filed if postmarked before midnight on the application due date and received by the designated HUD Field Office or HUB within ten (10) days of that date.

### **APPLICATIONS SENT BY OVERNIGHT DELIVERY**

Overnight delivery items will be considered timely filed if received before or on the application due date, or upon submission of documentary evidence that they were placed in transit with the overnight delivery service by no later than the specified application due date.

### **HAND CARRIED APPLICATIONS**

Hand carried applications delivered before or on the application due date must be brought to the specified locations. (See Program Chart and Programs Section of the NOFA.)

### **ENVIRONMENTAL REQUIREMENT**

Prior to the award of grant funds under the program, HUD will perform an environmental review to the extent required under the provisions of 24 CFR part 50.

### **PUBLIC BURDEN COLLECTION REQUIREMENTS**

### **DRUG ELIMINATION**

Information requested in accordance with Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901-11908), as amended by Section 581 of the National Affordable Housing Act (NAHA) (P.L. 101-625, approved November 28, 1990). The information will be used to rate applications, determine



eligibility, and to establish grant amounts. Selection of applications for funding under the Public and Indian Housing Drug Elimination Program are based on rating factors listed in the Notice of Funding Availability (NOFA), which is published each year to announce the Program's funding round. The information collected in the application will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 22 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of the collection of information, including suggestions for reducing the burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0124), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600.

### **DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM**

Information requested in accordance with Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901-11908), as amended by Section 581 of the National Affordable Housing Act (NAHA) (P.L. 101-625, approved November 28, 1990). The information will be used to rate applications, determine eligibility, and to establish grant amounts. Selection of applications for funding under the Public and Indian Housing Drug Elimination Technical Assistance Program are based on rating factors listed in the Notice of Funding Availability (NOFA), which is published each year to announce the Program's funding round. The information collected in the application will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 22 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of the collection of information, including suggestions for reducing the burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0124), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600.

### **NEW APPROACH ANTI-DRUG PROGRAM**

Information requested in accordance with Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901-11908), as amended by Section 581 of the National Affordable Housing Act (NAHA) (P.L. 101-625, approved November 28, 1990). The information will be used to rate applications, determine eligibility, and to establish grant amounts. Selection of applications for funding under the New Approach Anti-Drug Program are based on rating factors listed in the Notice of Funding Availability (NOFA), which is published each year to announce the Program's funding round. The information collected in the application will only be collected for specific funding competitions.

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the

data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of the collection of information, including suggestions for reducing the burden, to the Office of Information and Regulatory Affairs, Office of Management and Budget Docket Library, Room 10102, 725 17<sup>th</sup> Street, NW, Washington, DC 20503.

**THIS IS FOR ADMINISTRATIVE PURPOSES. DO NOT SEND THE APPLICATION TO THE ABOVE ADDRESS.**

This agency may not collect this information, and you are not required to complete this application, unless it displays a currently valid OMB control number. The OMB Control Number for Drug Elimination Program is 2577-0124 Exp. October 31, 1999. The OMB Control Number for New Approach Anti-Drug Program is 2502-0520 Exp. November 2000. The OMB Control Number for Drug Elimination Technical Assistance Program is 2577-0133 Exp. June 30, 2000. The OMB Control Numbers applies to all programs offered in this application kit.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements. However, the Public and Indian Housing Drug Elimination Program application does not request the submission of such information.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012, 31 U.S.C. 3729, 3802).

## ELIGIBLE APPLICANTS

Program	Eligible Applicants
Public Housing Drug Elimination Program	Eligible entities qualified to receive grants include public housing agencies and Tribally Designated Housing Entities. RMCs may continue to receive funding from housing authority grantees as sub-grantees, to develop security programs and substance abuse prevention programs involving site residents as they have in the past. See Section I.(D) of the NOFA
Public Housing Drug Elimination Program FY 1997 Set-Aside	There is \$49.9 million in remaining program funds from FY 1997 being made available to housing authorities that did not receive an award under the May 23, 1997, PHDEP NOFA. Any housing authority that has already received an FY 1997 PHDEP award is not eligible to apply under this PHDEP notice for these FY 1997 funds. See Section I. (B)(2) of the NOFA.
Federally Assisted Low-Income Drug Elimination Program	Eligible applicants include owners of the following low-income housing projects: Section 221(d)(3), Section 221(d)(4) or section 226 of the National Housing Act with project-based assistance. (Note: Section 221(d)(3), Section 221(d)(4) market rate projects with tenant-based assistance are not eligible); Section 101 of the Housing and Urban Development Act of 1965; or Section 8 of the United States Act of 1937 (This includes State Housing Agency Projects, and Moderate Rehabilitation Projects with project-based Section 8 Assistance. This does not include Section 8 tenant-based assistance); Owners of Section 8 tenant-based projects are also ineligible. See Section I. (D) of this NOFA.
New Approach Anti-Drug Program (Formerly Known as the Safe Neighborhood Program)	Funding is available <b>ONLY</b> for owner/operator of one of more housing developments that have received some form of financial support from a unit of government or from a private non-profit entity. <b>HEREAFTER</b> , the term applicant (s) applies to the various entities who are eligible for funding. See Section I.(D) of the NOFA
Public Housing Drug Elimination Technical Assistance Program	Public housing authorities (PHAs), tribally designated housing entities (TDHE), tribes, incorporated resident councils (RCs)*, resident organizations (ROs)*, and resident management corporations (RMCs)* are eligible to receive short-term, technical assistance services under this NOFA. For further information on eligible applicants please refer to Section I, subsection (D) (Eligible Applicants) of the Consolidated NOFA.





# Section I:

## **General Application Information**

## GENERAL APPLICATION INFORMATION

### APPLICATION SUBMISSION

- A. An applicant shall submit only one application, per housing authority, for each program.
- B. Joint applications are not permitted under these program with the following **EXCEPTION**: HA under a single administration (such as HAs managing another HA under contract or HAs sharing a common executive director) **SHALL SUBMIT A SINGLE APPLICATION**, even though each housing authority has its own operating budget.
- C. Applications (**ORIGINAL AND TWO IDENTICAL COPIES OF THE ORIGINAL APPLICATION**) must be received by the deadline at the local HUD Field Office or HUB. Applications for the DEPs and the New Approach Program must be submitted to the local HUD Field Office or HUB, Attention: Director, Office of Public Housing or Assisted Housing. In the case of the Native American population, to the local HUD Administrator Area Office of Native American Programs (AONAP). Technical Assistance program applicants must submit their application to: Public Housing Drug Elimination Technical Assistance Program, Office of Community Safety and Conservation (OCSC), Room 4112, 451 7<sup>th</sup> Street SW, Washington, D.C. 20410-0050.

### APPLICATION STRUCTURE

In order to facilitate the review and scoring process, it is required that you follow the order outlined in **Section II** of this application kit. In addition, sample forms have been included in **Section III** of this application kit for your reference.

### NOTIFICATION

HUD will provide written notification to all applicants of whether or not they have been selected.

### GRANT AGREEMENT

After an application has been approved, HUD and the applicant shall enter into a grant agreement (Form HUD-1044) setting forth the amount of the grant and its applicable terms, conditions, financial controls, payment mechanism, schedule, measurements/outcomes, monitoring schedule and special conditions, including sanctions for violation of the agreement. A grant agreement is not used in the Drug Elimination Technical Assistance Program. For further information please refer to the program for which you are seeking funding.

### APPLICATION ASSISTANCE

This kit contains information and instructions for several programs funded by the OCSC. For information on these programs, you may contact the Public Housing Drug Elimination Program Support Center at 1-800-578-

3472, the Drug Information and Strategy Clearinghouse at 1-800-955-2232, or the Super NOFA Clearinghouse at 1-800-HUD-8929. You may also request assistance on the PHDEP Listserv by following the directions below:

The PHDEP Listserv is an electronic mailing list which provides forums for Internet users to participate in Drug Elimination Program topics and discussions as they relate to public housing and the PHDEP, TA or New Approach Anti-Drug program application process. The latest announcements in public housing drug elimination efforts are also posted in bulletin-board style. To subscribe to OCSC's Listserv, send an e-mail message to listproc@aspensys.com. Leave the subject line blank, and type the following information in the body of the message: Subscribe PHDEP First Name Last Name. It should look like the following example.

SUBSCRIBE PHDEP ANDREW CUOMO

By subscribing to the Listserv, you may find helpful information from other housing authority applicants with questions and comments on the enclosed Drug Elimination Program Application Kits.

### GENERAL APPLICATION TIPS

Follow the **REQUIRED OUTLINE** for organizing your application (follow tabs, include all required information and forms, number each page, etc.). The application and supporting documents describe below **should not exceed 500 pages. The application must be written in the English language.**

- Ensure** that all tabs in the application are in the required order.  
  
**Submit** a cover letter with your application that serves to explain the application structure. It should include the name of a contact person and a number where he/ she can be reached. The cover letter should also outline the basic structure of your application and provide any other information you feel would assist HUD in reviewing your application.
- Prepare** a concise application using simple English language that addresses the problems you have identified in your assessment.
- When** applicable, make sure all computations (SF-424A and budget narratives) are complete and correct. Review the plan, SF-424A, budget narrative and timetable to ensure information and numbers are consistent and there are no duplication of funds with other HUD grant programs.
- Arrange** with city officials and HUD Field staff in the case of the Technical Assistance Program to have the forms signed in ample time to meet the application deadline.
- Determine** if an environmental review is required, to the extent required by HUD's environmental regulations at 24 CFR part 50, including the applicable related authorities at 24 CFR part 50.4.
- Ask** more than one person to read over your application to check that all required information and forms are included in the application and copies being submitted. Double check to make sure you



have addressed every requirement for funding and the application checklist has all items checked.

### **THE FOLLOWING REGULATIONS WILL ASSIST IN PUTTING YOUR APPLICATION TOGETHER:**

To obtain copies of the Title 24-Code of Federal Regulations contact the Superintendent of Documents, Government Printing Office, Washington, DC 20402 (202) 512-1803. (This is not a toll-free telephone number) or the World Wide Web Site at [WWW.GPO.gov](http://WWW.GPO.gov).

- 24 CFR part 24, Government debarment and suspension and government wide requirements for drug-free workplace (grants).
- 24 CFR part 44, Non-Federal Governmental audit requirements.
- 24 CFR part 50, Environmental review of Department of HUD programs and activities.
- 24 CFR part 85, Administrative requirements for grants and cooperation agreements to State, local and Federally Recognized Indian tribal governments.
- 24 CFR part 761 Consolidated Drug Elimination Program for Assisted Housing and Public Housing. Published March 28, 1996.
- The Public Housing Drug Elimination Program FY-1998 NOFA. (Attached to application kit.)
- OMB Circular A-87, Cost Principles for State, and Local Governments and other related regulations. (Section VI of this application kit.)

### **Additional Resources**

- To obtain a copy of the application kit, call the SuperNOFA Clearinghouse at 1-800-HUD-8929 or the PHDEP Support Center at 1-800-578-3472, or write to P.O. Box 6424, Rockville, MD 20850, or visit the World Wide Web site at [www.hud.gov](http://www.hud.gov).
- To obtain crime statistics data, call the Bureau of Justice Statistics Clearinghouse on 1-800-732-3277 or fax to (301) 251-5212 or write to, Box 6000, Rockville, MD 20850 or visit the World Wide Web site at <http://www.ncjrs.org/statprdt.htm>.
- To obtain drug and crime data call the Drugs and Crime Clearinghouse on 1-800-666-3332 or fax to (301) 519-5212 or write to, 2277 Research Boulevard, Rockville, MD 20850 or visit the World Wide Web site at <http://ncjrs.org.71/1/drugs>.
- To obtain drug information and data call the National Clearinghouse for Alcohol and Drug Information on 1-800-729-6686 or fax to (301) 468-6433 or write to, P.O. Box 2345, Rockville, MD

20852 or visit the World Wide Web site at <http://www.health.org>.

- To obtain information concerning successful anti-drug and crime strategies in public housing communities, including information on the "One Strike and You're Out" initiative, contact the Drug Information & Strategy Clearinghouse on 800-578-3472 or fax to (301) 738-6655 or write to, P.O. Box 6424, Rockville, MD 20850.
- To obtain information concerning successful Neighborhood Watch and resident patrol programs contact the National Association of Town Watch on 610-649-7055 or fax to (610) 649-5456 or write to, P.O. Box 303, Wynnewood, PA 19096. Or call the National Crime Prevention Council on 202-466-6272 or fax to (202) 296-1356 or write to 1700 K Street NW., Second Floor, Washington, DC 20005 or visit the World Wide Web site at <http://www.web.apc.org/~ncpc>.
- To obtain a copy of the Diagnostic and Statistical Manual (DSM) of Mental Disorders, or the Psychiatric Association, contact the American Psychiatric Press, Inc. on 800-368-5777 or fax to (202) 789-2648 or write to 1400 K Street NW., Suite 1101, Washington, DC 20005 or visit the World Wide Web site at <http://www.appi.org>.
- To obtain information concerning insurance for tenant patrols contact the Housing Authority Insurance Group on (203) 272-8220 Ext. 208, or fax to (203) 250-8377, or write to 180 Commerce Court, P.O. Box 189, Cheshire, CT 06410-0189.
- To obtain information concerning law enforcement strategies and programs contact the U.S. Department of Justice's Law Enforcement Administration (DEA) at Public Affairs Section, 700 Army Navy Drive, Arlington, VA 22202 or visit the World Wide Web site at <http://www.usdoj.gov/dea>.
- To obtain information concerning juvenile justice/delinquency prevention resources contact the Office of Juvenile Justice and Delinquency Prevention Clearinghouse on 800-638-8736, or fax to (301) 251-5212, or write at P.O. Box 6000, Rockville, MD 20850.
- To obtain information concerning crime law and/or justice programs contact the Department of Justice Response Center on 800-421-6770 or write to, 1100 Vermont Avenue NW., Washington, DC 20530.
- To obtain information concerning victims of crime contact the National Victims Resource Center on (301) 251-5525, or fax to (301) 251-5212, or write at P.O. Box 6000, Rockville, MD 20850.
- To obtain information concerning community policing services and grant programs contact the U.S. Department of Justice's Office of Community Policing Services (COPS) on (202) 514-5058, or write to 1100 Vermont Avenue NW., Washington, DC 20530, or visit the World Wide Web site a [WWW.USDOJ.GOV/COPS](http://WWW.USDOJ.GOV/COPS).

## DRUG ELIMINATION PROGRAMS

### APPLICATION INFORMATION

#### INTRODUCTION

The U.S. Department of Housing and Urban Development is pleased to announce funding under the Fiscal Year 1998 Drug Elimination Programs (DEPs) for use in reducing/eliminating drug-related crime and other Part I and Part II crimes "in or around" low-income, public and Indian housing developments.

The purpose of the Drug Elimination Programs is to:

- Encourage housing authorities to use DEP resources, to establish collaborative relationships and increase, over and above what might ordinarily be provided to housing agency residents.
- Effectively coordinate with Federal, Tribal, State and local agencies to increase employment and training opportunities for low-income residents, and thereby reduce/eliminate drug-related crime.
- Increase the use of housing community facilities, and bring back a community focus to housing authority properties. Community policing; police mini-stations; and resident training, substance abuse prevention, intervention, treatment (dependency/remission), structured aftercare, and other human resources programs.

Housing authorities (HAs) and TDHEs may apply for funding for employment of security personnel (contracted security guard(s)/HA police department); reimbursement of local law enforcement agencies for additional security and protective services (reimbursement of a municipal public housing police division and/or bureau); physical improvements designed to enhance security; employment of investigator(s); voluntary tenant patrols; and programs to reduce/eliminate drug-related crime "in or around" the premises of the housing authority/development(s), including substance abuse prevention, intervention, treatment, and other referral programs.

**Low-Income Drug Elimination Program** Applicants may apply for funds for physical improvements to enhance security, programs to reduce the use of drugs to include prevention, intervention and treatment programs and funds to provide to resident councils to develop security and drug abuse programs.

Programs must be part of a comprehensive plan addressing the reduction/elimination of drug-related crime "in or around" low-income, public and Indian housing developments. Applicants are encouraged to

discuss DEP initiatives and how the DEP efforts may be coordinated with anti-crime related activities across local, State, Federal, and Tribal levels to maximize their effectiveness. In the body of the attached Notice of Funding Availability's (NOF's) for Fiscal Year (FY) 1998 is information concerning the purpose of the NOFA, applicant eligibility, available amounts, selection criteria, financial requirements, management, and application processing. Information is also included on how to apply, how selections will be made, and how applicants will be notified of results.

## **FY 1997 PHDEP FUNDS**

HUD has approximately \$44.9 million in FY 1997 PHDEP funds available **only** for HAs and TDHEs that have not already received an award of FY 1997 PHDEP funds. The maximum grant award amounts are computed on a sliding scale, using an overall maximum cap, depending upon the number of housing authority units. (See *Section 1.(C)(2)* of the NOFA.) **NOTE:** Applicants must submit a separate proposal and budget in order to be considered for funding. Any housing authorities that have already received a FY 1997 PHDEP award is not eligible to apply for the FY 1997 carry-over funds.

## **UNIT COUNT REQUIREMENTS**

HUD is distributing grant funds under the PHDEP NOFA on a national competition basis. Maximum grant award amounts are computed on a sliding scale, using an overall maximum cap, depending upon the number of public housing authority or Indian housing authority units. **APPLICANTS ARE REQUIRED TO VALIDATE AND CONFIRM THEIR UNIT COUNT WITH THE LOCAL HUD FIELD OFFICE OR HUB/AONAP PRIOR TO SUBMITTING THE APPLICATION.** For further information on the unit count requirements please refer to *Section I. (C)(3)* of the NOFA.

In an effort to assist HAs and TDHES to develop and administer relevant, fair, and productive contracts with local law enforcement agencies for the delivery of effective services to HAs and residents, a sample contract for law enforcement services is available by contacting the Drug Information & Strategy Clearinghouse (DISC) at 1-800-578-3472.

**NOTE:** Housing authority police departments funded under this program need to obtain and maintain accreditation with the Commission on Accreditation for Law Enforcement Agencies (CALEA). Future funding may depend on certification of the police department by CALEA.

This application kit includes general information, instructions, exhibits, and blank forms for preparing the application. Should you have any questions regarding the PHDEP or completing the application kit, please contact the PHDEP Support Center at 1-800-578-3472.

## **APPLICATION TIPS**

- Confirm** your housing authority unit count with your local HUD Field Office or HUB to make sure you get the most accurate count available. If you did not the application may not be accepted! Discrepancies in unit count will be handled on a case by case basis.

- **Review** the “Unit Count Requirements” segment located in Section 1 of this application kit, and Sections I.(C)(3) of the NOFA. Check to ensure you have computed the maximum grant award amount of which you are eligible (eligible dollar amount per unit multiplied by the number of units listed in the low-rent operating budget) and compare it with the dollar amount requested in the application to make certain the amount requested does not exceed the maximum grant award.

## **REMEMBER**

Threshold Requirements. Housing authorities and TDHEs applying for PHDEP funds are required to submit the following threshold information or include it as part of their rating factor information where appropriate:

Applicants must submit a program plan/evaluation specifically demonstrating how the activities under this program will be evaluated. This is an eligible expense.

A description of how PHDEP resources will be used to establish collaborative relationships with, and increase over and above existing levels, the efforts of local municipal police departments and/or other law enforcement agencies, local social and/or religious organizations, and other public and private nonprofit organizations who provide community-wide services to offer substance abuse prevention, intervention, treatment, aftercare, education, assessment, and referral programs and services.

A discussion, in their comprehensive anti-crime strategies, of how the proposed PHDEP drug and crime prevention activities will be coordinated with larger Empowerment and Enterprise Zone strategies and Welfare Reform efforts, especially in the areas of training and employment of PHA residents. The PHDEP application may include specific opportunities for resident employment and training with such activities as contracting or hiring of residents as security guard personnel, housing authority police officers, and for referrals to employment and training opportunities. The applicant must demonstrate how the employment and training qualifies as an eligible activity. PHDEP applicants should coordinate with Federal, Tribal, State and local agencies to increase employment and training opportunities for low-income residents, and thereby decrease drug-related crime. Many communities are already developing and providing such services, and housing authorities are strongly encouraged to provide community facility space to allow the provision of these services for residents living “in and around” housing authorities.

A description of how the applicant plans to increase the use of housing authority community facilities, and bring back a community focus to housing authority properties. Expenses related to community policing; police mini-stations; and resident training, substance abuse prevention, intervention, treatment, structured aftercare, and other human resources programs that comply with the requirements of this program are eligible program expenses. HUD encourages applicants to use housing authority community facilities in all eligible PHDEP activities. Community policing, resident training, substance abuse prevention, intervention and treatment (dependency, structured aftercare, and support systems) are all activities most effectively implemented in housing authority community facilities. While all PHDEP activities must be carried out “in and around” housing authorities, often the use of the community facilities is taken for granted, and not considered when planning effective implementation of PHDEP activities. HUD encourages applicants to consider current and future use of their community facilities for eligible activities, and to incorporate a

strategy regarding facilities for on-site service delivery.

As applicable, incorporate "One Strike and You're Out" elements in applications to ensure PHAs have available the broadest range of tools for making and maintaining a safe residential community. "One Strike and You're Out" activities in applications may be eligible program expenses but to qualify as eligible activities, they must be included in the plan to address the crime problem in public and Indian housing developments required by this NOFA. Factors related to the One Strike initiative, such as screening applicants and lease enforcement, are addressed in this NOFA. As a part of the Public Housing Management Assessment Program (PHMAP), PHA performance will be measured, in part, by PHMAP indicator #8, "Security", which was included in the revised PHMAP rule published on December 30, 1996, (61 FR 68894). Any successful, comprehensive anti-crime strategy in public housing only (PHMAP does not apply to Indian housing) should address the elements of the PHMAP security indicator: tracking and reporting crime-related problems, screening applicants, enforcing lease requirements, and stating and achieving anti-crime strategies/goals in appropriate HUD grant programs.

# PUBLIC HOUSING DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM

## APPLICATION INFORMATION

### INTRODUCTION

This section of the application kit is for use with the Public Housing Drug Elimination Technical Assistance Program to assist applicants seeking professional consulting assistance in response to drugs and drug-related crime in their public housing developments.

### BACKGROUND AND PROGRAM INFORMATION

The funds for the Drug Elimination Technical Assistance (TA) program are strictly used to hire HUD-registered consultants, whose fields of expertise address the strategies requested to eliminate drugs and drug-related crimes in public housing authorities (PHA), tribally-designated housing entities (TDHE), tribes, resident councils (RCs) or resident organizations (ROs) nationwide.

The TA program funds efforts in:

- Assessing, quantifying and establishing performance measurement systems (including gathering baseline statistics) relating to drug and drug-related crime problems in public or Tribal housing development(s) and surrounding communities.
- Designing and identifying appropriate anti-crime and anti-drug-related practices and programs in the following areas:
  1. Law enforcement strategies, including negotiating with the local police, working with Federal law enforcement, Operation Safe Home, Weed and Seed, and other Federal anti-crime efforts;
  2. Crime data collection for establishing baseline performance measurements;
  3. Youth leadership development; youth anti-gang, anti-violence, anti-drug initiatives; youth peer mediation and conflict resolution to deal directly with anger/violence to prevent future violent episodes;
  4. Resident patrols; and
  5. Security and physical design.
- Training for housing authority staff and residents in anti-crime and anti-drug prevention practices and programs;
- Evaluating current anti-crime and anti-drug-related crime programs.

The program pays for the services of a consultant to travel to the HA or development and to provide on-site

assistance. HUD pays the consultant. Successful **applicants do not receive funds**, instead they receive the expert services of a consultant, trained to address and resolve the problem(s) described by the applicant.

The program does not fund speakers or conferences, and will not pay for any consultant activities deemed ineligible in the PHDEP, such as proposal writing, purchasing hardware or equipment, upgrading computers, or program implementation activity. For a complete list of eligible and ineligible activities please refer to Section I, subsections (G) and (H) (Eligible Activities and Ineligible Activities) of the Consolidated NOFA.

After the work is completed, evaluations are submitted from the housing authorities on the consultants' work performance. The evaluations are carefully reviewed to make sure the applicant is satisfied with the services provided through HUD. Afterwards, the consultants are reimbursed by HUD, which completes the TA.

## THE TA PROCESS

1. All eligible applications are reviewed by OCSC. Funding will be provided on a first come, first serve basis. Approved applications will then be assessed to determine which consultants, on the OCSC-approved consultant database, possess the requisite skills and knowledge to assist the requesting agency. The information is computer-generated. This means the computer-generated program will list all consultants possessing the skills needed to perform the requested TA, within a reasonable distance from the applicant as determined by HUD or its agent.
2. The applicant will then interview at least three of the consultants recommended to them. If none of the consultants on the list appear to be qualified to perform the TA, the applicant may request a list of additional consultants. However along with the request the applicant must provide justification as to why the original consultants were not qualified. Applicants may not recommend a consultant(s) as part of their TA application; designated staff will make recommendations based on published program guidelines. After the TA applicant makes their consultant selection and forwards their recommendation to OCSC, designated staff will review the selection and make final approval of the consultant choice. The information provided to HUD will help insure that the most desired and appropriate consulting services are provided to the applicant.
3. TA staff will then contact the selected consultant to request a Statement of Work (SOW) which supports the applicant's TA request. After TA staff and the selected consultant have negotiated the SOW, it will be submitted to the applicant for final approval. After final approval is given by the applicant, designated staff will negotiate a contract with the consultant and work may commence after the consultant receives an approved purchase order. Work completed prior to the consultant receiving a purchase order will not be reimbursed. The information provided to HUD will assist in assuring that HUD and the applicant receives the best and most appropriate services at the best possible cost.
4. Upon completion of the TA, the consultant is required to submit a final report and invoice to OCSC



for approval. OCSC staff will then contact the applicant to complete a short evaluation of the consultant's performance. After determining that the applicant is satisfied with the assistance provided, and the consultant's final report meets OCSC standards, the contract is considered complete and payment is issued to the consultant. The information provided to HUD and the applicant will document the services provided, and provide the justification for payment.

5. Six months following the completion of the TA the applicant will be asked to complete a six-month evaluation. This evaluation is designed to gather information on the effectiveness of the TA with regard to the applicant's drug elimination efforts.

## **APPLICATION SUBMISSION**

Original application must be submitted to HUD Headquarters and a copy of the application to the HUD Field Office. As part of the original application you must include a confirmation form indicating that the field office has received a copy of your application. Applications must be submitted to: Drug Elimination Technical Assistance Program, U.S. Department of Housing and Urban Development, Office of Community Safety & Conservation (OCSC), 451 Seventh Street SW, Room 4112, Washington, DC 20401.

The *Confirmation Form* must be signed by a representative from the field office. That form must be included in your application upon submission. All Indian Tribes and TDHEs must submit a copy of their applications to the Area Office of Native American Programs with delegated responsibility for their area.

### **Before Submitting Your Application, Remember**

- An applicant already receiving TA under this program is only eligible to receive further technical assistance if HUD determines that the request creates no conflict with any other current TA request;
- Any consultant who assists an applicant in preparing a TA application, or writes a TA application can not provide TA for that same application; and
- Applicants are not allowed to request specific consultants as part of their TA application. HUD will choose appropriate consultants from the consultant database.

## **MAXIMUM AWARD AND PERIOD OF ASSISTANCE**

As outlined in Section II, subsection (A) of the Consolidated NOFA, technical assistance are limited \$15,000 per request. Consultants will be reimbursed for up to a maximum of 30 days of work, which must be completed within a 90-day period from the date of the approved contract. Contracts that are not completed within the 90-day time period will be reallocated.

If you have any questions about the TA program in general please contact the Drug Elimination Technical

Assistance Program at (800) 578-3472-option #3 or (301) 519-5400. For further information, public housing authority staff and residents can contact Mary P. Barry of OCSC at (202) 708-1197 ext. 5616.

Staff and residents of Indian tribes and Tribally Designated Entities can call Tracy Outlaw at the National Office of Native American Programs (NONAP) by phone at (303) 675-1600 ext. 3323. You may visit the web site for NONAP at <http://www.codetalk.fed.us>, or write to them at the National Office of Native American Programs (NONAP), 1999 Broadway Suite 3690, Denver, CO 80202.

## REMEMBER

The following threshold requirements must be included in your application to be considered for funding:

- (A) The applicant must meet the requirements outlined in Section I. (G) of the PHDEP TA NOFA.
- (B) The applicant must not request an ineligible activity.
- (C) The applicant must include a form "HUD Field Office/AONAP Confirmation Form.
- (D) The applicant must answer the following questions.
  - (1) What is the nature of the drug-related crime in your community in terms of the extent of such crime, the types of crime, and the types of drugs being used? This should include quantifiable or qualitative data on problems or criminal activity.
  - (2) What is the nature of the housing authority's working relationships with law enforcement agencies, particularly local agencies? Will TA be used to improve those relationships?
  - (3) Are housing authority residents selling or using drugs, or committing the crimes?
  - (4) What about non-residents?
  - (5) What are the problem(s) you need technical assistance to address and how will you know that the technical assistance provided was successful in addressing the problem?
  - (6) Describe the type of technical assistance you need and how you will know it has been successful?
  - (7) What specific output, outcome, results, or deliverables do you expect from the consultants?
  - (8) Describe the steps you and your organization are currently taking to measure, understand or address the drug-related crime problem in your development or housing authority.
  - (9) Describe how the proposed assistance will allow you to develop an anti-drug, anti-crime strategy; or describe how the proposed assistance fits into your current strategy.

(10) Describe and provide documentation evidencing commitment to providing continued support of anti-drug and anti-crime activities. This must include the community's recommendations in developing and implementing the grant application and in working cooperatively in ensuring success occurs. Applications must include a description of how the community was involved in developing the application and resolution of support from law enforcement officials and community service providers. The application must include a memorandum of understanding or written agreement between the parties involved (e.g. housing authority, applicant, law enforcement officials and community service providers).

# NEW APPROACH ANTI-DRUG PROGRAM

## APPLICATION INFORMATION

### INTRODUCTION

The New Approach Anti-Drug Program (formerly known as the Safe Neighborhood Grant Program) is a competitive grant. The objectives of this program are to use a comprehensive, coordinated neighborhood/community-based approach to eliminate drug and other crime problems on the premises and in the vicinity of low-income housing, which may be privately or publicly owned and is financially supported or assisted by public or nonprofit private entities. To emphasize and facilitate the partnership of owners/operators of eligible housing with Federal and local law enforcement, other units of general local government and other stakeholders to address crime in an assisted project or in an entire neighborhood which may have more than one assisted housing project.

### ELIGIBLE ACTIVITIES

The purpose of these competitive grants is to assist owners or managers of certain housing developments to: (1) Augment security; (2) Assist in the investigation and prosecution of drug-related criminal activity in and around the housing developments; and (3) Provide for the development of capital improvements directly relating to the security of the developments.

### Ineligible Activities

Funding is not permitted for activities listed in *Section I.(E)* and/or other specified areas of the NOFA. NOTE if the applicant is not clear about eligible or ineligible activities they may contact the Resident Involvement Specialist or their designee at the local HUD Field Office or HUB with jurisdiction for clarification prior to submission of the application.

### APPLICATION TIPS

- Follow the recommended outline for organizing your application.
- Highlight the importance of the program in terms of the identified needs, how the program will meet the needs, and the number and characteristics of the target neighborhoods who will be served.
- Make sure you form partnerships with the unit of general local government (city or county preferably with the local police department and the local district attorney or prosecutor's office) and other community stakeholders to address crime in an entire neighborhood.
- Prepare a concise application using simple English language.

## REMEMBER

Each New Approach Anti-Drug application must conform to the requirements of the applicable application kit, both in format and content. Each New Approach Anti-Drug application must provide the following items in addition to the requirements listed under the rating factors of this NOFA:

(A) A Description of the Neighborhood and the Assisted Housing Developments in the Neighborhood:

(1) The neighborhood description must include a basic description (e.g., boundaries and size), population, number of housing units in the neighborhood, a map, a population profile (e.g., relevant census data on the socio-economic, ethnic and family makeup of neighborhood residents), and the basis on which the area meets the definition of "neighborhood" as described in this notice (i.e., describe and include a copy of the comprehensive plan, ordinance or other official local document which defines the area as a neighborhood, village, or similar geographical designation). If the entire jurisdiction is defined as a neighborhood by virtue of having a population at less than 25,000, indicate the jurisdiction's population under the 1990 census and describe/include more recent information which gives the best indication as to the current population.

(2) The description of the Assisted Housing development(s) in the neighborhood. This must include the name of the project; the name of the project owner; the nature, sources, and program titles of all project based subsidies or other assistance provided to the project by units of government or private nonprofit entities (any names of public or nonprofit programs other than programs sponsored by HUD should be accompanied by a description of the program and the name and business phone number of a contact person responsible for administering the program for the subsidy provider); the number of housing units in the project; and the number of housing units in the project that meet the definition of "assisted housing units" in this notice, and a description of the restrictions on rents and resident incomes that, in combination with the subsidy provided to the project, qualify the units as assisted/affordable in accordance with the definition in this NOFA; and the number, geographic proximity (adjoining, adjacent, or scattered site, and if scattered site, the distance between the two buildings which are furthest apart), and type (single family detached, townhouse, garden, elevator) of buildings in the project.

(B) Threshold Criteria for Funding Consideration.

To qualify for a grant under the New Approach Anti-Drug Program applications must contain the following:

(1) Application for Federal Assistance form (Standard Form SF-424). The applicant, and the applicant information in the form must be information about the lead applicant.

(2) A description of the subgrantees and Standard Form SF-424A). The form must be signed by the chief executive officer of the partnership that has been formed to implement this grant. The description must include the names of the subgrantees' relative roles and contributions of each subgrantee in implementing grant activities; structures for partnership coordination and joint decision making, e.g., form of partnership interaction (task force, advisory group or corporate entity), lines of accountability, degree of grant decision making power conferred by the applicant/grantee to its partners, frequency of meetings, etc.; the roles, if any, of subgrantees, especially project tenants) in designing the Action Plan; which subgrantees (if any) will be designated to receive and dispense grant funds for grant activities; and how the applicant (grantee) proposes to direct and monitor its partners to account for funds received or expended and to ensure that commitments are met; and a profile of each subgrantee including governmental or nonprofit status (copies of official up-to-date IRS verification of status must be provided for all nonprofit institutions), a detailed description of their experience and success in similar or related anti-crime initiatives, roles in and financial or in-kind contributions to the partnership, and the approximate value of any in-kind contributions.

(a) Accompanying the description must be letters from each subgrantee signed by their respective chief executive officers, describing their role if any in designing the application and, especially, the Action Plan; detailing the amounts and types of financial and other contributions to be made by the subgrantee firmly committing the subgrantee to such contributions; affirming the specific role(s) that the subgrantee will undertake in implementing Plan activities, including its agreement to act as subgrantee, and summarizing the subgrantee's experience in undertaking similar or related activities.

(b) With respect to co-applicant owners of Assisted Housing development(s), the application should include external assessment or evidence of the quality of the development's ownership or management (e.g., available management reviews by governing public entities) that relates to the capacity of the ownership and management to undertake their share of responsibilities in the partnership; and such related concerns as whether project management carefully screens applicants for units and takes appropriate steps to deal with known or suspected tenants known to exhibit or suspected of exhibiting criminal behavior) and cooperates with law enforcement actions by other partners on their project premises.

(c) Overall budget and timetable that includes separate budgets, goals, milestones, and timetables for each activity and addresses milestones towards achieving the goals described above; and indicates the contributions and implementation responsibilities of each partner for each activity, goal, and milestone.

(d) Staffing. The number of staff years, the titles and professional qualifications, and respective roles of staff assigned full or part-time to grant implementation by the applicant/grantee.

(e) Coordination. The applicant/grantee's plan and lines of accountability (including an organization chart) for implementing the grant activity, coordinating the partnership, and assuring that the applicant's and subgrantees' commitments will be met. There must be a discussion of the various agencies of the unit of government that will participate in grant implementation (which must include the prosecutor's office and at least one, but preferably both, of the following: the police department and an agency dealing with community development), their respective roles (i.e., which has the lead), and their lines of communication.

(f) Application Cover Letter.

(g) Congressional Summary. Summary of the proposed program activities in five (5) sentences or less.

# Section II:

## **Application Tab Order**



## DRUG ELIMINATION PROGRAMS

### TAB ORDER AND TIPS INFORMATION

[Remember that the application and supporting documents described below should not exceed 500 pages]

TAB 1	Application Cover Letter
TAB 2	Applicant Data Input Form
TAB 3	Standard Form-424, Application for Federal Assistance
TAB 4	Standard Form-424A, Budget Information, with budget Narrative(s)/and Supporting Documentation
TAB 5	Standard Form-424B, Assurances, (non-construction programs)
TAB 6	Form HUD-2880 Applicant/Recipient Disclosure/Update Report.
TAB 7	<b>Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience.</b>
TAB 8	<b>Rating Factor 2: Need/Extent of the Problem</b>
TAB 9	<b>Rating Factor 3: Soundness of Approach (Quality of Plan)</b>
TAB 9A	Implementation schedule (activity timetable).
TAB 9B	Personnel position descriptions (if applicable).
TAB 10	<b>Rating Factor 4: Leveraging Resources.</b>
TAB 11	<b>Rating Factor 5: Comprehensiveness and Coordination</b>
TAB 12A	Summary of written resident comments.
TAB 12B	Letters of commitment.
TAB 13	Certifications.
TAB 13A	Certification of Resident Management Corporations, Resident Councils, Resident Organizations and Residents.

<b>TAB 13B</b>	Drug Treatment Program Certification (if applicable).
<b>TAB 13C</b>	Law Enforcement Certification (if applicable).
<b>TAB 13D</b>	Form HUD-50070 Drug-Free Workplace Certification.
<b>TAB 13E</b>	Chief Executive Officer (CEO) Certification.
<b>TAB 13F</b>	Form HUD-50071 Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions.
<b>TAB 13G</b>	SF-LLL Disclosure of Lobbying Activities Certification.
<b>TAB 13H</b>	Debarment and Suspension Certification.
<b>TAB 13I</b>	Law Enforcement Records and Medical/Disability Information Certification.
<b>TAB 13J</b>	Certification of Consistency with the Consolidated Plan
<b>TAB 13K</b>	Certification of Consistency with the EZ/EC Strategic Plan
<b>TAB 14</b>	Program Plan Evaluation <b>(Threshold Criteria for PHDEP)</b>
<b>TAB 15</b>	Congressional Notification Information
<b>TAB 16</b>	Acknowledgement of Application Receipt

**DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM (DETAP)  
TAB ORDER AND TIPS**

**Remember that the application and supporting documents describe below should not exceed 25 pages]**

<b>TAB 1</b>	Application Contact Form
<b>TAB 2</b>	Threshold Criteria
<b>TAB 3</b>	Forms and Certifications to include:
<b>TAB 3A</b>	Certification by Resident Management Corporations, Resident Councils, Resident Organizations and Residents.
<b>TAB 3B</b>	HUD Field Office/AONAP Confirmation Form
<b>TAB 3C</b>	Certification of Consistency with the Consolidated Plan
<b>TAB 3D</b>	Form HUD-2880 Applicant/Recipient Disclosure/Update Report
<b>TAB 3E</b>	Form SF-424 Application for Federal Assistance
<b>TAB 3F</b>	Standard Form-424B, Assurances, (non-construction programs)
<b>TAB 3G</b>	Debarment and Suspension Certification.
<b>TAB 3H</b>	Form HUD-50070 Drug-Free Workplace Certification.
<b>TAB 3I</b>	Form HUD-50071 Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions.
<b>TAB 3J</b>	SF-LLL Disclosure of Lobbying Activities Certification.
<b>TAB 3K</b>	Debarment and Suspension Certification.
<b>TAB 4</b>	Acknowledgement of Application Receipt and HUD Field Office AONAP Confirmation Form

## NEW APPROACH ANTI-DRUG PROGRAM

### TAB ORDER AND TIPS

Remember that the application and supporting documents described below should not exceed 500 pages]

TAB 1	Lead Applicant Data Input Form
TAB 2	Standard Form-424, Application for Federal Assistance
TAB 3	Standard Form-424A, Budget Information, with budget Narrative(s)/and Supporting Documentation
TAB 4	Standard Form-424B, Assurances, (non-construction programs)
TAB 5	Form HUD-2880 Applicant/Recipient Disclosure/Update Report.
TAB 6	<b>Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience.</b>
TAB 7	<b>Rating Factor 2: Need/Extent of the Problem.</b>
TAB 8	<b>Rating Factor 3: Soundness of Approach - (Quality of the Plan)</b>
TAB 8A	Implementation schedule (activity timetable).
TAB 8B	Personnel position descriptions (if applicable).
TAB 9	<b>Rating Factor 4: Leveraging Resources - (Support of Residents, the local government and the community in planning and implementing the Proposed Activities)</b>
TAB 10	<b>Rating Factor 5: Comprehensiveness and Coordination</b>
TAB 11	Certifications.
TAB 11A	Debarment and Suspension Certification.
TAB 11B	Form HUD-50070 Drug-Free Workplace Certification.
TAB 11C	Form HUD-50071 Lobbying Certification.

- TAB 11D** SF-LLL Disclosure of Lobbying Activities Certification.
- TAB 11F** Certification of Consistency with the Consolidated Plan
- TAB 11G** EZ/EC Compliance
- TAB 11H** Certification by Resident Management Corporations, Resident Councils, Resident Organizations and Residents.
- TAB 12** Congressional Notification Information
- TAB 13** Acknowledgement of Application Receipt

***Section III:***  
Sample Application Documents

**SAMPLE APPLICATION DOCUMENTS  
APPLICABLE TO ALL PROGRAMS**

**The following SAMPLE FORMS have been provided for your assistance.**

- Sample Standard Form-424, Application for Federal Assistance.
- Congressional Notification.
- Sample Standard Form-424A, Budget Information (non-construction programs), with activity budget narrative/and supporting documentation, as applicable, attachment.
- Sample Executive Summary and Implementation Schedule.
- Sample Standard Form-424B, Assurances, (non-construction programs).
- Sample Standard Form-2880, Applicant/Recipient Disclosure/Update Report.
- Sample Application Cover Letter (DEPs and New Approach Anti Drug Program)

APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> May 30, 1997		<b>Applicant Identifier</b> 73009	
<input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	
				<b>State Application Identifier</b>	
				<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	
				<b>Federal Identifier</b>	
<b>5. APPLICANT INFORMATION</b>					
<b>Legal Name:</b> Housing Authority of the City of Winston			<b>Organizational Unit:</b> Resident Services Division		
<b>Address (give city, county, state, and zip code):</b> 999 East West Avenue Rolling County Winston, IA 99999			<b>Name and telephone number of the person to be contacted on matters involving the application (give area code):</b> Julie S. Davis (909) 999-9999		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b>					
7 9 - 8 8 9 9 0 6 5					
<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <span style="float: right;">N</span>					
A. State		M. Independent School Dist.		I. State Controlled Institution of Higher Learning	
B. County		C. Municipal		J. Private University	
D. Township		E. Interstate		K. Indian Tribe	
F. Intermunicipal		G. Special District		L. Individual	
				M. Profit Organization	
				N. Other (Specify): <u>Public Housing Agency</u>	
<b>8. TYPE OF APPLICATION</b>					
<input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision					
<b>9. NAME OF FEDERAL AGENCY:</b> U.S. Department of Housing and Urban Development					
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> 1 4 - 8 5 4			<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Project HEALTH: Helping Educate and Love This Housing's Youth An aggressive progra incorporating agency and resident initiated goals to strengthen and protect public housing neighborhoods. A combination of law enforcement and drug prevention services will be employed		
<b>12. AREAS AFFECTED BY PROJECT (local, counties, states, etc.):</b> City of Winston Rolling County, State of Iowa					
<b>13. PROPOSED PROJECT:</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>			
<b>Start Date</b> 10/1/97	<b>Ending Date</b> 10/1/99	<b>a. Applicant</b> 5th		<b>b. Project</b> 5th, 6th	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>			
a. Federal	\$ 312,500 .00	<b>a. YES THIS PREAPPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:</b>			
b. Applicant	\$ 0 .00	DATE <u>May 30, 1997</u>			
c. State	\$ 2,000 .00	<b>b. NO</b> <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372			
d. Local	\$ 6,400 .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
e. Other	\$ 0 .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>			
f. Program Income	\$ 0 .00	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
g. TOTAL	\$ 320,900 .00	If "Yes," attach an explanation.			
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>					
<b>a. Typed Name of Authorized Representative</b> Irwin L. Director		<b>b. Title</b> Executive Director		<b>c. Telephone number</b> (909) 999-9998	
<b>d. Signature of Authorized Representative</b> <i>Irwin L. Director</i>				<b>e. Date Signed</b> May 30, 1997	

Previous Editions Not Usable

Standard Form 274a (REV. 7-81)  
Prescribed by GMS Circular A-108



## SAMPLE CONGRESSIONAL NOTIFICATION INFORMATION SHEET

### Sample Summary of Programs Proposed in the Housing Authority's Application.

**This narrative (one Paragraph Only--no more than 10 lines) must be completed by the applicant. HUD will use it for congressional notification.**

The program of the HA of the City of Winston will use a comprehensive security and preventive-based approach to reduce/eliminate drug-related crime. Resident patrols as well as community police patrols will be used to combat the problem of open drug trafficking in our developments. In addition, "Jersey" barriers will be installed in parking lots to control traffic and increase the safety of the units by installing dead-bolt locks. A landscaping business will be started to offer youth an opportunity to learn business skills.

**[NOTE:** Please ensure that the information contained in this one paragraph summary is complete, and that sentence structure and spelling are accurate. In doing this, you will save the Department time in processing and scoring your application]

## SAMPLE SF-424A, BUDGET INFORMATION

The SF-424A includes all information pertaining to your PHDEP program. Please make sure that you properly distinguish between the Federal and non-Federal funds which will be needed to support your program.

### **Sample Budget Narrative With Attached Supporting Documentation**

Your budget narrative must follow, but not be limited to the format of the sample provided in each program specific section of this Application Kit. The SF-424A, with attached budget narrative, must be completed and the applicant must describe each major activity proposed for funding, e.g. Employment of Security Personnel (contracted security personnel services), Reimbursement of Local Law Enforcement Agencies Over and Above Baseline Services (housing authority police departments and reimbursement of a municipal public housing police division/bureau), Physical Improvements, Employment of Investigators, Voluntary Tenant (Resident) Patrols, Program to Reduce the Use of **ILLEGAL** Drugs, e.g. Drug Prevention, Intervention, and Treatment Programs. The following narrative budget is provided on how to present each activity narrative. **Please see Your individual program sample forms in this Section for an example of an attached narrative.**

## BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1 Law Enf.	14,854	\$	\$	\$ 251,200	\$ 6,400	\$ 257,600
2 Secur. Guards	14,854			63,552	7,400	70,952
3 Investigators	14,854			67,925	2,350	70,275
4 Tenant Patrols	14,854			17,500	2,000	19,500
5 TOTALS		\$	\$	\$ 400,177	\$ 18,150	\$ 418,327
SECTION B - BUDGET CATEGORIES						
6 Object Class Categories	GRANT PROGRAM FUNCTION OR ACTIVITY				Total (5)	
	(1) Law Enf.	(2) Secur. Guards	(3) Investigators	(4) Tenant Patrols		
a. Personnel	\$ 0	\$ 0	\$ 54,800	\$ 0	\$ 54,800	
b. Fringe Benefits	0	0	6,000	0	6,000	
c. Travel	0	0	0	1,000	1,000	
d. Equipment	10,500	1,500	5,625	9,000	26,625	
e. Supplies	6,500	900	500	1,500	6,500	
f. Contractual	244,606	61,152	0	2,000	307,758	
g. Construction	0	0	0	0	0	
h. Other	0	0	1,000	4,000	5,000	
i. Total Direct Charges (sum of 6a - 6h)	258,700	63,552	67,925	17,500	407,677	
j. Indirect Charges	0	0	0	0	0	
k. TOTALS (sum of 6i and 6j)	\$ 258,700	\$ 63,552	\$ 67,925	\$ 17,500	\$ 407,677	
7. Program Income	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	

Authorized for Local Reproduction

Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102

## BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Prevention	14.854	\$	\$	\$302,600	\$ 0	\$ 302,600
2. Intervention	14.854			89,500	1,000	90,500
3. Improvements	14.854			27,500	27,500	32,500
4. Total page 1				400,177	18,150	418,327
5. TOTALS		\$	\$	\$ 819,777	\$ 26,150	\$ 843,927
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM FUNCTION OR ACTIVITY				Total (5)	
	(1) Prevention	(2) Intervention	(3) Improvements	(4) Tot. PG 1		
a. Personnel	\$ 226,000	\$ 0	\$ 0	\$ 54,800	\$ 280,800	
b. Fringe Benefits	43,000	0	0	6,000	49,000	
c. Travel	0	0	0	1,000	1,000	
d. Equipment	19,600	0	15,500	21,125	56,225	
e. Supplies	2,000	5,500	0	4,500	12,000	
f. Contractual	4,000	80,000	12,000	307,758	403,725	
g. Construction	0	0	0	0	0	
h. Other	0	4,000	0	5,000	9,000	
i. Total Direct Charges (sum of 6a - 6h)	302,600	89,500	27,500	400,177	820,077	
j. Indirect Charges	0	0	0	0	0	
k. TOTALS (sum of 6i and 6j)	\$ 302,600	\$ 89,500	\$ 27,500	\$ 400,177	\$ 820,077	
7. Program Income	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	

Authorized for Local Reproduction

Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8 Law Enforcement	\$ 0	\$ 0	\$ 6,400	\$ 6,400	
9 Security Guards	0	0	7,400	7,400	
10 Employment of Investigators	0	0	2,350	2,350	
11 Tenant Patrols	0	2,000	0	2,000	
12 TOTALS (sum of lines 8 and 11)	\$ 0	\$ 2,000	\$ 9,150	\$ 11,150	
SECTION D - FORECASTED CASH NEEDS					
13 Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14 Nonfederal					
15 TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Year)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16 Law Enforcement	\$ 118,496	\$	\$	\$	
17 Security Guards	31,218				
18 Employment of Investigators	30,921				
19 Tenant Patrols	8,750				
20 TOTALS (sum of lines 16 - 19)	\$ 189,385	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges: Please See Attached Narrative Budget		22. Indirect Charges: **None Authorized**			
23. Remarks					

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8 Prevention	\$ 0	\$ 0	\$ 0	\$ 0
9 Intervention	0	1,000	0	1,000
10 Physical Improvements	0	5,000	0	5,000
11 Total Page 1	0	2,000	9,150	11,150
12 TOTALS (sum of lines 8 and 11)	\$ 0	\$ 8,000	\$ 9,150	\$ 17,150

SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
		\$ 409,889	\$ 204,944	\$ 68,315	\$ 68,315
14. NonFederal	12,075	6,037	2,012	2,012	2,013
15 TOTAL (sum of lines 13 and 14)	\$ 421,964	\$ 210,981	\$ 70,327	\$ 70,327	\$ 70,327

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Year)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16 Prevention	\$ 151,300	\$	\$	\$
17 Intervention	45,250			
18 Physical Improvements	13,650			
19 Total Page 1	189,385			- -
20 TOTALS (sum of lines 16-19)	\$ 399,585	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION	
(Attach additional Sheets if Necessary)	
21. Direct Charges: Please See Attached Narrative Budget	22. Indirect Charges: **None Authorized**
23. Remarks	

Authorized for Local Reproduction

SF 424A (4 84) Page 2  
Prescribed by OMB Circular A 102

## Instructions Regarding Executive Summary AND IMPLEMENTATION SCHEDULE

The following Executive Summary is in support of the activity timetable. The Executive Summary should provide an overall grant structure. It should serve to demonstrate the organizational structure of your program and its components.

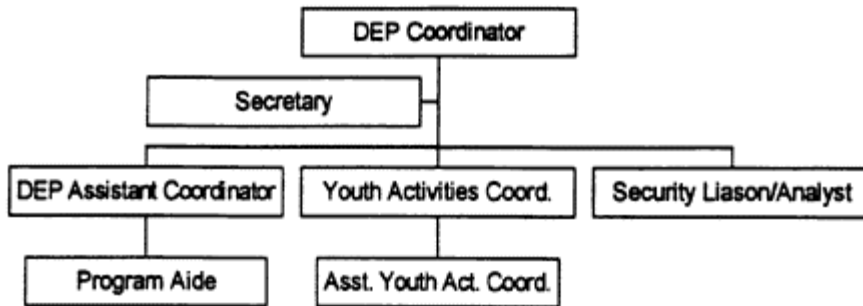
An implementation timetable that includes tasks, deadlines, cost and persons responsible for implementing (beginning, achieving identified milestones, and completing) each activity in the plan should be submitted.

**[REMEMBER:** Your ability to draw-down funds from the LOCCS-VRS system will coincide with your implementation schedule and timeline.]

# SAMPLE

## Housing Authority of the NAME OF HOUSING AUTHORITY

### Drug Elimination Program Organizational Chart

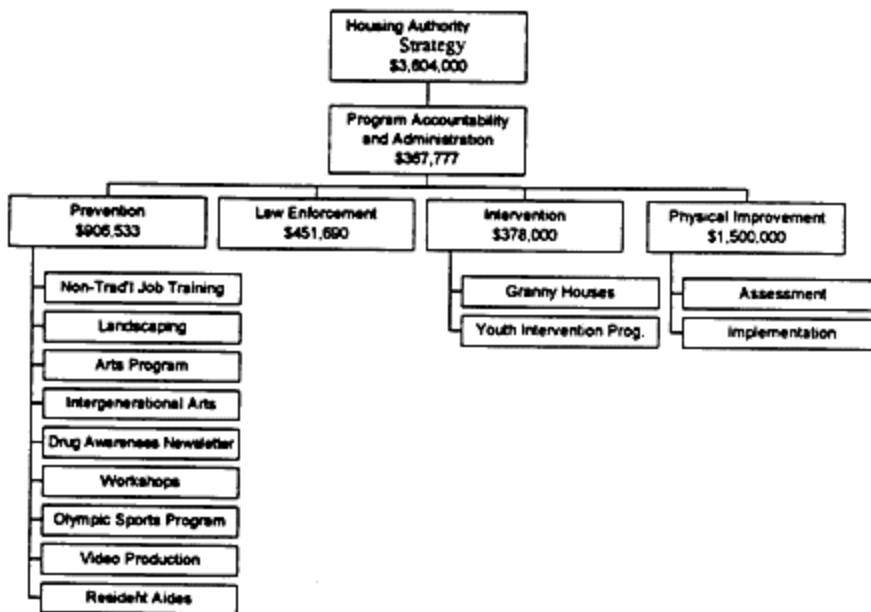




# SAMPLE

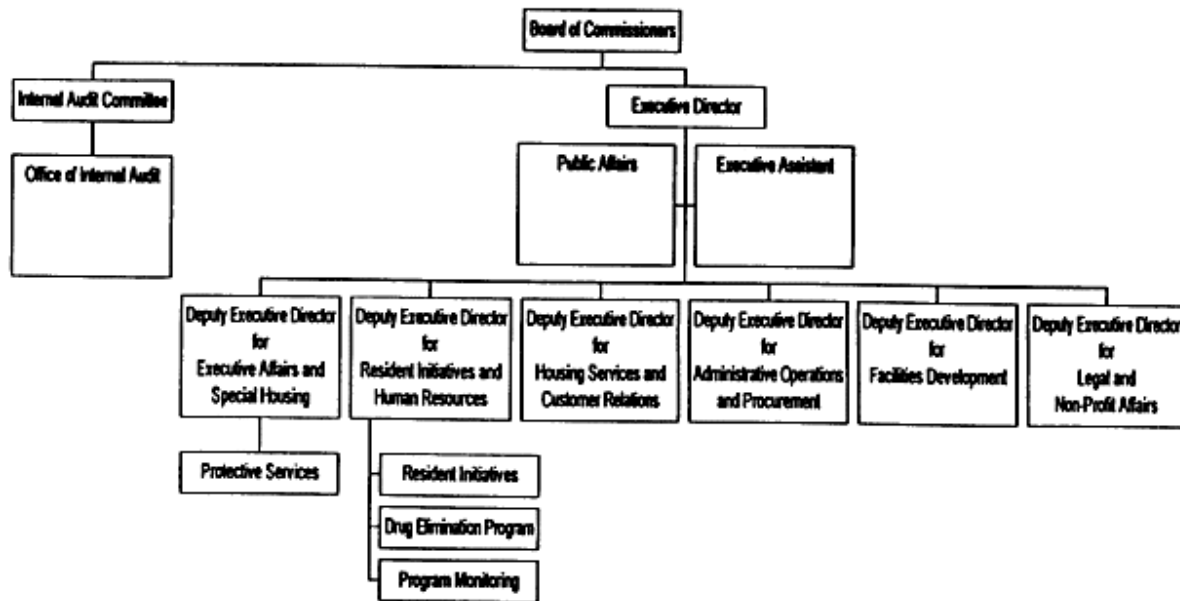
## Housing Authority of the NAME OF HOUSING AUTHORITY

### Executive Summary







**SAMPLE**




**Housing Authority of the  
NAME OF HOUSING AUTHORITY  
Organizational Chart**



PHDEP 1997														
ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
1	PHDEP 1997	588d	10/2/97	12/31/99	\$3,804,000.00									
2	9190 OTHER PROGRAM COSTS	522d	10/2/97	9/30/99	\$347,777.00									
3	STAFFING	522d	10/2/97	9/30/99	\$309,777.00									
4	DHP Coordinator	522d	10/2/97	9/30/99	\$10,000.00									
5	DHP Assistant Coordinator	522d	10/2/97	9/30/99	\$7,000.00									
6	Youth Activities Coordinator	522d	10/2/97	9/30/99	\$28,566.00									
7	Asst. Youth Activities Coordinator	522d	10/2/97	9/30/99	\$4,758.00									
8	Program Aide	522d	10/2/97	9/30/99	\$45,000.00									
9	Security Liaison/Analyst	522d	10/2/97	9/30/99	\$130,000.00									
10	Secretary	522d	10/2/97	9/30/99	\$12,966.00									
11	Fringe Benefits for Staff	522d	10/2/97	9/30/99	\$71,487.00									
12	EQUIPMENT	522d	10/2/97	9/30/99	\$50,000.00									
13	4 Computers	23d	10/2/97	11/1/97	\$8,000.00									
14	1 Printer	23d	10/2/97	11/1/97	\$2,000.00									
15	Vans	522d	10/2/97	9/30/99	\$40,000.00									
16	Lease of 2 vans	522d	10/2/97	9/30/99	\$30,000.00									
17	Maintenance for two vans	522d	10/2/97	9/30/99	\$10,000.00									
18	Travel	522d	10/2/97	9/30/99	\$5,000.00									
19	Office Supplies	522d	10/2/97	9/30/99	\$3,000.00									
20														
21	PHDEP REPORTS	523d	1/1/98	12/31/99	\$0.00									
22	SEMI-ANNUAL	414d	1/1/98	7/31/99	\$0.00									








Project Date 4/13/97

Task  Milestone  Rolled Up Task  Rolled Up Progress 

Progress  Summary  Rolled Up Milestone 

PIIDEP 1997														
ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
23	Performance	23d	1/1/98	1/31/98	\$0.00									
24	Financial	23d	1/1/98	1/31/98	\$0.00									
25	Performance	23d	7/1/98	7/31/98	\$0.00									
26	Financial	23d	7/1/98	7/31/98	\$0.00									
27	Performance	23d	1/1/98	1/31/98	\$0.00									
28	Financial	23d	1/1/98	1/31/98	\$0.00									
29	Performance	23d	7/1/98	7/31/99	\$0.00									
30	Financial	23d	7/1/98	7/31/99	\$0.00									
31	<b>FINAL</b>	66d	10/1/98	12/31/99	\$0.00									
32	Performance	66d	10/1/98	12/31/99	\$0.00									
33	Financial	66d	10/1/98	12/31/99	\$0.00									
34														
35	<b>AUDITS</b>	480d	10/2/97	8/1/99	\$0.00									
36	Internal Housing Authority Audits	457d	10/2/97	7/1/99	\$0.00									
45	External Audits	1d	10/2/97	8/31/98	\$0.00									
46	External Audits	1d	10/2/97	8/1/99	\$0.00									
47														
48	<b>9110 LAW ENFORCEMENT</b>	622d	10/2/97	9/30/99	\$451,690.00									
49	<b>CITY POLICE CONTRACT</b>	499d	10/2/97	8/28/99	\$0.00									
50	1 Lieutenant	499d	10/2/97	8/28/99	\$0.00									
51	2 Sergeants	499d	1/1/98	8/28/99	\$0.00									
52	3 Police investigators	499d	1/1/98	8/28/99	\$0.00									



  

Project Date 4/13/97	Task 	Milestone 	Rolled Up Task 	Rolled Up Progress 
	Progress 	Summary 	Rolled Up Milestone 	

PHIDEP 1997

ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
53	36 Officers	499d	10/2/97	8/28/99	\$0.00									
54	3 Narcotics Investigators	499d	10/2/97	8/28/99	\$0.00									
55														
56	<b>CITY POLICE CONTRACT</b>	522d	10/2/97	9/30/99	\$451,690.00									
57	Contract Amount	22d	9/1/99	9/30/99	\$160,000.00									
58	1 Lieutenant	22d	9/1/99	9/30/99	\$0.00									
59	4 Sergeants	22d	9/1/99	9/30/99	\$0.00									
60	3 Police Investigators	22d	9/1/99	9/30/99	\$0.00									
61	36 Officers	22d	9/1/99	9/30/99	\$0.00									
62	3 Narcotics Investigators	522d	10/2/97	9/30/99	\$291,690.00									
63	Community Meetings	749d	11/1/97	9/1/99	\$0.00									
87														
88	<b>9160 DRUG PREVENTION</b>	542d	10/2/97	10/28/99	\$906,533.00									
89	Arts Program	542d	10/2/97	10/28/99	\$110,000.00									
90	Issue RFP	33d	10/2/97	11/15/98	\$0.00									
91	Review Proposals	11d	11/16/97	11/30/98	\$0.00									
92	Operate Program	498d	12/1/97	10/28/99										
93	International Arts Program	522d	10/2/97	9/30/99	\$17,000.00									
94	Travel	522d	10/2/97	9/20/99	\$6,000.00									
95	Quilting Equipment	22d	10/2/97	10/31/98	\$1,000.00									
96	Quilting Tools	22d	10/2/97	10/30/98	\$6,000.00									
97	Knitting Tools	22d	10/2/97	10/31/98	\$4,000.00									

Project Date 4/13/97

Task  Milestone  Rolled Up Task  Rolled Up Progress   
 Progress  Summary  Rolled Up Milestone 

PHDEP 1997														
ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
98	Operate Program	500d	11/1/97	9/30/99	\$0.00									
99	Drug Awareness Newsletter	542d	10/2/97	10/28/99	\$30,130.00									
100	Travel	522d	10/2/97	9/30/99	\$500.00									
101	Purchase Equipment	22d	10/2/97	10/31/97	\$2,630.00									
102	Computers	22d	10/2/97	10/31/97	\$0.00									
103	5 Cameras	22d	10/2/97	10/31/97	\$1,000.00									
104	Supplies	22d	10/2/97	10/31/97	\$1,630.00									
105	Training Classes (3)	542d	10/2/97	10/28/99	\$3,000.00									
106	RFP for Class Provider	33d	10/2/97	11/15/97	\$0.00									
107	Review Proposals	11d	11/16/97	11/30/97	\$0.00									
108	Operate Program	498d	12/1/97	10/28/99	\$3,000.00									
109	Printing Costs (8 newsletters)	522d	10/2/97	9/30/99	\$24,000.00									
110	RFQ	22d	10/2/97	10/31/97	\$0.00									
111	Review Quotes	11d	11/1/97	11/15/97	\$0.00									
112	Issue Contract	478d	12/1/97	9/30/99	\$24,000.00									
113	Workshops	478d	12/1/97	9/30/99	\$39,305.00									
114	Travel	478d	12/1/97	9/30/99	\$4,500.00									
115	Videos and Curriculum	478d	12/1/97	9/30/99	\$5,000.00									
116	Youth Workshops	478d	12/1/97	9/30/99	\$10,000.00									
117	Community Workshops	478d	12/1/97	9/30/99	\$19,805.00									
118	OLYMPIC SPORTS PROGRAM	522d	10/2/97	9/30/99	\$30,000.00									
119	Travel	522d	10/2/97	9/30/99	\$5,000.00									

Project: Date 4/13/97

Task Milestone Rolled Up Task Rolled Up Progress   
 Progress Summary Rolled Up Milestone

PHDEP 1997

ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
120	To competitions	522d	10/2/97	9/30/99	\$4,000.00									
121	To Field Trips and Events	522d	10/2/97	9/30/99	\$1,000.00									
122	Housing Express Track Team	522d	10/2/97	9/30/99	\$5,000.00									
123	Sports Equipment	522d	10/2/97	9/30/99	\$20,000.00									
124	Operate Program	477d	12/4/97	9/30/99	\$0.00									
125	<b>VIDEO PRODUCTION</b>	522d	10/2/97	9/30/99	\$25,500.00									
126	Travel	522d	10/2/97	9/30/99	\$500.00									
127	Video Consultant	22d	10/2/97	9/30/99	\$20,000.00									
128	Issue RFP	11d	10/2/97	10/31/97	\$0.00									
129	Review proposals	477d	12/4/97	11/15/97	\$0.00									
130	Issue contract	45d	10/2/97	9/30/99	\$20,000.00									
131	Editing Equipment	542d	10/2/97	12/1/97	\$5,000.00									
132	<b>Resident Aides</b>	542d	10/2/97	10/28/99	\$292,200.00									
133	<b>Personnel</b>	542d	10/2/97	10/31/99	\$292,200.00									
134	<b>6 Resident Aides</b>	542d	10/2/97	10/28/99	\$180,000.00									
135	Advertise	22d	10/2/97	10/30/97	\$0.00									
136	Panel	22d	11/1/97	11/30/97	\$0.00									
137	Hire	498d	12/1/97	10/28/99	\$0.00									
138	<b>1 Resident Aide Supervisor</b>	542d	10/2/97	10/28/99	\$38,000.00									
139	Advertise	22d	10/2/97	10/31/97	\$0.00									
140	Panel	22d	11/1/97	11/30/97	\$0.00									
141	Hire	498d	12/1/97	10/28/99	\$0.00									

Project: Date 4/13/97

Task  Milestone  Rolled Up Task  Rolled Up Progress   
 Progress  Summary  Rolled Up Milestone 

PHDEP 1997														
ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
164	McDaniel-Glenn	305d	10/31/97	12/30/98	\$2,000.00									
165	University	261d	1/1/98	12/30/98	\$2,000.00									
166	Contract for 7 Instructors	326d	10/2/97	12/30/98	\$35,000.00									
167	RFP	22d	10/2/97	10/31/97	\$0.00									
168	Review Proposals	11d	11/1/97	11/15/97	\$0.00									
169	Issue Contract	261d	1/1/98	12/30/98	\$35,000.00									
170	Non-Traditional Career Training	304d	11/2/97	12/31/98	\$166,398.00									
171	RFP	21d	11/2/97	11/30/97	\$0.00									
172	Review Proposals	11d	12/1/97	12/15/97	\$0.00									
173	Issue Contract	262d	1/1/98	12/31/98	\$166,398.00									
174														
175	<b>9170 DRUG INTERVENTION</b>	522d	10/2/97	9/30/99	\$378,000.00									
176	Youth Intervention Program	522d	10/2/97	9/30/99	\$238,000.00									
177	Granny Houses	522d	10/2/97	9/30/99	\$140,000.00									
178	Staffing	522d	10/2/97	9/30/99	\$125,000.00									
179	Equipment	522d	10/2/97	9/30/99	\$15,000.00									
180														
181	<b>9150 PHYSICAL IMPROVEMENTS</b>	520d	10/2/97	9/26/99	\$1,500,000.00									
182	Assessment	108d	10/2/97	2/28/98	\$250,000.00									
183	RFP	22d	10/2/97	10/31/97	\$0.00									
184	Review Proposals	22d	11/1/97	11/30/97	\$0.00									
185	Issue Contract	64d	12/1/97	2/28/98	\$250,000.00									

Project: Date 4/13/97

Task Milestone Rolled Up Task Rolled Up Progress   
 Progress Summary Rolled Up Milestone



FHDEP 1997														
ID	Task Name	Duration	Start	Finish	Cost	10/97	11/97	12/97	1/98	2/98	3/98	4/98	5/98	6/98
186	Implementation	411d	3/1/98	9/26/99	\$1,250,000.00									
187	Implementation RFPs	21d	3/1/98	3/29/98	\$0.00									
188	Review Proposals	22d	4/1/98	4/30/98	\$0.00									
189	Issue Contracts	368d	5/1/98	9/26/99	\$1,250,000.00									
<div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 25%;">Project Date 4/13/97</div> <div style="width: 25%;">           Task  Milestone  </div> <div style="width: 25%;">           Rolled Up Task  Rolled Up Progress  </div> <div style="width: 25%;">           Progress  Summary  </div> <div style="width: 25%;">           Rolled Up Milestone  </div> </div>														
Page 8														

## Assurances—Non-Construction Programs

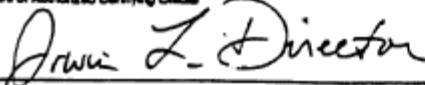
OMB Approval No. 0348-0042

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicap; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animal held for research, teaching, or other activities supported by the award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of resident structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official 	Title Executive Director
Applicant Organization Housing Authority of the City of Winston	Date Submitted May 30, 1997

SAMPLE

**Applicant/Recipient  
Disclosure/Update Report**

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

OMB Approval No. 2535-0101 (exp. 12/31/94)

Instructions: (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information Indicate whether this is an Initial Report  or an Update Report

1. Applicant/Recipient Name, Address, and Phone (include area code) Housing Authority of the City of Winston 999 East West Avenue Winston, IA 99999 (909) 999-9999		Social Security Number or Employer ID Number 79-8899065
2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State) Winston Drug Elimination Program 999 East West Avenue Winston, IA 99999		
3. Assistance Requested/Received Grant to eliminate drug-related crime in public housing developments	4. HUD Program Public Housing Drug Elimination	5. Amount Requested/Received \$ 312,500

**Part II. Threshold Determinations -- Applicants Only**

- Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, and have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?  Yes  No  
If Yes, you must complete the remainder of this report.  
If No, you must sign the certification below and answer the next question.  
I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date 5/30/97
  - Is this application for a specific housing project that involves other government assistance?  Yes  No  
If Yes, you must complete the remainder of this report.  
If No, you must sign this certification.  
I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date 5/30/97
- If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

**Part III. Other Government Assistance Provided/Requested**

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided
1. State of Iowa Resident Patrol Training Fund 320 Main Street Des Moines, IA 55551	Discretionary Fund	grant	\$2,000
2. City of Winston 1 North Main Street Winston, IA 55006	Discretionary Fund	grant	\$6,400

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V?  Yes  No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Part IV. Interested Parties**

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)
Iowa, State of Resident Patrol Training Fund 320 Main Street Des Moines, IA 55551	54-6624931	Contract	\$2,000 1% of total request
Smith, Diane Diane's Martial Arts/ Dance Emporium 5 North Main Street Winston, IA 55006	000-55-0000	Contract	\$10,000 3% of total request
Winston, City of Police Department Tom Johnson, Chief 1 North Main Street Winston, IA 55006	21-4454443	Contract	\$122,300 39% of total request

If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_

Date \_\_\_\_\_

**Part V. Report on Expected Sources and Uses of Funds**

**Source**

\$312,500 -- Public Housing Drug Elimination (CFDA --14,854)  
U.S. Department of Housing and Urban Development  
451 Seventh Street, S.W., Room 4116  
Washington, DC 20410

\$2,000 -- State of Iowa Resident Patrol Training Fund  
320 Main Street  
Des Moines, IA 55551

\$6,400 -- City of Winston  
1 North Main Street  
Winston, IA 55006

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Use**

\$128,900 -- To acquire additional security and protective services  
from the local law enforcement agency.

\$166,100 -- To operate drug prevention programs.

\$17,500 -- To operate a tenant patrol program.

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**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 disclosure 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 \_\_\_\_\_ Date May 30, 1997

## SAMPLE APPLICANT COVER LETTER FORMAT

# SAMPLE

Date

Public Housing Director's Name  
Office of Public Housing  
HUD Field Office or HUB Name  
HUD Field Office or HUB Address

Dear Colleague:

The Winston Housing Authority (WHA) is pleased to submit an original and three copies of its comprehensive drug elimination proposal for the FY 1998 Public and Indian Housing Drug Elimination Program (PHDEP).

Winston Housing Authority is a medium-sized agency located in the heart of the Midwest. The City of Winston has a current population of 250,000, and our public housing community consists of 15,000 residents. WHA's public housing communities are located in highly accessible areas of the city. Drug dealers and other criminals have easy access in and out of WHA properties. Winston police officials indicate that drug-related activity and "calls for service" on WHA properties increased by 11 percent during 1996. In particular, the community witnessed an increase in domestic disturbances and violent crimes.

The goals of our comprehensive drug elimination strategy are to reduce/eliminate drug-related crime and other Part I and Part II crimes; establish ongoing working relationships with Federal, State, and local law enforcement agencies; empower residents; and increase the quality of life for residents in our community and the surrounding neighborhoods. Funding from the 1998 PHDEP program will assist WHA achieve these goals. As you will note from our proposal, we are requesting to continue two programs and establish five new ones. The grant funds will be used for six major activities: development of a dedicated law enforcement force, employment of HA investigators, the establishment of a voluntary tenant patrol, physical improvements, a drug prevention program, and a drug intervention program. These activities have been designed together by housing authority staff, residents, and other community partners.

Crime prevention strategies require a holistic approach that involves the active participation of numerous local, county, and state agencies. Housing authority staff and residents have embraced this concept of "partnerships." In previous PHDEP grants the housing authority and several WHA resident councils have worked closely with the police department, human service agencies, non-profit organizations, and educational institutions to develop partnerships which lead to the development of programs and policies that best meet the needs of WHA residents.

The programs described throughout this proposal represent the best strategy to reduce/eliminate drug-related crime and other Part I and Part II crimes in our community. It is with great enthusiasm that I present this 1998 Public and Indian Housing Drug Elimination application to the Department.

Sincerely,

Executive Director or Program Coordinator's name

**PUBLIC AND INDIAN HOUSING DRUG ELIMINATION PROGRAMS (PHDEPs)  
SAMPLE APPLICATION DOCUMENTS**

The following **SAMPLE FORMS** have been provided for your assistance.

- Sample Budget Information (non-construction programs), with activity budget narrative and supporting documentation, as applicable, attachment.



**SAMPLE FORMAT**

**REIMBURSEMENT OF LOCAL LAW ENFORCEMENT AGENCIES  
OVER AND ABOVE BASELINE SERVICES**

**BUDGET NARRATIVE**

**BRIEF PROGRAM DESCRIPTION:** The WHA will execute a contract with the Winston Police Department to provide services over and above current baseline services. The Winston Police Department will also establish a mini-station on the site of the targeted development. The proposed contract between the Winston Police Department and the HA of the City of Winston for these services is attached to this application as Appendix A.

**Funds Requested For Activity:** \$304,450

**Amplified Budget Items by Object Class Category (From SF-424A, Section B # 6)**

		<b>PHDEP Funding</b>	<b>Other local in-kind Sources of Funding</b>
<b>a.</b>	<b>Personnel</b>		
	None	\$ -0-	\$ -0-
	Total	\$ -0-	\$ -0-
<b>b.</b>	<b>Fringe Benefits</b>		
	None	\$ -0-	\$ -0-
	Total	\$ -0-	\$ -0-
<b>c.</b>	<b>Travel</b>		
	None	\$ -0-	\$ -0-
	Total	\$ -0-	\$ -0-
<b>d.</b>	<b>Equipment</b>		
	Purchase and install closed Circuit Television system (see attached supporting documentation)	\$ 17,500	\$ -0-

	Purchase and install Telephone Equipment (see attached supporting documentation)	\$ 850	\$ -0-
	Cameras	\$ 3,000	\$ -0-
	Facsimile Machine	\$ 600	\$ -0-
	Bicycles (2)	\$ 2,500	\$ -0-
	Portable 2-way Radios (4)	\$ 12,000	\$ -0-
	Computers (2)	\$ 6,000	\$ -0-
	Software (See attached cost analysis)	\$ 4,700	\$ -0-
	Total	\$ 47,150	\$ -0-
<b>e.</b>	<b>Supplies</b>		
	Telephones	\$ 2,500	\$ -0-
	Office Supplies	\$ 4,600	\$ -0-
	Maintenance (See attached cost analysis)	\$ 5,600	\$ -0-
	Total	\$ 12,700	\$ -0-
<b>f.</b>	<b>Contractual/details</b>		
	Direct labor and benefit contract with Winston Police Department For Four (4) Officers at 12 hrs/day for 104 weeks. Rate of \$20/hr. (you must document rates per hour) (See attached supporting documentation)	\$244,600	\$ -0-
	Total	\$244,600	\$ -0-
<b>h.</b>	<b>Other</b>		
	None (See attached cost analysis)	\$ -0-	\$ -0-
	Total	\$ -0-	\$ -0-
<b>I.</b>	<b>Total Direct Charges (sum of a - h)</b>	\$304,450	\$ -0-

Attach cost analysis/supporting documentation to support specific costs.

**SAMPLE FORMAT**

**PROGRAMS TO REDUCE THE USE OF DRUGS  
DRUG PREVENTION/ INTERVENTION/ TREATMENT PROGRAM**

**BUDGET NARRATIVE**

**BRIEF PROGRAM DESCRIPTION:** The WHA will establish a comprehensive drug prevention/ intervention/treatment program designed to reduce drug-related crime and other Part I and Part II crimes in or around the premises of the housing authority, including substance abuse prevention, intervention, referral programs, and faith communities and/or other ministerial/ organizations that provide services (substance abuse treatment, and structured aftercare/support system programs). Winston Housing Authority will contract youth prevention programs to the local Boys and Girls Club of America. In conjunction with WHAs Communities of Learners programs, adult prevention services and youth sports activities will be offered at the HA's community learning center. WHA will contract with Winston County Psychiatric Services for treatment and aftercare services. The proposed contracts between the Winston Boys and Girls Club, the Winston County Psychiatric Services and the HA of the City of Winston for services mentioned is attached to this application as Appendix A.

**Funds Requested For Activity:** \$427,600

**Amplified Budget Items by Object Class Category (From SF-424A, Section B # 6)**

	<b>PHDEP Funding</b>	<b>Other local in-kind Sources of Funding</b>
<b>a. Personnel</b>		
Project Director (2 yrs)	\$ 80,000	\$ -0-
Project Coordinator (2 yrs)	\$ 56,500	\$ -0-
Drug Prevention Specialist (2 yrs)	\$ 56,500	\$ -0-
Administrative Assistance (2 yrs)	\$ 33,000	\$ -0-
Total	\$226,000	\$ -0-
<b>b. Fringe Benefits</b>		
FICA/Medical Benefits	\$ 20,000	\$ -0-
Vacation	\$ 23,000	\$ -0-
Total	\$ 43,000	\$ -0-
<b>c. Travel</b>		
None	\$ -0-	\$ -0-
Total	\$ -0-	\$ -0-

<b>d. Equipment</b>		
Van	\$ 25,000	\$ -0-
Computers, Software & Maintenance	\$ 12,500	\$ -0-
Printer	\$ 2,000	\$ -0-
Fax Machine	\$ 500	\$ -0-
Slide projector and screen	\$ 1,500	\$ -0-
Overhead projector	\$ 1,500	\$ -0-
Camera	\$ 600	\$ -0-
Xerox machine	\$ 1,000	\$ -0-
(See attached supporting documentation)		
Total	\$ 44,600	\$ -0-
<b>e. Supplies</b>		
Telephones	\$ 1,000	\$ -0-
Office Supplies	\$ 700	\$ -0-
Maintenance	\$ 300	\$ -0-
(See attached supporting documentation)		
Total	\$ 2,000	\$ -0-
<b>f. Contractual/details</b>		
Winston Boys and Girls Club (you must document rates per hour) (See attached supporting documentation)	\$ 4,000	\$ -0-
Winston County Psychiatric Services (you must document rates per hour) (See attached supporting documentation)	\$ 100,000	\$ -0-
Total	\$104,000	\$ -0-
<b>g. Other</b>		
Educational Scholarships	\$ 25,000	\$ -0-
Total	\$ 25,000	\$ -0-
<b>h. Total Direct Charges (sum of a - h)</b>	\$427,600	\$ -0-

**Attach supporting documentation to support specific costs.**

Please make sure that you follow the sample form provided in the previous page when preparing a budget for any funding category.

## HOUSING AUTHORITY EMPLOYMENT OF SECURITY PERSONNEL

### SAMPLE BUDGET NARRATIVE

**BRIEF PROGRAM DESCRIPTION:** The WHA will directly employ qualified residents as security guard personnel to provide services in addition to those, or not usually performed by, local law enforcement agencies on a routine basis, such as, patrolling inside buildings, providing personnel services at building entrances to check for proper identification or patrolling and checking car parking lots for appropriate parking decals.

## CONTRACTED SECURITY PERSONNEL SERVICES

### SAMPLE BUDGET NARRATIVE

**BRIEF PROGRAM DESCRIPTION:** The WHA will execute a contract for security personnel services to provide services in addition to those, or not usually performed by, local law enforcement agencies on a routine basis, such as, patrolling inside buildings, providing personnel services at building entrances to check for proper identification or patrolling and checking car parking lots for appropriate parking decals.

## EMPLOYMENT OF INVESTIGATOR(S)

### SAMPLE BUDGET NARRATIVE

**BRIEF PROGRAM DESCRIPTION:** The WHA will hire one investigator who will investigate drug-related crime, other criminal activities and/or problems associated with crime "in or around" the real property comprising the HA developments and provide evidence relating to any such crime in any administrative or judicial proceedings.

## ESTABLISHMENT OF VOLUNTARY TENANT PATROLS

### SAMPLE BUDGET NARRATIVE

**BRIEF PROGRAM DESCRIPTION:** The HA will execute a contract with the Winston Resident Council to coordinate the establishment of a volunteer tenant patrol. The proposed contract between the Winston Resident Council and the HA of the City of Winston for these services is attached to this application as Appendix A.

## PHYSICAL IMPROVEMENTS TO ENHANCE SECURITY

### SAMPLE BUDGET NARRATIVE

**BRIEF PROGRAM DESCRIPTION:** The WHA will install fences, closed circuit surveillance cameras, speed bumps, monitors, security alarms, electronic entry locks with access card readers, exterior lights, and will reconfigure the landscape of several of the targeted developments common areas for the security of the HA's community center. Equipment is needed at the community center where resident anti-crime prevention programming and recreational activities will be offered for all developments. In addition, WHA will contract with the Resident Management Corporation to provide landscaping tasks that have been proven successful in preventing crime through environmental design.

## DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM (DETAP)

### RELATED SAMPLE DOCUMENTS

The following **SAMPLE FORMS** have been provided for your assistance.

- NO sample forms necessary or provided

## **NEW APPROACH ANTI-DRUG PROGRAM**

### **RELATED SAMPLE DOCUMENTS**

The following SAMPLE FORMS have been provided for your assistance.

**The following SAMPLE FORMS have been provided for your assistance.**

- Sample Budget Information (non-construction programs), with activity budget narrative/and supporting documentation, as applicable, attachment.



**SAMPLE FORM**

**REIMBURSEMENT OF LOCAL LAW ENFORCEMENT AGENCIES  
OVER AND ABOVE BASELINE SERVICES**

**BUDGET NARRATIVE**

**BRIEF PROGRAM DESCRIPTION:** The WHA will execute a contract with the Winston Police Department to provide services over and above current baseline services. The Winston Police Department will also establish a mini-station on the site of the targeted development. The proposed contract between the Winston Police Department and the HA of the City of Winston for these services is attached to this application as Appendix A.

**Funds Requested For Activity:** \$304,450

**Amplified Budget Items by Object Class Category (From SF-424A, Section B # 6)**

	<b>NAADP Funding</b>	<b>Other local in-kind Sources of Funding</b>
<b>a. Personnel</b>		
None	\$ -0-	\$ -0-
Total	\$ -0-	\$ -0-
<b>b. Fringe Benefits</b>		
None	\$ -0-	\$ -0-
Total	\$ -0-	\$ -0-
<b>c. Travel</b>		
None	\$ -0-	\$ -0-
Total	\$ -0-	\$ -0-
<b>d. Equipment</b>		
Purchase and install closed Circuit Television system (see attached supporting documentation)	\$ 17,500	\$ -0-

	Purchase and install Telephone Equipment (see attached supporting documentation)	\$ 850	\$ -0-
	Cameras	\$ 3,000	\$ -0-
	Facsimile Machine	\$ 600	\$ -0-
	Bicycles (2)	\$ 2,500	\$ -0-
	Portable 2-way Radios (4)	\$ 12,000	\$ -0-
	Computers (2)	\$ 6,000	\$ -0-
	Software (See attached cost analysis)	\$ 4,700	\$ -0-
	Total	\$ 47,150	\$ -0-
<b>e.</b>	<b>Supplies</b>		
	Telephones	\$ 2,500	\$ -0-
	Office Supplies	\$ 4,600	\$ -0-
	Maintenance (See attached cost analysis)	\$ 5,600	\$ -0-
	Total	\$ 12,700	\$ -0-
<b>f.</b>	<b>Contractual/details</b>		
	Direct labor and benefit contract with Winston Police Department For Four (4) Officers at 12 hrs/day for 104 weeks. Rate of \$20/hr. (you must document rates per hour) (See attached supporting documentation)	\$244,600	\$ -0-
	Total	\$244,600	\$ -0-
<b>h.</b>	<b>Other</b>		
	None (See attached cost analysis)	\$ -0-	\$ -0-
	Total	\$ -0-	\$ -0-
<b>I.</b>	<b>Total Direct Charges (sum of a - h)</b>	\$304,450	\$ -0-

**Attach cost analysis/supporting documentation to support specific costs.**



# ***Section IV:*** **Blank Forms**

## BLANK FORMS APPLICABLE TO ALL PROGRAMS

- A set of blank forms is provided for use in preparing your application.
- Please use additional sheets as needed, and where attachments are required, please place them in the appropriate required tabs of the application.
- In this section, please find the following forms and certifications. For further information on the required forms for the program you are applying for, see Section II of this application kit
  - Form HUD-50070 Drug-Free Workplace Certification.
  - Form HUD-50071 Lobbying Certification.
  - SF-LLL Disclosure of Lobbying Activities Certification.
  - Standard Form 424 Application For Federal Assistance
  - Standard Form 424A Budget Information (non-construction programs)
  - Standard Form 424B Assurances (non-construction programs)
  - Certification of Debarment and Suspension
  - HUD Form 2880 Applicant/Recipient Disclosure/Update Report
  - Certification of Consistency with the Consolidated Plan
  - Certification of Consistency with the EZ/EC Strategic Plan
  - Certification of Resident Management Corporations, Resident Councils, Resident Organizations and Residents.
  - Acknowledgement of Application Receipt

# Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding:

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant 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 Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

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

(2) The Applicant'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 subparagraph 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 subparagraph 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. thru f.

**2. Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

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

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official:

Title:

Signature:

Date:

X

# Certification of Payments to Influence Federal Transactions

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

---

Applicant Name

---

Program/Activity Receiving Federal Grant Funding

---

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 an 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.

---

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

---

Name of Authorized Official:

Title:

Signature:

Date:

X

# Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
--	---	--

<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>  Congressional District, if known: _____
---	---

<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____
--------------------------------------	--

<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____
--	---

<b>10a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a.) (last name, first name, MI):
--	--

<b>11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the 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 semiannually 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.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____
---	---



---

## 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 any 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 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.

# Application for Federal Assistance

OMB Approval No. 0348-0043

<b>1. Type of Submission:</b> <b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction  <b>Pre-application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. Date Submitted	Applicant Identifier
	3. Date Received by State	State Application Identifier
	4. Date Received by Federal Agency	Federal Identifier

**5. Applicant Information**

Legal Name	Organizational Unit
Address (give city, county, State, and zip code): matters	Name, telephone number, and facsimile number of the person to be contacted on involving this application (give area codes)

**6. Employer Identification Number (EIN):**  
   -

**7. Type of Applicant:** (enter appropriate letter in box)

A. State	J. Private University
B. County	K. Indian Tribe
C. Municipal	L. Individual
D. Township	M. Profit Organization
E. Interstate	N. Nonprofit
F. Intermunicipal	O. Public Housing Agency
G. Special District	P. Other (Specify):
H. Independent School Dist.	
I. State Controlled Institution of Higher Learning	

**8. Type of Application:**  
 New     Continuation     Revision  
 If Revision, enter appropriate letter(s) in box(es):    
 A. Increase Award    B. Decrease Award    C. Increase Duration  
 D. Decrease Duration    Other (specify):

**9. Name of Federal Agency:**  
**U.S. Department of Housing and Urban Development**

**10. Catalog of Federal Domestic Assistance Number:**  
 Title:    -

**11. Descriptive Title of Applicant's Project:**

**12. Areas Affected by Project** (cities, counties, States, etc.):

<b>13. Proposed Project:</b>		<b>14. Congressional Districts of:</b>	
Start Date	Ending Date	a. Applicant	b. Project

**15. Estimated Funding:**  
 See attached Funding Matrix

**16. Is Application Subject to Review by State Executive Order 12372 Process?**  
 a. **Yes** This pre-application/application was made available to the State Executive Order 12372 Process for review on:  
 Date: \_\_\_\_\_  
 b. **No**  Program is not covered by E.O. 12372  
 or  Program has not been selected by State for review.

**17. Is the Applicant Delinquent on Any Federal Debt?**  
 Yes If "Yes," explain below or attach an explanation  No

**18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.**

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

---

## Instructions for the SF-424

---

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

---

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

Item	Entry	Item	Entry
1.	Self-explanatory.	9.	Name of Federal agency from which assistance is being requested with this application.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
3.	State use only (if applicable).	11.	Enter a brief descriptive title of the project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	12.	List only the largest political entities affected (e.g., State, counties, cities).
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	13.	Self-explanatory.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
7.	Enter the appropriate letter in the space provided.	15.	Not applicable.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: <ul style="list-style-type: none"><li>– "New" means a new assistance award.</li><li>– "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.</li><li>– "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</li></ul>	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
		17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
		18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

# Application for Federal Assistance Funding Matrix

The applicant must provide a funding matrix as shown below listing each program for which Federal funding is being requested.

Program*	Requested Dollar Amount	Federal Share	State Share	Local	Other

\* For FHIPs, show both initiative and component

# Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$
Section B - Budget Categories						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. Totals (sum of 6i and 6j)						
7. Program Income		\$	\$	\$	\$	\$

**Section C - Non-Federal Resources**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. <b>Total</b> (sum of lines 8 - 11)	\$	\$	\$	\$

**Section D - Forecasted Cash Needs**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. <b>Total</b> (sum of lines 13 and 14)	\$	\$	\$	\$	\$

**Section E - Budget Estimates of Federal Funds Needed for Balance of the Project**

(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. <b>Total</b> (sum of lines 16-19)	\$	\$	\$	\$

**Section F - Other Budget Information**

21. Direct Charges	22. Indirect Charges
--------------------	----------------------

23. Remarks

---

## Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

---

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column (a)** and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

**For new applications**, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

**For continuing grant program applications**, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

**For supplemental grants and changes** to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i**—Show the totals of Lines 6a to 6h in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

---

### Section C. Non-Federal Resources

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

### Section D. Forecasted Cash Needs

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19**—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21**—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23**—Provide any other explanations or comments deemed necessary.



# Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

- 12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

# Certification Regarding Debarment and Suspension

## 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

**Applicant/Recipient  
Disclosure/Update Report**

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

OMB Approval No. 2510-0011 (exp. 3/31/98)

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

**Part I Applicant/Recipient Information**      **Indicate whether this is an Initial Report**       **or an Update Report**

1. Applicant/Recipient Name, Address, and Phone (include area code)	Social Security Number or Employer ID Number
---	--

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received	4. HUD Program	5. Amount Requested/Received \$
----------------------------------	----------------	------------------------------------

**Part II. Threshold Determinations -- Applicants Only**

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?       **Yes**       **No**

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

2. Is this application for a specific housing project that involves other government assistance?       **Yes**       **No**

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

**Part III. Other Government Assistance Provided/Requested**

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V?  **Yes**       **No**

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Part IV. Interested Parties**

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

---

**Part V. Report on Expected Sources and Uses of Funds**

---

**Source**

---

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

---

**Use**

---

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**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 disclosure 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	Date
-----------	------

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. 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 §12.34.

**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 (See Note 1 on last page.)

**I. Overview.** Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

**A. Applicant disclosure (initial) reports: General.** All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources. Applicants subject to Subpart C must make the following disclosures:

- Assistance from other government sources in connection with the project,
- The financial interests of persons in the project,
- The sources of funds to be made available for the project, and
- The uses to which the funds are to be put.

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

**C. Applicant disclosure reports: Specific guidance.** The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. Nature of Assistance. The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. Dollar Threshold. The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) **Note:** There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

**D. Update reports: Specific guidance.** During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.
3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by \$250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).



5. For changes in previously disclosed sources or uses of funds:

a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses (whichever is lower).

b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by \$250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

## II. Line-by-Line Instructions.

### A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

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. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.

2. 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.

3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. 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.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

### B. Part II. Threshold Determinations — Applicants Only

Part II 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.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

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

### C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 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. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. 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).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

#### **D. Part IV. Interested Parties.**

This Part is to be completed by both applicants filing applicant disclosure reports 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).

Recipients must make the additional disclosures referred to in Section I.D.1.,2., or 4, above.

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 of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
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.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

**5. Part V. Report on Sources and Uses of Funds.** This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

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.

General Instructions — sources of funds

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—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.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO  
Architect's fee — design  
Architect's fee — supervision  
Bond premium  
Builder's general overhead  
Builder's profit  
Construction interest  
Consultant fee  
Contingency Reserve  
Cost certification audit fee  
FHA examination fee  
FHA inspection fee  
FHA MIP  
Financing fee  
FNMA / GNMA fee  
General requirements  
Insurance  
Legal — construction  
Legal — organization  
Other fees  
Purchase price  
Supplemental management fund  
Taxes  
Title and recording  
Operating deficit reserve  
Resident initiative fund  
Syndication expenses  
Working capital reserve  
Total land improvement  
Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses  
Bridge loan interest  
Development fee  
Operating deficit reserve  
Resident initiative fund  
Syndication expenses  
Working capital reserve

**Footnotes:**

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated periodically.
3. 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 Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "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.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a 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 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 of Consistency with the 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), or Urban Enhanced Enterprise Community.

(Type or clearly print the following information:)

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

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

Name of EZ/EC: \_\_\_\_\_

I further certify that the proposed activities/projects will be located within the EZ/EC and serves EZ/EC residents. (2 points)

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

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

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

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

**Certification by Resident Management  
Corporations (RMCs)/Resident Councils (RCs)  
Resident Organizations (ROs) or Residents**

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

The applicant certifies that:

- Residents participated in the preparation/strategy of the grant application for the Public and Indian Housing Drug Elimination Program for the targeted development(s);
- The applicant's description in its plan of activities to be undertaken by the RMC/RC/RO or residents is accurate and complete; and
- Certification is applicable only for targeted development(s).
- If awarded, the applicant will involve residents in any change to the approved plan.
- Residents are aware that the application deadline date is **June 15, 1998, 3:00 pm**, local time.

Resident Representative

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 1998

Resident Representative (Print Name and Title)

\_\_\_\_\_  
Signature

X \_\_\_\_\_

Executive Director

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 1998

Executive Director (Print Name and Title)

\_\_\_\_\_  
Signature

X \_\_\_\_\_

Signatures of other public housing authority or Tribal housing resident organization presidents or public housing authority or Tribal housing resident(s) if one does not exist, and other public and Indian housing leadership organizations for the proposed/target developments for PHDEP funding.

1. Name \_\_\_\_\_  
Address \_\_\_\_\_
2. Name \_\_\_\_\_  
Address \_\_\_\_\_
3. Name \_\_\_\_\_  
Address \_\_\_\_\_
4. Name \_\_\_\_\_  
Address \_\_\_\_\_

Check if comments by residents are attached.

---

---

# 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 \_\_\_\_\_





**PUBLIC AND INDIAN HOUSING DRUG ELIMINATION PROGRAM S(PHDEPS)  
RELATED BLANK FORMS**



# 1998 Applicant Data Input Sheet

---

Application control number \_\_\_\_\_ / \_\_\_\_\_ (State/HA or IHA No.)

IRS Employer Identification Number (EIN) \_\_\_\_\_ (from Item 6. of the SF-424)

HA/IHA Name \_\_\_\_\_

HUD Area Office \_\_\_\_\_ State \_\_\_\_\_ Field Office \_\_\_\_\_

HA/IHA Executive Director \_\_\_\_\_ Phone \_\_\_\_\_

HA/IHA Grant Coordinator \_\_\_\_\_ Phone \_\_\_\_\_

List the names of the specific developments targeted for assistance under this grant.  
(Attach additional pages if more space is needed.)

In accordance with section I.(b) of the NOFA, provide the unit count(s).

<b>Units</b>	<b>Count</b>
1. Public Housing	_____
2. Indian Housing	_____
3. Section 23 Leased Housing	_____
4. Turnkey III Homeownership	_____
5. Mutual Help Homeownership	_____
6. Non-Federally Assisted Housing located in High Intensity Drug-Trafficking Areas (Section I.(c)(9))	_____
6. Total Unit Count	_____

Has the applicant confirmed the HA/IHA unit count with the local HUD Field Office or HUD/AONAPs?

Yes  No  Date \_\_\_\_\_

Name of Field Office representative that confirmed the unit count

\_\_\_\_\_

Documentation relative to verification of unit count is attached.

---

---

# Budget Summary

## Federal Funds Requested

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

Program: \_\_\_\_\_  
 Field Office: \_\_\_\_\_

### Detailed Description of Budget

Budget Line Item No.	Activities	Funds Requested
9110	Reimbursement of local law enforcement agencies over and above baseline services	\$
	1. Reimbursement of a municipal public housing police division and/or bureau	\$
	Subtotal	\$
9120	Security Personnel	
	1. HA Employment of Security Personnel	\$
	2. Contracted/HA Security Guards	\$
	3. Equipment for and Employment of personnel for Housing Authority Police Department Personnel/Equipment	\$
	Sub-Total: (1-3)	\$
9130	Employment of Investigator(s)	\$
9140	Voluntary Tenant Patrol	\$
9150	Physical Improvements	\$
<b>Programs to reduce the use of illegal drugs</b>		
9160	Drug Prevention	\$
9170	Drug Intervention	\$
9180	Drug Treatment	\$
<b>Grant Administration</b>		
9190	Other Program Costs	\$
	HA Total funding requested:	\$
<b>HUD Official Use: Total funding approved by HUD</b>		\$

# Budget Summary (con't.)

## Federal Funds

Detailed Description of Budget				
<b>4. Travel</b>	Category			Estimated Cost
	a. Local Private Vehicle			
	b. Air			
	c. Per Diem			
Total Estimated Travel Cost				
<b>5. Equipment</b>	Category Item	Quantity	Unit Cost	Estimated Cost
Total Estimated Equipment Cost				
<b>6. Consultants</b>	Category Type	Days	Rate/Day	Estimated Cost
Total Estimated Consultants Cost				

# Budget Summary (con't.)

## Federal Funds

### Detailed Description of Budget

Category		Estimated Cost		
<b>7. Subcontracts</b>	List individual subcontracts			
Total Estimated Subcontracts Cost				
<b>8. Other Direct</b>	Category Item	Quantity	Unit Cost	Estimated Cost
Total Other Direct Cost				
<b>9. Indirect</b>	Category Type	Rate	Base	Estimated Cost
Total Estimated Indirect Cost				
<b>Grand Total Estimated Costs</b>				



---

---

# 1998 Applicant Data Input Sheet

## Multifamily Drug Elimination Program

---

Project number \_\_\_\_\_ / \_\_\_\_\_

IRS Employer Identification Number (EIN) \_\_\_\_\_ (from Item 6. of the SF-424)

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

HUD Area Office \_\_\_\_\_ State \_\_\_\_\_ Field Office \_\_\_\_\_

Owner \_\_\_\_\_ Phone \_\_\_\_\_

Grant Coordinator \_\_\_\_\_ Phone \_\_\_\_\_

List the names of the specific developments targeted for assistance under this grant.  
(Attach additional pages if more space is needed.)

### Detailed Description of Budget

Budget Line Item No.	Activities	Funds Requested
9150	<b>Physical Improvements to enhance security</b>	\$
<b>Programs to reduce the use of illegal drugs</b>		
9160	Drug Prevention	\$
9170	Drug Intervention	\$
9180	Drug Treatment	\$
<b>HUD Official Use: Total funding approved by HUD</b>		\$

---

---

**Certification of Drug Treatment  
Program (Single State Agency or Local  
Tribal Commission)**

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

---

**(Applicable only if applying for Treatment Activities)**

The administrator/director or designee for the single state agency or tribal commission hereby certifies:

The proposed drug treatment activity is appropriate and consistent with the State plan; and that the service(s) meets all Federal, State, Tribal and local government medical licensing, training, bonding, and certification requirements;

The applicant has notified and consulted with the relevant single state agency or authority with drug coordination responsibilities concerning its application; and

The administrator/director or designee understands that the application deadline date is on or before **June 15, 1998, 3:00 p.m.**, local time.

State or local agency  
Administrator/Director/Designee

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 1998

Administrator/Director/Designee (Print Name and Title)

\_\_\_\_\_  
Signature

X \_\_\_\_\_

Check if comments by residents are attached.

---

---

**Certification by Law Enforcement Representative and Chief Executive Officer**

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

The Chief Executive Officer (CEO) hereby certifies that:

The Applicant discussed the extent to which the relevant government jurisdiction has met its law enforcement obligations under the Cooperative Agreement with the applicant (as required by the housing authorities Annual Contributions Contract with HUD).

Requested law enforcement activities are in accordance with the requirements of the FY 1998 NOFA. If the jurisdiction is not meeting its obligations under the Cooperative Agreement, the CEO should identify the circumstances relating to its failure to do so.

The applicant describes the current level of baseline law enforcement services being provided to the developments proposed for assistance. If applicable please attach any supportive documentation.

**(The following is applicable only if applying for any of the below activities)**

The local law enforcement agency hereby assures/certifies that:

Check Applicable Box

Yes No NA

Contracted security guard personnel. If grant amounts are to be used for contracted security guard personnel services, to include HA security, in HAs/developments, the application described how the requirements of section I.(c) of the NOFA will be met.

\*Authorized Public Housing authority police departments. If grant amounts are to be used for HA police departments, the application described how the requirements of section I.(c) of the NOFA will be met.

\*Reimbursement of local law enforcement agencies over and above baseline services. If grant amounts are to be used for reimbursement of local law enforcement agencies over and above baseline services the application described how section I.(c) of the NOFA will be met.

\*Authorized dedicated municipal housing authority police division and/or Bureau over and above baseline services. If grant amounts are to be used for Reimbursement of a dedicated municipal housing authority police division and/or bureau, the application described how section I.(c) of the NOFA will be met.

Employment of Investigator(s). If grant amounts are to be used for employment of a investigator(s), the application described how section I.(c) of the NOFA will be met.

Voluntary tenant patrol. If grant amounts are to be used for voluntary tenant patrols, the application described how the requirements of section I.(c) of the NOFA will be met.

\* If the applicant is applying for these activities, the "Baseline Services to Public Housing Residents by Local Law Enforcement Agencies" document must be completed. This document contains the information required to establish baseline services to public housing residents by local law enforcement agencies.

The law enforcement representative or designee understands that the application deadline date is on or before **June 15, 1998, 3:00 p.m.**, local time.

Local Law Enforcement Representative

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 1998

Local Law Enforcement Representative (Print Name and Title)

\_\_\_\_\_

Signature

X \_\_\_\_\_

Chief Executive Officer

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 1998

Chief Executive Officer (Print Name and Title)

\_\_\_\_\_

Signature

X \_\_\_\_\_

# Baseline Services to Public Housing Residents By Local Law Enforcement Agencies

Current law enforcement baseline police services are defined, but may not be limited to, as the ordinary and routine police services provided to the residents of public housing developments as a result of the overall, city/county-wide deployment of police resources to respond to crime and other public safety incidents, including 911 communications, processing of calls for services, routine patrol, police officer response to calls for service, and investigative follow-up of criminal activity. The actual or estimated time spent on supporting basic patrol and investigative services by administrative and technical personnel may be included in baseline services. The PHDEP funds must be used for **services above the baseline** and **shall not be used** to supplant municipal funds for law enforcement services and **shall not be used** to support the reallocation of current police services to other locations within the municipality. **A law enforcement written agreement between the PHA & municipality is required for PHDEP funding of supplemental police services to public housing residents.**

Current and Supplemental Law Enforcement Services for Public Housing Residents			
Police Services Provided to Public Housing Residents	Current Hours (Baseline Services)	Proposed Hours Above Baseline (Funded by PHDEP)	Difference Between Current and Proposed
Patrol Services			
Criminal Investigations			
Specialized Units			
Traffic (if applicable)			
Arrests & Processing			
Court Time			
Dispatch Support			
Records Support			
Hiring & Training			
Administrative Time			
Other			
<b>Total Time</b>			

**Note:** Please provide a written description of current law enforcement baseline services regarding this application.

**Certification of Law Enforcement  
Records and Medical/Disability  
Information**

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

The applicant certifies that:

A system is currently in place to protect confidential information regarding law enforcement records, and medical and disability-related information. The system is described below in the comments area.

Housing Authority's Executive Director

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 1998

Housing Authority's Executive Director (Print Name and Title)

\_\_\_\_\_

Signature

X \_\_\_\_\_

Comments:





**DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM (DETAP)  
RELATED BLANK FORMS**



## Drug Elimination TA Application Checklist

All applications must be received in the office of Community Safety & Conservation June 15, 1998.

Initials

- \_\_\_\_\_ Have you included your phone and fax numbers on Page 2 of the application?
  
- \_\_\_\_\_ For Resident Associations, Organizations, Councils and Management Organizations, Have you included the phone and fax numbers for the executive director's office?
  
- \_\_\_\_\_ Have you provided the appropriate signatures on the RC,RO,RMC and Resident certification sheet?
  
- \_\_\_\_\_ Have you addressed all threshold criteria for funding consideration?
  
- \_\_\_\_\_ Have you completed and included HUD Form 2880 and provided the appropriate signatures and Disclosure Report?
  
- \_\_\_\_\_ Have you read and do you understand Sections I, III, and V of the attached NOFA/Federal Register Announcement?
  
- \_\_\_\_\_ Do you understand that this application is not for cash awards, but for up to \$15,000 of consulting services and that the level of assistance will be determined by HUD, and could be less than the \$15,000 ceiling?
  
- \_\_\_\_\_ Have you submitted a copy of this application to the HUD field office (FO) or Area National Office of Native American Programs (NONAP) with jurisdiction over your housing authority?  
**IS YOUR CONFIRMATION FORM ENCLOSED?**



# Request for Technical Assistance

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Community Safety and Conservation Division  
Public Housing Drug Elimination Technical Assistance (TA) Program

## Application Letter

Applicants for technical assistance (TA) under this program are required to complete this application by addressing each of the questions listed below. Please use this application and attach one additional sheet if necessary.

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

Contact Person and Title \_\_\_\_\_

Name of Organization \_\_\_\_\_

Mgmt. Contact Person \_\_\_\_\_

(For Resident Counsels Only) Management Office Contact and Phone & Fax Numbers

Street or P.O. Address \_\_\_\_\_

City, State and Zip Code \_\_\_\_\_

Phone/Fax Numbers \_\_\_\_\_

E-mail Address:(if applicable) \_\_\_\_\_  
(including website)

### Drug Elimination Technical Assistance Questions

1. What is the nature of the drug-related crime problem in your community in terms of the extent of such crime, the types of crime, and the types of drugs being used? This should include quantifiable or qualitative data on drug problems or criminal activity.
2. What is the nature of the housing authority's working relationships with law enforcement agencies, particularly local agencies? Will TA be used to improve those relationships?
3. Are housing authority residents selling or using drugs, or committing the crimes?
4. What about nonresidents?
6. What are the problem(s) you need technical assistance to address and how will you know that the technical assistance provided was successful in addressing the problem?
6. What specific output, outcome, results, or deliverables do you expect from the consultant?
7. In addition to answering the above questions, the application must describe the following:
8. The steps you and your organization are currently taking to measure, understand or address the drug-related crime problem in your development or housing authority.
9. How the proposed assistance will allow you to develop an antidrug, anticrime strategy; or how the proposed assistance fits into your current strategy.
10. Describe and provide documentation evidencing commitment to providing continued support of antidrug and anticrime activities. This must include the community's recommendations in developing and implementing the grant application and in working cooperatively in ensuring success occurs. Applications must include a description of how the community was involved in developing the application and resolution of support from law enforcement officials and community service providers.

The application must include a memorandum of understanding or written agreement between the parties involved, e.g., housing authority, applicant, law enforcement officials, and community service providers.

---

---

# Acknowledgment of Application Receipt

U.S. Department of Housing  
and Urban Development

---

## Request for Technical Assistance

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Public Housing Drug Elimination Technical Assistance (TA) Program

### HUD Field Office/AONAP Confirmation Form

The appropriate HUD Field Office or the Area Office of Native American Programs (AONAP) must confirm receipt of a copy of this application. **The Field Office or AONAP must fax or mail this copy back to the applicant in time for the application to meet the June 15, 1998, 3pm deadline.**

This form confirms receipt of a copy of the applicant's fiscal year 1998 Drug Elimination Technical Assistance Application Kit in the HUD Field Office.

**This is the final page of the fiscal year 1998 Drug Elimination Technical Assistance application kit.** There should be three copies of this application.

**Copy 1** should be kept on file in the applicant's office. (If the applicant is any form of a resident organization, another copy should be on file with the executive director of the housing authority).

**Copy 2** should be kept on file at the local HUD Field Office (see attached for locations) or the Area Office of Native American Programs (AONAP). All applicants must mail a copy of the application to the Field Office. This **Confirmation Form must be completed and sent back to the applicant in time to include it as the last page of the TA application.** This means preparation should be made ahead of time to make sure that the Field Office has confirmed receipt of your application.

**Copy 3** should be sent to the Office of Community Safety and Conservation, Room 4112, U.S. Department of Housing & Urban Development in Washington, D.C.

Person Completing TA Application

Name \_\_\_\_\_

Title \_\_\_\_\_

PhoneNo. \_\_\_\_\_

Date Mailed to HUD Field Office /AONAP \_\_\_\_\_

---

### To Be Completed by HUD

By signing below, you certify that you have received a copy of the applicant's fiscal year 1998 Drug Elimination Technical Assistance Application Kit to be sent by the applicant to HUD headquarters in Washington, D.C.

**The Field Office or AONAP must fax or mail this copy back to the applicant in time for the application to meet the June 15, 1998, 3pm deadline.**

HUD Field Office/AONAP Representative

Name \_\_\_\_\_

Title \_\_\_\_\_

PhoneNo. \_\_\_\_\_

Date Received \_\_\_\_\_





**NEW APPROACH ANTI-DRUG PROGRAM  
RELATED BLANK FORMS**



# New Approach Antidrug Program

## 1998 Lead Applicant Data Input Sheet

---

Project number \_\_\_\_\_ / \_\_\_\_\_

IRS Employer Identification Number (EIN) \_\_\_\_\_ (from Item 6. of the SF-424)

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

HA Name and Number, if a subgrantee \_\_\_\_\_

HUD Area Office or NONAP \_\_\_\_\_ State \_\_\_\_\_

Field Office \_\_\_\_\_

Lead Applicant Official \_\_\_\_\_ Phone \_\_\_\_\_

In accordance with Section IV(A) of the NOFA, provide a description of the Neighborhood and the Assisted Housing Developments in the Neighborhood.

1. A basic description of the neighborhood (e.g. boundaries and size).
  - a. Population
  - b. Number of Housing units in neighborhood (attach a map).
  - c. Population profile (e.g. relevant census data on socio-economic, ethnic and family makeup of neighborhood).
  - d. Describe how the area meets the definition of "neighborhood" (i.e. describe and include a copy of the comprehensive plan, ordinance or other official local document which defines the area as a neighborhood, village, or similar geographical designation). If the entire jurisdiction is defined as a neighborhood by virtue of having a population at less than 25,000, indicate the jurisdiction's population under the 1990 census and describe/include more recent information which gives the best indication as to the current population.
2. Provide a description of the Assisted Housing development(s) in the neighborhood.
  - a. Name of the Project
  - b. Name of the Project Owner
  - c. Nature, source, and program titles of all project based subsidies or other assistance provided to the project by units of government or private nonprofit entities (any names of public or nonprofit programs other than programs sponsored by HUD should be accompanied by a description of the program and the name and business phone number of a contact person responsible for administering the program for the subsidy provider);
  - d. The number of housing units in the project and the number of housing units in the project that meet the definition of "assisted housing units" in this NOFA, and a description of the restrictions on rents and resident incomes that, in combination with the subsidy provided to the project, qualify the units as assisted/affordable in accordance with the definition in this NOFA.
  - e. The number, geographic proximity (adjoining, adjacent, or scattered site, and if scattered site, the distance between the two buildings which are furthest apart), and type (single family detached, townhouse, garden, elevator) of buildings in the project.

---

---

# Budget Summary -- Lead Applicant Federal Funds Requested

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

\_\_\_\_\_

\_\_\_\_\_

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

Field Office: \_\_\_\_\_

## Detailed Description of Budget

Budget Line Item No.	Activities	Funds Requested
9110	Reimbursement of local law enforcement agencies over and above baseline services	\$
	1. Reimbursement of a municipal public housing police division and/or bureau	\$
	Subtotal	\$
9120	Security Personnel	
	1. Employment of Security Personnel	\$
	2. Contracted Security Guards	\$
	Sub-Total: (1-3)	\$
9130	Employment of Investigator(s) and/or prosecution	\$
9140	Voluntary Tenant Patrol	\$
9150	Physical Improvements	\$
<b>HUD Official Use: Total funding approved by HUD</b>		<b>\$</b>

---

---

***Section V:***  
**NOFA**



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

<b>SECTION I:</b>	<b>General .....</b>	<b>136</b>
<b>SECTION II:</b>	<b>Public Housing Drug Elimination Program .....</b>	<b>151</b>
<b>SECTION III:</b>	<b>Multi-Family Drug Elimination Program .....</b>	<b>169</b>
<b>SECTION IV:</b>	<b>Drug Elimination Technical Assistance Program .....</b>	<b>179</b>
<b>SECTION V:</b>	<b>New Approach Anti-Drug Program .....</b>	<b>187</b>
<b>SECTION VI:</b>	<b>Field Office Contact List .....</b>	<b>201</b>

# U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Billing Code 4210-32P  
[Docket No. FR-4340-N-01]

As Published in the Federal Register on March 31, 1998

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

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

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

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

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

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

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

For Applications to HUD Field Offices. For those programs for which applications are due to the HUD Field Offices, please see the **Programs Section** for the exact locations for submission.

Applications Procedures. Mailed Applications. Applications will be considered timely filed if postmarked

on or before **12:00 midnight** on the application due date and received by the designated HUD Office on or within **ten (10) days** of the application due date.

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

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

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

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

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

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

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

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

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

copies of these documents may be submitted with any additional application submitted by the applicant.

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

**For Technical Assistance.** Before the application due date, HUD staff will be available to provide general guidance and technical assistance about this SuperNOFA. Current law does not permit HUD staff to assist in preparing the application. Following selection of applicants, but prior to award, HUD staff will be available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD.

## **INTRODUCTION TO THE SUPERNOFA PROCESS**

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

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

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

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

All three SuperNOFAs and consolidated applications, to the greatest extent possible, given statutory, regulatory and program policy distinctions, will have one set of rules that, together, offer a "menu" of approximately 39 programs. From this menu, communities will be made aware of funding available for their jurisdictions. Nonprofits, public housing agencies, local and State governments, tribal governments and tribally designated housing entities, veterans service organizations, faith-based organizations and others will be able to identify the programs for which they are eligible for funding. HUD is anticipating publishing all three SuperNOFAs before May 1, 1998.

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

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

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

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

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

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

**Coordination, Flexibility, and Simplicity in the HUD Funding Process.** This SuperNOFA places heavy emphasis on the coordination of activities to provide (1) greater flexibility and responsiveness in meeting local housing and community development needs, and (2) greater flexibility to eligible applicants to determine what HUD program resources best fit the community's needs, as identified in local Consolidated Plans and Analysis of Impediments to Fair Housing Choice ("Analysis of Impediments" (AI)).

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

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

As part of the simplification of this funding process, and to avoid duplication of effort, the SuperNOFA provides for consolidated applications for several of the programs for which funding is available under this NOFA. HUD programs that provide assistance for similar activities, e.g., technical assistance, drug elimination, modernization and revitalization, have a consolidated application that reduces the administrative and paperwork burden applicants may otherwise encounter in submitting an application for each program. The Program Chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants.

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

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

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

## **THE PROGRAMS OF THIS SUPERNOFA AND THE AMOUNT OF FUNDS ALLOCATED**

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

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

<b>DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING PROGRAMS</b>	<b>\$ 326,748,934</b>	<b>June 15, 1998</b>	<b>Appropriate local Field Office except if only applying for Drug Elimination TA.</b>
Public Housing Drug Elimination Program (Including Youth Sports Eligible Activities)  CFDA No.: 14.854 OMB Approval No.: 2577-0124	\$ 288,498,934*		
Public Housing Drug Elimination Program – New Approaches (Formerly Safe Neighborhood Grant)  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$ 20,000,000		
Drug Elimination Grants for Multifamily Low Income Housing  CFDA No.: 14.193 OMB Approval No.: 2502-0476	\$ 16,250,000		
Public Housing Drug Elimination Program - Technical Assistance  CFDA No.: 14.854 OMB Approval No: 2577-0124	\$ 2,000,000		HUD Headquarters, Room 4112
* This amount includes \$44,935,934 in FY 97 funds for applicants not funded in 1997.			

Paperwork Reduction Act Statement. For those programs listed in the chart above which have OMB approval numbers, the information collection requirements contained in this SuperNOFA for those programs have been approved by the Office of Management and Budget (OMB) in accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). For those programs listed in the chart for which an OMB approval number is pending, the approval number when received will be announced by HUD in the Federal Register. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

#### **GENERAL SECTION OF THE SUPERNOFA**

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

(A) Authorities. The authority for Fiscal Year 1998 funding availability under this SuperNOFA is the Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1998 (Pub.L. 105-65, approved October 27, 1997) (FY 1998 HUD Appropriations Act). Where applicable, additional authority for each program in this SuperNOFA is identified in the **Programs Section**.

(B) Purpose. The purpose of this SuperNOFA is to:

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

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

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

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

(5) Recognize and make better use of the expertise that each of the programs, and organizations eligible for funding under this SuperNOFA, can contribute when developing and implementing local housing and community development plans, the Consolidated Plan, and the HUD required Analysis of Impediments to Fair Housing Choice.

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



(D) Eligible Applicants and Eligible Activities. The eligible applicants and eligible activities for each program are identified and described for the program in the **Programs Section** of the SuperNOFA.

## II. Requirements and Procedures Applicable to All Programs.

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

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

(B) Threshold Requirements -- Compliance with Fair Housing and Civil Rights Laws. All applicants, with the exception of Federally recognized Indian tribes, must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR § 5.105(a). Federally recognized Indian tribes must comply with the Age Discrimination Act of 1975, Section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act. If an applicant (1) has been charged with a violation of the Fair Housing Act by the Secretary; (2) is the defendant in a Fair Housing Act lawsuit filed by the Department of Justice; or (3) has received a letter of noncompliance findings under Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act, or Section 109 of the Housing and Community Development Act, the applicant is not eligible to apply for funding under this SuperNOFA until the applicant resolves such charge, lawsuit, or letter of findings to the satisfaction of the Department.

(C) Additional Nondiscrimination Requirements. Applicants must comply with the Americans with Disabilities Act, and Title IX of the Education Amendments Act of 1972.

(D) Affirmatively Furthering Fair Housing. Unless otherwise specified in the **Programs Section** of this SuperNOFA, each successful applicant will have a duty to affirmatively further fair housing. Applicants should include in their work plans the specific steps that they will take to (1) address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice; (2) remedy discrimination in housing; or (3) promote fair housing rights and fair housing choice. Further, applicants have a duty to carry out the specific activities cited in their responses to the rating factors that address affirmatively furthering fair housing in the **Programs Section** of this SuperNOFA.

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

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

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

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

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

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

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

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

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

(7) Certification that the applicant will comply with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, and will affirmatively further fair housing. CDBG recipients also must certify to compliance with section 109 of the Housing and Community Development Act. Federally recognized Indian tribes must certify that they will comply with the requirements of the Age Discrimination Act of 1975, section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act.

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

(H) OMB Circulars. The policies, guidances, and requirements of OMB Circular No. A-87 (Cost Principles Applicable

to Grants, Contracts and Other Agreements with State and Local Governments) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally recognized Indian tribal governments) apply to the award, acceptance and use of assistance under the programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 1998 HUD Appropriations Act, other Federal statutes or the provisions of this SuperNOFA. Compliance with additional OMB Circulars may be specified for a particular program in the **Programs Section** of the SuperNOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 10503, telephone (202) 395-7332 (this is not a toll free number).

- (I) Environmental Requirements. For programs under this SuperNOFA that assist physical development activities or property acquisition, grantees are generally prohibited from acquiring, rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these program activities, until one of the following has occurred: (1) HUD has completed an environmental review in accordance with 24 CFR part 50; or (2) for programs subject to 24 CFR part 58, HUD has approved a grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review. Applicants should consult the **Programs Section** for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program.

### III. Application Selection Process.

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

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

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

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

(C) Factors For Award Used To Evaluate and Rate Applications. For all of the programs for which funding is available under this SuperNOFA, the points awarded for the factors total 100. The maximum number of points to be awarded, however, total 102. The SuperNOFA provides for two bonus points.

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

federally designated EZs, EZs, Enhanced ECs are available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.HUD.gov>.

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

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

**Factor 2: Need/Extent of the Problem**

**Factor 3: Soundness of Approach**

**Factor 4: Leveraging Resources**

**Factor 5: Comprehensiveness and Coordination**

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

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

If funds remain after funding the highest ranking applications, HUD may fund part of the next highest ranking application in a given program area. If the applicant turns down the award offer, HUD will make the same determination for the next highest ranking application. If funds remain after all selections have been made, remaining funds may be available for other competitions for each program area where there is a balance of funds.

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

(F) Performance and Compliance Actions of Grantees. Performance and compliance actions of grantees will be measured and addressed in accordance with applicable standards and sanctions of their respective programs.

#### **IV. Application Submission Requirements.**

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

## **V. Corrections to Deficient Applications.**

After the application due date, HUD may not, consistent with

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

## **VI. Promoting Comprehensive Approaches to Housing and Community Development.**

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

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

(C) Encouraging Visitability in New Construction and Substantial Rehabilitation Activities. In addition to applicable accessible design and construction requirements, applicants are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but does not require that all features be made accessible. Visitability means at least one entrance at grade (no steps), approached by an accessible route such as a sidewalk; the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space. Allowing use of 2'10" doors is consistent with the Fair Housing Act (at least for the interior doors), and may be more acceptable than requiring the 3 foot doors that are required in fully accessible areas under the Uniform Federal Accessibility Standards for a small percentage of units. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the UFAS are available from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-

877 8399 (Federal Information Relay Service).

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

## **VII. Findings and Certifications.**

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

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

(C) Prohibition Against Lobbying Activities. Applicants for funding under this SuperNOFA are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. Applicants are required to certify, using the certification found at Appendix A to 24 CFR part 87, that they will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, applicants must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (THDEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but tribes and TDHEs established under State law are not excluded from the statute's coverage.)

(D) Section 102 of the HUD Reform Act: Documentation and Public Access Requirements. Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater

accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 apply to assistance awarded under this SuperNOFA as follows:

(1) Documentation and public access requirements. HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 5-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations in 24 CFR part 15.

(2) Disclosures. HUD will make available to the public for 5 years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (also Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 years. All reports--both applicant disclosures and updates--will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 15.

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

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

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

(E) Section 103 HUD Reform Act. HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or Headquarters counsel for the program to which the question pertains.

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

In FY 1997, Secretary Cuomo took the first step at changing HUD's funding process to better promote comprehensive, coordinated approaches to housing and community development. In FY 1997, the Department published related NOFAs on the same day or within a few days of each other. In the individual NOFAs published in FY 1997, HUD advised that additional steps on NOFA coordination may be considered for FY 1998. The three SuperNOFAs to be published for FY 1998 represent the additional step taken by HUD to improve HUD's funding

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

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

Dated: \_\_\_\_\_

\_\_\_\_\_  
Saul N. Ramirez, Jr., Acting Deputy

Secretary



## Funding Availability for the Public Housing Drug Elimination Program

**PROGRAM DESCRIPTION:** Approximately \$288,498,934 is available in FY 1998 for the Public Housing Drug Elimination Program (PHDEP). The PHDEP provides funds for public housing authorities and tribally designated housing entities to develop and finance drug and drug-related crime elimination efforts in their developments. Funds may be used for enhancing security within the developments, making physical improvements to improve security or developing and implementing prevention, intervention and treatment programs to help curtail the use of drugs in public and Indian housing. Approximately \$44.9 million in FY 1997 funds is available only for public and Indian housing authorities that have not already received an award of FY 1997 PHDEP funds.

**APPLICATION DUE DATE:** Completed applications (an original and two copies) must be submitted no later than **6:00 pm local time** on **Insert date that is 75 days after date of publication in the Federal Register** at the address shown below. See the **General Section** of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

**ADDRESS FOR SUBMITTING APPLICATIONS:** An original and two copies of the application must be received by the application due date at the local Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public or Assisted Housing, or, in the case of the Native American population, to the local HUD Administrator, Area Office of Native American Programs (AONAP), as appropriate.

### **FOR APPLICATION KITS, FURTHER INFORMATION, AND TECHNICAL ASSISTANCE:**

For Application Kits. For an application kit and any supplemental information, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209, or, from the local HUD Field Office HUB with delegated housing responsibilities over an applying housing agency, or from the AONAPs with jurisdiction over the Tribally Designated Housing Entity preparing an application or by calling HUD's Drug Information and Strategy Clearinghouse (DISC) at 800-578-3472. When requesting an application kit, please refer to the **Public Housing Drug Elimination Program (PHDEP)**. Please be sure to provide your name, address (including zip code, and telephone number (including area code)). The application kit contains information on all exhibits, forms, and certifications required for the PHDEP under this SuperNOFA.

For Further Information and Technical Assistance. For further information or technical assistance, please contact the local HUD Field Office HUB with delegated housing responsibilities over an applying housing agency, or from the AONAPs with jurisdiction over the Tribally Designated Housing Entity preparing an application or by calling HUD's Drug Information and Strategy Clearinghouse (DISC) at 800-578-3472.

### **ADDITIONAL INFORMATION:**

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

(A) Authority. The Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 ((42 U.S.C. 11901 et. seq), as amended by section 581 of the National Affordable Housing Act of 1990 (Pub.L. 101-625, approved November 28, 1990) (NAHA), and section 161 of the Housing and Community Development Act of 1992 (Pub.L. 102-550, approved October 28, 1992) (HCDA 1992). The regulations for this program are found in 24 CFR part 761, Drug Elimination Programs.

(B) Purpose. HUD is making FY 1997 PHDEP funds available to public housing agencies (PHAs) and former Indian Housing Authorities (IHAs) (PHAs and IHAs are collectively referred to as HAs) that have not already received an award of FY 1997 PHDEP funds, and FY 1998 PHDEP funds available to PHAs and Tribally Designated Housing Entities (TDHEs) for use in eliminating drug-related crime. In FY 1998, HUD is not announcing a separate competition for the Youth Sports Program, although youth sports-type activities are eligible under "Programs to Reduce/Eliminate Drug Activities."

HUD strongly encourages housing agencies to work closely with law-enforcement agencies and target the drug elimination resources to improve safety and security in public and Indian housing communities. These resources shall be made available and leveraged with other resources focusing on violent crime and drug-related

crime within public housing authorities through programs such as the Operation Safe Home Program and Operation Weed and Seed. Operation Weed and Seed, conducted through the Department of Justice, is a comprehensive multi-agency approach to combating violent crime, drug use, and gang activity in high crime neighborhoods. Through Operation Weed and Seed, the approach is to "weed" out crime from targeted neighborhoods and then "seed" the sites with a wide range of crime and drug prevention programs.

HUD encourages grantees to establish collaborative relationships with, and increase over and above existing levels, the efforts of local municipal police departments and/or other law enforcement agencies, local social and/or religious organizations, and other public and private nonprofit organizations who provide community-wide services to offer substance abuse prevention, intervention, treatment, aftercare, education, assessment, and referral programs and services for residents of public housing. The applicants shall include "One Strike and You're Out" activities underway to ensure the broadest range of tools for making and maintaining a safe residential community.

(C) Amount Allocated.

(1) FY 1998 Funding. FY 1998 HUD Appropriations Act appropriated \$310,000,000 for the Public Housing Drug Elimination Program. Of the total \$310,000,000 appropriated, approximately \$243,563,000 is being made available for Public Drug Elimination grants through this SuperNOFA.

(2) FY 1997 Funding. The Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, (Pub.L. 104-204, approved September 26, 1996, (the FY 1997 HUD Appropriations Act) appropriated \$290 million for the Public Housing Drug Elimination Program to remain available until expended. A approximately \$250,649,052 was made available for competitive funding in a NOFA published on May 23, 1997 (62 FR 28538). HUD made 533 awards for a total of approximately \$205,714,118 under that FY 1997 NOFA.

In this SuperNOFA, approximately \$44.9 million of FY 1997 funds is being made available to housing authorities that did not receive an award under the May 23, 1997, PHDEP NOFA. Any housing authority that has already received an FY 1997 PHDEP award is not eligible to apply under this PHDEP notice for these FY 1997 funds. Housing authorities applying for FY 1997 PHDEP funding shall complete a separate proposal and budget and submit these documents in order to be considered for funding.

(3) Maximum Grant Award Amounts. HUD is distributing grant funds for PHDEP under this SuperNOFA on a national competition basis. Maximum grant award amounts are computed for the Public Housing Drug Elimination Program on a sliding scale, using an overall maximum cap, depending upon the number of housing authority units.

(a) PHAs: The unit count includes rental, Turnkey III Homeownership and Section 23 leased housing bond-financed projects,

(b) IHAs and TDHEs: The unit count includes rental, Turnkey III and Mutual Help units which have not been conveyed to a homebuyer, and Section 23 lease housing bond-financed projects. Such units must be counted as Current Assisted Stock under the Indian Housing Block Grant Program.

Eligible units are those units which are under management, fully developed, and occupied. However, applicants should note that in determining the unit count for PHA-owned or Native American rental housing, a long-term vacancy unit, as defined in 990.102 or 24 CFR 950.102 (as revised May 1, 1996), is still included in the count.

**Applicants for Native American housing developments must certify that the targeted units were covered by an Annual Contributions Contract (ACC) on September 30, 1997.** Eligible PHA projects must be covered by an ACC during the period of the grant award.

(c) Minimum and Maximum FY 1998 grant awards.

(i) For housing authorities and TDHEs with 1-1,250 units: the **minimum** grant award amount is \$50,000 or a **maximum** grant award cap of \$300.00 per unit;

(ii) For housing authorities and TDHEs with 1,251-24,999 units: the **maximum** grant award is a maximum grant award cap of \$260.00 per unit;

(iii) For housing authorities and TDHEs with 25,000-49,999 units the **maximum** grant award is a maximum grant award cap of \$230.00 per unit; and

(iv) For housing authorities and TDHEs with 50,000 or more units: the maximum grant award is a maximum cap of \$200.00 per unit up to, but not to exceed, a maximum grant award of \$30 million.

(d) Minimum and Maximum FY 1997 grant awards.

(i) For HAs with 1-499 units: the maximum grant award amount is either \$50,000 or a grant award cap of \$500.00 per unit, whichever is greater;

(ii) For HAs with 500-1,249 units: the maximum grant award is either \$250,000 or a maximum grant award cap of \$300.00 per unit, whichever is greater;

(iii) For HAs with 1,250-49,999 units: the maximum grant award is either \$375,000 or a maximum grant award cap of \$250.00 per unit, whichever is greater; and

(iv) For HAs with 50,000 or more units: the maximum grant award is \$200.00 per unit, not to exceed a maximum grant award of \$12 million.

(D) Eligible Applicants. Eligible entities qualified to receive grants include for FY 1998 funding public housing agencies and Tribally Designated Housing Entities (TDHEs); and for FY 1997 funding, public housing agencies and Indian housing authorities. IHAs applying for FY 1997 funding must have been eligible to apply for funding as September 30, 1997 and continue to own and/or manage the targeted developments. Resident Management Corporations (RMCs) may continue to receive funding from housing authority grantees as sub-grantees, to develop security programs and substance abuse prevention programs involving site residents as they have in the past.

(E) Eligible Activities. The following is a listing of eligible activities under this program and guidance as to their parameters (the term TDHEs includes those IHAs applying for FY 1997 funding):

(1) Physical Improvements to Enhance Security.

(a) Physical improvements that are specifically designed to enhance security are permitted under this program. These improvements may include (but are not limited to) the installation of barriers, speed bumps, lighting systems, fences, surveillance equipment (e.g., Closed Circuit Television (CCTV), software, fax, cameras, monitors, components and supporting equipment) bolts, locks; and the landscaping or reconfiguration of common areas so as to discourage drug-related crime in the housing authorities and development(s) proposed for funding.

(b) An activity cost that is funded under any other HUD program, such as the modernization program at 24 CFR part 968, shall not also be funded by this program. Housing authorities are encouraged to fund physical security improvements under their approved modernization programs whenever possible since the PHDEP program is designed essentially to fund "soft" costs rather than "hard" costs. The applicant must demonstrate program compliance, accountability, financial and audit controls of PHDEP funds and prevent duplication of funding any activity. Housing authorities shall not co-mingle funds of HUD multiple programs such as: CIAP, CGP, OTAR, ED/SS, TOP, IHBG, HOPE projects, Family Investment, Elderly Service Coordinator, and Operating Subsidy.

(c) Funding is not permitted for physical improvements that involve the demolition of any units in a development.

(d) Funding is not permitted for any physical improvements that would result in the displacement of persons.

(e) Funding is not permitted for the acquisition of real property.

(f) Funding is permitted for purchase or lease of house trailers used for eligible community policing, educational, employment, and youth activities.

(g) All physical improvements must also be accessible to persons with disabilities. For example, some types of locks, buzzer systems, etc. are not accessible to persons with limited strength or mobility or to persons who have hearing impairments, and should not be utilized. Accessible alternatives should be utilized. All physical improvements must meet the accessibility requirements of 24 CFR part 8.

(2) Programs to Reduce/Eliminate the Use of Drugs (Prevention, Intervention, Treatment, Short/Long Range Structured Aftercare and Individual Support Systems). Programs that reduce/eliminate drug-related crime "in and around" the premises of the housing authority/development(s), including substance abuse prevention, intervention, and referral programs, and programs of local social and/or religious and other organizations that provide treatment services [contractual or otherwise] for dependency/remission, and structured aftercare/support system

programs, **are permitted** under this program.

The applicant must establish a confidentiality policy regarding medical and disability-related information. For purposes of this section, the goals of this program are best served by focusing resources directly upon housing authority residents and families. Successful strategies (best practices) have incorporated substance abuse prevention, intervention and treatment (dependency/remission and short and long term aftercare) activities into a "continuum of care" approach that assists persons that are using or are at-risk of using drugs and/or committing drug-related crime by providing alternative activities, such as education, training and employment development opportunities.

The applicant's goal must be to reduce/eliminate drug-related crime through a program designed to provide education, training and employment opportunities for residents. Such programs create a prime opportunity for housing authorities to leverage resources and bring additional Federal, State, local and Tribal resources into the housing authority community. While housing authorities provide space and other infrastructure, other public or private agencies can provide staff and other resources with limited cost or no cost. Applicants are encouraged to use the PHDEP resources in this fashion.

A community-based approach requires a culturally appropriate strategy. Curricula, activities, and staff should address the cultural issues of the local community, which requires familiarity and facility with the language and cultural norms of the community. As applicable, this strategy should discuss cultural competencies associated with Hispanic, African-American, Asian, Native American or other racial or ethnic communities. Applicants are encouraged to develop a substance abuse/sobriety (remission)/treatment (dependency) strategy to facilitate substance abuse prevention, intervention, treatment, and structured aftercare efforts, that include outreach to community resources, youth activities, and that facilitate bringing these resources onto the premises, or providing resident referrals to treatment programs or transportation to out-patient treatment programs away from the premises.

**Funding Is Permitted** for reasonable, necessary and justified purchasing or leasing (whichever can be documented as the most cost effective) of vehicles for grant administration, resident youth and adult education, and training and employment opportunity activities directly related to reducing/eliminating drug-related crime. Based upon the current Diagnostic and Statistical Manual (DSM) of Mental Disorders of the American Psychiatric Association dated May 1994, as it applies to substance abuse, dependency and structured aftercare, related activities and programs **are eligible** for funding under this program. For additional information regarding the DSM Manual contact APPI, 1400 K. Street, NW, Suite 1100, Washington, DC 20005 on 1 (800) 368-5777 or World Wide Web site at <http://www.appi.org>.

**Funding Is Permitted** for reasonable, necessary and justified program costs, such as meals, beverages and transportation, incurred only for training, education and employment activities, as set forth in OMB Circular A-87, directly related to reducing/eliminating drug-related crime.

(a) **Prevention.** Prevention programs that will be considered for funding under this notice should provide a comprehensive prevention approach for the housing authority resident(s) that addresses the individual resident and his or her relationship to family, peers, and the community and that reduces/eliminates drug-related crime. Prevention programs should include activities designed to identify and change the factors present in housing authorities that lead to drug-related crime, and thereby lower the risk of drug usage. Many components of a comprehensive approach, such as refusal and restraint skills training programs or drug, substance abuse/dependency, and family counseling, may already be available in the community of the applicant's housing developments.

(i) **Educational Opportunities.** Providing young people with the working knowledge and skills they need to reject illegal drugs has been identified by the Office of National Drug Control Policy as one of the top five goals and objectives to address in its 10-Year Strategy Commitment. The causes and effects of illegal drug/substance abuse must be discussed in a culturally appropriate and structured setting. Grantees may contract (in accordance with 24 CFR 85.36) with professionals to provide such knowledge and skills with training programs or workshops. The professionals contracted to provide these services shall be required to base their services upon the needs

assessment and program plan of the grantee. These educational opportunities may be a part of resident meetings, youth activities, or other gatherings of public and Indian housing residents.

(ii) Family and Other Support Services. For purposes of this section, the term "supportive services" means services to provide housing authority families with access to prevention, educational and employment opportunities, such as: child care; employment training; computer skills training; remedial education; substance abuse counseling; assistance in the attainment of certification of high school equivalency; and other services to reduce drug-related crime. In addition, substance abuse and other prevention programs must demonstrate that they will provide directly, or otherwise make available, services designed to distribute substance/drug education information, to foster effective parenting skills, and to provide referrals for treatment and other available support services in the housing development or the community for housing authority families.

(iii) Adult and Youth Services. Prevention programs must demonstrate that they have included groups composed of young people as a part of their prevention programs. These groups should be coordinated by adults with the active participation of youth to organize youth leadership, sports, recreational, cultural and other activities involving housing authority youth. The dissemination of information designed to reduce drug-related crime, such as prevention programs, employment opportunities; employment training; literacy training; computer skills training; remedial education; substance abuse and dependency/remission counseling; assistance in the attainment of certification of high school equivalency; and other appropriate services and the development of peer leadership skills and other prevention activities must be a component of youth services.

(iv) Economic and Educational Opportunities for Resident Adult and Youth Activities. Prevention programs must demonstrate a capacity to provide housing authority residents the opportunities for interaction with, or referral to, established higher education or vocational institutions with the goal of developing or building on the residents' skills to pursue educational, vocational and economic goals. Programs such as computer learning centers for both adults and youth, employment service centers coordinated with Federal, Tribal, State and local employment offices, and micro-business centers **are eligible** under this program.

The application should demonstrate that the proposed activities will provide housing authority residents the opportunity to interact with private sector businesses in their immediate and surrounding communities for the same desired goals. Economic and educational opportunities for residents and youth activities should be discussed in the context of "welfare to work" and related Federal, Tribal, State and local government efforts for employment training, education and employment opportunities related to "welfare to work" goals.

Limited educational scholarships **are permitted** under this section. No one individual award may exceed \$500.00, and there is a total maximum scholarship program cap of \$25,000. Educational scholarship FY 1997 PHDEP funds must be obligated and expended during the term of the grant. The applicant must demonstrate in its plan and timetable the scholarship strategy; the financial and audit controls that will be used; and projected outcomes. Student financial assistance **is permitted** for individual public and Indian housing scholarship activities. These activities must be reasonable, necessary and justified.

(b) Intervention. The aim of intervention is to provide housing authority residents substance abuse/dependency remission services, and assist them in modifying their behavior and maintaining remission, and in obtaining early substance abuse, treatment and structured aftercare, if necessary.

(c) Substance Abuse/Dependency Treatment.

(i) Treatment funded under this program should be "in and around" the premises of the housing authority/development(s) proposed for funding. HUD has defined the term "in and around" to mean within, or adjacent to, the physical boundaries of a public or Indian housing development. The intent of this definition is to make certain that program funds and program activities are targeted to benefit, as directly as possible, public and Indian housing developments, the intended beneficiaries of PHDEP. The goals of this program are best served by focusing its resources directly upon the residents of housing authorities and development(s). The applicant must establish a confidentiality policy regarding medical and disability-related information.

(ii) Funds awarded under this program shall be targeted towards the development and implementation of

sobriety maintenance, substance-free maintenance support groups, substance abuse counseling, referral treatment services and short or long range structured aftercare, or the improvement of, or expansion of, such program services for housing authority residents.

(iii) Each proposed drug program must address, but is not limited to, the following goals:

(1) Increase resident accessibility to treatment services;

(2) Decrease drug-related crime "in and around" the housing authority/development(s) by reducing and/or eliminating drug use among residents; and

(3) Provide services designed for youth and/or adult drug abusers and recovering addicts, e.g., prenatal and postpartum care, specialized family and parental counseling, parenting classes, or other supportive services such as domestic or youth violence counseling.

(iv) Independent approaches that have proven effective with similar populations will be considered for funding. Applicants must consider in the overall strategy the following criteria:

(1) Formal referral arrangements to other treatment programs in cases where the resident is able to obtain treatment costs from sources other than this program.

(2) Family/youth counseling.

(3) Linkages to educational and vocational training and employment counseling.

(4) Coordination of services from and to appropriate local substance abuse/treatment agencies, HIV-related service agencies, mental health and public health programs.

(v) As applicable, applicants must demonstrate a working partnership with the Single State Agency or local, Tribal or State license provider or authority with substance abuse program(s) coordination responsibilities to coordinate, develop and implement the substance dependency treatment proposal.

(vi) Applicants must demonstrate that counselors (contractual or otherwise) meet Federal, State, Tribal, and local government licensing, bonding, training, certification and continuing training re-certification requirements.

(vii) The Single State Agency or authority with substance abuse and dependency programs coordination responsibilities must certify that the proposed program is consistent with the State plan; and that the service(s) meets all Federal, State, Tribal and local government medical licensing, training, bonding, and certification requirements.

(viii) Funding is permitted for drug treatment of housing authority residents at local in-patient medical (contractual or otherwise) treatment programs and facilities. PHDEP funding for structured in-patient drug treatment under PHDEP funds is limited to 60 days, and structured drug out-patient treatment, which includes individual/family aftercare, is limited to 6 months. The applicant must demonstrate how individuals that complete drug treatment will be provided employment training, education and employment opportunities related to "welfare to work," if applicable.

(ix) Funding is permitted for detoxification procedures designed to reduce or eliminate the short-term presence of toxic substances in the body tissues of a patient.

(x) Funding is not permitted for maintenance drug programs. Maintenance drugs are medications that are prescribed regularly for a short/long period of supportive therapy (e.g. methadone maintenance), rather than for immediate control of a disorder.

(xi) All activities described in this section I.(E)(8) of this PHDEP notice to reduce/eliminate the use of drugs and reduce/eliminate drug-related crime should demonstrate efforts to coordinate with Federal, Tribal, State and local employment training and development services, "welfare to work" efforts, or other new "welfare reform" efforts related to education, training and employment of housing authority residents receiving Federal, Tribal, State or local assistance, in public and Indian housing authorities/development(s).

(xii) Funding is permitted to contractually hire organizations and/or consultant(s) to conduct independent assessments and evaluations of the effectiveness of the PHDEP program.

(3) Resident Management Corporations (RMCs), Resident Councils (RCs), and Resident Organizations (ROs). Funding under this program **is permitted** for housing authorities' RMCs and incorporated RCs and ROs to develop security and substance abuse prevention programs involving site residents. Such programs may include (but are not limited to) voluntary tenant patrol activities, substance abuse education, intervention, and referral

programs, youth programs, and outreach efforts. For the purposes of this Section I(E)(9) of this PHDEP section of the SuperNOFA, the elimination of drug-related crime within housing authorities/developments requires the active involvement and commitment of public housing residents and their organizations.

To enhance the ability of housing authorities to combat drug-related crime within their developments, Resident Councils (RCs), Resident Management Corporations (RMCs), and Resident Organizations (ROs) will be permitted to undertake program management functions specified in this part, notwithstanding the otherwise applicable requirements of 24 CFR parts 1000 and 964. In order to implement the approved activity, the housing authority shall be the grantee and enter into a sub-contract with the RMC/RC/RO setting forth the amount of funds, applicable terms, conditions, financial controls, payment mechanism schedule, performance and financial report requirements, special conditions, including sanctions for violation of the agreement, and monitoring.

Expenditures for activities under this section will not be incurred by the housing authority (grantee) and/or funds will not be released by the local HUD Field Office until the grantee has met all of the above requirements. Activities described in this PHDEP section of the SuperNOFA should demonstrate efforts to coordinate with Federal, Tribal, State and local employment training and development services, "welfare to work" efforts, or other new but related "welfare reform" efforts related to education, employment training and employment of housing authority residents receiving Federal, Tribal, State or local assistance.

(4) Employment of HA Security Personnel. Employment of HA security personnel **is permitted** under this section. Employment of security personnel is divided into two categories: security personnel services, and housing authority police departments. The following requirements apply to all employment of security personnel activities funded under this PHDEP section of the SuperNOFA:

(a) Compliance. Security guard personnel and public housing authority police departments funded under this PHDEP section of the SuperNOFA must meet, and demonstrate compliance with, all relevant Federal, State, Tribal or local government insurance, licensing, certification, training, bonding, or other similar law enforcement requirements.

(b) Law Enforcement Service Agreement. The applicant and the local law enforcement agency, and if relevant, the contract provider of security personnel services, are required to enter into a law enforcement service agreement, in addition to the housing authority's cooperation agreement, that describes the following:

(i) The activities to be performed by security guard personnel or the public housing authority police department; the scope of authority, written policies, procedures, and practices that will govern security personnel or public housing authority police department performance (i.e., a policy manual and how security guard personnel or the public housing authority police department shall coordinate activities with the local law enforcement agency;

(ii) The types of activities that the approved security guard personnel or the public housing authority police department are expressly prohibited from undertaking.

(c) Policy Manual. Security guard personnel services and public housing authority police departments funded under this PHDEP section of the SuperNOFA shall be guided by a policy manual that directs the activities of its personnel and contains the policies, procedures, and general orders that regulate conduct and describe in detail how jobs are to be performed. The policy manual must exist before execution of the grant agreement. The housing authority shall ensure all security guard personnel and housing authority police officers are trained, at a minimum, in the following areas that must be covered in the policy manual: use of force, resident contacts, enforcement of HA rules, response criteria to calls, pursuits, arrest procedures, reporting of crimes and workload, feedback procedures to victims, citizens' complaint procedures, internal affairs investigations, towing of vehicles, authorized weapons and other equipment, radio procedures internally and with local police, training requirements, patrol procedures, scheduling of meetings with residents, reports to be completed, record keeping and position descriptions on all personnel, post assignments, monitoring, and self-evaluation program requirements.

(d) Data Management. A daily activity and incident complaint form approved by the housing authority must be used by security personnel and officers funded under this PHDEP section of the SuperNOFA for the collection and analysis of criminal incidents and responses to service calls. Security guard personnel and housing authority police

departments funded under this PHDEP section of the SuperNOFA must establish and maintain a system of records management for the daily activity and incident complaint forms that appropriately ensures the confidentiality of personal criminal information. Management Informational Systems (MIS) (computers, software, and associated equipment) and management personnel in support of these activities are eligible for funding.

(5) Security Personnel Services. Contracting for, or direct housing authority employment of, security personnel services in and around housing development(s) **is permitted** under this program. Contracts for security personnel services must be awarded on a competitive basis.

(a) Eligible Services - Over and Above. Security guard personnel funded by this program must perform services that are over and above those usually performed by local municipal law enforcement agencies on a routine basis. Eligible services may include patrolling inside buildings, providing personnel services at building entrances to check for proper identification, or patrolling and checking car parking lots for appropriate parking decals.

(b) Employment of Residents. Housing authorities **are permitted** and encouraged to demonstrate in plans the employment of qualified resident(s) as security guard personnel, and/or to contract with security guard personnel firms that demonstrate in a proposed contract a program to employ qualified residents as security guard personnel. An applicant's program of eliminating drug-related crime should promote "welfare to work" in housing authorities and development(s).

(6) Employment of Personnel and Equipment for HUD Authorized Housing Authority Police Departments. Funding for equipment and employment of housing authority police department personnel **is permitted** for housing authorities that already have their own public housing authority police departments. The below-listed twelve (12) housing authorities have been identified by HUD as having eligible public housing police departments/agencies under the FY 1998 PHDEP:

Baltimore Housing Authority and Community Development, Baltimore, MD

Boston Housing Authority, Boston, MA

Buffalo Housing Authority, Buffalo, NY

Chicago Housing Authority, Chicago, IL

Cuyahoga Metropolitan Housing Authority, Cleveland, OH

Housing Authority of the City of Los Angeles, Los Angeles, CA

Housing Authority of the City of Oakland, Oakland, CA

Philadelphia Housing Authority, Philadelphia, PA

Housing Authority of the City of Pittsburgh, Pittsburgh, PA

Waterbury Housing Authority, Waterbury, CT

Virgin Islands Housing Authority, Virgin Islands

District of Columbia Housing Authority, Washington, DC

(a) On September 22, 1995, HUD issued Notice PIH 95-58 (Guidelines for Creating, Implementing and Managing Public Housing Authority Police Departments in Public Housing Authorities). This notice identifies the prerequisites for creating public housing police departments and provides guidance regarding technical assistance to housing authorities to assist in making decisions regarding public housing security, analysis of security needs, and performance measures and outcomes.

(b) Housing authorities that have established their own public housing authority police departments, but are not included on this list, shall file a written request to be recognized by HUD as a public housing authority police department by contacting the Office of the Deputy Assistant Secretary for Assisted Housing Delivery, Public and Indian Housing, Department of Housing and Urban Development, Room 4126, 451 Seventh Street, SW, Washington, D.C. 20410. This request must be submitted and approved by HUD prior to the submission of the FY 1998 PHDEP application.

(c) An applicant seeking funding for this activity must describe the current level of local law enforcement agency baseline services being provided to the housing authority/development(s) proposed for assistance. Local law enforcement baseline services are defined as ordinary and routine services provided to the residents as a part of the



overall city and county-wide deployment of police resources, to respond to crime and other public safety incidents, including: 911 communications, processing calls for service, routine patrol officer responses to calls for service, and investigative follow-up of criminal activity.

(d) Applicants for funding of housing authority public housing authority police department officers must have car-to-car (or other vehicles) and portable-to-portable radio communications links between public housing authority police officers and local municipal law enforcement officers to assure a coordinated and safe response to crimes or calls for services. The use of scanners (radio monitors) is not sufficient to meet the requirements of this section. Applicants that do not have such links must submit a plan and timetable for the implementation of such communications links, which is an activity eligible for funding. A housing authority funded under the FY 1994, 1995, 1996 and/or 1997 PHDEP for public housing police departments shall demonstrate in its plan what progress has been made in implementing its communications links. HUD will monitor results of the housing authority's plan and timetable.

(e) Public housing authority police departments funded under this program that are not employing a community policing concept must submit a plan and timetable for the implementation of community policing. A housing authority funded under the FY 1994, 1995, 1996 or 1997 PHDEP for public housing police departments shall demonstrate in its plan what progress has been made in implementing its community policing program. HUD will monitor results of the housing authority's plan and timetable.

(i) Community policing has a variety of definitions; however, for the purposes of this program, it is defined as follows: Community policing is a method of providing law enforcement services that stresses a partnership among residents, police, schools, churches, government services, the private sector, and other local, State, Tribal, and Federal law enforcement agencies to prevent crime and improve the quality of life by addressing the conditions and problems that lead to crime and the fear of crime.

(ii) This method of policing involves a philosophy of proactive measures, such as foot patrols, bicycle patrols, motor scooters patrols, KOBAN activities (community police officers who operate through community-based facilities in housing authorities (e.g., community center, police mini-station) providing human resource activities with inner-city youth who demonstrate high risk behaviors which can lead to drug-related crime), and citizen contacts. For additional information regarding KOBAN community policing contact Marvin Klepper, (202) 708-1197, extension 4229. This concept empowers police officers at the beat and zone level and residents in neighborhoods in an effort to: reduce crime and fear of crime; assure the maintenance of order; provide referrals of residents, victims, and the homeless to social services and government agencies; assure feedback of police actions to victims of crime; and promote a law enforcement value system on the needs and rights of residents.

(f) Housing authority police departments funded under this program that are not nationally or state accredited must submit a plan and timetable for such accreditation. Housing authorities may use either their State accreditation program, if one exists, or the Commission on Accreditation for Law Enforcement Agencies (CALEA) for this purpose. Use of grant funds for public housing police department accreditation activities **is permitted**. Housing authorities receiving grants for funding (public housing police departments) are required to hire a public housing police department accreditation specialist to manage the accreditation program. Housing authority police departments must submit a plan and timetable in order to be funded for this activity. Any public housing police department funded under the FY 1994, 1995, 1996 or 1997 PHDEP shall demonstrate in its plan what progress has been made in implementing its accreditation program and the projected date of accreditation. HUD will monitor results of the housing authority's plan and timetable. Future funding will be based on an evaluation its accreditation status and accomplishments to maintain its accreditation status.

(g) Housing authorities that have been identified by HUD as having authorized public housing police departments **are permitted** to use PHDEP funds to purchase or lease any law enforcement clothing or equipment, such as, vehicles, uniforms, ammunition, firearms/weapons, police vehicles; including cars, vans, buses, and protective vests, or any other equipment that supports their crime prevention and security mission. Housing authorities not identified by HUD as having an authorized public housing police department **are not permitted to use**

**PHDEP funds** to directly purchase any clothing or equipment for use by local municipal police departments and/or other law enforcement agencies.

(7) Reimbursement of Local Law Enforcement Agencies for Additional (Supplemental - Over and Above Local Law Enforcement Baseline Services) Security and Protective Services. Additional (supplemental) security and protective services **are permitted** under this program, but such services must be over and above the local police department's current level of baseline services. Housing authorities and TDHEs are required to identify the level of local law enforcement services that they are required to receive pursuant to their local cooperation agreements, as well as the current level of services being received. For purposes of PHDEP section of the SuperNOFA, local police department baseline services are defined as ordinary and routine services, including patrols, police officer responses to 911 communications and other calls for service, and investigative follow-up of criminal activity, provided to housing authority residents as a part of the overall deployment of police resources by the local jurisdiction in which the housing authority is located.

(8) Employment of Investigators. Employment of and equipment for one or more individuals **is permitted** under this program to investigate drug-related crime "in and around" the real property comprising any housing authority's development(s) and provide evidence relating to any such crime in any administrative or judicial proceedings.

(a) Housing authorities that employ investigators funded by this program must meet and demonstrate compliance with all relevant Federal, Tribal, State or local government insurance, licensing, certification, training, bonding, or other similar law enforcement requirements.

(b) The housing authority and TDHE (grantee), and the provider of the investigative services are required to enter into and execute a written agreement that describes the following:

(i) The nature of the activities to be performed by the housing authority investigators, their scope of authority, reports to be completed, established policies, procedures, and practices that will govern their performance (i.e., a Policy Manual and how housing authority investigators will coordinate their activities with local, State, Tribal, and Federal law enforcement agencies); and

(ii) The types of activities that the housing authority investigators are expressly prohibited from undertaking.

(c) Under this section, reimbursable costs associated with the investigation of drug-related crimes (e.g., travel directly related to the investigator's activities, or costs associated with the investigator's testimony at judicial or administrative proceedings) may only be those directly incurred by the investigator.

(d) Housing authority and TDHE investigator(s) shall report on drug-related crime and other part I and part II crimes in the housing authority and developments. Housing authorities shall establish, implement and maintain a system of records management that ensures confidentiality of criminal records and information. Housing authority-approved activity forms must be used for the collection, analysis and reporting of activities by housing authority investigators funded under this section. Management Information Systems (MIS) (Computers, software, hardware, and associated equipment) and management personnel are encouraged and are eligible program expenses in support of a housing authority's crime and workload data collection activity and its crime prevention and security mission.

(e) Funding is permitted for housing authority investigator(s) to use PHDEP funds to purchase or lease any law enforcement clothing or equipment, such as vehicles, uniforms, ammunition, firearms/weapons, or vehicles; including cars, vans, buses, protective vests, and any other supportive equipment, to support the activities of the investigators.

(f) Expenditures for activities under this section will not be incurred by the housing authority (grantee) and funds will not be released by the local HUD Field Office until the grantee has met all of the above requirements.

(9) Voluntary Tenant Patrols. Active voluntary tenant patrol activities, to include purchase of uniforms, equipment and related training, **are permitted** under this section. For the purposes of this section, the elimination of drug-related crime within and around the housing authority/development(s) requires the active involvement and commitment of residents and their organizations.

(a) The provision of training and equipment (including uniforms) for use by voluntary tenant patrols acting in cooperation with officials of local law enforcement agencies is permitted under this program. Members must be volunteers and must be residents of the housing authority's development(s). Voluntary tenant patrols established under this program are expected to patrol in the housing authority's development(s) proposed for assistance, and to report illegal activities to appropriate housing authority staff, and local, State, Tribal, and Federal law enforcement agencies, as appropriate. Housing authorities are required to obtain liability insurance to protect themselves and the members of the voluntary tenant patrol against potential liability for the activities of the patrol under this program. The cost of this insurance is an eligible program expense.

(b) The housing authority (grantee) and cooperating local law enforcement agency, and the members of the voluntary tenant patrol are required, prior to expending any grant funds, to enter into and execute a written housing authority/local municipal police department agreement that describes the following:

(i) The nature of the activities to be performed by the voluntary tenant patrol, the patrol's scope of authority, assignment, the established policies, procedures, and practices that will govern the voluntary tenant patrol's performance and how the patrol will coordinate its activities with the law enforcement agency;

(ii) The types of activities that a voluntary tenant patrol is expressly prohibited from undertaking, including, but not limited to, the carrying or use of firearms or other weapons, nightstick, clubs, handcuffs, or mace in the course of their duties under this program;

(iii) The initial and follow-up voluntary tenant patrol training the members receive from the local law enforcement agency (training by the local law enforcement agency is required before putting the voluntary tenant patrol into effect); and

(iv) Voluntary tenant patrol members must be advised that they may be subject to individual or collective liability for any actions undertaken outside the scope of their authority and that such acts are not covered under a housing authority's liability insurance.

(c) Uniforms, communication and related equipment eligible for funding under this program shall be reasonable, necessary, justified and related to the operation of the voluntary tenant patrol and must be otherwise permissible under local, State, Tribal, or Federal law.

(d) Under this program, bicycles, motor scooters, all season uniforms and associated equipment to be used, exclusively, by the members of the housing authority's voluntary tenant patrol **are eligible items**. Voluntary tenant patrol uniforms and equipment must be identified with specific housing authority/development(s) identification and markings.

(e) PHDEP grant funds shall not be used for any type of financial compensation, such as any full-time wages or salaries for voluntary tenant and/or patrol participants. Funding for housing authority personnel or resident(s) to be hired to coordinate this activity is permitted.

(F) Ineligible Activities. PHDEP funding **is not permitted** for any of the activities listed below, unless otherwise specified in this PHDEP section of the SuperNOFA.

(1) Costs incurred before the effective date of the grant agreement (Form HUD-1044), including, but not limited to, consultant fees related to the development of an application or the actual writing of the application.

(2) The purchase of controlled substances for any purpose. Controlled substance shall have the meaning provided in section 102 of the Controlled Substance Act (21 U.S.C. 802).

(3) Compensation of informants, including confidential informants. These should be part of the baseline services provided and budgeted by local law enforcement agencies.

(4) Direct purchase or lease of any law or military enforcement clothing or equipment, such as vehicles, including cars, vans, buses, uniforms, ammunition, firearms/weapons, protective vests, and any other supportive equipment. Exceptions are public housing police departments, and investigator activities listed in this NOFA.

(5) Wages or salaries for voluntary tenant patrol participants. Housing authorities and TDHES **are permitted** to fund housing authority/resident coordinator(s) to be hired for this activity. Staffing must be reasonable, necessary and justified. Excessive staffing **is not permitted**.

(6) Construction of any facility space in a building or unit, although **funding is permitted** for the costs of retrofitting/modifying existing building space owned by the housing authorities and TDHEs for eligible activities/programs such as: community policing mini-station operations, adult/youth education, and employment training facilities. The goal of this funding is to reduce/eliminate drug-related crime and form partnerships with Federal, Tribal, State and local government resources.

Program costs **are permitted** if shared among other HUD programs. The applicant must demonstrate the use of program compliance, accountability, financial and audit controls of PHDEP funds and controls to prevent duplicate funding of any activity. Housing authorities shall not co-mingle funds of multiple programs such as CIAP, CGP, OTAR, TOP, EDSS, IHBG, Family Investment Center, Elderly Service Coordinators, and Operating Subsidy. House trailers of any type that are not designated as a building **are eligible items** for purchase or lease for specific community policing, educational, employment, and youth activities.

(7) Organized fund raising, advertising, financial campaigns, endowment drives, solicitation of gifts and bequests, rallies, marches, community celebrations and similar expenses.

(8) Costs of entertainment, amusements, or social activities and for the expenses of items such as meals, beverages, lodgings, rentals, transportation, and gratuities related to these ineligible activities. However, under Section I.(E)(8) of this PHDEP notice, funding **is permitted** for reasonable, necessary and justified program costs, as defined in OMB Circular A-87, such as meals, beverages and transportation, incurred only for prevention programs, employment training, education and youth activities directly related to reducing/eliminating drug-related crime.

(9) Costs (such as court costs and attorneys fees) related to screening or evicting residents for drug-related crime. However, housing authority and TDHE investigators funded under this program may participate in judicial and administrative proceedings as provided in and listed under section I.(E)(5) (Employment of Investigator(s)), of this NOFA.

(10) Although participation in activities with Federal drug interdiction or drug enforcement agencies **is encouraged**, the transfer of PHDEP grant funds to any Federal agency.

(11) Establishment of councils, resident associations, resident organizations, and resident corporations since HUD funds these activities under a separate NOFA.

(12) Indirect costs as defined in OMB Circular A-87 **are not permitted under this program** (only direct costs are permitted).

(13) Supplant existing positions/activities. For purposes of the PHDEP, supplanting is defined as "taking the place of or to supersede".

(14) The PHDEP is targeted by statute at controlled substances as defined at section 102 of the Controlled Substances Act (21 U.S.C. 802). Since alcohol is a legal substance, alcohol-exclusive activities and programs **are not eligible** for funding under this NOFA, although activities and programs may address situations of multiple abuse involving controlled substances and alcohol.

Eligible Activities for the Youth Sports Program. (1) Any qualified entity that receives a grant may use the funds to assist in carrying out a youth sports program in the following manner:

(2) Provision of public services, including salaries and expenses for staff or youth sports programs and cultural activities, educational programs relating to drug abuse, and sports and recreation equipment.

(a) Non-profit programs that have partnered with housing authorities that provide scheduled organized sports competitions, cultural, educational, recreational, or other activities designed to involve public housing youth as alternatives to drug related criminal activity are eligible activities.

Examples include but are not limited to professional sports and/or national prevention organizations for youth, nationally and locally recognized youth programs such as Boys and Girls Clubs, YMCAs, YWCAs, Scouts, National Association of Midnight Basketball Leagues, national or local sports figures, etc.

(b) The purchase of recreational equipment to be used by program participants is permitted under this program.

(c) Cultural and recreational activities, such as ethnic heritage classes, art, dance, drama and music

appreciation and instruction programs are eligible Youth Sports Program activities.

(d) Youth leadership skills training for program participants is permitted under this program. These activities must be designed to involve youth in peer leadership roles in the implementation of program activities, for example, as team or activity captains, counselors to younger program participants, assistant coaches, and equipment or supply managers. Grantees may contract with youth trainers to provide services which may include training in peer pressure reversal, resistance or refusal skills, life skills, goal planning, parenting skills, and other relevant topics.

(e) Transportation costs directly related to youth sports activities (for example, leasing a vehicle to transport a youth sports team to a game) are eligible program expenses and liability insurance costs directly related to youth sports activities are eligible program expenses.

## **II. Program Requirements.**

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

(A) Threshold Requirements. Housing authorities applying for PHDEP funds are required to submit the following threshold information:

(1) Applicants must submit a program plan/evaluation specifically demonstrating how the activities under this program will be evaluated. This is an eligible expense.

(2) A description of how PHDEP resources will be used to establish collaborative relationships with, and increase over and above existing levels, the efforts of local municipal police departments and/or other law enforcement agencies, local social and/or religious organizations, and other public and private nonprofit organizations who provide community-wide services to offer substance abuse prevention, intervention, treatment, aftercare, education, assessment, and referral programs and services.

(3) A discussion, in their comprehensive anti-crime strategies, of how the proposed PHDEP drug and crime prevention activities will be coordinated with larger Empowerment and Enterprise Zone strategies and Welfare Reform efforts, especially in the areas of training and employment of PHA residents. The PHDEP application may include specific opportunities for resident employment and training with such activities as contracting or hiring of residents as security guard personnel, housing authority police officers, and for referrals to employment and training opportunities. The applicant must demonstrate how the employment and training qualifies as an eligible activity. PHDEP applicants should coordinate with Federal, Tribal, State and local agencies to increase employment and training opportunities for low-income residents, and thereby decrease drug-related crime. Many communities are already developing and providing such services, and housing authorities are strongly encouraged to provide community facility space to allow the provision of these services for residents living "in and around" housing authorities.

(4) A description of how the applicant plans to increase the use of housing authority community facilities, and bring back a community focus to housing authority properties. Expenses related to community policing; police mini-stations; and resident training, substance abuse prevention, intervention, treatment, structured aftercare, and other human resources programs that comply with the requirements of this program are eligible program expenses. HUD encourages applicants to use housing authority community facilities in all eligible PHDEP activities. Community policing, resident training, substance abuse prevention, intervention and treatment (dependency, structured aftercare, and support systems) are all activities most effectively implemented in housing authority community facilities. While all PHDEP activities must be carried out "in and around" housing authorities, often the use of the community facilities is taken for granted, and not considered when planning effective implementation of PHDEP activities. HUD encourages applicants to consider current and future use of their community facilities for eligible activities, and to incorporate a strategy regarding facilities for on-site service delivery.

(5) As applicable, incorporate "One Strike and You're Out" elements in applications to ensure PHAs have available the broadest range of tools for making and maintaining a safe residential community. "One Strike and You're Out" activities in applications may be eligible program expenses but to qualify as eligible activities, they must be included in the plan to address the crime problem in public and Indian housing developments required by this

PHDEP section of the SuperNOFA. Factors related to the One Strike initiative, such as screening applicants and lease enforcement, are addressed in this PHDEP section of the SuperNOFA. As a part of the Public Housing Management Assessment Program (PHMAP), PHA performance will be measured, in part, by PHMAP indicator #8, "Security", which was included in the revised PHMAP rule published on December 30, 1996, (61 FR 68894). Any successful, comprehensive anti-crime strategy in public housing only (PHMAP does not apply to Indian housing) should address the elements of the PHMAP security indicator: tracking and reporting crime-related problems, screening applicants, enforcing lease requirements, and stating and achieving anti-crime strategies/goals in appropriate HUD grant programs.

(B) Affirmatively Furthering Fair Housing. The first two sentences of the requirement in Section II(D) of the **General Section** of this SuperNOFA do not apply to this program.

### **III. Application Selection Process.**

(A) Rating and Ranking. Applications will be evaluated competitively and ranked against all other applicants that have applied for Drug Elimination grants. HUD will review each application to determine that it meets the requirements of this SuperNOFA and to assign points in accordance with the rating factors.

HUD will select and fund the highest ranking applications based on score, and continue the process until all funds allocated to it have been awarded or to the point where there are insufficient acceptable applications for which to award funds.

In the event of a tie, HUD will select the highest ranking application that can be fully funded. In the event that two eligible applications receive the same score, and both cannot be funded because of insufficient funds, the applicant with the highest score in rating factor two will be funded. If rating factor two is scored identically, the scores in rating factors one and four will be compared in that order, until one of the applications receives a higher score. If both applications still score the same then the application which requests the least funding will be selected in order to promote the more efficient use of resources. Each application submitted will be evaluated on the basis of the selection criteria set forth below.

(B) Factors For Award to Evaluate and Rank Applications. The factors for rating and ranking applicants and maximum points for each factor, are provided below. The maximum number of points for this program is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA.

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

This factor addresses the extent to which the applicant has proper organizational resources necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's organization and staff" for technical merit or threshold compliance, unless otherwise specified, will include any subcontractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project. In rating this factor, HUD will consider the following:

(1) The knowledge and experience of the staff and administrative capability to manage grants, including administrative support functions, procurement, lines of authority, and fiscal management capacity.

(a) For PHAs (and TDHEs that had previously applied as IHAs), HUD will consider such measurement tools as PHMAP, uniform crime index, physical inspections, agency monitoring of records, Line of Credit Control System Reports (LOCCS), audits and such other relevant information available to HUD on the capacity of the owner or manager to undertake the grant.

(b) For owners of multifamily housing, HUD will consider the most recent Management Review (including Rural Development Management Review), HQS review, State Agency review and such other relevant information available to HUD on the capacity of the owner or manager to undertake the grant.

(c) A description of established performance goals to define the results expected to be achieved by all major grant activities proposed in the grant application, and a description of the goals expressed in an objective, quantifiable, and measurable form. The goals must be outcome or result-oriented and not out-put related. Outcomes include accomplishments, results, impact and the ultimate effects of the program on the drug or crime problem in the target/project area.

(2) The applicant's performance in administering Drug Elimination funding in the previous 5 years.

(a) For PHAs the applicant's past experience will be evaluated in terms of their ability to attain demonstrated measurable progress in tracking drug related crime, enforcement of screening and lease procedures in implementation of the "One Strike and You're Out Initiative" (as applicable), the extent to which the applicant has formed a collaboration with Tribal, State and local law enforcement agencies and courts to gain access to criminal conviction records of applicants to determine their suitability for residence in public housing. Such data will be measured and evaluated based on the Public Housing Management Assessment Program at 24 CFR part 901.

(b) The applicant must identify their participation in HUD grant programs within the preceding three years and discuss the degree of the applicant's success in implementing and managing (program implementation, timely drawdown of funds, timely submission of required reports with satisfactory outcomes related to the plan and timetable, audit compliance, whether there are any unresolved findings from prior HUD reports (.e.g. performance or finance) reviews of audits undertaken by HUD, the Office of Inspector General, the General Accounting Office or independent public accountants.

(3) Submission of evidence that applicants have initiated other efforts to reduce drug-related crime by working with Operation Safe Home, SNAP, Weed and Seed, or tenant and/or law enforcement groups.

(4) The applicant's performance in administering other Federal, State or local grant programs.

**Rating Factor 2: Need/Extent of the Problem (25 Points)**

This factor addresses the extent to which there is a need for funding the proposed program activities to address a documented problem in the target area (i.e., the degree of the severity of the drug-related crime problem in the project proposed for funding). In responding to this factor, applicants will be evaluated on the extent to which a critical level of need for the proposed activities is explained and an indication of the urgency of meeting the need in the target area. Applicants must include a description of the extent and nature of drug-related crime "in or around" the housing units or developments proposed for funding.

Applicants will be evaluated on the following:

(1) **(15 points)** "Objective Crime Data" relevant to the target area. For objective crime data, an applicant can be awarded up to 15 points. Such data should consist of verifiable records and not anecdotal reports. Where appropriate, the statistics should be reported both in real numbers and as an annual percentage of the residents in each development (e.g., 20 arrests in a two-year period for distribution of heroin in a development with 100 residents reflects a 20% occurrence rate). Such data may include:

(a) Police records or other verifiable information from records on the types or sources of drug related crime in the targeted developments and surrounding area;

(b) The number of lease terminations or evictions for drug-related crime at the targeted developments; and

(c) The number of emergency room admissions for drug use or that result from drug-related crime. Such information may be obtained from police Departments and/or fire departments, emergency medical service agencies and hospitals. The number of police calls for service from housing authorities developments that include resident initiated calls, officer-initiated calls, domestic violence calls, drug distribution complaints, found drug paraphernalia, gang activity, graffiti that reflects drugs or gang-related activity, vandalism, drug arrests, and abandoned vehicles.

For PHAs, such data should include housing authority police records on the types and sources on drug related crime "in or around" developments as reflected in crime statistics or other supporting data from Federal, State, Tribal or local law enforcement agencies.

(2) **(10 Points)** Other Crime Data: Other supporting data on the extent of drug-related crime. For this section, an applicant can received up to 10 points. To the extent that objective data as described above may not be available, or to complement that data, the assessment must use data from other verifiable sources that have a direct bearing on drug-related crime in the developments proposed for assistance under this program. However, if other relevant information is to be used in place of **objective data**, the application must indicate the reasons why **objective data** could not be obtained and what efforts were made to obtain it and what efforts will be made during the grant period to begin obtaining the data. Examples of the data should include (but are not necessarily limited to):

(a) Surveys of residents and staff in the targeted developments surveyed on drug-related crime or on-site reviews to determine drug/crime activity; and government or scholarly studies or other research in the past year that analyze drug-related crime activity in the targeted developments.

(b) Vandalism cost at the targeted developments, to include elevator vandalism (where appropriate) and other vandalism attributable to drug-related crime.

(c) Information from schools, health service providers, residents and Federal, State, local, and Tribal officials, and the verifiable opinions and observations of individuals having direct knowledge of drug-related crime and the nature and frequency of these problems in developments proposed for assistance. (These individuals may include Federal, State, Tribal, and local government law enforcement officials, resident or community leaders, school officials, community medical officials, substance abuse, treatment (dependency/remission) or counseling professionals, or other social service providers).

(d) The school dropout rate and level of absenteeism for youth that the applicant can relate to drug-related crime. If crime or other statistics are not available at the development or precinct level the applicant must use other verifiable, reliable and objective data.

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

### **Rating Factor 3: Soundness of Approach - (Quality of the Plan)**

#### **(35 Points)**

This factor addresses the quality and effectiveness of the applicant's proposed work plan. In rating this factor, HUD will consider the impact of the activity; if there are tangible benefits that can be attained by the community and by the target population.

An application must include a detailed narrative describing each proposed activity for crime reduction and elimination efforts for each development proposed for assistance, the amount and extent of resources committed to each activity or service proposed, and process used to collect, maintain, analyze and report Part I and II crimes as defined by the Uniform Crime Reporting (UCR System), as well as police workload data. The process must include the collection of police workload data such as, but not limited to, all calls for service at the housing authority by individual development, pattern over a period of time, type of crime, and plans to improve data collection and reporting.

In evaluating this factor, HUD will consider the following:

(1) **(15 Points)** The quality of the applicant's plan to address the drug-related crime problem, and the problems associated with drug-related crime in the developments proposed for funding, the resources allocated, and how well the proposed activities fit with the plan.

(2) **(10 Points for (2) and (3))** The anticipated effectiveness of the plan and proposed activities in reducing or eliminating drug-related crime problems immediately and over an extended period, including whether the proposed activities enhance and are coordinated with on going or proposed programs sponsored by HUD such as Neighborhood Networks, Campus of Learners, Computerized Community Connections, Operation Safe Home, "One Strike and You're Out," Department of Justice Weed and Seed Efforts, or any other prevention intervention treatment activities.

(3) The rationale for the proposed activities and methods used including evidence that proposed activities have been effective in similar circumstances in controlling drug-related crime. Applicants that are proposing new methods for which there is limited knowledge of the effectiveness, should provide the basis for modifying past practices and rationale for why they believe the modification will yield more effective results.

(4) **(10 Points for (4) and (5))** The process it will use to collect, maintain, analyze and report Part I and II crimes as defined by the Uniform Crime Reporting (UCR System), as well as police workload data. The applicant's proposed analysis of the data collected should include a method for assessing the impact of activities on the collected crime statistics on an on-going basis during the award period.



(5) Specific steps the applicant will take to share and coordinate information on solutions and outcomes with other law-enforcement and governmental agencies, and a description of any written agreements in place or that will be put in place.

(6) The extent to which the applicant's elimination of crime in a development or neighborhood will expand fair housing choice and will affirmatively further fair housing.

**Rating Factor 4: Leveraging Resources - (Support of Residents, the Local Government and the Community in Planning and Implementing the Proposed Activities) (10 Points)**

This factor addresses the ability of the applicant to secure community and government resources which can be combined with HUD's program resources to achieve program purposes.

(1) In assessing this factor, HUD will consider the following:

Evidence of commitment of funding, staff, or in-kind resources, partnership agreements, and on-going or planned cooperative efforts with law enforcement agencies, memoranda of understanding, or agreements to participate. Such commitments must be signed by an official of the organization legally able to make commitments for the organization. This evidence of commitment must include organization name, resources, and responsibilities of each participant. This also includes interagency activities already undertaken, participation in local, state, Tribal or Federal anti-drug related crime efforts such as: education, training and employment provision components of Welfare Reform efforts, Operation Weed and Seed, Operation Safe Home, local law enforcement initiatives and/or successful coordination of its law enforcement, or other activities with local, state, Tribal or Federal law enforcement agencies.

(2) In evaluating this factor, HUD will also consider the extent to which these initiatives are used to leverage resources for the housing authority community, and are part of the comprehensive plan and performance measures outlines in Rating Factor 3, Soundness of Approach - Quality of the Plan.

(a) An application must describe what role residents in the targeted developments, applicable community leaders and organizations, and law enforcement agencies have had in planning the activities described in the application and what role they will have in carrying out such activities.

(b) The application must include a discussion of the extent to which community representatives and Tribal, local, state and Federal Government officials, including law enforcement agency officials were actively involved in the design and implementation of the applicant's plan and will continue to be involved in implementing such activities during and after the period of PHDEP funding.

(c) The application must demonstrate the extent to which the relevant governmental jurisdiction has met its local law enforcement obligations under the Cooperation Agreement with the applicant (as required by the grantees Annual Contributions Contract with HUD). The applicant must describe the current level of baseline local law enforcement services being provided to the housing authority/developments proposed for assistance.

**Rating Factor 5: Comprehensiveness and Coordination (10 Points).**

This factor addresses the extent to which the applicant coordinated its activities with other known organizations, participates or promotes participation in a Community's Consolidated Planning Process, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community. In evaluating this factor, HUD will consider the extent to which the applicant demonstrates it has:

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

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

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

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

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

**IV. Application Submission Requirement.**

Each applicant must comply with the submission requirements listed in Section IV of the **General Section** of the SuperNOFA. In addition, each application must specify whether it is for the FY 1997 or the FY 1998 funding competition. To qualify for a grant under this program, the application submitted to HUD shall also include those requirements listed under Section III of the PHDEP section of this SuperNOFA, including the plan to address the problem of drug-related crime in the developments proposed for funding. The applicant must accurately complete the form for HUD's application database entry. The form, with examples, is provided in the application kit.

**V. Corrections to Deficient Applications.**

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

**VI. Environmental Requirements.**

It is anticipated that activities under the PHDEP will be categorically excluded under 24 CFR 50.19(b)(4),(b)(12), or (b)(13). If grant funds will be used to cover the cost of any non-exempt activities, HUD will perform an environmental review to the extent required by 24 CFR part 50, prior to grant awards.

## FUNDING AVAILABLE FOR DRUG ELIMINATION GRANTS FOR FEDERALLY ASSISTED LOW-INCOME HOUSING (MULTIFAMILY HOUSING DRUG ELIMINATION)

**PROGRAM DESCRIPTION:** Approximately \$16,250,000 in funding is available for Federally Assisted Low Income Housing Drug Elimination Grants. This Multifamily Housing Drug Elimination Program section of the SuperNOFA does not apply to the funding available under Public and Indian Housing.

**APPLICATION DUE DATES:** Completed applications (an original and two copies) must be received no later than **6:00 pm local time** in the HUD Office with jurisdiction over the applicant project **[Insert date of 75 days after publication in Federal Register]**. See the **General Section** of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

**ADDRESS FOR SUBMITTING APPLICATIONS:** Completed applications (an original and two copies) must be submitted no later than close of business to the HUD Office with jurisdiction over the applicant project. The application kit contains a list of the HUD Offices to which applications must be sent.

### **FOR APPLICATION KITS, FURTHER INFORMATION, AND TECHNICAL ASSISTANCE:**

**For Application Kits.** For an application kit and any supplemental information, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments, may call the Center's TTY number at 1-800-843-2209. An application kit also will be available on the Internet through the HUD web site at <http://www.HUD.gov>. When requesting an application kit, please refer to **Multifamily Housing Drug Elimination Grants**, and provide your name, address (including zip code) and telephone number (including area code).

**For Further Information and Technical Assistance.** Policy questions of a general nature may be referred to Carissa Janis, Housing Project Manager, Office of Portfolio Management, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410; (202) 708-3291, extension 2487. (This number is not toll free). Hearing or speech impaired persons may access this number via TTY by calling the Federal Information Relay Service at 1-800-877-8339. HUD will notify all applicants whether or not they were selected for funding.

### **ADDITIONAL INFORMATION:**

#### **I. Authority; Purpose; Amounts Allocated; and Eligibility.**

(A) **Authority.** This program is authorized under Chapter 2, subtitle C, title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901 et. seq.), as amended by section 581 of the National Affordable Housing Act of 1990 (Pub.L. 102-550, approved October 28, 1992). The regulations for the program are found in 24 CFR part 761, Drug Elimination Programs.

(B) **Purpose.** The purpose of this Multifamily Housing Drug Elimination Grant Program is to:

- (1) Enable owners of federally assisted low-income housing projects to deal effectively with drug-related criminal activity in and around the
- (2) project.

(2) Improve the physical structure and the surrounding environment to enhance security designed to discourage drug-related criminal activity. (3) Develop programs and security measures designed to reduce the use of drugs in and around federally assisted low-income housing projects, including drug-abuse prevention, intervention, referral, and treatment programs.

(C) **Amounts Allocated.** The maximum grant award amount is limited to \$125,000 per project. Any grant funds under this Multifamily Drug Elimination Grant Program of the SuperNOFA that are allocated, but that are not reserved for grantees, must be released to HUD Headquarters for reallocation. If the Award Office determines that an application cannot be partially funded and there are insufficient funds to fund the application fully, any remaining funds after all other applications have been selected will be released to HUD Headquarters for reallocation. Amounts that may become available due to deobligation will also be reallocated to Headquarters.

All reallocated funds will be awarded in the following manner: HUD Award Office will submit to Headquarters a list of applications, with their scores and amount of funding requested, that would have been funded had there been

sufficient funds in the appropriate allocation to do so. Headquarters will select applications from those submitted by the HUD Award Offices, using a random number lottery overseen by the Offices of Housing, General Counsel, and Inspector General, and make awards from any available reallocated funds.

Distribution of Funds. Each Award Office may recommend a total number of awards up to the amount allocated for the area covered by the Award Office. The Award Offices will receive the scores from each HUD Office which has received, rated, ranked, and scored its applications. The Award Offices will, in turn, request Headquarters to fund those properties with the highest score from each HUD Office. If sufficient funds remain, the next highest scored applications, regardless of HUD Office, will be awarded funds. HUD is allocating grant funds under this Multifamily Drug Elimination Grant Program section of the SuperNOFA to the four Award Offices, in accordance with the following schedule:

<u>AWARD OFFICE</u>	<u>COVERED</u>	<u>ALLOCATION</u>
Buffalo	Vermont	\$4,015,000
	Massachusetts	
	Connecticut	
	Rhode Island	
	New York	
	Maine	
	New Hampshire	
	New Jersey	
	Pennsylvania	
	Delaware	
	Maryland	
	District of Columbia	
	West Virginia	
	Virginia	
Knoxville	Kentucky	\$4,110,000
	Tennessee	
	North Carolina	
	South Carolina	
	Georgia	
	Alabama	
	Puerto Rico	
	Mississippi	
	Florida	
	Iowa	
	Kansas	
	Missouri	
	Nebraska	
	Minneapolis	
Minnesota		
Indiana		
Wisconsin		
Michigan		
Little Rock	Ohio	\$4,206,000
	Arkansas	
	Louisiana	
	New Mexico	

Oklahoma  
Texas  
Colorado  
Montana  
North Dakota  
South Dakota  
Utah  
Wyoming  
Arizona  
California  
Hawaii  
Nevada  
Alaska  
Idaho  
Oregon  
Washington

(D) Eligible Applicants. Eligible applicants include owners of the following low-income housing projects: Section 221(d)(3), Section 221(d)(4), or Section 236 of the National Housing Act with project-based assistance. (Note: Section 221(d)(3) and Section 221(d)(4) market rate projects with tenant-based assistance are not eligible for funding); Section 101 of the Housing and Urban Development Act of 1965; or Section 8 of the United States Act of 1937. This includes State Housing Agency projects, Rural Housing and Community Development projects, and Moderate Rehabilitation projects with project-based Section 8 assistance. This does not include Section 8 tenant-based assistance). Owners of Section 8 tenant-based projects are also ineligible.

(E) Eligible Activities. Programs which foster interrelationships among the residents, the housing owner and management, the local law enforcement agencies, and other community groups impacting on the housing are greatly desired and encouraged. Resident participation in the determination of programs and activities to be undertaken is critical to the success of all aspects of the program. Working jointly with community groups, the neighborhood law enforcement precinct, residents of adjacent properties and the community as a whole can enhance and magnify the effect of specific program activities and should be the goal of all applicants.

(1) Physical improvements to enhance security. The improvement may include but are not limited to systems designed to limit building access to project residents, the installation of barriers, lighting systems, fences, bolts, locks; the landscaping or reconfiguration of common areas to discourage drug-related crime; and other physical improvements designed to enhance security and discourage drug-related activities. In particular, HUD is seeking plans that provide successful, proven, and cost-effective deterrents to drug-related crime that are designed to address the realities of federally assisted low-income housing environments. All physical improvements must also be accessible to persons with disabilities. For example, some types of locks or buzzer systems are not accessible to persons with limited strength, or mobility, or to persons who have hearing impairments and should not be utilized. Accessible alternatives should be utilized. All physical improvements must meet the accessibility requirements of 24 CFR part 8, Nondiscrimination Based on Handicap in Federally Assisted Programs and Activities of the Department of Housing and Urban Development.

(2) Programs to Reduce the Use of Drugs. Programs to reduce the use of drugs in and around the project, including drug-abuse prevention, intervention, referral, and treatment programs are eligible for funding under this program. The program should facilitate drug prevention, intervention, and treatment efforts, to include outreach to community resources and youth activities, and facilitate bringing these resources onto the premises, or provide resident referrals to treatment programs or transportation to out-patient treatment programs away from the premises. Funding is permitted for reasonable, necessary, and justified leasing of vehicles for resident youth and adult education and training activities directly related to "Programs to reduce the use of drugs" under this section. Alcohol-

related activities and programs are not eligible for funding under this Multifamily Housing Drug Elimination Grant Program section of the SuperNOFA.

(3) Drug Prevention. Drug prevention programs that will be considered for funding under this Multifamily Housing Drug Elimination Grant Program section of the SuperNOFA must provide a comprehensive drug prevention approach for residents that will address the individual resident and his or her relationship to family, peers, and the community. Prevention programs must include activities designed to identify and change the factors present in federally assisted low-income housing that lead to drug-related problems, and thereby lower the risk of drug usage. Many components of a comprehensive approach, such as refusal and restraint skills training programs or drug-related family counseling, may already be available in the community of the applicant's housing projects, and the applicant must act to bring those available program components onto the premises. Activities that should be included in these programs are:

(a) Drug Education Opportunities for Residents. The causes and effects of illegal drug usage must be discussed in a formal setting to provide both young people and adults the working knowledge and skills they need to make informed decisions to confront the potential and immediate dangers of illegal drugs. Grantees may contract (in accordance with 24 CFR Part 85.36) with drug education professionals to provide training or workshops. The drug education professional contracted to provide these services shall be required to base their services upon the program plan of the grantee. These educational opportunities may be a part of resident meetings, youth activities, or other gatherings of residents.

(b) Family and Other Support Services. Drug prevention programs must demonstrate that they will provide directly or otherwise make available services designed to distribute drug education information, to foster effective parenting skills, and to provide referrals for treatment and other available support services in the project or the community for federally-assisted low-income housing families.

(c) Youth Services. Drug prevention programs must demonstrate that they have included groups composed of young people as a part of their prevention programs. These groups must be coordinated by adults with the active participation of youth to organize youth leadership, sports, recreational, cultural and other activities involving housing youth. The dissemination of drug education information, the development of peer leadership skills and other drug prevention activities must be a component of youth services.

(4) Economic/Educational Opportunities for Resident Youth. Drug prevention programs should demonstrate a capacity to provide residents the opportunity for referral to established higher education or vocational institutions with the goal of developing or building on the resident's skills to pursue educational, vocational, and economic goals. The program must also demonstrate the ability to provide residents the opportunity to interact with private sector businesses in their immediate community for the same desired goals.

(5) Intervention. The aim of intervention is to identify federally-assisted low-income housing resident drug users and assist them in modifying their behavior and in obtaining early treatment, if necessary. The applicant must establish a program with the goal of preventing drug problems from continuing once detected.

(6) Drug Treatment. Treatment funded under this program shall be in or around the premises of the project. Funds awarded under this program shall be targeted towards the development and implementation of new drug referral treatment services and/or aftercare, or the improvement of, or expansion of such program services for residents. Each proposed drug treatment program should address the following goals:

(a) Increase resident accessibility to drug treatment services;

(b) Decrease criminal activity in and around the project by reducing illicit drug use among residents;

(c) Provide services designed for youth and/or maternal drug abusers, e.g., prenatal/postpartum care, specialized counseling in women's issues; parenting classes, or other drug treatment supportive services.

Approaches that have proven effective with similar populations will be considered for funding. Programs should meet the following criteria:

(i) Applicants may provide the service of formal referral arrangements to other treatment programs not in or around the project when the resident is able to obtain treatment costs from sources other than this program.

Applicants may also provide transportation for residents to out-patient treatment and/or support programs.

(ii) Provide family/collateral counseling.

(iii) Provide linkages to educational/vocational counseling.

(iv) Provide coordination of services to appropriate local drug agencies, HIV-related service agencies, and mental health and public health programs.

(7) Working Partnerships. Applicants must demonstrate a working partnership with the Single State Agency or State license provider or authority with drug program coordination responsibilities to coordinate, develop and implement the drug treatment proposal. In particular, applicants must review and determine with the Single State Agency or State license provider or authority with drug program coordination responsibilities whether: A) the drug treatment provider(s) has provided drug treatment services to similar populations, identified in the application, for two prior years; and B) the drug treatment proposal is consistent with the State treatment plan and the treatment service meets all State licensing requirements.

(8) Resident Councils. Providing funding to resident councils to develop security and drug abuse programs.

(E) Ineligible Activities. The following activities are not eligible for funding:

(1) Any activity or improvement that is normally funded from project operating revenues for routine maintenance or repairs, or those activities or improvements that may be funded through reasonable and affordable rent increases;

(2) The acquisition of real property or physical improvements that involve the demolition of any units in the project or displacement of tenants;

(3) Costs incurred prior to the effective date of the grant agreement, including, but not limited to, consultant fees for surveys related to the application or its preparation;

(4) Reimbursement of local law enforcement agencies for additional security and protective services;

(5) The employment of one or more individuals to investigate drug-related crime on or about the real property comprising any federally-assisted low-income project and/or to provide evidence relating to such crime in any administrative or judicial proceeding;

(6) The provision of training, communications equipment and other related equipment for use by voluntary tenant patrols acting in cooperation with local law enforcement officials;

(7) Treatment of residents at any in-patient medical treatment programs or facilities;

(8) Detoxification procedures, short term or long term, designed to reduce or eliminate the presence of toxic substances in the body tissues of a patient;

(9) Maintenance drug programs. [Maintenance drugs are medications that are prescribed regularly for a long period of supportive therapy (e.g., methadone maintenance), rather than for immediate control of a disorder.]

## **II. Program Requirements.**

In addition to the program requirements listed in the **General Section** of this SuperNOFA, applicants are subject to the additional requirements in this Section II. These requirements apply to all activities, programs, and functions used to plan, budget, and evaluate the work funded under this program. After applications have been ranked and selected, HUD and the applicant shall enter into a grant agreement setting forth the amount of the grant, the physical improvements or other eligible activities to be undertaken, financial controls, and special conditions, including sanctions for violation of the agreement.

(A) General. The policies, guidelines, and requirements of this NOFA, along with applicable HUD program regulations, HUD Handbooks, and the terms of grant/special conditions and subgrant agreements apply to the acceptance and use of assistance by grantees and will be followed in determining the reasonableness and allocability or costs. All costs must be reasonable and necessary.

(B) Term of Funded Activities. The term of funded activities may not exceed 12 months. Owners must ensure that any funds received under this program are not commingled with other HUD or project operating funds. To avoid duplicate funding, owners must establish controls to assure that any funds from other sources, such as Reserve for Replacement, Rent increases, etc., are not used to fund the physical improvements to be undertaken under this

program.

HUD may terminate funding if the grantee fails to undertake the approved program activities on a timely basis in accordance with the grant agreement. Grantees must adhere to grant agreement requirements and/or special conditions, and must submit timely and accurate reports.

(C) Subgrants - Subcontracting. A grantee may directly undertake any of the eligible activities under this Multifamily Drug Elimination Program section of the SuperNOFA or it may contract with a qualified third party, including incorporated Resident Councils. Resident groups that are not incorporated may share with the grantee in the implementation of the program, but may not receive funds as subgrantees. Subgrants to incorporated Resident Councils may be made only for eligible statutory activities and only under a written agreement executed between the grantee and the Resident Council. The agreement must include a program budget that is acceptable to the grantee, and that is otherwise consistent with the grant application budget. The agreement must obligate the incorporated Resident Council to permit the grantee to inspect and audit the Resident Council's financial records related to the agreement, and to account to the grantee on the use of grant funds, and on the implementation of program activities. In addition, the agreement must describe the nature of the activities to be undertaken by the subgrantee, the scope of the subgrantee's authority, and the amount of insurance to be obtained by the grantee and the subgrantee to protect their respective interests.

The grantee shall be responsible for monitoring and for providing technical assistance to any subgrantee to ensure compliance with HUD program requirements, including the regulations at 24 CFR part 84, Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. The procurement requirements of Part 84 also apply to Resident Councils. The grantee must also ensure that subgrantees have appropriate insurance.

(D) Section 3 Economic Opportunity. Please see Section II(E) of the **General Section** of this SuperNOFA. The requirements of Section 3 are applicable to funding under this program.

(E) Forms, Certifications and Assurances. See **General Section** of the SuperNOFA for the applicable forms, certifications and assurances to be submitted.

(F) Affirmatively Furthering Fair Housing. The first two sentences of the requirement of Section II(D) of the **General Section** of the SuperNOFA do not apply to this program.

### III. **Application Selection Process.**

(A) Rating and Ranking. Applications will be evaluated competitively and ranked against all other applicants that have applied for these Drug Elimination Grants.

The maximum number of points for this program is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA.

(B) Factors for Award Used to Evaluate and Rate Applications. The five factors in this section total 100 points. An application must receive a score of at least 51 points out of the total of 100 points provided for the five factors to be eligible for funding under this competition. The Award Office will select the highest ranking application from each HUD Office whose eligible activities can be fully funded. The Award Office will then select the highest scored unfunded application submitted to it regardless of Field Office and continue the process until all funds allocated to it have been awarded or to the point where there are insufficient acceptable applications for which to award funds. Each application submitted will be evaluated on the basis of the selection criteria set forth below.

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

This factor addresses the extent to which the applicant has proper organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the application demonstrates the capabilities described below. In rating this factor, HUD will consider the following:

(1) The knowledge and experience of the staff and administrative capability to manage grants, including administrative support functions, procurement, lines of authority, and fiscal management capacity.

(a) For PHAs (and TDHEs that had previously applied as IHAs), HUD will consider such measurement tools



as PHMAP, uniform crime index, physical inspections, agency monitoring of records, Line of Credit Control System Reports (LOCCS), audits and such other relevant information available to HUD on the capacity of the owner or manager to undertake the grant.

(b) For owners of multifamily housing, HUD will consider the most recent Management Review (including Rural Development Management Review), HQS review, State Agency review and such other relevant information available to HUD on the capacity of the owner or manager to undertake the grant.

(c) A description of established performance goals to define the results expected to be achieved by all major grant activities proposed in the grant application, and a description of the goals expressed in an objective, quantifiable, and measurable form. The goals must be outcome or result-oriented and not out-put related. Outcomes include accomplishments, results, impact and the ultimate effects of the program on the drug or crime problem in the target/project area.

(2) The applicant's performance in administering Drug Elimination funding in the previous 5 years.

(a) For PHAs the applicant's past experience will be evaluated in terms of their ability to attain demonstrated measurable progress in tracking drug related crime, enforcement of screening and lease procedures in implementation of the "One Strike and You're Out Initiative" (as applicable), the extent to which the applicant has formed a collaboration with Tribal, State and local law enforcement agencies and courts to gain access to criminal conviction records of applicants to determine their suitability for residence in public housing. Such data will be measured and evaluated based on the Public Housing Management Assessment Program at 24 CFR part 901.

(b) The applicant must identify their participation in HUD grant programs within the preceding three years and discuss the degree of the applicant's success in implementing and managing (program implementation, timely drawdown of funds, timely submission of required reports with satisfactory outcomes related to the plan and timetable, audit compliance, whether there are any unresolved findings from prior HUD reports (e.g. performance or finance) reviews of audits undertaken by HUD, the Office of Inspector General, the General Accounting Office or independent public accountants.

(3) Submission of evidence that applicants have initiated other efforts to reduce drug-related crime by working with Operation Safe Home, SNAP, Weed and Seed, or tenant and/or law enforcement groups.

(4) The applicant's performance in administering other Federal, State or local grant programs.

#### **Rating Factor 2: Need/Extent of the Problem (25 Points)**

This factor addresses the extent to which there is a need for funding the proposed program activities to address a documented problem in the target area (i.e., the degree of the severity of the drug-related crime problem in the project proposed for funding). In responding to this factor, applicants will be evaluated on the extent to which a critical level of need for the proposed activities is explained and an indication of the urgency of meeting the need in the target area. Applicants must include a description of the extent and nature of drug-related crime "in or around" the housing units or developments proposed for funding.

Applicants will be evaluated on the following:

(1) **(15 points)** "Objective Crime Data" relevant to the target area. For objective crime data, an applicant can be awarded up to 15 points. Such data should consist of verifiable records and not anecdotal reports. Where appropriate, the statistics should be reported both in real numbers and as an annual percentage of the residents in each development (e.g., 20 arrests in a two-year period for distribution of heroin in a development with 100 residents reflects a 20% occurrence rate). Such data may include:

(a) Police records or other verifiable information from records on the types or sources of drug related crime in the targeted developments and surrounding area;

(b) The number of lease terminations or evictions for drug-related crime at the targeted developments; and

(c) The number of emergency room admissions for drug use or that result from drug-related crime. Such information may be obtained from police Departments and/or fire departments, emergency medical service agencies and hospitals. The number of police calls for service from housing authorities developments that include resident initiated calls, officer-initiated calls, domestic violence calls, drug distribution complaints, found drug paraphernalia,

gang activity, graffiti that reflects drugs or gang-related activity, vandalism, drug arrests, and abandoned vehicles.

For PHAs, such data should include housing authority police records on the types and sources on drug related crime "in or around" developments as reflected in crime statistics or other supporting data from Federal, State, Tribal or local law enforcement agencies.

(2) **(10 Points)** Other Crime Data: Other supporting data on the extent of drug-related crime. For this section, an applicant can received up to 10 points. To the extent that objective data as described above may not be available, or to complement that data, the assessment must use data from other verifiable sources that have a direct bearing on drug-related crime in the developments proposed for assistance under this program. However, if other relevant information is to be used in place of **objective data**, the application must indicate the reasons why **objective data** could not be obtained and what efforts were made to obtain it and what efforts will be made during the grant period to begin obtaining the data. Examples of the data should include (but are not necessarily limited to):

(a) Surveys of residents and staff in the targeted developments surveyed on drug-related crime or on-site reviews to determine drug/crime activity; and government or scholarly studies or other research in the past year that analyze drug-related crime activity in the targeted developments.

(b) Vandalism cost at the targeted developments, to include elevator vandalism (where appropriate) and other vandalism attributable to drug-related crime.

(c) Information from schools, health service providers, residents and Federal, State, local, and Tribal officials, and the verifiable opinions and observations of individuals having direct knowledge of drug-related crime and the nature and frequency of these problems in developments proposed for assistance. (These individuals may include Federal, State, Tribal, and local government law enforcement officials, resident or community leaders, school officials, community medical officials, substance abuse, treatment (dependency/remission) or counseling professionals, or other social service providers.)

(d) The school dropout rate and level of absenteeism for youth that the applicant can relate to drug-related crime. If crime or other statistics are not available at the development or precinct level the applicant must use other verifiable, reliable and objective data.

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

### **Rating Factor 3: Soundness of Approach - (Quality of the Plan) (35 Points)**

This factor addresses the quality and effectiveness of the applicant's proposed work plan. In rating this factor, HUD will consider the impact of the activity; if there are tangible benefits that can be attained by the community and by the target population.

An application must include a detailed narrative describing each proposed activity for crime reduction and elimination efforts for each development proposed for assistance, the amount and extent of resources committed to each activity or service proposed, and process used to collect, maintain, analyze and report Part I and II crimes as defined by the Uniform Crime Reporting (UCR System), as well as police workload data. The process must include the collection of police workload data such as, but not limited to, all calls for service at the housing authority by individual development, pattern over a period of time, type of crime, and plans to improve data collection and reporting.

In evaluating this factor, HUD will consider the following:

(1) The quality of the applicant's plan to address the drug- related crime problem, and the problems associated with drug-related crime in the developments proposed for funding, the resources allocated, and how well the proposed activities fit with the plan.

(2) The anticipated effectiveness of the plan and proposed activities in reducing or eliminating drug-related crime problems immediately and over an extended period, including whether the proposed activities enhance and are coordinated with on going or proposed programs sponsored by HUD such as Neighborhood Networks, Campus of Learners, Computerized Community Connections, Operation Safe Home, "One Strike and You're Out," Department of

Justice Weed and Seed Efforts, or any other prevention intervention treatment activities.

(3) The rationale for the proposed activities and methods used including evidence that proposed activities have been effective in similar circumstances in controlling drug-related crime. Applicants that are proposing new methods for which there is limited knowledge of the effectiveness, should provide the basis for modifying past practices and rationale for why they believe the modification will yield more effective results.

(4) The process it will use to collect, maintain, analyze and report Part I and II crimes as defined by the Uniform Crime Reporting (UCR System), as well as police workload data. The applicant's proposed analysis of the data collected should include a method for assessing the impact of activities on the collected crime statistics on an on-going basis during the award period.

(5) Specific steps the applicant will take to share and coordinate information on solutions and outcomes with other law-enforcement and governmental agencies, and a description of any written agreements in place or that will be put in place.

(6) The extent to which the applicant's elimination of crime in a development or neighborhood will expand fair housing choice and will affirmatively further fair housing.

#### **Rating Factor 4 -- Leveraging Resources (10 Points)**

In assessing this factor, HUD will consider the following:

(1) The extent to which the owner is participating in programs that are available from local governments or law enforcement agencies

(2) The level of participation and support by the local government or law enforcement agency for the applicant's proposed activities. This may include letters of support to the owner, documentation that the owner participates in town hall type meetings to develop strategies to combat crime, or any other form of partnership with local government or law enforcement agencies.

(3) The level of assistance received from local government and/or law enforcement agencies.

(4) The extent to which an applicant has sought the support of residents in planning and implementing the proposed activities.

- Evidence that comments and suggestions have been sought from residents to the proposed plan for this program and the degree to which residents will be involved in implementation.
- Evidence of resident support for the proposed plan.

#### **Rating Factor 5 -- Comprehensiveness and Coordination (10 Points)**

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

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

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

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

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

- (a) Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and
- (b) Other Federal, State, or locally funded activities, including those proposed or on-going in the community.

#### **IV. Application Submission Requirements.**

An applicant is allowed to submit only one application for funding under this program. A separate application

must be submitted for each project. If the grant is to serve connecting or adjacent properties, an applicant may submit one application that will serve all properties. In such a case, the applicant must describe in detail in its application how the grant will serve the properties. Only one project would receive the funding even though the grant would be serving several properties. The application includes the forms, certifications and assurances listed in the **General Section** of the SuperNOFA.

**V. Corrections to Deficient Applications.**

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

**VI. Environmental Requirements.**

It is anticipated that activities under this program are categorically excluded under 24 CFR 50.19(b)(4), (b)(12), or (b)(13). If grant funds will be used to cover the cost of any non-exempt activities, HUD will perform an environmental review to the extent required by 24 CFR part 50, prior to grant award.

## FUNDING AVAILABILITY FOR PUBLIC AND INDIAN HOUSING DRUG ELIMINATION TECHNICAL ASSISTANCE PROGRAM

**PROGRAM DESCRIPTION:** Approximately \$2 million is available for funding short-term, technical assistance services for the Public and Indian Housing Drug Elimination Technical Assistance (PHDE-TA) Program. The purpose of this program is to provide short-term (90 days for completion) technical assistance consultant services to assist public housing agencies (PHAs), Tribes and Tribally Designated Housing Entities (TDHEs), resident management corporations (RMCs), incorporated resident councils (RCs) and resident organizations (ROs) in responding immediately to drug and drug-related crime in public and Tribal housing communities.

**APPLICATION DUE DATE:** One original application must be received at the Office of Community Safety and Conservation (OCSC), Room 4112 at the HUD Headquarters Building at 451 Seventh Street, SW, Washington DC, 20410, **no later than 12:00 midnight on [Insert date that is 75 days after Federal Register publication]**. See the **General Section** of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

A copy of the application must be submitted to the appropriate HUD Field Office HUB with delegated housing responsibilities over an applying housing entity, or from the AONAPs with jurisdiction over the Tribes and Tribally Designated Housing Entities.

Applicants will also be required to submit with their applications to OCSC, a Confirmation Form documenting that the appropriate HUD Field Office received the TA application (this form is a threshold requirement).

PHDE-TA applications will be reviewed on a continuing basis until **[Insert date 75 days after date of publication in the Federal Register]**, or until funds available under this program are expended. Due to the reduced availability of funds in FY 1998, HUD encourages early submission of applications. There is no application deadline for consultants or for HUD-initiated Public Housing Drug Elimination Technical Assistance (PHDE-TA).

**ADDRESS FOR SUBMITTING APPLICATIONS:** Office of Community Safety and Conservation, Department of Housing and Urban Development, Room 4112, 451 Seventh Street, SW, Washington DC, 20410.

### **FOR APPLICATION KITS, FURTHER INFORMATION, AND TECHNICAL ASSISTANCE:**

**For Application Kits.** For an application kit and any supplemental information, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-843-2209. An application kit also will be available on the Internet through the HUD web site at <http://www.hud.gov>. When requesting an application kit, please refer to the **Public Housing Drug Elimination Technical Assistance Program**, and provide your name, address (including zip code) and telephone number (including area code).

**For Further Information and Technical Assistance.** For answers to your questions or for technical assistance, please call the local HUD Field Office HUB with delegated housing responsibilities over an applying housing entity, or the AONAPs with jurisdiction over the Tribes and Tribally Designated Housing Entities. The list of local HUD Field Office with jurisdiction over the applicant is provided in the application kit.

### **ADDITIONAL INFORMATION:**

#### **I. Authority; Purpose; Amount Allocated; Eligibility**

(A) **Authority.** The FY 1998 HUD Appropriations Act under the heading, "Drug Elimination Grants for Low-Income Housing (Including Transfer of Funds)."

(B) **Purpose.** The funds for the Drug Elimination Technical Assistance (TA) Program are strictly used to hire HUD-registered consultants, whose fields of expertise address the strategies requested to eliminate drugs and drug-related crimes in public housing authorities (PHAs), Tribes, and tribally-designated housing entities (TDHEs), resident management corporations (RMCs), resident councils (RCs) or resident organizations (ROs) nationwide.

(C) **Amount Allocated.** For FY 1998, up to \$2 million in funding is available for Public Housing Drug Elimination Technical Assistance.

(D) **Eligible Applicants.** Public housing agencies (PHAs), Tribes and Tribally Designated Housing Entities (TDHEs),

incorporated resident councils (RCs), resident organizations (ROs) in the case of Tribes and TDHEs, and resident management corporations (RMCs) are eligible to receive short-term technical assistance services under this PHDE-TA Program section of the SuperNOFA. More specific eligibility requirements follow:

(1) An eligible RC or RO must be an incorporated nonprofit organization or association that meets all seven of the following requirements:

(a) It must be representative of the residents it purports to represent.

(b) It may represent residents in more than one development or in all of the developments of a PHA or Tribe or TDHE, but it must fairly represent residents from each development that it represents.

(c) It must adopt written procedures providing for the election of specific officers on a regular basis (but at least once every 3 years).

(d) It must have a democratically elected governing board. The voting membership of the board must consist of residents of the development or developments that the resident organization or resident council represents.

(e) It must be supported in its application by a public housing authority or a Tribe or TDHE.

(f) It must provide evidence of incorporation.

(g) It must provide evidence of adopted written procedures for electing officers.

(2) An eligible RMC must be an entity that proposes to enter into, or that enters into, a management contract with a PHA under 24 CFR part 964, or a management contract with a Tribe or TDHE. An RMC must have all seven of the following characteristics:

(a) It must be a nonprofit organization incorporated under the laws of the State or Indian tribe where it is located.

(b) It may be established by more than one resident organization or resident council, so long as each approves the establishment of the corporation; and has representation on the Board of Directors of the corporation.

(c) It must have an elected Board of Directors.

(d) Its by-laws must require the Board of Directors to include representatives of each resident organization or resident council involved in establishing the corporation.

(e) Its voting members must be residents of the development or developments it manages.

(f) It must be approved by the resident council. If there is no council, a majority of the households of the development must approve the establishment of such an organization to determine the feasibility of establishing a corporation to manage the development.

(g) It may serve as both the resident management corporation and the resident council, so long as the corporation meets the requirements of 24 CFR part 964 for a resident council. (In the case of a resident management corporation for a Tribe or TDHE, it may serve as both the RMC and the RO, so long as the corporation meets the requirements of this PHDE-TA Program section of the SuperNOFA for a resident organization.)

(3) Applicants can only submit one application per award period. Applicants are eligible to apply to receive technical assistance if they are already receiving technical assistance under this program, as long as the request creates no scheduling conflict with other PHDE-TA requests. For HUD-initiated TA, the recipient may receive more than one type of technical assistance concurrently unless HUD, in consultation with the recipient, determines that it may negatively affect the quality of the PHDE-TA.

(4) Applicants are eligible to apply to receive technical assistance whether or not they are already receiving drug elimination funds under the Public and Indian Housing Drug Elimination Program.

(5) The applicant must have substantially complied with the laws, regulations, and Executive Orders applicable to the Drug Elimination TA Program, including applicable civil rights laws.

(E) Eligible Consultants.

(1) HUD is seeking individuals or entities who have experience working with public or Tribal housing or other low-income populations to provide short-term technical assistance under this PHDE-TA Program section of the SuperNOFA. Consultants who have previously been deemed eligible and are part of the TA Consultant Database need not reapply, but are encouraged to update their file with more recent experience and rate justification. To

qualify as eligible consultants, individuals or entities should have experience in one or more of the following general areas:

(a) PHA/Tribe or TDHE-related experience with: agency organization and management; facility operations; program development; and experience working with residents and community organizations.

(b) Anti-crime- and anti-drug-related experience with: prevention/intervention programs; and enforcement strategies.

(c) Experience as an independent consultant, or as a consultant working with a firm with related experience and understanding of on-site work requirements, contractual, reporting and billing requirements.

(2) HUD is especially interested in encouraging TA consultant applications from persons who are qualified and have extensive experience planning, implementing, and/or evaluating the following professional areas:

(a) Lease, screening and grievance procedures;

(b) Defensible space, security and environmental design;

(c) Parenting, peer support groups and youth leadership;

(d) Career planning, job training, tutoring and entrepreneurship;

(e) Community policing, neighborhood watch and anti-gang work;

(f) Strengthening resident organizing, involvement, and relations with management; and

(g) "One Strike You're Out" programs.

(3) Additional requirements for consultants include the following:

(a) In addition to the conflict of interest requirements in 24 CFR part 85, no person who is an employee, agent, officer, or appointed official of the applicant may be funded as a consultant to the applicant by this Drug Elimination Technical Assistance Program.

(b) Consultants who wish to provide drug elimination technical assistance services through this program shall not have had any involvement in the preparation or submission of any PHDE-TA proposal. Any involvement of the consultant is considered a conflict of interest, making the consultant ineligible for providing consulting services to the applicant and will disqualify the consultant from future consideration. This prohibition shall also be invoked for preparing and distributing prepared generic or sample applications, when HUD determines that any application submitted by a PHA, Tribe or TDHE, RC, RO or RMC duplicates a sufficient amount of any prepared sample to raise issues of possible conflict of interest.

(4) HUD-registered consultants are eligible to receive funds to be reimbursed for up to \$15,000 for conducting the short-term technical assistance, but long-term results are expected from each job. After the work is completed, evaluations are submitted from the housing authorities on the consultants' work performance. The evaluations are carefully reviewed to make sure the housing authorities are satisfied with the services provided through HUD. Afterwards, the consultants are reimbursed by HUD, which completes the PHDE-TA. In extreme cases of technical assistance needs, staff members of HUD headquarters and field offices may recommend specialized technical assistance for which HUD-registered consultants can receive up to \$25,000 in funds. HUD encourages housing authorities/agencies and eligible resident organizations with or without a drug elimination grant in their communities to use this resource.

(F) Ineligible Consultants. Consultants and/or companies currently debarred or suspended by HUD are not eligible to perform services under this program.

(G) Eligible Activities.

(1) Funding is limited to technical assistance for carrying out activities authorized under Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901 et. seq.), as amended by section 581 of the National Affordable Housing Act of 1990 (Pub.L. 101-625, approved November 28, 1990) (NAHA), and section 161 of the Housing and Community Development Act of 1992 (Pub. L. 102-550, approved October 28, 1992) (HCDA 1992).

(2) The PHDE-TA program is intended to provide short-term, immediate assistance to PHAs, Tribes and TDHEs, RMCs, RCs, and ROs in developing and/or implementing their strategies to eliminate drugs and drug-related

crime. Short-term technical assistance means that consultants shall only be reimbursed for a maximum of 30 days of work, which must be completed in less than 90 days from the date of the approved statement of work. The program will fund the use of consultants who can provide the necessary consultation and/or training for the types of activities outlined below. HUD will fund the use of consultants to assist the applicant undertaking tasks including preparing a proposed strategic or long range plan for reducing drugs and drug-related crime, or conducting a needs assessment or comprehensive crime survey. The PHDE-TA program also funds efforts in:

(a) Assessing, quantifying and establishing performance measurement systems (including gathering baseline statistics) relating to drug and drug-related crime problems in public or Tribal housing development(s) and surrounding community(ies);

(b) Designing and identifying appropriate anti-crime and anti-drug-related practices and programs in the following areas:

(i) Law enforcement strategies, including negotiating with the local police, working with Federal law enforcement, Operation Safe Home, Weed and Seed, and other Federal anti-crime efforts;

(ii) Crime data collection for establishing baseline performance measurements;

(iii) Youth leadership development; youth anti-gang, anti-violence, anti-drug initiatives; youth peer mediation and conflict resolution to deal directly with anger/violence to prevent future violent episodes;

(iv) Resident Patrols;

(v) Security and physical design.

(c) Training for housing authority staff and residents in anti-crime and anti-drug prevention practices and programs;

(d) Evaluating current anti-crime and anti-drug-related crime programs.

(3) The following are activities which are eligible for **HUD-Initiated Technical Assistance** under the Public and Indian Housing Drug Elimination Technical Assistance Program. Eligible parties may receive technical assistance initiated and approved by HUD in circumstances determined by HUD to require immediate attention because of severe drug and crime issues and the presence of one of the following circumstances:

(a) HAs that were unsuccessful in gaining Drug Elimination Program Grants;

(b) Applicants having demonstrated an inability to explain the nature and extent of local drug or crime activities;

(c) Applicants with a demonstrated inability to identify or develop potential solutions to their local drug or crime problem;

(d) Applicants unable to develop local anti-drug, anti-crime partnerships;

(e) Applicants lacking the capability to carry out a plan due to a lack of anti-drug, anti-crime-related training;

(f) Applicants with an inability to effectively make progress to address pervasive drug-related violence;

(g) Applicants where there is an inability between tenants, and/or between tenants and management to effectively communicate about drug- and crime-related issues;

(h) Applicants that need an evaluation performed on their "One Strike You're Out" program; and

(i) Applicants lacking the capability to perform a program evaluation of current anti-drug, anti-crime activities.

(H) Ineligible Activities. Funding is not permitted for:

(1) Any type of monetary compensation for residents.

(2) Any activity that is funded under any other HUD program, including TA and training for the incorporation of resident councils or RMCs, and other management activities.

(3) Salary or fees to the staff of the applicant, or former staff of the applicant within a year of his or her leaving the housing authority or resident organization.

(4) Underwriting conferences.

(5) Conference speakers.

(6) Program implementation, proposal writing, the financial support of existing programs, or efforts requiring



more than 30 billable days of technical assistance over a 90 day period; the purchase of hardware or equipment, or any activities deemed ineligible in the Drug Elimination Program, excluding consultant's fees.

## **II. Program Requirements.**

(A) Individual Award Amounts. Applications received from HAs and qualified RCs, ROs, and RMCs; and Tribes and their Tribally Designated Housing Entities (TDHEs) are eligible for a maximum amount of Technical Assistance (TA) no greater than \$15,000. HUD-initiated TA is eligible for a maximum of \$25,000 where HUD determines the circumstances require levels of assistance greater than \$15,000, such as more than 30 billable days are required over a 90-day period for the technical assistance, as one example.

(1) Applications for short-term technical assistance may be funded up to \$15,000, with HUD providing payment directly to the authorized consultant for the consultant's fee, travel, room and board, and other approved costs at the approved government rate.

(2) For technical assistance initiated by HUD, the TA may be for any amount up to \$25,000 when HUD staff determine that more than 30 billable days of technical assistance over a 90-day period is justified.

(B) Receipt of More than One Application. If HUD receives more than one application from a HA, or group of RCs, ROs, or RMCs in proximity to one another, HUD may exercise discretion to consider any two or more applications as one, recommending one or more consultants and executing contracts for any combination of applications.

(C) Forms, Certifications and Assurances. In addition to the forms, certifications and assurances listed in Section IV of the **General Section** of the SuperNOFA, the following, as directed by the application kit, must be complied with:

(1) Applications must be signed and certified by both the Executive Director or Tribal Council or authorized TDHE official and a resident leader, certifying the following:

(a) That a copy of the application was sent to the local HUD Field Office, Director of Public Housing Division, or Administrator, Office of Native American Programs; and

(b) That the application was reviewed by both the housing authority Executive Director or Tribal Council or authorized TDHE official, and a resident leader of the organization that is applying for the PHDE-TA and contains the following:

(i) A four page (or fewer) application letter responding to each of the threshold criteria listed below in Section III(C) of the PHDE-TA section of the SuperNOFA, or the completed application forms available in the application kit; and

(ii) A certification statement, or the form provided in the application kit, signed by the executive director of the housing authority and the authorized representative of the RMC or incorporated RC or RO, certifying that any technical assistance received will be used in compliance with all requirements in the SuperNOFA.

(D) Affirmatively Furthering Fair Housing. Section II(D) of the **General Section** does not apply to this technical assistance program.

## **III. Application Selection Process.**

(A) General. Applications will be reviewed on a continuing first-come, first-served basis, until funds under this PHDE-TA Program section of the SuperNOFA are no longer available or until the application deadline noted in this PHDE-TA Program section of the SuperNOFA. Applications for PHDE-TA will be reviewed as they are received. Applicants are encouraged to submit their applications as early as possible in the fiscal year to ensure that they avoid situations where applications are not eligible for funding. Consultant applications will be received throughout the year with no deadline. Eligible applications will be funded in the order in which negotiations for a statement of work are completed between the consultant and the PHDE-TA program administrator until all funds are expended.

(B) Threshold Criteria for Funding Consideration.

(1) The applicant must meet the requirements outlined in this PHDE-TA Program section of the SuperNOFA.

(2) The application must not request an ineligible activity.

(3) The application must answer the following questions:

(a) What is the nature of the drug-related crime problem in your community in terms of the extent of such

crime, the types of crime, and the types of drugs being used? This should include quantifiable or qualitative data on drug problems or criminal activity.

(b) What is the nature of the housing authority's working relationships with law enforcement agencies, particularly local agencies? How will PHDE-TA be used to improve those relationships?

(c) Are housing authority residents selling or using drugs, or committing the crimes?

(d) What about non-residents?

(e) What are the problem(s) you need technical assistance to address and how will you know that the technical assistance provided was successful in addressing the problem.

Applicants cannot request PHDE-TA by answering "to conduct a needs assessment or survey;" they must be able to answer the above questions, and discuss what prevents them from identifying, describing and/or measuring the problems.

(4) The application must answer the following questions:

(a) Describe what type of technical assistance you need and how you will know it has been successful?

(b) What specific output, outcome, results, or deliverables do you expect from the consultant?

(5) The application must describe the steps you and your organization are currently taking to measure, understand or address the drug-related crime problem in your development or housing authority.

(6) The application must describe how the proposed assistance will allow you to develop an anti-drug, anti-crime strategy; or describe how the proposed assistance fits into your current strategy.

(7) The application must describe and provide documentation evidencing commitment to providing continued support of anti-drug and anti-crime activities. This must include the community's recommendations in developing and implementing the grant application and in working cooperatively in ensuring success occurs. Applications must include a description of how the community was involved in developing the application and resolutions of support from law enforcement officials and community service providers. The application must include a memorandum of understanding or other written agreement between the parties involved (e.g., housing authority, applicant, law enforcement officials and community service providers).

(8) The application must include a form, "HUD Field Office/AONAP Confirmation Form."

(C) Application Awards.

(1) If the application is deemed eligible for funding and sufficient funds are available, the applicant will be contacted by HUD or its agent to confirm the work requirements.

(2) If HUD receives more than one application from a HA or TDHE; or group of RCs, ROs or RMCs in proximity to one another, HUD may exercise discretion to consider any two or more applications as one, assuming that the applications are received at the same time, or before approval by the Office of Finance and Accounting and the Office of Procurement and Contracts, executing the contract, and providing notification to the consultant to proceed to work. The TA Consultant Database is then searched for at least three consultants who have:

(a) A principal place of business or residence located within a reasonable distance from the applicant, as determined by HUD or its agent;

(b) The requisite knowledge and skills to assist the applicant in addressing its needs; and

(c) The most reasonable fees.

A list of the suggested consultants is forwarded to the applicant from the consultant data base which is updated annually. From this list, the applicant recommends a consultant to provide the requested technical assistance.

(3) The applicant must contact at least three TA consultants from the list provided. HUD may request confirmation from each recommended consultant. If HUD determines that any consultant was not contacted, HUD may consider the recommendation by the applicant void, and can choose a consultant independent of the applicant. After contacting each consultant, the applicant must send a written justification to HUD with a list of the consultants in order of preference, indicating any that are unacceptable, and stating the reasons for its preference. If the applicant finds that all referred consultants lack the requisite expertise, they must provide written documentation justifying this

decision. If after HUD review, it is determined that the justification provided is adequate, the applicant will be provided with a second list of potential consultants. If the applicant does not provide HUD the written justification of consultant choice within 30 calendar days, HUD reserves the right to cancel the Technical Assistance. There is no guarantee that the applicant's first preference will be approved. Consultants will only be approved for the PHDE-TA if the request is not in conflict with other requests for the consultant's services.

(4) HUD or its agent will work with the consultant and applicant to develop a "statement of work." The statement of work should include: a time line and estimated budget; a discussion of the kind of technical assistance and skills needed to address the problem, and how the technical assistance requested will address these needs; and a description of the current crime and drug elimination strategy, and how the requested technical assistance will assist that strategy. If the applicant does not currently have a strategy, there should be a statement of how the technical assistance will help them develop a crime and drug elimination strategy. When HUD has completed the authorization to begin work, the consultant is contacted to start work. The consultant must receive written authorization from HUD or its authorized agent before beginning to provide technical assistance under this PHDE-TA Program section of the SuperNOFA. The applicant and the relevant Field Office or Area Office of Office of Native American Programs will also be notified. Consultants will only be reimbursed for a maximum of 30 days of work, which must be completed in fewer than 90 days from the date of the approved statement of work. Work begun before the authorized date will be considered unauthorized work and may not be compensated by HUD.

(D) Application Process for Consultants.

(1) Individuals or entities interested in being listed in the PHDE-TA Consultant Database should prepare their applications and send them to the address specified in the application kit. Before they can be entered into the Consultant Database, consultants must submit an application that includes the following information:

(a) The Consultant Resource Inventory Questionnaire, including at least three written references, all related to the general areas listed in this PHDE-TA Program section of the SuperNOFA. One or two of the written references must relate to work for a public housing authority, Tribe or TDHE, RC, RO or RMC; (b) A resume;

(c) Evidence submitted by the consultant to HUD that documents the standard daily fee previously paid to the consultant for technical assistance services similar to those requested under this PHDE-TA Program section of the SuperNOFA.

(i) For consultants who can justify up to the equivalent of ES-IV, or \$462.00 per day, this evidence may include an accountant's statement, W-2 Wage Statements, or payment statements, and it should be supplemented with a signed statement or other evidence from the employer of days worked in the course of the particular project (for a payment statement) or the tax year (for a W-2 Statement).

(1) For consultants who can justify above the equivalent of ES-IV, or \$462.00 per day, there must be three forms of documentation of the daily rate:

(2) A previous invoice and payment statement showing the daily rate charged and paid, or the overall amount paid and the number of days for work of a similar nature to that offered in this PHDE-TA program;

(3) A certified accountant's statement outlining the daily rate with an explanation of how the rate was calculated by the accountant. This should include at a minimum the total number of jobs of a similar nature completed by the consultant in the past 12 months, an explanation of the specific jobs used to calculate the rate, and the daily rates for each of the jobs used to justify the rate; and

(3) A signed statement from the consultant that the certified daily rate was charged for work of a nature similar to that being provided for the Drug Elimination Technical Assistance Program. The accountant must be able to demonstrate independence from the consultant's business.

(2) No one individual may have active at one time any more than three contracts or purchase orders nor be involved with more than one company at a time that has active Technical Assistance contracts. If an individual is working as a member of a multi-person firm, the key individual for the specific contract must be listed on the contract as the key point of contact. The key point of contact must be on-site more hours than any other contracted staff billing

to the purchase order, and that individual may have no more than three purchase orders active at the same time.

(3) HUD will determine a specific fee to pay a consultant based upon the evidence submitted under this PHDE-TA Program section of this SuperNOFA.

(4) Consultants may not be requested by name in any application. HUD or its agent will recommend consultants considering at least three elements including previous experience, proximity and cost. Section I of this PHDE-TA section of this SuperNOFA explains this further.

(5) An employee of a housing agency (HA), Tribe, or TDHE may not serve as a consultant to his or her employer. A HA employee who serves as a consultant to other than their employer must be on annual leave to receive the consultant fee.

#### **IV. Application Submission Requirements.**

In addition to the program requirements listed in the **General Section** of this SuperNOFA, each TA application must conform to the requirements of the Public and Indian Housing Drug Elimination Technical Assistance Application Kit, both in format and content. A PHDE-TA application must include both the descriptive letter (or form provided in the application kit) and certification statement (or form provided in the application kit) to be eligible for funding.

#### **V. Corrections to Deficient Applications.**

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

#### **VI. Environmental Requirements.**

In accordance with 24 CFR 50.19(b)(9), the assistance provided under this program relates only to the provision of technical assistance and therefore is categorically excluded from the requirements of the National Environmental Policy Act and is not subject to environmental review under the related laws and authorities. This determination is based on the ineligibility of real property acquisition, construction, rehabilitation, conversion, leasing, or repair for HUD assistance under this program.

## **FUNDING AVAILABILITY FOR THE NEW APPROACH ANTI-DRUG PROGRAM (Formerly known as the Safe Neighborhood Grant Program)**

**PROGRAM DESCRIPTION:** Approximately \$20 million is available for funding for the New Approach Anti-Drug Program (formerly known as the Safe Neighborhood Grant Program). The purpose of these competitive grants under the New Approach Anti-Drug Program is to assist owners or managers of certain housing developments to: (1) augment security; (2) assist in the investigation and prosecution of drug-related criminal activity in and around the housing developments; and (3) provide for the development of capital improvements directly relating to the security of the developments.

**APPLICATION DUE DATE:** Applications must be physically received on or before **6:00 pm, local time [Insert date 75 days from date of publication in the FEDERAL REGISTER]** at the address shown below. See the **General Section** of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

**ADDRESS FOR SUBMITTING APPLICATIONS:** An original and two copies of the application must be physically received by the deadline at the local Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public or Assisted Housing, or, in the case of the Native American population, to the local HUD Administrator, Area Offices of Native American Programs (AONAPs), as appropriate.

### **FOR APPLICATION KITS, FURTHER INFORMATION, AND TECHNICAL ASSISTANCE:**

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

**For Further Information and Technical Assistance.** For program, policy, and other guidance, contact Henry Colonna, Department of Housing and Urban Development, Virginia State Office, 3600 West Broad Street, Richmond, VA 23230-4920, telephone (804) 278-4505, x 3027, or (804) 278-4501 (the TTY number).

### **ADDITIONAL INFORMATION:**

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

(A) Authority. The FY 1998 HUD Appropriations Act.

(B) Purpose of the New Approach Anti-Drug Program (Formerly the Safe Neighborhood Grant Program).

(1) The purpose of these competitive grants is to assist entities managing or operating Federally assisted multifamily housing developments, public and Indian housing developments (including those Indian housing units formerly defined as public housing under section 3 of the U.S. Housing Act of 1937 and now counted as current assisted stock under the Indian Housing Block Grant Program), or other multifamily-housing developments for low-income families supported by non-Federal governmental housing entities or similar housing developments supported by nonprofit private sources, to augment security (including personnel costs), assist in the investigation and/or prosecution of drug-related criminal activity in and around such developments, and provide for the development of capital improvements at such developments directly relating to the security of such developments. Housing authorities shall form partnerships as sub-grantees to be eligible for assistance.

(2) With these grants, HUD is taking a comprehensive neighborhood/community-based approach to crime. Crime fighting efforts are most effective when partnering takes place with law-enforcement agencies at various levels and with a full range of community stakeholders (such as public housing agencies (PHAs) and Tribally Designated Housing Entities (TDHEs)). Applicants who are owners/operators of eligible housing will be required to have as a subgrantee the unit of general local government (city or county - preferably with the local police department and the local district attorney or prosecutor's office) and other community stakeholders including the owners and residents of assisted housing developments in the benefitting neighborhoods to address crime in an entire neighborhood (a neighborhood may include more than one assisted housing development). Applicants shall also form partnerships

with the following entities, if applicable: community residents; neighborhood businesses; and non-profit providers of support services, including spiritually-based organizations and their affiliates.

(C) Amount Allocated.

(1) Available Funding. Twenty million dollars (\$20 million) is available for funding under the New Approach Anti-Drug Program, as provided in the FY 1998 Appropriations Act.

(2) Maximum Grant Award. The maximum grant award amount is limited to \$250,000 per application.

(3) Reduction of Requested Grant Amounts. HUD may award an amount less than requested if:

(a) HUD determines the amount requested for an eligible activity and/or any budget line item is unreasonable;

(b) Insufficient amounts remain under the allocation to fund the full amount requested by the applicant, and HUD determines that partial funding is a viable option;

(c) HUD determines that some elements of the proposed plan are suitable for funding and others are not; or

(d) HUD determines that a reduced grant would prevent duplicative Federal funding.

(4) Distribution of Funds. HUD is allocating funds to the highest scoring applications that have met all program threshold requirements and have been ranked by HUD or its agent.

(5) Grant Reductions After Award. HUD may rescind and/or recapture grant funds based on the failure of the grantees or the grantee's partners to perform in accordance with the Grant Agreement, including the project application that will be incorporated in the Grant Agreement by reference. In addition, grant funds not expended for eligible purposes and in accordance with OMB cost principles by the end of the grant term will be recaptured by HUD.

(D) Eligible Applicants.

(1) General. Grants may be made to a lead applicant that must be an owner/operator of one or more housing developments that have received some form of financial support from a unit of government or from a private non-profit entity. Unless the lead applicant is a unit of general local government which operates the assisted project, the lead applicant must own an assisted housing development in the neighborhood to be assisted. Housing authorities shall form partnerships as sub-grantees to be eligible for assistance. Indian tribes or Tribally Designated Housing Entities may apply for assistance if they have eligible project areas and eligible assisted housing (see Section I(H) of this New Approach Anti-Drug Program section of the SuperNOFA). New Approach Anti-Drug Program grants may be awarded to entities that manage or operate Federally assisted multifamily housing.

(2) Lead Applicant.

(a) The lead applicant, which if the application is selected for funding will be the grantee, must be an owner/operator of one or more housing developments that has received some form of financial support from a unit of government or from a private nonprofit entity. Housing Authorities shall form partnerships as sub-grantees to be eligible for assistance. Such support must be designated and assigned by the funding source specifically for the housing rather than for any specific resident household which may, however, benefit from the support in the form of reduced rent. The housing support may be provided on a one-time or periodic basis to pay for or waive: project development costs; costs of financing; operating costs (which include but are not limited to utilities, taxes, fees, and debt service payments); (iv) owner taxes; (v) unit rent levels; or (vi) tenant rent payments.

(b) Unless the lead applicant is a unit of general local government which owns the assisted project, the lead applicant must also own an assisted housing development (as defined in Section I(H) of this New Approach Anti-Drug Program section of the SuperNOFA) in the neighborhood to be assisted. The lead applicant may not have any outstanding findings of civil rights violations.

(c) Housing authorities may not be the lead applicant; housing authorities must form partnerships as sub-grantees to be eligible for assistance.

(3) Subgrantees and Partnerships.

(a) Memorandum of Understanding. The application must include a number of subgrantees. The chief executive officer or empowered designee of each subgrantee must enter into a Memorandum of Understanding

(MOU) with the applicant. The MOU must describe the subgrantee's commitment to serve as a subgrantee, and must specify the expertise and/or resources that the subgrantee will contribute towards the success of the grant activity. The MOU must be included as part of the application.

(b) Required Subgrantees. The following entities must be included as subgrantees in the application:

(i) The unit(s) of general local government with primary law enforcement and community development jurisdiction over the project. The MOU of this entity must commit the local police department, prosecutor's office, and community development office to actively support the grant project in partnership with the grantee. The MOU must also describe the level of current services being provided by these entities, and the level of services above this baseline which the entities are committed to providing in support of the grant.

(ii) The owners of assisted housing developments in the neighborhood that will benefit from grant funding. HUD is inclined to reward applications in neighborhoods which have demonstrated that more than one assisted housing development will benefit, and where owners have agreed to participate in the grant activities.

(iii) Residents of each assisted low income project in the neighborhood that will benefit from grant funding. The residents' commitment must include the extent to which they are involved in the planning, and will be participating in and support the Action Plan. This commitment must be signed either by individuals from a majority of project resident households, or by one or more organized resident groups that, combined, have been endorsed by a majority of project resident households or recognized by a governmental entity as representing a majority of project residents.

(c) Encouraged Partnerships. In addition to the required subgrantees specified above, applicants are encouraged to partner with other appropriate neighborhood and community stakeholders, including: Neighborhood businesses and business associations; Nonprofit service providers; Neighborhood resident associations; and faith communities or religious institutions.

(E) Eligible Activities. The following is a listing of eligible activities under this program and guidance as to their parameters (the term TDHEs includes those IHAs applying for FY 1997) funding:

(1) Augmenting Security (Including Personnel).

(a) General. Subject to a Cost Reimbursement Agreement, the grantee may reimburse local law enforcement entities for the costs of additional police presence (police salaries and other expenses directly related to such presence or security) in and around assisted housing developments in the neighborhood over and above baseline services currently provided.

(b) Baseline Services. Additional/supplemental security services are permitted but must be over and above the local police department's current level of baseline services. An applicant seeking funding for augmenting security must describe the local police department's current level of baseline services to the neighborhood (including ordinary and routine services, patrols, police officer responses to 911 communications and other calls for services, and investigative follow-up of criminal activity). The description of baseline services must include the number of officers and the actual percent of their time assigned to the development(s) proposed for funding. The applicant must then demonstrate to what extent the proposed funded activity will represent an increase over and above this baseline.

(c) Police Presence. For any grant, at least 70 percent of such reimbursed costs must be for police presence in or immediately adjacent to the premises of assisted housing developments and the remainder of such reimbursed costs must be for police presence within the project area.

(d) Crime Fighting Strategy.

(i) In its criteria for awarding points in the funding competition, HUD is strongly encouraging that additional law enforcement in the assisted housing developments and surrounding neighborhoods be targeted to implementing an overall crime fighting strategy, rather than merely responding to crime emergencies. Two potentially effective anti-crime strategies that can benefit from additional police presence are:

(1) Combined multi-agency task force initiatives, in which local and Federal law enforcement agencies pool resources, first, to infiltrate organizations that promote violent and/or drug-related crime in the neighborhood and, second, to initiate strategic and coordinated mass arrests to break up these organizations; and

(2) Community policing (i.e., sustained proactive police presence in the development or neighborhood, often

conducted from an on site substation or mini-station, that involves crime prevention, citizen involvement, and other community service activities, as well as traditional law enforcement).

(ii) If reimbursement is provided for community policing activities that are committed to occur over a period of at least 3 years and/or are conducted from a police substation or administration within the neighborhood, the costs during the grant period of constructing such a station or of equipping the substation with communications and security equipment to improve the collection, analysis and use of information about criminal activities in the properties and the neighborhood may be reimbursed.

(iii) Federal law enforcement activities may not be funded by the New Approach Program Grant.

(2) Security Services Provided by Other Entities (such as the Owner of an Assisted Housing Development).

(a) General.

(i) Coordination. The activities of any contract security personnel funded under this grant must be coordinated with other law enforcement and crime prevention efforts under the plan approved by HUD. Efforts to achieve such coordination must be described in the plan. The coordination efforts must include frequent periodic scheduled meetings of security personnel with housing project management and residents, local police and, as appropriate, with other public law enforcement personnel, neighboring residents, landlords, and other neighborhood stakeholders.

(ii) Proven Ability to Address Crime Problems. HUD is inclined, as stated elsewhere in this New Approach Anti-Drug Program section of the SuperNOFA, to reward applicants that partner with entities that have a proven ability to address crime problems.

(b) Reimbursement of State and Local Law Enforcement Agencies.

(i) Subject to a Cost Reimbursement Agreement, the grantee may reimburse local or State prosecuting offices and related public agencies for the prosecution or investigation of crime committed in the neighborhood related to the Action Plan. Such reimbursement must be for costs over and above what the office or agency incurred for such purposes for crimes committed in the same geographic area during the period equal in length and immediately prior to the period of reimbursement.

(ii) For any grant, at least 70 percent of such reimbursed costs must be in connection with crimes committed in or immediately adjacent to the premises of Assisted Housing developments and the remainder of such reimbursed costs directly related to crime committed elsewhere in the neighborhood.

(c) Hiring of Private Investigator Services. Subject to appropriate justification, grantees and subgrantees are permitted to use grant funds to hire private investigator services to investigate crime in and around the premises of an assisted housing development and/or the surrounding neighborhood. Based on HUD's inclination to reward applicants that partner with entities that have a proven ability to address crime problems, HUD is strongly inclined to provide more points under the rating factors entitled "Quality of Plan" and "Strength of Partnerships" to applications that propose reimbursing municipal police departments or prosecutor offices than those reimbursing private operators, for investigative or prosecutorial services (See Section III of this New Approach Anti-Drug Program section of this SuperNOFA).

(3) Capital Improvements to Enhance Security. Grantees and subgrantees may use grant funds for capital improvements to enhance security. All such improvements must be accessible to persons with disabilities. For example, locks or buzzer systems that are not accessible to people with restricted or impaired strength, mobility, or hearing may not be funded by the grant. Defensible space improvements must comply with civil rights requirements and cannot exclude or segregate persons based upon their race, color, or national origin from benefits, services, and other terms and conditions of housing. Under the selection criterion entitled "Quality of Plan," HUD is generally inclined to reward capital improvements to enhance the security of an entire neighborhood as opposed to specific projects at the expense of other dwellings in the neighborhood. The capital improvements may include, but are not limited to:

(a) The new construction or rehabilitation of structures housing police substations or mini-stations;



(b) The installation of barriers, speed bumps, the installation of fences, barriers, and appropriate use of close circuit television (CCTV);

(c) Improved door or window security such as locks, bolts, or bars; and (d) The landscaping or other reconfiguration of common areas to discourage drug-related criminal activities.

(F) Eligible Project Areas.

(1) The project area must be a "neighborhood." For purposes of the New Approach Anti-Drug Program, the term "neighborhood" means:

(a) A geographic area within a jurisdiction of a unit of general local government (but not the entire jurisdiction unless the population is less than 25,000) designated in comprehensive plans, ordinances, or other local documents as a neighborhood, village, or similar geographical designation; or

(b) The entire jurisdiction of a unit of general local government with a population of less than 25,000 persons.

(2) The project area must include at least one assisted low-income housing project under:

(a) Section 221(d)(3), section 221(d)(4), or section 236 of the National Housing Act (12 U.S.C. 1715], 1715z-1), provided that such project has been provided a Below Market Interest Rate mortgage, interest reduction payments, or project-based assistance under Rent Supplement, Rental Assistance Payments (RAP) or Section 8 programs.

(b) Section 101 of the Housing and Urban Development Act of 1965 (12 U.S.C. 1701s);

(c) Section 8 of the United States Housing Act of 1937 (42 U.S.C. 1437f). This includes housing with project-based Section 8 assistance, whether or not the mortgage was insured by HUD-FHA, but does not include projects which receive only Section 8 tenant-based assistance (i.e., certificates or vouchers).

(3) HUD will award only one grant per project area.

(G) Ineligible Project Areas. FHA-insured projects which have no project-based subsidy but have tenants receiving housing vouchers or Section 8 tenant certificates are not considered Federally assisted housing and would not qualify an area for eligibility.

(H) Eligible Assisted Housing.

The following definitions apply to this program.

(1) Assisted Housing Development.

(a) For purposes of this program, the term "assisted housing development" means four or more adjoining, adjacent, or scattered site (within a single neighborhood) housing units, developed simultaneously or in stages, having common ownership and project identity, and receiving a project-based financial subsidy from a unit of government at the Federal, State, or local level, or from a private nonprofit entity.

(b) Such subsidy must be associated with a requirement and/or contractual agreement that all or a portion of the units be occupied by households with incomes at or below those of families at the low income limit defined by the U.S. Housing Act of 1937, or by households at or below an alternative limit that falls below this statutory low income limit, at rents which the public or nonprofit entity determines to be affordable.

(2) Assisted Housing Unit. For purposes of this program, the term "assisted housing unit" means a unit within an assisted housing development for which occupancy is restricted to households with incomes at or below that of "low income families" as defined by the U.S. Housing Act of 1937 or to households meeting an income standard below that defined as "low income;" and rents are restricted to amounts that the public or nonprofit entity determines to be affordable.

(3) Project Based Subsidies. For purposes of this program, the term "project based subsidies" is defined as financial assistance that is initially designated and assigned by the funding source specifically for the project rather than to eligible assisted resident households which might also benefit from these subsidies, and provided on a one time up-front or on a periodic basis to the project or its owner to write down, subsidize, or waive: project development costs; costs of financing; project operating costs (including but are not limited to: utilities, taxes, fees, maintenance and debt service payments); owner taxes; unit rent levels; or tenant rent payments.

(I) Ineligible Activities. New Approach Anti-Drug Program Grant funding is not permitted for any of the activities listed below, unless otherwise specified in this New Approach Anti-Drug Program section of this SuperNOFA.

(1) Crime prevention, treatment, or intervention activities are not permitted in this program.

(2) Costs incurred before the effective date of the grant agreement, including but not limited to consultant fees related to the development of an application or the actual writing of the application.

(3) Purchase of controlled substances for any purpose. Controlled substance shall have the meaning provided in section 102 of the Controlled Substance Act (21 U.S.C. 802).

(4) Compensating informants, including confidential informants. These should be part of the baseline services provided and budgeted by local law enforcement agencies.

(5) Although participation in activities with Federal drug interdiction or drug enforcement agencies is encouraged, these grant funds shall not be transferred to any Federal agency.

(J) Implementation Principles. HUD has established the following principles in its plan for implementing these New Approach Anti-Drug Program Grants:

(1) Drug- and crime-fighting activities, if only directed to a single assisted housing development, may have the unfortunate effect of simply moving the problem to nearby housing and businesses. With these grants, HUD is taking a comprehensive neighborhood/community-based approach to crime. Applicant owners/operators of eligible housing will be required to partner with the unit of general local government (city or county) and other stakeholders to address crime in an entire neighborhood (which may include more than one assisted housing development). (Units of local government that are owners/operators of eligible housing may also be designated grantees whether or not the neighborhood designated for assistance includes housing that they own.)

(2) Crime fighting efforts are most effective when partnerships are formed with law-enforcement agencies and with a full range of community stakeholders. Applicants will be required to demonstrate that they have formed a partnership with units of general local government, preferably with the local police department and the local district attorney or prosecutor's office playing key roles in this partnership. Applicants shall also form partnerships with the following entities, if applicable:

(a) Federal law enforcement agencies (such as the HUD Office of Inspector General (OIG), the U.S. Attorney's Office, the FBI, the Drug Enforcement Administration (DEA), and the U.S. Marshal's Office) and State and local law enforcement agencies;

(b) All owners of assisted housing developments in the targeted neighborhood; and

(c) Residents of these assisted housing developments and of the community.

(d) Neighborhood businesses; and

(e) Non-profit providers of support services, including spiritually-based organizations and their affiliates.

(3) Law enforcement strategies, however effective in the short run, need to be combined with efforts to address the underlying causes of crime and deter its reappearance. The long term solution to the crime problems of assisted housing developments and their surrounding neighborhoods rest in changing the conditions--and the culture that exists.

(4) Encouraging Partnerships.

(a) HUD encourages the use of effective working partnerships in new locations to leverage the many Federal resources that are available to eliminate crime in and around public and assisted housing developments through the Drug Elimination Grant, Operation Safe Home, and Weed and Seed programs. HUD now wishes to encourage these successful partnerships to address similar problems in and around privately-owned, Federally assisted housing. In addition to rewarding partnerships, HUD is requiring that at least one project in each targeted neighborhood be multifamily housing with either:

(i) A HUD-insured, held, or direct mortgage and Rental Assistance Payments (RAP), Rent Supplement, or interest reduction payments; or

(ii) Section 8 project-based assistance with or without HUD interest in the project mortgage.

(b) This emphasis on HUD assisted privately-owned housing does not negate the eligibility of other low-

income housing developments assisted by Federal, State, and local government, and not-for-profit sources to apply for the New Approach Anti-Drug Program. By awarding points for neighborhoods with high concentrations of assisted housing, HUD is encouraging applicants to address the needs of multiple assisted housing developments which may feature a mix of ownership types and subsidy sources.

(5) Complying with Civil Rights Requirements. With the very real need to protect occupants of HUD-sponsored housing and the areas around the housing, the civil rights of all citizens must be protected. Proposed strategies should be developed to ensure that crime-fighting and drug prevention activities are not undertaken in such a manner that civil rights or fair housing statutes are violated. Profiling on any prohibited bases may not be allowed. In addition, all segments of the population should be represented in developing and implementing these crime-fighting strategies.

(6) Coordination with Other Law Enforcement Efforts. In addition to working closely with residents and local governing bodies, it is critically important that owners establish ongoing working relationships with Federal, State, and local law enforcement agencies in their efforts to address crime and violence in and around their housing developments. HUD firmly believes that the war on crime and violence in assisted housing can only be won through the concerted and cooperative efforts of owners and law enforcement agencies working together in cooperation with residents and local governing bodies. As such, HUD encourages owners to participate in Departmental and other Federal law enforcement agencies' programs, as described below:

(7) Safe Neighborhood Action Program (SNAP).

(a) The Safe Neighborhood Action Program (SNAP) initiative, announced June 12, 1994 by HUD, the National Assisted Housing Management Association (NAHMA), and the U.S. Conference of Mayors (USCM), is an anti-crime and empowerment strategies initiative in HUD-assisted housing neighborhoods in 14 SNAP cities. The major thrust of SNAP is the formation of local partnerships in 14 targeted cities where ideas and resources from government, owners and managers of assisted housing, residents, service providers, law enforcement officials, and other community groups meet to work on innovative, neighborhood anti-crime strategies.

(b) There is no funding associated with SNAP, which relies on existing ideas and resources of the participants. Some common initiatives from these SNAP teams have included the following: community policing; crime watch programs; tenant selection policies; leadership training; individual development or job skills training; expansion of youth activities; police tip line or form; community centers; anti-gang initiatives; police training for security officers; environmental improvements; and a needs assessment survey to determine community needs.

(c) In addition, a HUD-sponsored initiative to increase the presence of AmeriCorps' VISTAs in assisted housing units has led to the placement of 25 VISTAs on 12 SNAP teams. The AmeriCorps VISTA program, which incorporates a theme of working within the community to find solutions to community needs, has provided additional technical assistance to the SNAP teams.

(d) The cities participating in the SNAP initiative include: Atlanta, Ga; Boston, Mass; Denver, Co; Houston, TX; Newark, NJ; Philadelphia, PA; Baltimore, MD; Columbus, OH; Detroit, MI; Los Angeles, CA; New Orleans, LA; Little Rock, AR; Richmond, VA; and Washington, DC.

(e) For more information on SNAP, contact Henry Colonna, National SNAP Coordinator, Virginia State Office, 3600 West Broad Street, Richmond, VA 23230-4920; telephone (804) 278-4505, extension 3027; or (804) 278-4501 (TTY). For more information on AmeriCorps' VISTAs in Assisted Housing, contact Deanna E. Beaudoin, National VISTAs in Assisted Housing Coordinator, Colorado State Office, First Interstate Tower North, 633 17th Street, Denver, CO 80202; telephone (303) 672-5291, extension 1068; or (303) 672-5248 (TTY). These numbers are not toll-free.

## **II. Program Requirements.**

The following requirements apply to all activities, programs, or functions used to plan, budget, implement, and evaluate the work funded under this program.

(A) Grant Agreement. After applications have been ranked and selected, HUD and the applicant shall enter into a grant agreement setting forth the amount of the grant, the physical improvements or other eligible activities to

be undertaken, financial controls, and special conditions, including sanctions for violation of the agreement. The Grant Agreement will incorporate the HUD approved applications, as may be amended by any special condition in the Grant Agreement. HUD will monitor grantees, utilizing the Grant Agreements to ensure that grantees have achieved commitments set out in their HUD approved grant application. Failure to honor such commitments would be the basis for HUD determining a default of the Grant Agreement, and exercising available sanctions, including grant suspension, termination, and/or the recapture of grant funds.

(B) Requirements Governing Grant Administration, Audits and Cost Principles. The policies, guidelines, and requirements of this New Approach Anti-Drug Program section of the SuperNOFA, 48 CFR part 31, 24 CFR parts 44, 45, 84 and/or 85, OMB Circulars A-87 and/or A-122, other applicable administrative, audit, and cost principles and requirements, and the terms of grant/special conditions and subgrant agreements apply to the acceptance and use of assistance by grantees. The requirements cited above, as applicable, must be followed in determining procedures and practices related to the separate accounting of grant funds from other grant sources, personnel compensation, travel, procurement, the timing of drawdowns, the reasonableness and allocability of costs, audits, reporting and closeout, budgeting, and preventing conflict of interests or duplicative charging of identical costs to two different funding sources. All costs must be reasonable and necessary.

(C) Term of Grant. Grant funds must be expended within 24 months after HUD executes a Grant Agreement. There will be no extensions or waivers of this grant term.

(D) Subgrants and Subcontracting.

(1) In accordance with an approved application, a grantee may directly undertake any of the eligible activities under this New Approach Anti-Drug Program section of the SuperNOFA, it may contract with a qualified third party, or it may make a subgrant to any entity approved by HUD as a member of the partnership, provided such party is a unit of government, is incorporated as a not-for-profit organization, or is an incorporated for-profit entity that owns and/or manages an assisted housing project benefiting from the grant. Resident groups that are not incorporated may share with the grantee in the implementation of the program, but may not receive funds as subgrantees. For-profit organizations other than owners or managers of an Assisted Housing project benefiting from the grant that have been approved by HUD as part of the partnership may only receive grant funds subject to the applicable Federal procurement procedures (See 24 CFR parts 84 or 85).

(2) Subgrants may be made only under a written agreement executed between the grantee and the subgrantee. The agreement must include a program budget that is acceptable to the grantee, and that is otherwise consistent with the grant application budget. The agreement must require the subgrantee to permit the grantee to inspect the subgrantee's work and to follow applicable OMB and HUD administrative requirements, audit requirements, and cost principles, including those related to procurement, drawdown of funds for immediate use only, and accounting to the grantee for the use of grant funds and implementation of program activities. In addition, the agreement must describe the nature of the activities to be undertaken by the subgrantee, the scope of the subgrantee's authority, and the amount of any insurance to be obtained by the grantee and the subgrantee to protect their respective interests.

(3) The grantee shall be responsible for monitoring, and for providing technical assistance to, any subgrantee to ensure compliance with applicable HUD and OMB requirements. The grantee must also ensure that subgrantees have appropriate insurance liability coverage.

(E) Environmental Requirements. Prior to the award of grant funds under the program, HUD will perform an environmental review to the extent required under the provisions of 24 CFR part 50. Should the environmental review indicate adverse environmental impacts, the application may be downgraded or rejected.

(F) Ineligible Contractors. The provisions of 24 CFR part 24 relating to the employment, engagement of services, awarding of contracts or funding of any contractors or subcontractors during any period of debarment, suspension, or placement in ineligibility status apply to this grant.

(G) Employment preference. A grantee under this program shall give preference to the employment of residents of Assisted Housing projects in the neighborhood to be assisted by this grant, and shall comply with section 3 of the

Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and 24 CFR part 135, to carry out any of the eligible activities under this program, so long as residents provided such preferences have comparable qualifications and training as nonresident applicants.

(H) Drawdown of Grant Funds. All grantees will access the grant funds through HUD's Line of Credit Control System-Voice Response System in accordance with procedures for minimizing the time lapsing between drawdowns and use of funds for eligible purposes as described in 24 CFR parts 84 and/or 85, as applicable.

(I) Reports and Closeout. Each grantee receiving a grant shall submit to HUD a semiannual progress report in a format prescribed by HUD that indicates program expenditures and measures performance in achieving goals. At grant completion, the grantee shall participate in a closeout process as directed by HUD which shall include a final report in a format prescribed by HUD that reports final program expenditures and measures performance in achieving program goals. Closeout will culminate in a closeout agreement between HUD and the grantee and, when appropriate, in the return of grant funds which have not been expended in accordance with applicable requirements.

(J) Suspension or Termination of Funding. HUD may suspend or terminate funding if the grantee fails to undertake the approved program activities on a timely basis in accordance with the grant agreement, adhere to grant agreement requirements or special conditions, or submit timely and accurate reports.

(K) Affirmatively Furthering Fair Housing. The first two sentences of the requirement in Section II(D) of the **General Section** of the SuperNOFA do not apply to this program.

### III. Application Selection Process.

#### (A) Rating and Ranking.

(1) HUD will evaluate all eligible applications based on the factors for award identified in this Section III.

(2) After the applications have been scored, HUD will rank by Field Office on a national basis. Awards will be made in ranked order until all funds are expended.

HUD will select the highest ranking applications whose eligible activities can be fully funded. Where there is insufficient funds to fully fund all applicants by Field Office, HUD will award remaining funds, regardless of Field Office, to the next highest ranking applicant. HUD will continue the process until all funds allocated to it have been awarded or to the point where there are insufficient acceptable applications for which to award funds.

(3) In the event of a tie, HUD will select the applicant with the highest score in Factor 1. If Factor 1 is scored identically, the scores in Factors 2, 3 and 4 will be compared in that order, until one of the applications receives a higher score. If both applications still score the same then the application which requests the least funding will be selected in order to promote the more efficient use of resources. In the event of a tie and there is not sufficient funds to fully fund an applicant, HUD will offer remaining funds to the highest ranking applicant following the procedures above.

#### (B) Factors For Award To Evaluate and Rank Applications.

The maximum number of points for this program is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA. An application must receive a score of at least 70 points to be eligible for funding.

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

This factor addresses the extent to which the applicant has proper organizational resources necessary to successfully implement the proposed New Approach Anti-Drug Program activities in an effective, efficient, and timely manner. In rating this factor, HUD will consider the extent to which the application demonstrates the capabilities described below:

(1) **(7 Points)** The applicants' successful experience combined with its subgrantees' successful experience in utilizing similar strategies to alleviate crime. To receive maximum points under this section, the applicant must have worked in partnership with one or more of its subgrantees (or, under some circumstances, two or more of the subgrantees may have worked together in partnership) using a similar strategy that reduced crime in and/or around Assisted Housing developments. The applicant must demonstrate the reduction in the occurrence of crime as indicated in Selection Factor 3 of this component of the SuperNOFA. Examples of other Federal programs which

promote such partnerships are HUD's Operation Safe Home Program, Safe Neighborhood Action Program and, to some extent, the Drug Elimination Grant Program. In the absence of previous partnerships, the experience of the applicant will weigh more heavily than the experience of any single subgrantee in HUD's assignment of partial points under this subfactor.

(2) **(6 Points)** The strength of the applicants' partnership as it relates to eliminating the crime problem identified in Factor 2. Points in this area will be awarded based on the strength of resource commitments by subgrantees (both in terms of the amount of resources committed and the firmness of the commitments); evidence of the subgrantees' (including project tenants') pre-application role in the development of the plan and prospective role in program implementation; indications of the capacity of the Assisted Housing developments' ownership and management (based on available management reviews by governing public entities) to undertake their share of responsibilities in the partnership (including evidence of whether project management carefully screens applicants for units and takes appropriate steps to deal with tenants known to exhibit or suspected of exhibiting criminal behavior) and to cooperate with law enforcement actions by other partners on their project premises; the willingness of the unit of general local government (lead applicant) to use its prosecutor's office as its lead agency in implementing the grant; utilization of additional partners other than those required under the heading "Eligible Applicants" (for example, neighborhood business organizations); and the effectiveness of the partnership structure (synergistic arrangements of collective action will receive more points than a simple advisory committee of subgrantees).

(3) The applicants' administrative capacity to implement the grant. Points will be awarded based on the quality and amount of staff allocated to the grant activity by the grantee; the anticipated effectiveness of the grantee's systems for budgeting, procurement, drawdown, allocation, and accounting for grant funds and matching resources in accordance with OMB administrative requirements; and the lines of accountability for implementing the grant activity, coordinating the partnership, and assuring that the applicant's and subgrantees' commitments will be met. In assessing this factor, HUD will consider the following factors with the indicated total available points:

(a) **(4 Points)** The applicant must identify their participation in HUD grant programs within the preceding three years, and discuss the degree of the applicant's success in implementing and managing (program implementation, timely drawdown of funds, timely submission of required drawdown of funds, timely submission of required reports with satisfactory outcomes related to the plan and timetable, audit compliance and other HUD reviews) these grant programs.

(b) **(3 Points)** The local HUD Field Office shall evaluate the extent of the applicant's success or failure in implementing and managing an effective program under previous grants (prior three years). This evaluation will be based on, but not limited to, the relationship between the extent of the crime detailed in Factor 2 during the preceding years, and outcomes regarding reducing/eliminating drug-related crime described in the plans and achievements of proposed strategies regarding crime reduction goals outlined in HUD program performance outcome measurements relating to reducing drugs and crime activities, and HUD reviews, audits, and other monitoring methods.

#### **Rating Factor 2: Need/Extent of the Problem (25 Points)**

This factor addresses the extent to which there is a need for funding the proposed program activities to address a documented problem in the target area (i.e., the degree of the severity of the drug-related crime problem in the project proposed for funding). In responding to this factor, applicants will be evaluated on the extent to which a critical level of need for the proposed activities is explained and an indication of the urgency of meeting the need in the target area. Applicants must include a description of the extent and nature of drug-related crime "in or around" the housing units or developments proposed for funding.

Applicants will be evaluated on the following:

(1) **(15 points)** "Objective Crime Data" relevant to the target area. For objective crime data, an applicant can be awarded up to 15 points. Such data should consist of verifiable records and not anecdotal reports. Where appropriate, the statistics should be reported both in real numbers and as an annual percentage of the residents in each development (e.g., 20 arrests in a two-year period for distribution of heroin in a development with 100 residents reflects a 20% occurrence rate). Such data may include:

(a) Police records or other verifiable information from records on the types or sources of drug related crime in the targeted developments and surrounding area;

(b) The number of lease terminations or evictions for drug-related crime at the targeted developments; and

(c) The number of emergency room admissions for drug use or that result from drug-related crime. Such information may be obtained from police Departments and/or fire departments, emergency medical service agencies and hospitals. The number of police calls for service from housing authorities developments that include resident initiated calls, officer-initiated calls, domestic violence calls, drug distribution complaints, found drug paraphernalia, gang activity, graffiti that reflects drugs or gang-related activity, vandalism, drug arrests, and abandoned vehicles.

For PHAs, such data should include housing authority police records on the types and sources on drug related crime "in or around" developments as reflected in crime statistics or other supporting data from Federal, State, Tribal or local law enforcement agencies.

(2) **(10 Points)** Other Crime Data: Other supporting data on the extent of drug-related crime. For this section, an applicant can received up to 10 points. To the extent that objective data as described above may not be available, or to complement that data, the assessment must use data from other verifiable sources that have a direct bearing on drug-related crime in the developments proposed for assistance under this program. However, if other relevant information is to be used in place of **objective data**, the application must indicate the reasons why **objective data** could not be obtained and what efforts were made to obtain it and what efforts will be made during the grant period to begin obtaining the data. Examples of the data should include (but are not necessarily limited to):

(a) Surveys of residents and staff in the targeted developments surveyed on drug-related crime or on-site reviews to determine drug/crime activity; and government or scholarly studies or other research in the past year that analyze drug-related crime activity in the targeted developments.

(b) Vandalism cost at the targeted developments, to include elevator vandalism (where appropriate) and other vandalism attributable to drug-related crime.

(c) Information from schools, health service providers, residents and Federal, State, local, and Tribal officials, and the verifiable opinions and observations of individuals having direct knowledge of drug-related crime and the nature and frequency of these problems in developments proposed for assistance. (These individuals may include Federal, State, Tribal, and local government law enforcement officials, resident or community leaders, school officials, community medical officials, substance abuse, treatment (dependency/remission) or counseling professionals, or other social service providers.)

(d) The school dropout rate and level of absenteeism for youth that the applicant can relate to drug-related crime. If crime or other statistics are not available at the development or precinct level the applicant must use other verifiable, reliable and objective data.

(e) To the extent that the applicant's community's Consolidated Plan identifies the level of the problem and the urgency in meeting the need, references to the Consolidated Plan should be included in the response. The Department will review more favorably those applicants who used the Consolidated Plan to identify need, when applicable.

### **Rating Factor 3: Soundness of Approach (Quality of the Plan) (35 Points)**

This factor addresses the quality and effectiveness of the applicant's proposed work plan. In rating this factor, HUD will consider the impact of the activity; if there are tangible benefits that can be attained by the community and by the target population.

An application must include a detailed narrative describing each proposed activity for crime reduction and elimination efforts for each development proposed for assistance, the amount and extent of resources committed to each activity or service proposed, and process used to collect, maintain, analyze and report Part I and II crimes as defined by the Uniform Crime Reporting (UCR System), as well as police workload data. The process must include the collection of police workload data such as, but not limited to, all calls for service at the housing authority by individual development, pattern over a period of time, type of crime, and plans to improve data collection and

reporting.

In evaluating this factor, HUD will consider the following:

(1) **(15 Points)** The quality of the applicant's plan to address the drug-related crime problem, and the problems associated with drug-related crime in the developments proposed for funding, the resources allocated, and how well the proposed activities fit with the plan.

(2) **(10 Points for (2) and (3))** The anticipated effectiveness of the plan and proposed activities in reducing or eliminating drug-related crime problems immediately and over an extended period, including whether the proposed activities enhance and are coordinated with on going or proposed programs sponsored by HUD such as Neighborhood Networks, Campus of Learners, Computerized Community Connections, Operation Safe Home, "One Strike and You're Out," Department of Justice Weed and Seed Efforts, or any other prevention intervention treatment activities.

(3) The rationale for the proposed activities and methods used including evidence that proposed activities have been effective in similar circumstances in controlling drug-related crime. Applicants that are proposing new methods for which there is limited knowledge of the effectiveness, should provide the basis for modifying past practices and rationale for why they believe the modification will yield more effective results.

(4) **(10 Points for (4) and (5))** The process it will use to collect, maintain, analyze and report Part I and II crimes as defined by the Uniform Crime Reporting (UCR System), as well as police workload data. The applicant's proposed analysis of the data collected should include a method for assessing the impact of activities on the collected crime statistics on an on-going basis during the award period.

(5) Specific steps the applicant will take to share and coordinate information on solutions and outcomes with other law-enforcement and governmental agencies, and a description of any written agreements in place or that will be put in place.

(6) The extent to which the applicant's elimination of crime in a development or neighborhood will expand fair housing choice and will affirmatively further fair housing.

**Rating Factor 4: Leveraging Resources (Support of Residents, the Local Government and the Community in Planning and Implementing the Proposed Activities) (10 Points)**

This factor addresses the ability of the applicant to secure community and government resources, in-kind services from local governments, non-profit or for-profit entities, private organizations be combined with HUD's program resources to achieve program purposes. In assessing this factor, HUD will consider the following:

(1) Evidence of commitment of funding, staff, or in-kind resources, partnership agreements, and on-going or planned cooperative efforts with law enforcement agencies, memoranda of understanding, or agreements to participate. Such commitments must be signed by an official of the organization legally able to make commitments for the organization. This evidence of commitment must include organization name, resources, and responsibilities of each participant. This also includes interagency activities already undertaken, participation in local, state, Tribal or Federal anti-drug related crime efforts such as: education, training and employment provision components of Welfare Reform efforts, Operation Weed and Seed, Operation Safe Home, local law enforcement initiatives and/or successful coordination of its law enforcement, or other activities with local, state, Tribal or Federal law enforcement agencies.

In evaluating this factor, HUD will also consider the extent to which these initiatives are used to leverage resources for the housing authority community, and are part of the comprehensive plan and performance measures outlines in Rating Factor 3, Soundness of Approach - Quality of the Plan.

(2) An application must provide a description of the Neighborhood and the Assisted Housing Developments in the Neighborhood, and the extent to which the community organizations, and law enforcement agencies have had in planning the activities described in the application and what role they will have in carrying out such activities.

(3) The application must include a discussion of the extent to which community representatives and Tribal, local, State and Federal Government officials, including law enforcement agency officials were actively involved in the design and implementation of the applicant's plan and will continue to be involved in implementing such activities during and after the period of PHDEP funding.



(4) The application must demonstrate the extent to which the relevant governmental jurisdiction has met its local law enforcement obligations under the Cooperation Agreement with the applicant (as required by the grantees Annual Contributions Contract with HUD). The applicant must describe the current level of baseline local law enforcement services being provided to the housing authority/developments proposed for assistance.

**Rating Factor 5: Comprehensiveness and Coordination (10 points)**

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

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

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

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

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

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

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

**IV. Application Submission Requirements.**

Each New Approach Anti-Drug application must conform to the requirements of the applicable application kit, both in format and content. Each New Approach Anti-Drug application must provide the following items in addition to the submission requirements listed in Section III of the New Approach Anti-Drug Program section of the SuperNOFA and Section IV of the **General Section** of this NOFA:

(A) Application Cover Letter;

(B) Congressional Summary -- Summary of the proposed program activities in five (5) sentences or less:

(C) The neighborhood description must include a basic description (e.g., boundaries and size), population, number of housing units in the neighborhood, a map, a population profile (e.g., relevant census data on the socio-economic, ethnic and family makeup of neighborhood residents), and the basis on which the area meets the definition of "neighborhood" as described in this notice (i.e., describe and include a copy of the comprehensive plan, ordinance or other official local document which defines the area as a neighborhood, village, or similar geographical designation). If the entire jurisdiction is defined as a neighborhood by virtue of having a population at less than 25,000, indicate the jurisdiction's population under the 1990 census and describe/include more recent information which gives the best indication as to the current population.

(D) The description of the Assisted Housing development(s) in the neighborhood. This must include the name of the project; the name of the project owner; the nature, sources, and program titles of all project based subsidies or other assistance provided to the project by units of government or private nonprofit entities (any names of public or nonprofit programs other than programs sponsored by HUD should be accompanied by a description of the program and the name and business phone number of a contact person responsible for administering the program for the subsidy provider); the number of housing units in the project; and the number of housing units in the project that meet the definition of "assisted housing units" in this notice, and a description of the restrictions on rents and resident incomes that, in combination with the subsidy provided to the project, qualify the units as assisted/affordable in accordance with the definition in this New Approach Anti-Drug Program section of the SuperNOFA; and the number, geographic proximity (adjoining, adjacent, or scattered site, and if scattered site, the

distance between the two buildings which are furthest apart), and type (single family detached, townhouse, garden, elevator) of buildings in the project.

(E) Application for Federal Assistance form (Standard Form SF-424) signed by the chief executive officer of the lead applicant organization.

(F) A description of the subgrantees. The description must include the names of the subgrantees' relative roles and contributions of each subgrantee in implementing grant activities; structures for partnership coordination and joint decision making, e.g., form of partnership interaction (task force, advisory group or corporate entity), lines of accountability, degree of grant decision making power conferred by the applicant/grantee to its partners, frequency of meetings, etc.; the roles, if any, of subgrantees, especially project tenants) in designing the Action Plan; which subgrantees (if any) will be designated to receive and dispense grant funds for grant activities; and how the applicant (grantee) proposes to direct and monitor its partners to account for funds received or expended and to ensure that commitments are met; and a profile of each subgrantee including governmental or nonprofit status (copies of official up-to-date IRS verification of status must be provided for all nonprofit institutions), a detailed description of their experience and success in similar or related anti-crime initiatives, roles in and financial or in-kind contributions to the partnership, and the approximate value of any in-kind contributions.

(G) Accompanying the description must be letters from each subgrantee signed by their respective chief executive officers, describing their role if any in designing the application and, especially, the Action Plan; detailing the amounts and types of financial and other contributions to be made by the subgrantee firmly committing the subgrantee to such contributions; affirming the specific role(s) that the subgrantee will undertake in implementing Plan activities, including its agreement to act as subgrantee, and summarizing the subgrantee's experience in undertaking similar or related activities.

(H) With respect to subgrantees that are owners of Assisted Housing development(s), the application should include external assessment or evidence of the quality of the development's ownership or management (e.g., available management reviews by governing public entities) that relates to the capacity of the ownership and management to undertake their share of responsibilities in the partnership; and such related concerns as whether project management carefully screens applicants for units and takes appropriate steps to deal with tenants known to exhibit or suspected of exhibiting criminal behavior) and cooperates with law enforcement actions by other partners on their project premises.

(I) Overall budget and timetable that includes separate budgets, goals, milestones, and timetables for each activity and addresses milestones towards achieving the goals described above; and indicates the contributions and implementation responsibilities of each partner for each activity, goal, and milestone.

(J) Staffing. The number of staff years, the titles and professional qualifications, and respective roles of staff assigned full or part-time to grant implementation by the applicant/grantee.

(K) Coordination. The applicant/grantee's plan and lines of accountability (including an organization chart) for implementing the grant activity, coordinating the partnership, and assuring that the applicant's and subgrantees' commitments will be met. There must be a discussion of the various agencies of the unit of government that will participate in grant implementation (which must include the prosecutor's office and at least one, but preferably both, of the following: the police department and an agency dealing with community development), their respective roles (i.e., which has the lead), and their lines of communication.

#### **V. Corrections to Deficient Applications.**

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

## APPENDIX A TO SUPERNOFA

### HUD Field Office Contact Information

Not all Field Offices listed handle all of the programs contained in the SuperNOFAs. Applicants should look to the SuperNOFAs for contact numbers for information on specific programs. Office Hour listings are local time. Persons with hearing or speech impediments may access any of these numbers via TTY by calling the Federal Relay Service at 1-800-877-8339.

#### New England

Connecticut State Office  
One Corporate Center, 19<sup>th</sup> Floor  
Hartford, CT 06103-3220  
860-240-4800  
Office Hours: 8:00 - 4:30 PM

Maine State Office  
99 Franklin Street  
Third Floor, Suite 302  
Bangor, ME 04401-4925  
207-945-0467  
Office Hours: 8:00 AM - 4:30 PM

Massachusetts State Office  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 375  
Boston, MA 02222-1092  
617-565-5234  
Office Hours: 8:30 AM - 5:00 PM

New Hampshire State Office  
Norris Cotton Federal Building  
275 Chestnut Street  
Manchester, NH 03101-2487  
603-666-7681  
Office Hours: 8:00 AM - 4:30 PM

Rhode Island State Office  
Sixth Floor  
10 Weybosset Street  
6<sup>th</sup> floor  
Providence, RI 02903-2808  
401-528-5230  
Office Hours: 8:00 AM - 4:30 PM

Vermont State Office  
U.S. Federal Building, Room 237  
11 Elmwood Avenue  
P.O. Box 879  
Burlington, VT 05402-0879  
802-951-6290  
Office Hours: 8:00 AM - 4:30 PM

#### New York/New England

Albany Area Office  
52 Corporate Circle  
Albany, NY 12203-5121  
518-464-4200  
Office Hours: 7:30 AM - 4:00 PM

Buffalo Area Office  
Lafayette Court  
465 Main Street, Fifth Floor  
Buffalo, NY 14203-1780  
716-551-5755  
Office Hours: 8:00 AM - 4:30 PM

Camden Area Office  
Hudson Building  
800 Hudson Square, Second Floor  
Camden, NJ 08102-1156  
609-757-5081  
Office Hours: 8:00 AM - 4:30 PM

New Jersey State Office  
One Newark Center  
13<sup>th</sup> Floor  
Newark, NJ 07102-5260  
973-622-7900  
Office Hours: 8:00 AM - 4:30 PM

New York State Office  
26 Federal Plaza  
New York, NY 10278-0068  
212-264-6500  
Office Hours: 8:30 AM - 5:00 PM

**Mid Atlantic**

Delaware State Office  
824 Market Street, Suite 850  
Wilmington, DE 19801-3016  
302-573-6300  
Office Hours: 8:00 AM - 4:30 PM

District of Columbia Office  
820 First Street, N.E., Suite 450  
Washington, DC 20002-4205  
202-275-9200  
Office Hours: 8:30 AM - 4:30 PM

Maryland State Office  
City Crescent Building  
10 South Howard Street, Fifth Floor  
Baltimore, MD 21201-2505  
410-962-2520  
Office Hours: 8:30 AM - 4:30 PM

Pennsylvania State Office  
The Wanamaker Building  
100 Penn Square East  
Philadelphia, PA 19107-3380  
215-656-0600  
Office Hours: 8:30 AM - 4:30 PM

Pittsburgh Area Office  
339 Sixth Avenue, Sixth Floor  
Pittsburgh, PA 15222-2515  
412-644-6428  
Office Hours: 8:30 AM - 4:30 PM

Virginia State Office  
The 3600 Centre  
3600 West Broad Street  
Richmond, VA 23230-4920  
804-278-4539  
Office Hours: 8:30 AM - 4:30 PM

West Virginia State Office  
405 Capitol Street, Suite 708  
Charleston, WV 25301-1795  
304-347-7000  
Office Hours: 8:00 AM - 4:30 PM

**Southeast/Caribbean**

Alabama State Office  
Beacon Ridge Tower  
600 Beacon Parkway West, Suite 300  
Birmingham, AL 35209-3144  
205-290-7617  
Office Hours: 8:00 AM - 4:30 PM

Caribbean Office  
New San Juan Office Building  
159 Carlos E. Chardon Avenue  
San Juan, PR 00918-1804  
787-766-5201  
Office Hours: 8:00 AM - 4:30 PM

Florida State Office  
Gables One Tower  
1320 South Dixie Highway  
Coral Gables, FL 33146-2926  
305-662-4500  
Office Hours: 8:30 AM - 5 PM

Georgia State Office  
Richard B. Russell Federal Building  
75 Spring Street, S.W.  
Atlanta, GA 30303-3388  
404-331-5136  
Office Hours: 8:00 AM - 4:30 PM

Jacksonville Area Office  
Southern Bell Tower  
301 West Bay Street, Suite 2200  
Jacksonville, FL 32202-5121  
904-232-2627  
Office Hours: 8:00 AM - 4:30 PM

Kentucky State Office  
601 West Broadway  
P.O. Box 1044  
Louisville, KY 40201-1044  
502-582-5251  
Office Hours: 8:00 AM - 4:45 PM

Knoxville Area Office  
John J. Duncan Federal Building  
710 Locust Street, 3<sup>rd</sup> Floor  
Knoxville, TN 37902-2526  
423-545-4384  
Office Hours: 7:30 AM - 4:15 PM

Memphis Area Office  
One Memphis Place  
200 Jefferson Avenue, Suite 1200  
Memphis, TN 38103-2335  
901-544-3367  
Office Hours: 8:00 AM - 4:30 PM

Mississippi State Office  
Doctor A. H. McCoy Federal Building  
100 West Capital Street, Room 910  
Jackson, MS 39269-1096  
601-965-4738  
Office Hours: 8:00 AM - 4:45 PM

North Carolina State Office  
Koger Building  
2306 West Meadowview Road  
Greensboro, NC 27407-3707  
910-547-4000  
Office Hours: 8:00 AM - 4:45 PM

Orlando Area Office  
Langley Building  
3751 Maguire Blvd, Suite 270  
Orlando, FL 32803-3032  
407-648-6441  
Office Hours: 8:00 AM - 4:30 PM

South Carolina State Office  
Strom Thurmond Federal Building  
1835 Assembly Street  
Columbia, SC 29201-2480  
803-765-5592  
Office Hours: 8:00 AM - 4:45 PM

Tampa Area Office  
Timberlake Federal Building Annex  
501 East Polk Street, Suite 700  
Tampa, FL 33602-3945  
813-228-2501  
Office Hours: 8:00 AM - 4:30 PM

Tennessee State Office  
251 Cumberland Bend Drive, Suite 200  
Nashville, TN 37228-1803  
615-736-5213  
Office Hours: 8:00 AM - 4:30 PM

### **Midwest**

Cincinnati Area Office  
525 Vine Street, 7<sup>th</sup> Floor  
Cincinnati, OH 45202-3188  
513-684-3451  
Office Hours: 8:00 AM - 4:45 PM

Cleveland Area Office  
Renaissance Building  
1350 Euclid Avenue, Suite 500  
Cleveland, OH 44115-1815  
216-522-4065  
Office Hours: 8:00 AM - 4:40 PM

Flint Area Office  
The Federal Building  
605 North Saginaw, Suite 200  
Flint, MI 48502-2043  
810-766-5108  
Office Hours: 8:00 AM - 4:30 PM

Grand Rapids Area Office  
Trade Center Building  
50 Louis Street, NW, 3<sup>rd</sup> Floor  
Grand Rapids, MI 49503-2648  
616-456-2100  
Office Hours: 8:00 AM -4:30 PM

Illinois State Office  
Ralph H. Metcalfe Federal Building  
77 West Jackson Blvd  
Chicago, IL 60604-3507  
312-353-5680  
Office Hours: 8:15 AM - 4:45 PM

Indiana State Office  
151 North Delaware Street  
Indianapolis, IN 46204-2526  
317-226-6303  
Office Hours: 8:00 AM - 4:45 PM

Michigan State Office  
Patrick V. McNamara Federal Building  
477 Michigan Avenue  
Detroit, MI 48226-2592  
313-226-7900  
Office Hours: 8:00 AM -4:30 PM

Minnesota State Office  
220 Second St., South  
Minneapolis, MN 55401-2195  
612-370-3000  
Office Hours: 8:00 AM - 4:30 PM

Ohio State Office  
200 North High Street  
Columbus, OH 43215-2499  
614-469-5737  
Office Hours: 8:00 AM - 4:45 PM

Wisconsin State Office  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 1380  
Milwaukee, WI 53203-2289  
414-297-3214  
Office Hours: 8:00 AM - 4:30 PM

### Southwest

Arkansas State Office  
TCBY Tower  
425 West Capitol Avenue, Suite 900  
Little Rock, AR 72201-3488  
501-324-5931  
Office Hours: 8:00 AM - 4:30 PM

Dallas Area Office  
Maceo Smith Federal Building  
525 Griffin Street, Room 860  
Dallas, TX 75202-5007  
214-767-8359  
Office Hours: 8:00 AM - 4:30 PM

Houston Area Office  
Norfolk Tower  
2211 Norfolk, Suite 200  
Houston, TX 77098-4096  
713-313-2274  
Office Hours: 7:45 AM - 4:30 PM

Louisiana State Office  
Hale Boggs Federal Building  
501 Magazine Street, 9<sup>th</sup> Floor  
New Orleans, LA 70130-3099  
504-589-7201  
Office Hours: 8:00 AM - 4:30 PM

Lubbock Area Office  
George H. Mahon Federal Building and United States  
Courthouse  
1205 Texas Avenue  
Lubbock, TX 79401-4093  
806-472-7265  
Office Hours: 8:00 AM - 4:45 PM

New Mexico State Office  
625 Truman Street, N.E.  
Albuquerque, NM 87110-6472  
505-262-6463  
Office Hours: 7:45 AM - 4:30 PM

Oklahoma State Office  
500 West Main Street, Suite 400  
Oklahoma City, OK 73102  
405-553-7401  
Office Hours: 8:00 AM - 4:30 PM

San Antonio Area Office  
Washington Square  
800 Dolorosa Street  
San Antonio, TX 78207-4563  
210-472-6800  
Office Hours: 8:00 AM - 4:30 PM

Shreveport Area Office  
401 Edwards Street, Suite 1510  
Shreveport, LA 71101-3289  
318-676-3385  
Office Hours: 7:45 AM - 4:30 PM

Texas State Office  
1600 Throckmorton Street  
P.O. Box 2905  
Fort Worth, TX 76113-2905  
817-978-9000  
Office Hours: 8:00 AM - 4:30 PM

Tulsa Area Office  
50 East 15<sup>th</sup> Street  
Tulsa, OK 74119-4030  
918-581-7434  
Office Hours: 8:00 AM - 4:30 PM

### **Great Plains**

Iowa State Office  
Federal Building  
210 Walnut Street, Room 239  
Des Moines, IA 50309-2155  
515-284-4512  
Office Hours: 8:00 AM - 4:30 PM

Kansas/Missouri State Office  
Gateway Tower II  
400 State Avenue  
Kansas City, KS 66101-2406  
913-551-5462  
Office Hours: 8:00 AM - 4:30 PM

Nebraska State Office  
Executive Tower Centre  
10909 Mill Valley Road  
Omaha, NE 68154-3955  
402-492-3100  
Office Hours: 8:00 AM - 4:30 PM

St. Louis Area Office  
Robert A. Young Federal Building  
1222 Spruce Street, 3<sup>rd</sup> Floor  
St. Louis, MO 63103-2836  
314-539-6583  
Office Hours: 8:00 AM - 4:30 PM

### **Rocky Mountains**

Colorado State Office  
633 - 17<sup>th</sup> Street  
Denver, CO 80202-3607  
303-672-5440  
Office Hours: 8:00 AM - 4:30 PM

Montana State Office  
Federal Office Building  
301 South Park, Room 340  
Drawer 10095  
Helena, MT 59626-0095  
406-441-1298  
Office Hours: 8:00 AM - 4:30 PM

North Dakota State Office  
Federal Building  
P. O. Box 2483  
Fargo, ND 58108-2483  
701-239-5136  
Office Hours: 8:00 AM - 4:30 PM

South Dakota State Office  
2400 West 49<sup>th</sup> Street, Suite I-201  
Sioux Falls, SD 57105-6558  
605-330-4223  
Office Hours: 8:00 AM - 4:30 PM

Utah State Office  
257 Tower Building  
257 East - 200 South, Suite 550  
Salt Lake City, UT 84111-2048  
801-524-3323  
Office Hours: 8:00 AM - 4:30 PM

Wyoming State Office  
Federal Office Building  
100 East B Street, Room 4229  
Casper, WY 82601-1918  
307-261-6250  
Office Hours: 8:00 AM - 4:30 PM

### **Pacific/Hawaii**

Arizona State Office  
Two Arizona Center  
400 North 5<sup>th</sup> Street, Suite 1600  
Phoenix, AZ 85004  
602-379-4434  
Office Hours: 8:00 AM - 4:30 PM

California State Office  
Philip Burton Federal Building and U.S. Courthouse  
450 Golden Gate Avenue  
San Francisco, CA 94102-3448  
415-436-6550  
Office Hours: 8:15 AM - 4:45 PM

Fresno Area Office  
2135 Fresno Street, Suite 100  
Fresno, CA 93721-1718  
209-487-5033  
Office Hours: 8:00 AM - 4:30 PM

Hawaii State Office  
Seven Waterfront Plaza  
500 Ala Moana Boulevard, Suite 500  
Honolulu, HI 96813-4918  
808-522-8175

Office Hours: 8:00 AM - 4:00 PM

Los Angeles Area Office  
611 West 6<sup>th</sup> Street, Suite 800  
Los Angeles, CA 90017-3127  
213-894-8000  
Office Hours: 8:00 AM - 4:30 PM

Nevada State Office  
333 North Rancho Drive, Suite 700  
Las Vegas, NV 89106-3714  
702-388-6525  
Office Hours: 8:00 AM - 4:30 PM

Reno Area Office  
1575 Delucchi Lane, Suite 114  
Reno, NV 89502-6581  
702-784-5356  
Office Hours: 8:00 AM - 4:30 PM

Sacramento Area Office  
777 - 12<sup>th</sup> Street, Suite 200  
Sacramento, CA 95814-1997  
916-498-5220  
Office Hours: 8:00 AM - 4:30 PM

San Diego Area Office  
Mission City Corporate Center  
2365 Northside Drive, Suite 300  
San Diego, CA 92108-2712  
619-557-5310  
Office Hours: 8:00 AM - 4:30 PM

Santa Ana Area Office  
3 Hutton Centre Drive, Suite 500  
Santa Ana, CA 92707-5764  
714-957-3745  
Office Hours: 8:00 AM - 4:30 PM

Tucson Area Office  
Security Pacific Bank Plaza  
33 North Stone Avenue, Suite 700  
Tucson, AZ 85701-1467  
520-670-6237  
Office Hours: 8:00 AM - 4:30 P.M.



## **Northwest/Alaska**

Alaska State Office  
University Plaza Building  
949 East 36<sup>th</sup> Avenue, Suite 401  
Anchorage, AK 99508-4135  
907-271-4170  
Office Hours: 8:00 AM - 4:30 PM

Idaho State Office  
Plaza IV  
800 Park Boulevard, Suite 220  
Boise, ID 83712-7743  
208-334-1990  
Office Hours: 8:00 AM - 4:30 PM

Oregon State Office  
400 Southwest Sixth Avenue, Suite 700  
Portland, OR 97204-1632  
503-326-2561  
Office Hours: 8:00 AM - 4:30 PM

Spokane Area Office  
Farm Credit Bank Building  
Eighth Floor East  
West 601 First Avenue  
Spokane, WA 99204-0317  
509-353-2510  
Office Hours: 8:00 AM - 4:30 PM

Washington State Office  
Seattle Federal Office Building  
909 1<sup>st</sup> Avenue, Suite 200  
Seattle, WA 98104-1000  
206-220-5101  
Office Hours: 8:00 AM - 4:30 PM