

University and College Programs Application

COPC
HBCU



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



Community Outreach Partnership Centers Program OMB Approval
No. 2528-0180 (exp. 1/31/2000)

Historically Black Colleges and Universities OMB Approval
No. 2506--122 (exp. 11-30/2000)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the Community Outreach Partnership Centers Program (COPC) and the Historically Black Colleges and Universities Program (HBCU) are based on the rating factors for this program listed in the SuperNOFA for Housing and Community Development Programs, published on March 31, 1998.

Public reporting burden for collection of this information for the COPC program is estimated to average 80 hours and the reporting burden for collection of information for the HBCU program is estimated to average 44 hours per response. This includes 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 this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project to the Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments please refer to OMB Approval No. 2528-0180 for the COPC program, and OMB Approval No. 2506-0122 for the HBCU program.

Do not send this form to the above address.

The 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.

The information submitted in response to the notice of funding availability for the COPC program and HBCU program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

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 homes and jobs and supportive living environments for people of all income groups. The Community Outreach Partnership Center (COPC) and Historically Black Colleges and Universities (HBCUs) make strong communities attainable by helping colleges and universities apply their human, intellectual, and institutional resources to the challenge of revitalizing distressed communities

We know that COPC and HBCU 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 COPC or HBCU strategies, we urge

you to use the new SuperNOFA process as an opportunity to create truly holistic, coordinated strategies by combining your COPC or HBCU activities 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. 20410-7000

April 6, 1998

Dear Applicant:

We are pleased to announce the fiscal year (FY) 1998 funding round for HUD's two programs designed to assist colleges and universities expand their role with their local communities: the Community Outreach Partnership Centers Program (COPC) and the Historically Black Colleges and Universities Program (HBCU).

Starting in 1991 for HBCUs and 1994 for COPC, HUD has awarded grants to eligible colleges and universities to help address local housing, economic development, and neighborhood revitalization needs. We have encouraged these institutions to get involved in HUD initiatives such as Neighborhood Networks, Campus of Learners, and Local Homeownership Partnerships. Colleges and universities have answered our call and have become key partners with HUD in revitalizing America's communities. They have greatly assisted HUD in carrying out Secretary Cuomo's objective of "empowering people and communities to succeed".

COPCs have used HUD grants to fund a variety of applied research and outreach activities. HBCUs have used HUD grants to fund a variety of activities including housing rehabilitation, community center development, small business enhancement, job creation and training. We are proud to be in partnership with colleges and universities and invite them to submit an application for this competition. The Notice of Funding Availability (NOFA) for this competition announced \$7 million of FY 1998 funds to help colleges and universities, including HBCUs, create or expand existing outreach centers. The NOFA also announced \$6.5 million of FY 1998 funds to assist HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

This application kit provides guidance and information about the preparation and submission of an application for this competition. For both programs, we will be conducting training on the NOFA. For the COPC Program, the training will be via video broadcast, and for the HBCU Program, the training will be conducted April 14-17, 1998, in Washington, D.C. at the Washington Hilton Hotel. Also, for the HBCU program, we have produced a videotape which is included with the application kit. For general information and information regarding the training, applicants can call the SuperNOFA Information Center at 1-800-HUD-8929.

Sincerely,

Handwritten signature of Paul A. Leonard in black ink.

Paul A. Leonard
Deputy Assistant Secretary
for Policy Development

Handwritten signature of Kenneth C. Williams in black ink.

Kenneth C. Williams
Deputy Assistant Secretary
for Grant Programs

General Instructions

To further HUD's objectives of improving customer service and providing the necessary tools for community revitalization HUD has published the first of three SuperNOFAs (Notices of Funding Availability) which consolidate competitive program funding within and across traditional HUD program lines. The goal of this consolidation is to make HUD's 40 competitive grant programs easier to access, easier to understand, and easier to coordinate. The SuperNOFAs, which provide a menu of programs from which communities can seek funding, are designed to facilitate communities in their planning and implementation of truly comprehensive revitalization strategies.

As part of this consolidated approach, HUD has also streamlined the application process to reduce the administrative and paperwork burdens associated with applying for more than one program. We have grouped together separate HUD programs that provide similar types of assistance so that applicants who are eligible for, and want to apply for, more than one program do not have to create certain information required by each program more than once. These are first steps. HUD intends to streamline the application process even further next year by learning from you how it can be improved. A comment/suggestion form is included in this application kit. We hope that you will provide us with input so that we may continually improve the competitive grant process.

This application kit contains materials and information necessary to apply for two university programs offering a total of approximately \$13.5 million. The programs and approximate funding amounts are as follows:

Community Outreach Partnership Centers (COPC)	\$ 7,000,000
Historically Black Colleges and Universities (HBCU)	\$ 6,500,000

The kit combines application information for these two programs, because they are both intended to get colleges and universities involved with their communities—to make them key partners with HUD in revitalizing America's communities. The eligibility requirements of the two programs enable certain colleges and universities to apply for both programs to fund truly comprehensive approaches to community revitalization.

Those applicants who are eligible for, and choose to apply for, both programs will find the process easier this year. Such applicants have the option to create completely separate applications for each program or use portions of their COPC application to fulfill certain requirements of their HBCUs application. They will also only have to complete certain standard HUD forms and program certification form(s) required for both programs once (though they must be photocopied for inclusion in the second application). The details associated with applying for both programs are provided in the "Assembling Your Applications" section below.

Eligible Applicants

Applicants for the Community Outreach Partnership Centers (COPC) program must be public or private nonprofit institutions of higher learning that grant two- or four-year degrees and are accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. Eligible institutions may apply alone or as part of a consortium of eligible institutions, as long as one institution is designated as the lead applicant. Applicants to the Historically Black Colleges and Universities (HBCU) program must be an HBCU as determined by the U.S. Department of Education in 34 CFR 608.2. A list of institutions eligible for the HBCU program can be found in Part 2, Sections D and E of this application kit. Schools considering applying for either program should read the program NOFAs for specific details on eligibility.

While not all schools that are eligible for the COPC program are eligible for the HBCU program, all schools that are eligible for the HBCU program are also eligible to apply for the COPC program. Applicants who apply to both programs will be able to use certain information created for their COPC application to fulfill certain requirements of their HBCU application. In lieu of applying to both programs on their own, schools that are eligible for the HBCU program may partner with another school in their region that is eligible for COPC.

Applicants intending to apply for both the COPC and HBCU programs should be aware that applying for funding from both programs to carry out the same project activity is prohibited, unless the applicant demonstrates that the increased funding will be used to increase the scope of the activity and the differences between the two applications clearly specified (e.g. assisting 40 families instead of 20). The increased scope must be well documented. (e.g. assisting 40 families instead of 20). Though the programs may be used to fund related activities, they are intended to fund different types of activities.

Parts of the Application Kit

In addition to this introductory section, the application kit contains the following four Parts:

Part 1: Community Outreach Partnership Centers (COPC)

Part 1 contains a description of, and application materials and instructions for, the COPC program. COPC is designed to help colleges and universities apply their human, intellectual, and institutional resources to the challenge of revitalizing distressed communities. COPC provides funding to grantees who address at least three of the following areas: local housing, infrastructure,

economic development, neighborhood revitalization, health care, job training, crime prevention, education, planning, and community organizing. Grantees may address these issues by conducting and applying relevant research, coordinating outreach efforts with neighborhood groups and residents, acting as a local information exchange, galvanizing support for neighborhood revitalization, developing public service projects and instructional programs, and collaborating with other partnership centers. COPC is also designed as a vehicle for institutionalizing outreach and applied research in colleges and universities.

Part 2: Historically Black Colleges and Universities (HBCU)

Part 2 contains a description of, and application materials and instructions for, the Historically Black Colleges and Universities (HBCU) program. HBCU is designed to help historically black colleges and universities expand their role and effectiveness in addressing community development needs--neighborhood revitalization, housing, and economic development--in their localities. The HBCU program funds grantees to carry out projects designed primarily to benefit low- and moderate-income residents, help prevent or eliminate slums or blight, or meet an urgent community development need in the community where the HBCU is located. Eligible activities are the same as those eligible under the Community Development Block Grant (CDBG) program. These include, but are not limited to, real property acquisition, clearance and demolition, rehabilitation of residential and/or commercial structures, direct homeownership assistance to low- and moderate-income persons, public facilities improvements, special economic development activities, eligible public services, facilitation of the establishment/expansion of microenterprises, assistance to community-based development organizations, establishment of a community development corporation to undertake eligible activities, and planning and administrative costs related to grant-funded activities.

Part 3: Standard Forms and Certifications

Part 3 contains the standard forms that must be completed and included in COPC and HBCUs grant applications. Instructions regarding which forms must be completed for each program are provided below in the section entitled "Assembling Your Application", and in Parts 2 and 3 of this kit.

Part 4: Notice of Funding Availability (NOFA)

Part 4 contains the Notices of Funding Availability (NOFA) for both COPC and HBCUs. The NOFAs are the official legal documents associated with each program. They describe, in detail, the purposes, due dates, submission information, application requirements, rating factors, and selection processes for

each grant program. The NOFAs contain vital information about the programs and should be read carefully before preparing the grant application.

Part 4 begins with the introductory section of the SuperNOFA, which provides information applicable to all SuperNOFA programs. This is followed by the section of the SuperNOFA detailing the COPC program. The final section contains the HBCU program information.

Assembling Your Application

In order for HUD to process the applications quickly and applicants to receive full consideration of their proposals it is important that all applications are assembled according to the guidelines established for each program. The following section lists the items that must be included in the applications for each program. They should be assembled in the order that they appear in these lists. Applicants should note that if they are applying for both the COPC and HBCU programs they can use portions of their COPC application to fulfill the requirements of their HBCUs application. The portions which can be used for both applications are identified in the "If Applying for COPC and HBCU" section below. Parts 1 and 2 of this application kit provide detailed descriptions of the items listed below.

If Applying for COPC

On each page included in the application package (including the letters of commitment) applicants must note the applicant's name and Federal Register/NOFA number (FR-4340). For application items which are not forms provided by HUD, applicants must also clearly indicate the portion of application being responded to.

Applicants should not include any appendices in their application.

The following items must be included (in the order presented below) for a COPC application to be considered complete. See Part 1 for more detailed descriptions of these items, as well as instructions for completing them.

- **Transmittal Letter.**
- **Application Checklist.** The application checklist provides a listing, by page number, of all of the items included in the application package. The checklist is included in Part 1, Section B.
- **Abstract.** This is a one page summary of the proposed project. When completing the abstract, the applicant must use the abstract form included in Part 3 of this application kit.

- **Application for Federal Assistance (SF-424).** SF-424 is used to supply HUD with basic information on the applicant and the proposed project(s). SF-424 is included in Part 3 of this kit.
- **Budget and Associated Materials.** Instructions for completing these materials are found in Part 1, Section A. COPC and HBCUs use different budget forms. The necessary COPC budget forms are included in Part 1, Section C.
- **Statement of Work.** This narrative statement identifies the activities that you propose to undertake and how these activities will be carried out.
- **Narrative Statement Addressing the Factors for Award.** This statement will be the main document used to rate and rank your application. In this statement, the applicant provides a written response to each factor for award described in the SuperNOFA. Instructions for completing this statement are found in Part 1, Section A.
- **Assurances and Certifications.** The following assurances and certifications must be included:
 - *Assurances—Non-Construction Programs (SF-424B)* provides HUD with assurances that the applicant, if awarded the grant, will comply with various federal laws relevant to administering the grant.
 - *Certification of Payments to Influence Certain Federal Transactions (HUD 50071)* certifies that the applicant has not and will not use federal funds to influence/lobby federal officials/employees.
 - *Disclosure of Lobbying Activities (SF-LLL)* provides HUD with details related to the applicant's use of non-federal funds to influence/lobby federal officials/employees in connection with the grant. The applicant is only required to complete this form if such expenditures were made.
 - *Certification for a Drug-Free Workplace (HUD 50070)* certifies that the applicant will provide a drug-free workplace by undertaking or continuing to undertake certain notification/awareness activities for employees and ensuring that employees abide by drug-related policies.
 - *Applicant/Recipient Disclosure/Update Report (HUD 2880)* provides HUD with information about assistance from other government sources in connection with the proposed project, financial interests of persons in the proposed project, sources of funds to be made available for the proposed project, and the uses to which the funds will be applied.

- *Certification of Consistency with the Consolidated Plan* certifies that the activities proposed by the applicant are consistent with the Consolidated Plan of the jurisdiction where the activities will take place.

In addition, applicants that qualify for and want to receive the 2 bonus points associated with conducting program activities in an Empowerment Zone or Enterprise Community must fill out the following:

- *Certification of Consistency with the EZ/EC Strategic Plan* certifies that the proposed activities will be carried out in an officially designated Empowerment Zone or Enterprise Community.

The forms for all of these assurances and certifications are found in Part 3 of this kit.

Although it is not required, applicants are also encouraged to complete the *Acknowledgment of Application Receipt*, which is also included in Part 3 of this kit. When included in an application package, HUD will return the form to the applicant as official notice that the application has been received and will be considered for award, assuming that it fulfills the requirements of the program.

Applicants are also encouraged to use the comment/suggestion form included in Part 3 to help HUD improve the grant process in the future.

If Applying for HBCU

On each page included in the application package (including the letters of commitment) applicants must note the applicant's name and Federal Register/NOFA number (FR-4340). For application items which are not forms provided by HUD, applicants must also clearly indicate the portion of application being responded to.

Applicants should not include any appendices in their application.

The following items must be included (in the order presented below) for an HBCU application to be considered complete. See Part 2 for more detailed descriptions of these items, as well as instructions for completing them.

- **Transmittal Letter.**
- **Application Checklist.** The application checklist provides a listing, by page number, of all of the items included in the application package. The checklist is included in Part 2, Section B.

- **Abstract.** This is a one page summary of the proposed project. When completing the abstract, the applicant must use the abstract form included in Part 3 of this application kit.
- **Application for Federal Assistance (SF-424).** SF-424 is used to supply HUD with basic information on the applicant and the proposed project(s). SF-424 is included in Part 3 of this kit.
- **Budget Documents.** Instructions for completing the budget documents are found in Part 2, Section A. HBCUs and COPC use different budget forms. The necessary HBCUs budget forms are included in Part 2, Section C.
- **Narrative Statement Addressing the Factors for Award.** This statement will be the main document used to rate and rank your application. In this statement, the applicant provides a written response to each factor for award described in the SuperNOFA. Instructions for completing this statement are found in Part 2, Section A.
- **Assurances and Certifications.** The following assurances and certifications must be included:
 - *Assurances—Non-Construction Programs (SF-424B)* provides HUD with assurances that the applicant, if awarded the grant, will comply with various federal laws and regulations relevant to administering the grant.
 - *Applicant Certification (HUD 40076)* certifies that the applicant will comply with various federal laws and regulations when implementing the proposed program activities. This certification covers some laws and regulations that are not covered by SF-424B.
 - *Certification of Consistency with the Consolidated Plan* certifies that the activities proposed by the applicant are consistent with the Consolidated Plan of the jurisdiction where the activities will take place.
 - *Letter Certifying Local Approval* certifies that the jurisdictions in which proposed activities will take place approve the implementation of the activities.

In addition, applicants that qualify for and want to receive the 2 bonus points associated with conducting program activities in an Empowerment Zone or Enterprise Community must fill out the following:

- *Certification of Consistency with the EZ/EC Strategic Plan* certifies that the proposed activities will be carried out in an officially designated

Empowerment Zone or Enterprise Community (EZ/EC) and that the HBCU is located within the boundaries of an EZ/EC.

The forms for all of these assurances and certifications are found in Part 3 of this kit.

Although it is not required, applicants are also encouraged to complete the *Acknowledgment of Application Receipt*, which is also included in Part 3 of this kit. When included in an application package, HUD will return the form to the applicant as official notice that the application has been received and will be considered for award, assuming that it fulfills the requirements of the program.

Applicants are also encouraged to use the comment/suggestion form included in Part 3 to help HUD improve the grant process in the future.

If Applying for both COPC and HBCU

Schools applying for both COPC and HBCU still need to produce separate applications for each program. However, they may use portions of their COPC application to fulfill certain requirements of their HBCU application.

Applicants applying to both programs should complete all of the components of the COPC application listed above in the section entitled "If Applying for COPC". The applicant should then fill out the components listed above for the HBCU application, **with the following exceptions:**

- **Transmittal Letter.** The applicant may photocopy the transmittal letter for COPC and use it for the HBCU transmittal letter. However, the letter should reference both the COPC and HBCU programs and state that the original of the transmittal letter and the certifications listed below are included in the COPC application.
- **Application for Federal Assistance (SF-424).** The applicant may photocopy the SF-424 completed for the COPC application to fulfill the SF-424 requirements of the HBCU application. The applicant must be sure to include information for both the COPC and HBCU programs in the funding matrix on this form. The funding matrix enables applicants to provide a breakout the estimated funding amounts, by source, (for the grant period) for all programs the applicant is applying to.
- **Narrative Statement Addressing the Factors for Award.** The applicant may use the portions of the COPC narrative statement that respond to Factors 1, 2, and 5 to fulfill the portions of the HBCU narrative statement responding to Factors 1,2, and 5. Please note that since the responses to

Factors 3 and 4 will be targeted to the unique characteristics of each program they must be written separately for each application.

HBCU reviewers will ignore the COPC-specific elements (e.g. research experience in Factor 1) found in the duplicated responses when rating the HBCU application.

- **Assurances—Non-Construction Programs (SF-424B).** The applicant may photocopy the SF-424B completed for the COPC application to fulfill the SF-424B requirements of the HBCU application.
- **Certification of Consistency with the Consolidated Plan.** If the applicant can fit the project name and location for both the COPC and HBCU projects on one form, then the applicant can photocopy the Consolidated Plan certification for COPC and include it in the HBCU application. **The information for both COPC and HBCU must appear on the form.**
- **Certification of Consistency with the EZ/EC Strategic Plan.** The applicant can photocopy the EZ/EC certification for COPC and include it in the HBCU application. **The information for both COPC and HBCU must appear on the form.** To qualify for the EZ/EC bonus points in the HBCU program, the college/university must be located within the boundaries of the EZ/EC. This location requirement is not a condition of receiving the bonus points for the COPC program.

Each page of each application must be numbered sequentially. The page numbers for specific parts of the COPC application (e.g. narrative statement addressing factors for award) will be different than the page numbers for the corresponding section in the HBCU application. Therefore, applicants using portions of their COPC application to fulfill requirements of their HBCU application should be sure to adjust the page numbers of those portions before they include them in the HBCU application.

The purpose of the steps just discussed is to make the application process easier for applicants. Applicants applying for both programs are not required to use the COPC portions of the application to fulfill the HBCU application requirements, as outlined above. They have the option to fill out completely separate applications (i.e. creating original responses and documents for all portions of both applications) for each program. Applicants who do so will not be negatively impacted in the rating and ranking process.

Submitting Your Application

The application due date for both the COPC and HBCU programs is July 8, 1998. Late applications cannot be considered for funding. Refer to the SuperNOFA for the policy used to determine when applications are late.

Applicants for COPC, HBCU, or both programs must submit an original signed application and one copy (for HBCU) or two copies (for COPC) to the following address:

Processing and Control Branch
Office of Community Planning and Development
Department of Housing and Urban Development
451 7th Street, S.W., Room 7251
Washington, DC 20410-3500
ATTN: COPC or HBCU Program

For the HBCU program, applicants must also send one copy of the application to the Community Planning and Development (CPD) Director in the HUD field office serving the State in which the applicant is located. A listing of HUD field offices serving areas with HBCUs is provided in Part 2, Section F of this application kit.

Questions

Questions related to the COPC and HBCUs program should be addressed to the following persons:

Community Outreach Partnership Centers (COPC)

Name: Jane Karadbil
Phone: 202-708-1537 x5918
E-Mail: Jane_R._Karadbil@HUD.GOV (use underscores and period)

Historically Black Colleges and Universities (HBCUs)

Name: Delores Pruden
Phone: 202-708-1590 x2496
E-Mail: Delores_A._Pruden@HUD.GOV (use underscores and period)

Part 1: Community Outreach Partnership Centers (COPC)

Part 1 of this application kit provides application information and materials for the Community Outreach Partnership Centers (COPC) program. It consists of the following sections:

- Section A: Instructions for Completing the COPC Application
- Section B: COPC Application Checklist
- Section C: COPC Forms

Section A: Instructions for Completing the COPC Application

Your application must contain of an original and two (2) copies of each of items 1-8 explained below. Please note that where there are page limits, you must adhere to them. In order to recycle paper, please do not submit applications in bound form. Binder clips or loose leaf binders are acceptable. Please do not use both sides of the page or colored paper.

Please include each item in the order listed below.

APPLICATION CONTENTS

1. **Transmittal Letter.**

The letter should be signed by the Chief Executive Officer (usually the President or Provost) of the applicant institution. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign, but a copy of the delegation must also be included. This letter must attest to the fact that the institution grants a two- or four-year college degree and is accredited by a national or regional accrediting agency recognized by the Department of Education. You must identify the accrediting agency and state that the agency is duly recognized by the U.S. Department of Education.

2. **Application Checklist.**

This checklist, provided in Section B, provides a listing of all of the items that need to be included in the application package. Applicants must include the application items in the order that they are listed on the checklist. On the checklist, applicants must fill in the page number where each of the items can be found in the application package. The completed checklist must be included in the application package.

3. **Abstract.**

You must include a one-page summary of the proposed project, using the abstract form found in Part 3. The project description should include a brief description of the *target area* to be assisted with the activities funded through the grant; *needs* of the target area to be addressed through the proposed activities; the *activities* the applicant proposes to fund through the grant; and the program *goals and objectives*.

4. **SF 424.**

Instructions for completing this form are found on the back of the first page of the form.

Complete this standard form and have it signed by the Chief Executive Officer of the applicant institution. Every box (except 3 and 16) should be filled in. In designating a contact (in box 5) please include a title, address, telephone number and fax number. This is the person who will receive the reviewer's comments; so, the address should be sufficiently accurate to get the comments to the correct person. In the funding matrix you should include the required total match and show its source. All of the amounts in the matrix should be for the full grant period.

The Catalog of Federal Domestic Assistance (CFDA) number (Box 10) for the Community Outreach Partnership Centers Program is **14.511**.

The form is included in Part 3 of this kit.

5. **Budget.**

The budget presentation should be consistent with the Statement of Work (described below) and should include:

a. Budget Form.

Please use the sample budget form contained in Section C of this part of the application kit (COPC and HBCUs use different budget forms. Be sure to use the correct ones). Because it is a sample, you will need to copy the form and expand it to include all of the project functional categories (e.g., affordable housing, economic development) in your project. You may choose to use a computer spreadsheet, duplicating this form.

Indirect costs attributable to a particular project functional category should be listed as "Indirect Costs" under that category. Indirect costs not accounted for in this way should be included in the "Planning and Administration" category.

Please note that consultants are individuals who are on your payroll and are treated as temporary employees. On the other hand, subcontractors are individuals, institutions or firms hired under contract to carry out specific tasks.

If the applicant receives a COPC grant, it may be required to provide greater specificity to the budget during grant agreement negotiations.

Make sure that the amounts shown on the SF-424, the budget forms, and the match requirement forms are all consistent.

- b. A narrative explanation of how the applicant arrived at its cost estimates, for any line item, including match items, **over \$1,000**.
- c. Statement of Compliance with 20% Limitation on "Planning and Administration" Costs.

Although all costs of whatever nature (including planning and administration) must be included in the budget form under the appropriate budget categories, the applicant must also separately address, in a short statement, its compliance with a statutory requirement that no more than 20% of the Federal funds obtained through this grant would be allocated to activities that constitute either "Administration" or "Planning and Management Development." The following statement will be sufficient: "The total Federal grant request of \$_____ includes \$_____ for Planning and Administration, representing ___% of the total Federal grant request."

The planning and administration cap is not the same as the institution's approved indirect cost rate. Planning and administration relates to those costs attributable to the overall planning and administration of the project. Note that planning for a specific project component does not fall under the cap but falls under that activity. The indirect cost rate is generally a percentage applied to all project costs, whether they are for project activities, planning, or administration. HUD has not set a cap on the amount of indirect costs that can be charged to the project or counted as match, as long as this amount is within the institution's approved audited rate. However, there is a relationship between the indirect cost rate and costs and the planning and administration, as the next paragraph explains. Remember the cap is based on the Federal grant amount, not the total project costs.

To avoid confusion about how the planning and administration cap is calculated, an example follows:

Assume a Federal grant request of \$399,000. The maximum amount that can be charged to the grant for planning and administration is \$79,800 (20% of \$399,000). This amount includes both the direct and indirect costs attributable to the

planning and administration category. Assume that the Federal grant request before the indirect cost rate is applied is \$300,000 and that the indirect cost rate is 33% (or \$99,000), thus making the total Federal grant \$399,000 (\$99,000 + \$300,000). Assume also that the amount of direct costs attributable to planning and administration is \$70,000 and, thus, the amount of indirect costs attributable to this category is \$21,000 (33% of \$70,000). Thus, the total amount for planning and administration is \$91,000 (\$70,000 + \$21,000). In this case, the applicant is over the allowed cap: \$91,000 vs. \$79,800 and would have to find other funding for the difference of \$11,200. However, this other funding could be counted as match.

d. Explanation of Compliance with Limitation on Research Allocation.

The applicant must demonstrate that not more than 25% of the **total** budget (including federal and matching funds) will be allocated to research activities. The applicant should use the attached form in Section C entitled "Community Outreach Partnership Centers Breakdown of Outreach and Research Activities" to demonstrate this. For purposes of this form, all costs (including administrative costs) must be categorized or apportioned as either research or outreach, as appropriate.

e. Explanation of Compliance with Matching Requirement.

The NOFA spells out the matching responsibilities for this application. Note that research requires a 50 percent match, while outreach activities require a 25 percent match. Note also that the match requirements are based on **total project costs**, not the Federal grant amount.

In order to avoid confusion about the calculation of the match, an example is provided.

Assume that the total project cost for a COPC was \$500,000, with \$125,000 for research and \$375,000 for outreach. Note that this project meets the requirement that no more than one-quarter of the total project costs be for research. The total amount of the required match would be \$156,250. The research match would be \$62,500 ($\$125,000 \times 50$ percent) and the outreach match would be \$93,750 ($\$375,000 \times 25$ percent). The Federal grant requested would be \$343,750 ($\$500,000$ minus the match of \$156,250). In calculating the match, administrative costs should be applied to the appropriate attributable outreach or research component.

You should use the form included in Section C entitled “Community Outreach Partnership Centers Matching Requirements” to show how you have met the match requirements. Under each category, list the specific project activities. Only the dollar totals for research and outreach activities should be listed; costs by activity do not need to be listed. For purposes of this form, administrative costs should be allocated between research and outreach activities, as appropriate.

For any matching source, whether it is from your own funds or from another source, you must include a signed statement from the proposed source indicating a clear commitment of funds. This must be signed by an authorized representative of the funding source. **Unless matching funds are accompanied by such a statement, they will not be counted towards the match. This omission could cause you to not meet the threshold for matching funds or lose points on Factor 4.** Include these letters in the Narrative Statement Addressing the Factors for Award (see below) and note in this section a list of the letters that have been placed there.

6. **Statement of Work.**

Your Statement of Work (SOW) should be in a narrative form, clearly identifying the activities you propose to undertake and how these activities will be accomplished. The SOW must be no more than 25 pages long. Please avoid repeating your responses to the selection factors here.

The SOW must incorporate all eligible activities proposed in the application and detail how the proposed work will be accomplished. Specifically, the SOW must:

- a. Briefly describe the community(ies) and neighborhood(s) to be assisted with funds made available under this solicitation. (See Factor for Award #2 for the kind of information that should be included.)
- b. Arrange the presentation of related major activities by project functional category, summarize each activity, identify the primary persons involved in carrying out the activity, and delineate the major tasks involved in carrying it out.
- c. Indicate the sequence in which the tasks are to be performed.
- d. State the major intermediate and end products to be developed during the project.

- e. State the impact objectives the project intends to achieve in measurable terms, along with deadlines for meeting them.
- f. Briefly discuss, with specific details: (1) how the proposed major activities do not duplicate those of other entities in the community; and (2) are appropriate for an institution of higher education to undertake in light of its teaching, research, and service missions.

7. **Narrative Statement Addressing the Factors for Award.**

This statement will be the main document used to rate and rank your application. Therefore, it is very important that you become fully familiar with the five (5) factors for COPC detailed in the NOFA. Your responses should be detailed enough to cover each of the factors fully. The total Statement (covering all five factors) is limited to 30 pages, not including tables, maps and letters of commitment. Please start the response to each individual factor on a new page. Do not provide material not relevant to rating each factor. Please do not repeat material in your Statement of Work; instead focus on how you meet each factor.

The portion of this statement that responds to rating factor 4 should include any letters used to document firm commitment of cash and/or in-kind goods or services, as well as narrative explanations related to the sources and uses of these funds. The commitment letters should follow the sample format provided in Part 3 of this kit.

No letters of general support should be included in your application.

8. **Certifications.**

Applicants to COPC must include the following certifications and assurances in their application package.

- a. **Assurances—Non-Construction Programs (SF-424B)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution.
- b. **Certification of Payments to Influence Federal Transactions (HUD 50071)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution.
- c. **Disclosure of Lobbying Activities (SF-LLL)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution. The applicant only needs to fill out this form if it used non-Federal funds to influence or attempt to influence a federal officer/employee in connection with this grant. Instructions are located on the back of the form.

- d. **Certification for a Drug-Free Workplace (HUD 50070)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution.
- e. **Applicant/Recipient Disclosure/Update Report (HUD 2880)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution. Instructions are located on the last four pages of the form.
- f. **Certification of Consistency with the Consolidated Plan** to be signed by the Chief Executive Officer of the unit of State or local government in which the activities will take place.

In addition, applicants that qualify for and want to receive the 2 bonus points associated with conducting program activities in an Empowerment Zone or Enterprise Community must fill out the following:

- g. **Certification of Consistency with the EZ/EC Strategic Plan** to be signed by the certifying official of the EZ/EC.

The forms for all of these assurances and certifications are found in Part 3 of this kit.

Failure to provide the required certifications may result in the application not being reviewed or may delay funding of an approved application.

9. **Acknowledgment of Receipt of Application.**

This form is sent to HUD with the application and returned by HUD to the applicant once the application is received. It provides you with verification that the application was received.

Including this form is optional, but recommended.

10. **Comments and Suggestions Form.**

A comments and suggestions form is included at the end of Part 3. It is included so that we can solicit information from the most valuable source—you, our customers. The changes that we have instituted this year are designed to make things easier for you. Completing and submitting the comments and suggestions form will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Completion of the form is not mandatory.

11. **Appendices.**

No appendices are permitted. The letters of commitment for matching funds should be included in the narrative response to Factor 4. General support letters should not be submitted, nor should resumes or other back-up materials (unless you are willing to have the latter count towards the page limits). Make sure that the Statement of Work and Narrative Statement addressing the Factors for Award contain sufficient detail to stand on their own, without the need for back-up material.

Section B: COPC Application Checklist

The following checklist is provided to ensure you have submitted all the required items for you to receive funding consideration under this competition.

Each of the items must be included in application, in the order listed. On the line to the left of each item, applicants must list the page number(s) where the item can be found in the application kit. Each page of the application must list name of the applicant and the Federal Register number. For application items which are not forms, clearly indicate which item is being responded to.

- ___ 1. Transmittal letter
- ___ 2. Application Checklist
- ___ 3. Abstract
- ___ 4. SF 424, Application for Federal Assistance
- 5. Budget
 - ___ Budget Form for all three years and the total grant period
 - ___ Narrative explanation of how costs were derived
 - ___ Statement of compliance with 20% limitation on "Planning and Administration" costs
 - ___ Form entitled "Community Outreach Partnership Centers Program Breakdown of Outreach and Research Activities"
 - ___ Form entitled "Community Outreach Partnership Centers Program Matching Requirements"
- ___ 6. Statement of Work
- ___ 7. Narrative Statement Addressing the Factors for Award (including letters of commitment)

8. Certifications

- SF 424B, Assurances
- Certification of Payments To Influence Certain Federal Transactions (HUD 50071)
- Disclosure of Lobbying Activities (SF-LLL) (if applicable)
- Certification for a Drug-Free Workplace (HUD 50070)
- Applicant/Recipient Disclosure/Update Report (HUD-2880)
- Certification of Consistency with the Consolidated Plan
- EZ/EC Certification (if applicable)
- 9. Acknowledgment of Receipt of Application (optional)
- 10. Comments/suggestions form (optional)

Section C: COPC Forms

This section contains forms that are referenced in Sections A and B above and are specific to the COPC program. The following forms are included:

- I. Community Outreach Partnership Centers Budget (HUD-30003)
- II. Community Outreach Partnership Centers Breakdown of Outreach and Research Activities (HUD-30002)
- III. Community Outreach Partnership Centers Matching Requirements (HUD-30001)

The other standard forms and certifications (which are used for both the COPC and HBCUs programs) referenced in Sections A and B above can be found in Part 3 of this kit.

Community Outreach
Partnership Centers Program
Budget

**U.S. Department of Housing
and Urban Development**
Office of Policy Research
and Development

Applicant should duplicate this first page as necessary.

Functional Category	Year 1		Year 2		Year 3		Total	
	Federal \$	Match \$						
Name of First Category:								
Direct Labor Fringe Benefit Materials Travel Equipment Consultants Subcontracts Other Direct Costs Indirect Costs								
Name of Category:								
Direct Labor Fringe Benefit Materials Travel Equipment Consultants Subcontracts Other Direct Costs Indirect Costs								
Name of Category:								
Direct Labor Fringe Benefit Materials Travel Equipment Consultants Subcontracts Other Direct Costs Indirect Costs								

Community Outreach
Partnership Centers Program
Budget

**U.S. Department of Housing
and Urban Development**
Office of Policy Research
and Development

Functional Category	Year 1		Year 2		Year 3		Total	
	Federal \$	Match \$	Federal \$	Match \$	Federal \$	Match \$	Federal \$	Match \$
Name of Category:								
Direct Labor Fringe Benefit Materials Travel Equipment Consultants Subcontracts Other Direct Costs Indirect Costs								
Name of Category:								
Direct Labor Fringe Benefit Materials Travel Equipment Consultants Subcontracts Other Direct Costs Indirect Costs								
Name of Category:								
Planning and Management Direct Labor Fringe Benefit Materials Travel Equipment Consultants Subcontracts Other Direct Costs Indirect Costs								

Community Outreach
Partnership Centers Program
**Breakdown of Outreach and
Research Activities**

**U.S. Department of Housing
and Urban Development**
Office of Policy Research
and Development

	Total Cost \$	Percent of Total Project Cost
Total Research Activities:		
Total Outreach Activities:		
Total		

Community Outreach
Partnership Centers Program
Matching Requirements

**U.S. Department of Housing
and Urban Development**
Office of Policy Research
and Development

	Federal Share \$	Match \$	Total Cost \$	Match as Percent of Total Cost
Research Activities: (list)				
Subtotal				
Outreach Activities: (list)				
Subtotal				
Total				

Part 2: Historically Black Colleges and Universities (HBCUs)

Part 2 of this application kit provides application information and materials for the Historically Black Colleges and Universities (HBCUs) program. It consists of the following sections:

- Section A: Instructions for Completing the HBCU Application
- Section B: HBCU Application Checklist
- Section C: HBCU Forms
- Section D: List of Previously Funded HBCUs
- Section E: List of Previously Unfunded HBCUs
- Section F: List of Community Planning and Development Directors with HBCUs Located Within Their Jurisdictions
- Section G: HUD Consolidated Plan-Revitalization Strategies and HBCUs

Section A: Instructions for Completing the HBCU Application

General Comments

- **Statement of Work.** A Statement of Work is **not** required to be submitted with the application. For winners, a Statement of Work will be required at the time of negotiations. However, a description of the proposed activities must be provided in the response to Factor 3. Please refrain from duplicating responses.
- **Helpful Hints.** The following are helpful hints to follow while completing your HBCU application.
 - Fully respond to each Factor.
 - Do not include any information not specifically requested in the application. The Factors for Award are designed to elicit sufficient information to assign rating points.
 - Make sure that the application is complete and that all requested information is included in the application before submitting it. HUD cannot allow applicants a later opportunity to submit missing information that affects rating, including supporting documentation.
 - Have the reviewer in mind. Step back and read your proposal from the perspective of someone who is unfamiliar with your proposal. Your application will be improved if you have the reviewer in mind when you write.
 - Meet the deadline. Do not wait until the last possible minute to give the application to your carrier; plan ahead for the unexpected.
 - If you have questions, ask for clarification; do not guess.
 - Be concise. Do not exceed the page limit specified. A concise response will get more attention than a long discussion.
 - Assemble the application in the order shown on the Checklist.
 - Number every page of the application sequentially.
 - Do **not** include audits or resumes.
- **Audit Information.** Audit information will only be required of applicants selected for award. Do not send copies of audits with the application. Successful applicants will be required to submit Financial Management and Audit Information which shall

include certifications from an Independent Public Accountant or the cognizant government auditor stating that:

- The financial management system employed by the applicant meets the prescribed standards for fund control and accountability required by OMB Circular A-133, as codified at 24 CFR Part 45.
- The financial management system employed by any proposed subcontractor meets the standards for fund control and accountability as required by OMB Circular A-110.

Also, successful applicants must provide a statement from an Independent Public Accountant, or cognizant government auditor certifying the proposed fringe benefit rate and/or indirect cost rate for the applicant organization and any subcontractor the applicant proposes to hire.

One letter may be submitted incorporating all of the information required including the name and telephone number of the applicant's cognizant Federal or other audit agency, if any.

See the HBCU portion of the SuperNOFA, contained in Part 4 of this application kit, for more specific application instructions, program description, and requirements.

Application Contents

1. Transmittal Letter.

The letter should be signed by the Chief Executive Officer (usually the President or Provost) of the applicant institution. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign, but a copy of the delegation must also be included. This letter must also attest to the fact that the institution grants a two- or four-year college degree and is accredited by a national or regional accrediting agency recognized by the Department of Education. You must identify the accrediting agency and state that the agency is duly recognized by the U.S. Department of Education.

2. Application Checklist.

This checklist, provided in Section B, provides a listing of all of the items that need to be included in the application package. Applicants must include the application items in the order that they are listed on the checklist. On the checklist, applicants must fill in the page number where each of the items can be found in the application package. The completed checklist must be included in the application package.

3. **Abstract.**

You must include a one-page summary of the proposed project, using the abstract form found in Part 3. The project description should include a brief description of the *target area* to be assisted with the activities funded through the grant; *needs* of the target area to be addressed through the proposed activities; the *activities* the applicant proposes to fund through the grant; and the program *goals and objectives*.

4. **SF 424.**

Complete this standard form and have it signed by the Chief Executive Officer (or official designee) of the applicant institution.

- Every box (except 3 and 16) should be completed.
- In designating a contact (in box 5) please include a title, address, telephone number and fax number.
- When estimating funding for the funding matrix, remember letters committing funds from other sources must be included in the Narrative Addressing Factors for Award to be considered for matching funds. All of the amounts in the funding matrix should be for the full grant period.
- The correct Employer Identification/Tax ID Number (Box 6) is required to assure accurate bookkeeping and accounting processing.
- The Catalog of Federal Domestic Assistance (CFDA) number (Box 10) for the Historically Black Colleges and Universities Program is **14-237**;

5. **Budget Documents.** See the “Program Requirements” portion of the HBCUs NOFA (Part 4) for instructions on how to complete these documents. Budget forms can be found in Section C below.

6. **Narrative Statement Addressing the Factors for Award.**

HUD will use the narrative response to the Factors for Award to rate and rank applications. Therefore, it is very important that you become fully familiar with the five (5) factors for HBCUs detailed in the HBCU portion of the NOFA (see Part 4). The narrative response to those factors must contain sufficient information to be reviewed for its merits. The score for each factor will be based on the qualitative and quantitative aspects of the applicant's response to that factor.

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

(see Part 4 of the kit). **These bonus points will only be awarded when the HBCU is located within the geographic boundaries of the EZ/EC and completes the form certifying such.**

See the HBCUs NOFA, contained in Part 4 of this application kit, for a discussion of the Factors for Award and the specific elements that should be included in your narrative response to those factors.

Please note that by addressing Factor 3(2), Affirmatively Furthering Fair Housing, you are in compliance with Section II(D) of the General Section of the SuperNOFA.

Applicants may use up to **a total of thirty (30) pages** to respond to factors 1 through 5. The response to factor 4 should include any letters indicating a firm commitment for cash or in-kind contributions, using the sample letter format found in Part 3 of this kit. Applicants must also list these commitments on the “Factor 4 Response Format” sheet found in Section C below. The page limitation applies to the applicant's narrative response and NOT to tables, maps and firm commitment letters. **Applicants must adhere to this limitation.**

Begin the response to each individual factor on a separate page. Make certain that the FR-4340 number, the applicant's name, and the factor number being responded to appears at the top of each page. The identifying information should also be included on commitment letters and other documentation provided.

Number **every page** of the application responses sequentially, including tables, maps, and commitment letters.

Responses should clearly and directly address each factor. They should not provide material not relevant to the factor.

7. **Certifications.**

Applicants to the HBCU program must include the following certifications and assurances in their application package.

- **Assurances—Non-Construction Programs (SF-424B)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution.
- **Applicant Certification (HUD 40076)** to be signed by the Chief Executive Officer (or official designee) of the applicant institution.

- **Certification of Consistency with the Consolidated Plan** to be signed by the Chief Executive Officer of the unit of State or local government in which the activities will take place.
- **Letter(s) Certifying Local Approval** to be signed by the Chief Executive Officer of the unit of State or local government in which the activities will take place.

In addition to certifying that the planned activities are not inconsistent with the Consolidated Plan, each local government jurisdiction where an activity is to take place must certify that it approves each activity. Local approval should take the form of a letter signed by the Chief Executive Officer of the locality or a resolution by the legislative body of the locality.

In addition, applicants that qualify for and want to receive the 2 bonus points associated with conducting program activities in an Empowerment Zone or Enterprise Community must complete the following:

- **Certification of Consistency with the EZ/EC Strategic Plan** certifies that the proposed activities will be carried out in an officially designated Empowerment Zone or Enterprise Community (EZ/EC) and that the HBCU is located within the geographic boundary of an EZ/EC.

The applicant will only receive EZ/EC bonus points if the HBCU is located within the geographic boundaries of an EZ/EC.

The forms for all of these assurances and certifications (except for the letter certifying local approval) are found in Part 3 of this kit.

Failure to provide the required certifications may result in the application not being reviewed or may delay funding of an approved application. **Additional certifications may be required of successful applicants.**

8. **Acknowledgment of Receipt of Application.**

This form is sent to HUD with the application and returned by HUD to the applicant once the application is received. It provides verification to the applicant that the application was received.

Include this form as the last piece of your application package.

9. **Comments and Suggestions Form.**

A comments and suggestions form is included at the end of Part 3. It is included so that we can solicit information from the most valuable source—you, our customers. The changes that we have instituted this year are designed to make things easier for you. Completing and submitting the comments and suggestions form will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Completion of the form is not mandatory.

10. **Appendices.**

No appendices are permitted. The letters of commitment for matching funds should be included in the narrative response to Factor 4. General support letters should not be submitted, nor should resumes or other back-up materials (unless you are willing to have the latter count towards the page limits). Make sure that the Narrative Statement Addressing the Factors for Award contain sufficient detail to stand on their own, without the need for back-up material.

Section B: HBCU Application Checklist

The following checklist is provided to ensure you have submitted all the required items for you to receive funding consideration under this competition.

Each of the items must be included in the application, in the order listed. On the line to the left of each item, applicants must list the page number(s) where the item can be found in the application. Each page of the application must list name of the applicant and the Federal Register number. For application items which are not forms, clearly indicate which item is being responded to.

- ___ 1. Transmittal letter
- ___ 2. Application Checklist
- ___ 3. Abstract
- ___ 4. SF 424, Application for Federal Assistance
- ___ 5. Budget Documents
- ___ 6. Narrative Statement Addressing the Factors for Award (including letters of commitment and Factor 4 Response Format)
- ___ 7. Certifications
 - ___ SF 424B, Assurances
 - ___ Applicant Certification (HUD 40076)
 - ___ Certification of Consistency with the Consolidated Plan
 - ___ Letter(s) Certifying Local Approval
 - ___ EZ/EC Certification (if applicable)
- ___ 8. Acknowledgment of Receipt of Application (optional)
- ___ 9. Comments/suggestions form (optional)

Section C: HBCU Forms

This section contains forms that are referenced in Sections A and B above and are specific to the HBCU program. The following forms are included:

- I. Budget Summary Forms
- II. Budget By-Task Forms
- III. Factor 4 Response Format

The other standard forms and certifications (which are used for both the COPC and HBCU programs) referenced in Sections A and B above can be found in Part 3 of this kit.

Budget Summary

Federal Share

Name and Address of Applicant: _____

Detailed Description of Budget

1. Direct Labor	Category Position or Individual	Estimated Hours	Rate/ Hour	Estimated Cost	Total Cost
Total Direct Labor Cost					
2. Fringe Benefits	Category	Rate	Base	Estimated Cost	Total Cost
Total Fringe Benefits Cost					
3. Materials	Category Item	Quantity	Unit Cost	Estimated Cost	Total Cost
Total Materials Cost					

Budget Summary (con't.)

Federal Share

Detailed Description of Budget

Category		Mileage	Rate/ Mile	Estimated Cost	Total Cost
4. Travel	a. Transportation (1) Local Private Vehicle				
4. Travel	a. Transportation (2) Air/Destination	Trips	Fare	Estimated Cost	Total Cost
4. Travel	a. Transportation (3) Other/Item	Quantity	Unit Cost	Estimated Cost	Total Cost
4. Travel	b. Per Diem or Subsistence	Days	Rate/ Day	Estimated Cost	Total Cost
Total Travel Cost					
Category Item		Quantity	Unit Cost	Estimated Cost	Total Cost
5. Equipment					
Total Equipment Cost					
Category Type		Days	Rate/ Day	Estimated Cost	Total Cost
6. Consultants					
Total Consultants Cost					

Budget Summary

Non-Federal Share

Name and Address of Applicant: _____

Detailed Description of Budget

1. Direct Labor	Category Position or Individual	Estimated Hours	Rate/ Hour	Estimated Cost	Total Cost
Total Direct Labor Cost					
2. Fringe Benefits	Category	Rate	Base	Estimated Cost	Total Cost
Total Fringe Benefits Cost					
3. Materials	Category Item	Quantity	Unit Cost	Estimated Cost	Total Cost
Total Materials Cost					

Budget Summary (con't.)

Non-Federal Share

Detailed Description of Budget

Category		Mileage	Rate/ Mile	Estimated Cost	Total Cost
4. Travel	a. Transportation (1) Local Private Vehicle				
4. Travel	a. Transportation (2) Air/Destination	Trips	Fare	Estimated Cost	Total Cost
4. Travel	a. Transportation (3) Other/Item	Quantity	Unit Cost	Estimated Cost	Total Cost
4. Travel	b. Per Diem or Subsistence	Days	Rate/ Day	Estimated Cost	Total Cost
Total Travel Cost					
Category Item		Quantity	Unit Cost	Estimated Cost	Total Cost
5. Equipment					
Total Equipment Cost					
Category Type		Days	Rate/ Day	Estimated Cost	Total Cost
6. Consultants					
Total Consultants Cost					

FR 4340 RESPONSE SHEET

Applicant Name: _____

Budget-By-Task The information that the applicant supplies on this form will be reviewed in conjunction with the narrative response and other documentation for the budget submission requirement.

Task No.	List Tasks and Activities for Each Task	Source of Funds					Total
		HUD HBCU Grant	Other Federal	State	Local	Private	
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$	\$
	Subtotal	\$	\$	\$	\$	\$	\$
	Costs of Administering Grant	\$	\$	\$	\$	\$	\$
	Percent of Total	%	%	%	%	%	%
	*Total	\$	\$	\$	\$	\$	\$

*Must equal amounts on SF-424.

Historically Black Colleges and Universities
Previously **Funded** By HUD During Fiscal Years 1991-1997

Alabama

1. Dr. John T. Gibson, President
Alabama A&M University
P.O. Box 1357
Normal, AL 35762
Phone : 205-851-5230
Fax : 205-851-5244
e-mail: jgibson@asnaam.aamu.edu
2. Dr. William H. Harris, President
Alabama State University
P.O. Box 271
Montgomery, AL 36101
Phone : 334-229-4200
Fax : 334-834-6861
e-mail: harris@asunet.alasu.edu
3. Dr. Delbert W. Baker, President
Oakwood College
Oakwood Road N.W.
Huntsville, AL 35896
Phone: 205-726-7334
Fax : 205-726-7123
compu serve: shirley ihenacho 75374,1134
4. Dr. Ernest McNealy, President
Stillman College
3706 Stillman Boulevard
P.O. Box 1430 Tuscaloosa, AL 35403
Phone: 205-366-8808
Fax : 205-758-0821
5. Dr. Joseph B. Johnson, President
Talladega College
627 West Battle Street
Talladega, AL 35160
Phone : 205-761-6212
Fax : 205-362-2268
6. Dr. Benjamin Payton, President
Tuskegee University
Kresge Center
Tuskegee, AL 36088
Phone : 334-727-8501
Fax : 334-727-5276
e-mail: cpatt@acd.tusk.edu

Arkansas

7. Dr. William T. Keaton, President
Arkansas Baptist College
1600 Bishop Street
Little Rock, AR 72202
Phone: 501-372-6883
Fax : 501-372-0321

8. Dr. Myer L. Titus, President
Philander Smith College
812 West 13th Street
Little Rock, AR 72202
Phone: 501-370-5275
Fax : 501-370-5278
9. Dr. Lawrence A. Davis, Jr., Chancellor
University of Arkansas at Pine Bluff
1200 North University Drive
P.O. Box 4008
Pine Bluff, AR 71601
Phone: 501-543-8471
Fax : 501-543-8003

District of Columbia

10. Dr. H. Patrick Swygert, President
Howard University
2400 6th Street, N.W.
Washington, D.C., 20059
Phone: 202-806-2500
Fax : 202-806-5934
hp_swygert@capstone.howard.edu
11. Dr. Julius F. Nimmons, Jr., Acting President
University of the District of Columbia
4200 Connecticut Ave, NW
Washington, D.C. 20008
Phone : 202-274-5100
Fax : 202-274-5304
e-mail: nimmons@udcvm.bitnet

Florida

12. Dr. Frederick S. Humphries, President
Florida A&M University
400 Lee Hall
Tallahassee, FL 32307
Phone : 904-599-3225
Fax : 904-561-2152
e-mail: fhumphries@crotaius.famu.edu

Georgia

13. Dr. Portia Holmes Shields, President
Albany State University
504 College Drive
Albany, GA 31705
Phone : 912-430-4604
Fax : 912-430-3836
e-mail: pshields@fld94.alsnet.peachnet.edu
14. Dr. Thomas W. Cole, Jr., President
Clark Atlanta University
James P. Brawley Drive at Fair Street, S.W.
Atlanta, GA 30314
Phone : 404-880-8500
Fax : 404-880-8995
e-mail: tcole@cau.edu

15. Dr. Oscar L. Prater, President
Fort Valley State University
1005 State University Drive
Fort Valley, GA 31030
Phone : 912-825-6315
Fax : 912-825-6266
e-mail: pratero@mail.fvsc.peachnet.edu

16. Gloria Long Anderson, Interim President
Morris Brown College
643 Martin Luther King, Jr., Drive
Atlanta, GA 30314
Phone: 404-220-0100
Fax : 404-659-4315

17. Dr. Audrey Manley, President
Spelman College
350 Spelman Lane, S.W.
Atlanta, GA 30314
Phone : 404-223-1300
Fax : 404-223-7523

Kentucky

18. Dr. Mary L. Smith, President
Kentucky State University
East Main Street, Room 201 Hume Hall
Frankfort, KY 40601
Phone : 502-227-6260
Fax : 502-227-6490
e-mail: msmith@gwmail.kysu.edu

Louisiana

19. Dr. Leonard H. Haynes, III, Acting President
Grambling State University
P.O. BOX 607
Grambling, LA 71245
Phone: 318-274- 6117
Fax : 318-274- 6172

20. Dr. Leon Tarver, II, President
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Fact Sheet

HUD Consolidated Plan - Revitalization Strategies and HBCUs

States and units of local government may provide Community Development Block Grant (CDBG) assistance to institutions of higher education which have a demonstrated capacity to carry out activities which are eligible under the Housing and Community Development Act (HCDA). (This is provided for at §105(a)(22) of the HCDA.) While not mentioned in the Act, Historically Black Colleges and Universities are included as institutions of higher education.

HBCUs can demonstrate capacity to carry out CDBG-eligible activities in a variety of ways, since the list of CDBG-eligible activities is quite broad. For example, housing counseling services, public services, assistance to microenterprises, technical assistance to businesses, rehabilitation of housing, and construction of public facilities such as buildings are all CDBG-eligible; these are activities in which colleges and universities are frequently involved, either in the community or on their own campuses. The Act does not require that they must have already received CDBG funding to demonstrate capacity. Successful implementation of projects using HUD HBCU funding, foundation grants, or other state/local/nonprofit funding can also serve as evidence of capacity.

It is important to remember, however, that HUD does not make this determination of capacity. In the CDBG program, funds are provided to units of local government. In the Entitlement CDBG program (for larger cities and counties), HUD makes grants directly to the city or county; in the State CDBG program, HUD makes grants to states, which award funds to smaller communities that do not qualify for direct Entitlement funding. It is up to the unit of local government to select activities for funding; and, in the State CDBG program, it is up to the state to decide which activities it will fund. The local government (and the State, where applicable) would determine that the college or university has demonstrated capacity to carry out CDBG-eligible activities. Thus, an HBCU should work closely with its local government officials to seek and obtain CDBG funding.

All eligible activities in the CDBG Program must meet one of three statutory objectives specified in the CDBG legislation. This means that the activity must either benefit low- or moderate-income persons, aid in the prevention of slums and blighted conditions, or meet other community development needs having a particular urgency. Many HBCUs are located in (and have a long history of serving) neighborhoods with concentrations of low- and moderate-income persons. HBCU campuses are often located in neighborhoods which have suffered from disinvestment and show physical signs of blight. An institution which wishes to carry out CDBG activities should be prepared to demonstrate to the unit of local government how its activities will meet one of the three national objectives.

In recent years, HUD's Office of Community Planning and Development (CPD) has stressed a coordinated marshalling of resources to facilitate grantees' ability to engage in comprehensive community revitalization strategies. Comprehensive neighborhood/community revitalization strategies seek to create partnerships among Federal and local governments, the private sector, community organizations and local residents. The Department seeks to create communities of opportunity in distressed areas by stimulating the reinvestment of human and economic capital and by economically empowering low-income residents.

The Department recognizes the fundamental necessity of partnering in problem-solving in order to achieve much greater success in community revitalization efforts. HUD believes that no effort will succeed without the support of all of the community actors. Successful revitalization strategies are those that bring together the community's stakeholders to forge partnerships that:

- . obtain commitments to community building;
- . make communities attractive for investments, thereby creating a market for profits;
- . generate community participation to ensure that the benefits of economic activity are **reinvested** in the community for long-term development;
- . support the use of nonprofit intermediary institutions (e.g., Community Development Corporations, Community Development Financial Institutions, and Historically Black Colleges and Universities (HBCUs) to bridge gaps between local government agencies, the business community, community groups, and residents;

-
- . foster the growth of resident-based initiatives to identify and address their housing, economic and human services needs;
 - . coordinate the delivery of various local, state and Federal resources; and
 - . support initiatives to move unemployed people from public assistance into jobs.

To encourage this approach, HUD has established in the CDBG program the option for units of local government to develop a Neighborhood Revitalization Strategy. (In the State CDBG program, this is called a Community Revitalization Strategy.) Once a unit of local government develops and receives approval of a Revitalization Strategy, activities which it carries out to implement the strategy can take advantage of certain incentives built into the CDBG program regulations. These incentives make it easier for units of local government to demonstrate that CDBG-funded activities meet one of the national objectives.

HUD believes HBCUs can play a vital role in the development and implementation of revitalization strategies in the communities they serve. The HBCU can provide its facilities and expertise to bring community residents and local government officials together to identify problems and solutions. The HBCU can provide its facilities and expertise to produce the written document. Similarly, the institution could monitor and evaluate implementation of the strategy. (The institution could contract with the local government to perform these functions and receive CDBG administrative funds to pay for them; the institution could pay for these out of its own resources, as evidence of its financial commitment to the initiative; or it could use funds from its HUD HBCU award to perform these functions.)

As a stakeholder in the community, the HBCU should play an active role in identifying neighborhood/community needs and problems. Likewise, as a stakeholder and community partner, it should establish an active role in implementing the revitalization strategy. Examples of roles HBCUs could play in community implementation of the strategy include:

- . Carrying out activities, pursuant to the locality's Consolidated Plan strategy, with its own funds;
- . Receiving CDBG funds from the unit of local government to carry out activities pursuant to the Consolidated Plan strategy;
- . Using HUD HBCU funding to carry out activities pursuant to the Consolidated Plan strategy;
- . Serving as an intermediary/facilitator to put funding sources together with entities carrying out activities;
- . Providing technical assistance to businesses, community groups and nonprofit organizations on how to implement projects to which they have committed; and
- . Foster the formation of other nonprofit/intermediary organizations to implement portions of the strategy, when the lack of such organizations is an identified barrier to strategy implementation.

As HBCUs explore how to link their HBCU funding to CDBG revitalization strategies, HBCUs should first contact local government officials to learn if the locality has considered adopting the revitalization strategy approach, to get more specific information on revitalization strategy requirements, and to get more specific information about their community's CDBG program. HBCUs located in smaller (nonentitlement) communities should also contact the state agency which administers the CDBG program in their state.

Part 3: Standard Forms and Certifications

Part 3 contains forms and certifications that are necessary for completing the COPC and/or HBCUs applications. The following table indicates which documents must be completed for each program. **Refer to the section entitled “If Applying for Both COPC and HBCUs” in the General Information portion of this kit to find out which forms can be completed once when applying for both programs.**

<i>Form</i>	<i>COPC</i>	<i>HBCU</i>
Abstract	X	X
Application for Federal Assistance (SF-424)	X	X
Sample Letter of Commitment	X	X
Assurances – Non-Construction (SF-424B)	X	X
Applicant Certification (HUD 40076)		X
Certification of Payments to Influence Federal Transactions (HUD 50071)	X	
Disclosure of Lobbying Activities (SF-LLL)	X*	
Certification For a Drug-Free Workplace (HUD 50070)	X	
Applicant/Recipient Disclosure/Update Report (HUD 2880)	X	
Certification of Consistency with the Consolidated Plan	X	X
Certification of Consistency with the EZ/EC Strategic Plan	X*	X*
Acknowledgment of Application Receipt	optional	optional
Comments and Suggestions	optional	optional

* These forms only need to be completed for some applications. See instructions to determine whether or not you need to complete these forms.

Abstract

Project Number (Leave Blank)

Grantee (Name of College/University)

Requested Grant Amount

Project Address

City, State, and Zip Code

Project Contact Person

Phone Number

Fax Number

Project Description:

Application for Federal Assistance

OMB Approval No. 0348-0043

1. Type of Submission: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Pre-application <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):

<input type="text"/>									
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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.):

13. Proposed Project:		14. Congressional Districts of:	
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">– "New" means a new assistance award.– "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.– "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.	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

Sample Letter of Commitment

Use the Commitment Provider's Letterhead

(Insert Date)

Processing and Control Branch
Office of Community Planning and Development
Department of Housing and Urban Development
451 7th Street, SW, Room 7251
Washington, DC 20410-3500
ATTN: (fill in appropriate program name)

Re: HUD Notice of Funding Availability, FR 4340, for (fill in appropriate program name)

To Whom It May Concern:

If this proposal is funded, (provider name) commits \$(amount) (or) (type of in-kind contribution) valued at \$(amount) to (applicant name) for (type of activity) to be made available for recipients of the program. These funds will be made available on (date) for the duration of the grant.

Sincerely,

(Signature of Authorized Representative)

(Title)

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 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 .

1. Type of Federal Action: <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	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
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4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known:	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime: Congressional District, if known:
--	--

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

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

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

11. Information requested through this form is authorized by 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.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
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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.

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

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

- 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 _____
 - 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
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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: _____

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 _____

You are our Client!

Your comments and suggestions, please!

In the spirit of reinventing government, as outlined in Vice-President Al Gore's National Performance Review, much attention has been given to streamlining and simplifying the application process. While working within the statutes governing the application and selection process, we have, in preparing this Notice of Funding Availability (NOFA) and application form, tried to produce a more user-friendly, customer driven document. Please let us have your comments and suggestions. You may leave this form attached to your application, or feel free to detach the form and return to us.

Please Provide Comments on HUD's Efforts:

The NOFA (please circle one):

(a) is clear and easily understandable

(b) better than before, but still needs improvement (please specify)

(c) other comments (please specify):

The application form (please circle one):

(a) is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.

(b) is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify):

Name & Organization (optional):

Attach additional pages as necessary.

Page no:

Part 4: Notices of Funding Availability (NOFAs)

Part 4 contains the Notices of Funding Availability for the COPC and HBCUs programs. Part 4 begins with the General Section of the SuperNOFA, which has information pertaining to all programs released under the SuperNOFA. This is followed by the program NOFA for COPC. Part 4 concludes with the HBCUs program NOFA. The three sections and the page numbers on which they begin are listed below.

SuperNOFA General Section	Page A1
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Community Outreach Partnership Centers (COPC) program NOFA	Page A23
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Historically Black Colleges and Universities (HBCUs) program NOFA	Page A36
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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.

Program Name	Funding Available	Due Date	Submission Location and Room
COMMUNITY DEVELOPMENT TECHNICAL ASSISTANCE PROGRAMS	\$ 82,395,140	June 24, 1998	HUD Headquarters Processing and Control Branch, Room 7251 and copies to appropriate CPD Field Offices
Community Development Block Grant (CDBG) Technical Assistance CFDA No.: 14.227 OMB Approval No.: pending	\$ 5,000,000		
Community Housing Development Organization (CHDO) Technical Assistance CFDA No: 14.239 OMB Approval No.: pending	\$ 42,000,000		
HOME Technical Assistance CFDA No: 14.239 OMB Approval No.: pending	\$ 31,000,000		
Supportive Housing Program (SHP) Technical Assistance CFDA No.: 14.235 OMB Approval No.: pending	\$ 4,395,140		

<p align="center">UNIVERSITY AND COLLEGE PROGRAMS</p>	<p align="center">\$ 13,500,000</p>	<p align="center">July 8, 1998</p>	<p align="center">HUD Headquarters, Processing and Control Branch, Room 7251, and Appropriate Field Offices where noted in Programs Section</p>
<p>Community Outreach Partnership Centers (COPCs) CFDA No.: 14.511 OMB Approval No.: 2528-0180</p>	<p align="center">\$ 7,000,000</p>		
<p>Historically Black Colleges and Universities (HBCUs) Program CFDA No.: 14.237 OMB Approval No.: 2506-0122</p>	<p align="center">\$ 6,500,000</p>		

Program Name	Funding Available	Due Date	Submission Location and Room
FAIR HOUSING INITIATIVES AND ASSISTED HOUSING COUNSELING PROGRAMS	\$ 29,500,000	June 1, 1998	HUD Headquarters Room 5234, except if only applying for Assisted Housing Counseling
Education and Outreach Initiative (EOI) CFDA No.: 14.409 OMB Approval No.: 2529-0033	\$ 1,000,000		
Private Enforcement Initiative (PEI) CFDA No.: 14.410 OMB Approval No.: 2529 -0033	\$ 9,300,000		
Fair Housing Organizations Initiative (FHOI) CFDA No.: 14.413 OMB Approval No: 2529-0033	\$ 1,200,000		
Housing Counseling Program <ul style="list-style-type: none"> • Local Housing Counseling Agencies (\$ 5,000,000) • National, Regional and Multi-State Intermediaries (\$6,000,000) • State Housing Finance Agencies (\$7,000,000) CFDA No.: 14.169 OMB Approval No: 2502-0261	\$ 18,000,000		Appropriate HUD Field Office

Program Name	Funding Available	Due Date	Submission Location and Room
<p>LEAD-BASED PAINT HAZARD CONTROL PROGRAM</p> <p>CFDA No.: 14.900 OMB Approval No.: 2539-0005</p>	<p>\$ 50,000,000</p>	<p>June 1, 1998</p>	<p>Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room B-133 Courier Service or Hand Carried: HUD Office of Lead Hazard Control, 490 East L'Enfant Plaza, S.W., Suite 3206, Washington, DC 20024</p>

Program Name	Funding Available	Due Date	Submission Location and Room
<p>MODERNIZATION AND REVITALIZATION PROGRAMS</p>	<p>\$ 745,762,796</p>	<p>June 29, 1998</p>	<p>HUD Headquarters, Room 4138, and copies to appropriate Local HUD Field Office, where noted in the Programs Section</p>
<p>Comprehensive Improvement Assistance Program (CIAP)</p> <p>CFDA No.: 14.852 OMB Approval No.: 2577-0044</p>	<p>\$ 304,000,000</p>		
<p>HOPE VI Public Housing Revitalization</p> <p>CFDA No.: 14.866 OMB Approval No.: 2577-0208</p>	<p>\$ 441,762,796</p>		

DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING PROGRAMS	\$ 326,748,934	June 15, 1998	Appropriate local Field Office except if only applying for Drug Elimination TA.
Public Housing Drug Elimination Program (Including Youth Sports Eligible Activities) CFDA No.: 14.854 OMB Approval No.: 2577-0124	\$ 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

APPENDIX A -- LIST OF HUD OFFICES AND HOURS OF OPERATION

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, 19th 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
6th 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
13th 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, 3rd 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, 7th 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, 3rd 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, 9th 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 15th 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, 3rd Floor
St. Louis, MO 63103-2836
314-539-6583
Office Hours: 8:00 AM - 4:30 PM

Rocky Mountains

Colorado State Office
633 - 17th 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 49th 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 5th 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 6th 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 - 12th 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 PM

Northwest/Alaska

Alaska State Office
University Plaza Building
949 East 36th 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 1st Avenue, Suite 200
Seattle, WA 98104-1000
206-220-5101
Office Hours: 8:00 AM - 4:30 PM

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

As Published in the Federal Register on March 31, 1998

Funding Availability for Community Outreach Partnership Centers Fiscal Year 1998

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

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

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

FOR APPLICATION KITS, FURTHER INFORMATION AND TECHNICAL ASSISTANCE:

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

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

For Technical Assistance. An information broadcast via satellite will be held for potential applicants to learn more about the program and preparation of an application. For more information about the date and time of this broadcast, please consult the HUD web site at the web address listed above.

ADDITIONAL INFORMATION:

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

(A) Authority. This program is authorized under the Community Outreach Partnership Act of 1992 (42 U.S.C. 5307 note; hereafter referred to as the "COPC Act"). The COPC Act is contained in section 851 of the Housing and Community Development Act of 1992 (Pub.L. 102-550, approved October 28, 1992) (HCD Act of 1992). Section 801(c) of the HCD Act of 1992 authorizes \$7.5 million for each year of the 5-year demonstration to create Community Outreach Partnership Centers as authorized in the COPC Act.

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

The six key concepts of the COPC Program are:

(1) The program should provide outreach, technical assistance, applied research, and empowerment to neighborhoods and neighborhood-based organizations based on what the residents decide is needed, not based on what the institution thinks is appropriate for that neighborhood;

(2) Community-based organizations should be partners with the institutions throughout the life of the project, from planning to implementation;

(3) Components of the program may address metropolitan or regional strategies. The applicant must clearly demonstrate how:

(a) Those strategies are directly related to what the targeted neighborhoods and neighborhood-based organizations have decided is needed; and

(b) Neighborhoods and neighborhood organizations are involved in the development and implementation of the metropolitan or regional strategies;

(4) The applied research should be related to the outreach activities and be usable in these activities within the grant period or shortly after it ends, rather than research without practical application;

(5) Assistance through the grant should be provided primarily by faculty, students, or to a limited extent, by neighborhood residents or community-based organizations funded by the university; and

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

The statute states that grants under the COPC Program must focus on the following specific problems: "problems associated with housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning, community organizing, and other areas deemed appropriate by the Secretary." Furthermore, the COPC Act states: "The Secretary shall give preference to institutions of higher education that undertake research and outreach activities by bringing together knowledge and expertise in the various social science and technical disciplines that relate to urban problems."

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

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

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

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

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

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

Eligible activities include:

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

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

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

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

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

(d) Technical assistance in business start-up activities for low-and moderate-income individuals and organizations, including business start-up training and technical expertise and assistance, mentor programs, assistance in developing small loan funds, business incubators, etc;

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

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

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

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

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

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

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

(a) The lease must be for existing facilities;

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

(c) Properties in the Coastal Barrier Resource System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased with Federal funds.

(F) Ineligible Activities.

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

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

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

II. Program Requirements.

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

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

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

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

(3) Establish a community advisory committee comprised of representatives of local institutions and residents of the communities to be served to assist in identifying local needs and advise on the development and implementation of strategies to address those issues;

- (4) Coordinate outreach activities in communities to be served by the Center;
- (5) Facilitate public service projects in the communities served by the Center;
- (6) Act as a clearinghouse for dissemination of information;
- (7) Develop instructional programs, convene conferences, and provide training for local community leaders, when appropriate; and
- (8) Exchange information with other Centers.

The clearinghouse function in (6) above refers to a local or regional clearinghouse for dissemination of information and is separate and distinct from the functions in (8) above, which relate to the provision of information to the University Partnerships Clearinghouse, which is the national clearinghouse for the program.

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

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

- (1) Research Activities. 50% of the **total project costs** of establishing and operating research activities.
- (2) Outreach Activities. 25% of the **total project costs** of establishing and operating outreach activities.

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

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

III. Application Selection Process.

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

(A) Additional Threshold Criteria For Funding Consideration. Under the threshold review, the applicant will be rejected from the competition if the applicant is not in compliance with the requirements of the **General Section** of the SuperNOFA and if the following additional standards are not met:

- (1) The applicant has met the statutory match requirements.
- (2) The applicant has proposed a program in which no more than 25% of the total project costs will be for research activities.
- (3) The applicant has requested a Federal grant that is no less than \$250,000 and no more than \$400,000 **over** the three-year grant period.
- (4) The application addresses at least three urban issues, such as affordable housing, fair housing, economic development, neighborhood revitalization, infrastructure, health care; job training, education, crime prevention, planning, and community organizing.
- (5) The applicant, and any part of the applicant's organization, does not participate in more than one application.

(B) Factors For Award Used To Evaluate and Rate Applications. The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points for this program is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA.

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

This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's organization and staff" for technical merit or threshold compliance, unless otherwise specified, will include any faculty, sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project. In rating this factor HUD will consider the extent to which the proposal demonstrates:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Rating Factor 3: Soundness of Approach (50 Points)

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

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

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

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

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

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

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

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

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

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

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

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

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

(4) **(6 points)** The extent to which the proposed activities will achieve the purposes of the program from which funding is requested within the grant period. The applicant should identify specific time phased and measurable objectives to be accomplished during the period of performance; the proposed short and long term program objectives to be achieved as a result of the proposed activities; the tangible and measurable impacts the

work program will have on the community in general and the target area or population in particular; and the relationship of the proposed activities to other on-going or proposed efforts to improve the economic, social or living environment in the impact area.

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

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

- (a) Promoting healthy homes;
- (b) Providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs;
- (c) Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through program policy efforts such as "One Strike and You're Out" or the "Officer Next Door" initiative;
- (d) Providing educational and job training opportunities through such initiatives as Neighborhood Networks, Campus of Learners and linking to AmeriCorps activities.

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

- (a) Overcoming impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending;
- (b) Promoting fair housing through the expansion of homeownership opportunities and improved quality of city services for minorities, families with children, and persons with disabilities; or
- (c) Providing mobility counseling.

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

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

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

Rating Factor 4: Leveraging Resources (10 Points)

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

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

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

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

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

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

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

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

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

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

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

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

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

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

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

If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach shall be selected. If there is still a tie, the application with the most points for Factor 4, Leveraging Resources shall be selected.

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

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

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

IV. Application Submission Requirements.

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

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

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

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

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

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

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

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

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

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

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

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

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

(5) An explanation of compliance with the matching requirements.

More guidance on all of these items is included in the application kit.

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

V. Corrections to Deficient Applications.

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

VI. Environmental Requirements.

In accordance with 24 CFR 50.19(b) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act and are not subject to environmental review under the related laws and authorities.

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

As Published in the Federal Register on March 31, 1998

Funding Availability for the Historically Black Colleges and Universities Program Fiscal Year 1998

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

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

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

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

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

FOR APPLICATION KITS, FURTHER INFORMATION, AND TECHNICAL ASSISTANCE:

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

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

general information and information regarding training on this HBCU Program section of the SuperNOFA, applicants can call the SuperNOFA Information Center at 1-800-HUD-8929.

ADDITIONAL INFORMATION:

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

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

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

(1) For the purposes of this program, the term "locality" includes any city, county, town, township, parish, village, or other general political subdivision of a State or the U.S. Virgin Islands within which an HBCU is located.

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

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

(C) Amount Allocated.

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

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

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

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

(2) The maximum period for performance of a proposed program under this SuperNOFA for the HBCU Program is 24 months. The performance period will commence on the effective date of the grant agreement. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in a particular application. The awards will be made in the form of grants. The maximum amount awarded to any applicant will be \$400,000.

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

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

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

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

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

- (a) Acquisition of real property;
- (b) Clearance and demolition;
- (c) Rehabilitation of residential structures to increase housing opportunities for low- and moderate-income persons and rehabilitation of commercial or industrial buildings to correct code violations or for certain other purposes; e.g., making accessibility and visitability modifications to housing. Applicants proposing to undertake this activity will be required to provide reasonable estimates, from a qualified entity other than the applicant, of the cost to complete projects. Such an entity must be involved in the business of housing rehabilitation, construction and/or management;
- (d) Direct homeownership assistance to low- and moderate-income persons, as provided in section 105(a)(25) of the Housing and Community Development Act of 1974;
- (e) Acquisition, construction, reconstruction, rehabilitation, or installation of public facilities and improvements, such as water and sewer facilities and streets. Applicants proposing to undertake this activity will be required to provide reasonable estimates, from a qualified entity other than the applicant, of the cost to complete projects. Such an entity must be involved in the business of housing rehabilitation, construction and/or management;
- (f) Special economic development activities described at 24 CFR 570.203;
- (g) Eligible public service activities, including activities that provide a continuum of care for the homeless; adult basic education classes; GED preparation and testing; job and career counseling and assessment; citizen participation academies, and public access telecommunications centers including "Campus of Learners" (COL) and "Neighborhood Networks" (NN); social and medical services; other support activities for youth, senior citizens, and other low- and moderate-income residents; and/or fair housing services designed to further the fair housing objectives of the Fair Housing Act (42 U.S.C. 3601-20) by making all persons, without regard to race, color, religion, sex, national origin, family status and/or disability aware of the range of housing opportunities available to them;
- (h) Assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;
- (i) Establishment of a Community Development Corporation (CDC) to undertake eligible activities;
- (j) Assistance to a community based development organization (CBDO) to carry out a CDBG neighborhood revitalization, community economic development, or energy conservation project, in accordance with 24 CFR 570.204. This could include activities in support of a HUD approved local CDBG Neighborhood Revitalization Strategy (NRS) or HUD approved State CDBG Community Revitalization Strategy (CRS). HBCUs proposing a Community Development Corporation (CDC) component may qualify for CBDO activities; and
- (k) Program administration costs related to the planning and execution of community development activities assisted in whole or in part with grant funds. In order to expand the capacity of HBCUs eligible under this SuperNOFA, applicants may propose to use up to **10%** of the award funds to acquire technical assistance (TA)

from a qualified TA provider to assist in implementing the proposed activities. While applicants are responsible for ensuring that potential TA providers are qualified, HUD would expect that the most qualified providers would be entities/organizations that have demonstrated the expertise and capacity to successfully conceptualize, develop and implement community and economic development projects and initiatives similar to those proposed by the applicant. Although **pre-award technical assistance costs may not be paid out of grant funds** (not including matching funds, if any), applicants expecting to need technical assistance are encouraged, nonetheless, to choose a TA provider as early as possible, to ensure that the TA provider is involved in the early stages of proposal development. Previously-unfunded HBCUs are particularly encouraged to consider acquiring technical assistance from a qualified HBCU TA provider.

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

(4) Use of Grant Funds for Acquisition of Computer Hardware and Software. Although acquisition of equipment is not generally an eligible activity (subject to the exceptions provided in 24 CFR 570.207(b)(1)), applicants are encouraged to propose the use of grant funds, at reasonable levels, for the acquisition of computer hardware and software compatible with Internet access and HUD's Community Planning 2020 Software, if they do not currently have such capability. More information on the Community 2020 Software can be obtained from the local HUD Community Planning and Development Office.

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

II. Program Requirements.

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

(A) Submission of a Budget. The budget should include:

(1) A **budget summary** covering the Federal and non-Federal share of costs proposed, by cost category, and a budget justification which includes assumptions used to determine the costs of budget items in each category. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work in the proposed geographic area.

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

While HUD recognizes that the costs are based upon estimates, the summary should include information such as quotes from various vendors or historical data relied upon in determining projected costs. All direct labor or salaries must be supported with mandated city/state pay scales or other documentation. Indirect costs must be substantiated and approved by the cognizant Federal agency or the applicant must provide an indirect cost rate plan.

Particular attention should be paid to:

(a) Accurately estimating costs;

- (b) The necessity and reasonableness of costs; and
- (c) Accurate computation of all budget items and totals.

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

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

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

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

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

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

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

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

Potential Sources of Assistance

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

Documentation Requirements

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

- The dollar amount or dollar value of the in-kind goods and/or services committed. For each cash match, the dollar amount in the commitment letter must be consistent with the dollar amount indicated by the applicant on the SF-424 and in the Budget-By-Task;
- How the Match is to be used;
- The date the Match will be made available and a statement that it will be for the duration of the grant period;
- Any terms and conditions affecting the commitment, other than receipt of a HUD HBCU Grant; and
- The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. (See the application kit for a sample commitment letter.)

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

(D) Forms, Certifications and Assurances. HBCU applicants are required to submit the following forms, certifications and assurances:

- (1) Standard Form (SF) 424 Application for Federal Assistance;
- (2) Standard Form (SF) 424 B for Non-Construction Programs;
- (3) Applicant Certification;
- (4) Certification of Consistency with the Local Consolidated Plan; and
- (5) Letter Certifying Local Approval.

(6) Certification Form for EZ/EC bonus points. These bonus points will only be awarded when the HBCU is located within the geographic boundaries of the EZ/EC.

III. Application Selection Process.

(A) Rating and Ranking.

(1) Threshold Review; National Objectives. HUD will evaluate applications for funding under the HBCU Program competitively and will award points based on responses to the Factors For Award identified in this section. Applications must be complete and consistent with the requirements of this for the HBCU Program section in this SuperNOFA, the application kit, and the HBCU Program regulations (24 CFR 570.404) in order for the application to be eligible to compete in this competition.

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

- (a) Benefit to low- or moderate-income persons;
- (b) Aid in the prevention or elimination of slums or blight; or
- (c) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs.

Criteria for determining whether an activity addresses one or more of these objectives are provided at 24 CFR 570.208. (It is not necessary for applicants to comply with the primary objective requirement of 24 CFR 570.200(a)(3), which requires recipients to ensure that not less than 70% of the grant expenditures be for activities benefiting low and moderate income persons)

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

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

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

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

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

(B) **Factors For Award Used To Evaluate and Rate Applications.** HUD will use the Factors For Award set forth below to evaluate applications. Each application must contain sufficient information to be reviewed for its merits. The score for each factor will be based on the qualitative and quantitative aspects of the applicant's response to that factor. Applicants may use up to a total of thirty (30) pages to respond to Factor 1 through 5. Limitation applies to the applicant's narrative response and NOT to tables, maps and firm commitment letters.

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

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

This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the proposal demonstrates:

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

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

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

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

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

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

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

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

- (1) **(10 points)** The extent to which they document the level of need for the proposed activity: and
- (2) **(5 points)** The importance of meeting the need.

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

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

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

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

Rating Factor 3: Soundness of Approach (50 Points)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(i) Promoting healthy homes;

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

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

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

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

The Campus of Learners (COL) initiative is designed to transform public housing into safe and livable communities where families undertake training in new telecommunications and computer technology and partake in educational opportunities and job training initiatives; and/or

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

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

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

(2) Affirmatively Furthering Fair Housing (5 Points)

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

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

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

(3) Products Deliverable Schedule (5 Points)

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

Rating Factor 4: Leveraging Resources (10 Points)

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

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

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

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

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

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

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

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

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

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

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

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

IV. Application Submission Requirements.

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

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

(B) Application Checklist

(C) Abstract

(D) Budget Documents

(E) Narrative Statement Responding To The Factors For Award

(F) Certifications. Certification forms signed by the Chief Executive Officer of the applicant institution.

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

V. Corrections to Deficient Applications.

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

HBCU PROGRAM APPENDIX A

Historically Black Colleges and Universities Previously Funded By HUD During Fiscal Years 1991-1997

Alabama

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

Arkansas

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

District of Columbia

Howard University
University of the District of Columbia

Florida

Florida A&M University

Georgia

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

Kentucky

Kentucky State University

Louisiana

Grambling State University
Southern University
Southern University at Shreveport/Bossier
City
Xavier University of New Orleans

Maryland

Bowie State University
Coppin State College
Morgan State University

Mississippi

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

Missouri

Harris-Stowe State College
Lincoln University

North Carolina

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

Ohio

Central State University

Oklahoma

Langston University

Pennsylvania

Lincoln University

South Carolina

Benedict College
Claflin College
South Carolina State University
Voorhees College

Tennessee

Fisk University
Lemoyne-Owen College

Texas

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

Virginia

Hampton University
Norfolk State University
Saint Paul's College

HBCU PROGRAM APPENDIX B

Historically Black Colleges and Universities Previously Unfunded By HUD During Fiscal Years 1991-1996

Alabama

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

Arkansas

Shorter College

Delaware

Delaware State University

Florida

Bethune-Cookman College
Edward Waters College
Florida Memorial College

Georgia

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

Louisiana

Dillard University
Southern University at

Maryland

University Of Maryland Eastern Shore

Michigan

Lewis College of Business

Mississippi

Coahoma Community College
Hinds Community College
Mary Holmes College

North Carolina

Barber-Scotia College
Livingstone College

Ohio

Wilberforce University

Pennsylvania

Cheyney University of Pennsylvania

South Carolina

Allen University
Clinton Junior College
Denmark Technical College
Morris College

Tennessee

Knoxville College
Lane College
Meharry Medical College
Tennessee State University

Texas

Huston-Tillotson College
Jarvis Christian College
Paul Quinn College
Southwestern Christian College
Texas College

Virginia

Virginia State University
Virginia Union University

West Virginia

Bluefield State College
West Virginia State University

U.S. Virgin Islands

University of the Virgin Islands