

Continuum of Care and HOPWA Applications



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



Part II

**Housing Opportunities for
Persons with AIDS Program
(HOPWA)**

OMB Approval No. 2506-0133 (exp. 7/31/2000)

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

Selection of applications for funding under the Housing Opportunities for Persons with AIDS (HOPWA) program are based on rating factors listed in the Notice of Fund Availability (NOFA), which is published each year to announce the HOPWA funding round. The information collected in the application form will only be collected for specific funding competitions.

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

This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements. However, the HOPWA program application does not request the submission of such information.

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

Housing Opportunities for Persons with AIDS Program (HOPWA) Application

Instructions

Funding under the 1998 HOPWA competition for \$20.15 million is available for an application for: (1) a Special Project of National Significance; or (2) a Project that is part of a Long-term Comprehensive Strategy for providing housing and related supportive services in an area that did not qualify for a HOPWA formula allocation. Proposed activities must serve low-income persons who are living with HIV/AIDS and their families, including persons who are homeless or are at risk of homelessness.

HOPWA funds may also be available in your community under the 1998 formula allocations that provide \$183.6 million for 88 cities and States under the jurisdiction's Consolidated Planning process. Information on these community-based efforts is available on the HUD Homepage at www.hud.gov/cpd/cpdallst.html. A map of formula recipients is found in the attachments. The allocation to a city is on behalf of its metropolitan area and an allocation to a State is for areas that are outside of the metropolitan areas that receive allocations.

1. Selection. Applications will be competitively selected for funding under a process using selection criteria described in the 1998 Notice of Funding Availability (NOFA) for Targeted Housing and Homeless Assistance Programs that include the Housing Opportunities for Persons with AIDS Program. If you are successful in this competition, you may be asked to provide additional information in order to execute your grant.

2. Assembling the Application. To help us expedite the review of your application, please assemble in the order shown in the Checklist of Exhibits. Attach the completed and signed Standard Form 424 to the front of your application. Ensure that *all five exhibits and certifications are complete and included*.

After the entire application is assembled, please mark each exhibit with an appropriately numbered tab and number every page of the application sequentially.

3. Application tips. In developing your application we want to help you avoid problems that could hamper your ability to move forward or qualify. Here are a few tips:

- If a structure you plan to use in your project currently has occupants, you need to be aware of complex relocation requirements. Please contact your HUD Field Office Relocation Specialist, or an experienced government relocation agency in the planning stage of your project.
- Mitigation of environmental problems can potentially be very expensive and time-consuming. Factors to consider especially are the presence of lead-based paint (particularly if you are proposing to serve families with children) and asbestos.
- Please respond to the elements of this application within the page limits and other instructions provided for each exhibit. Letters of support or other information that might be provided as attachments are *not* requested and will *not* be reviewed as part of this competition.

4. Helpful Hints on completing your application

- a. Complete all forms and double check each entry for consistency, e.g. budget figures match, signatures are present, project sponsors are identified, addresses are given.
- b. Have a knowledgeable reader "reread" your draft to check it for clarity and completeness, e.g. are references to local resources clear so that a reviewer will understand the richness or complexity of your efforts.

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- c. If you plan to do something new, consider how to partner with an experienced provider who can demonstrate a record of achievement, or otherwise show how you have augmented your capacity to undertake the new activity.
 - d. Under leveraging, consider the value of all the resources that make your proposal viable, e.g. the value of volunteer contributions that citizens or professionals plan to provide.
 - e. Consider how the project will run from the client's viewpoint and consider a variety of client needs or characteristics and how that should affect what you offer.
 - f. State what you plan to do in the application, e.g. describe any understanding with other parties in the document, and do not put information in attachments (which are not requested or reviewable).
 - g. Fully understand the NOFA, it is the document that controls the competition. If in doubt, ask questions.
5. **FAQ.** Frequently Asked Questions (FAQ) on the HOPWA 1998 Program may also be helpful and are found as an attachment to this document.

Housing Opportunities for Persons with AIDS Program (HOPWA) Application

Checklist of Exhibits

Please insert page numbers

- Transmittal Letter (that identifies HOPWA and amount requested)
- Summary
- Exhibit 1 Applicant and Sponsor Information
- Exhibit 2 Need/Extent of Problem
- Exhibit 3 Proposed Project / Soundness of Approach
- Exhibit 4 Budget and Leveraging
- Exhibit 5 Comprehensiveness and Coordination
- Statutory Certifications (Required by law)
- Evaluation by Customer (Optional)

Summary. Please provide on no more than two double-spaced, typed pages an abstract of the proposed project for use as a summary if the project is chosen for funding. In the abstract, include the name of the applicant and any project sponsor; how much HOPWA funding is being requested; the name of the proposed project (if any); a short synopsis of the project including defining features, where it is located and how many people will be served over the entire period of the grant when it is operational. Also include a contact name and phone number.

Applicant and Sponsor Information

A. Experience Narrative

For the applicant and any project sponsor, please describe, preferably on not more than five (5) double-spaced, typed pages, the following:

1. Experience and knowledge in serving persons with HIV/AIDS and their families.
2. Experience and knowledge in programs similar to those proposed in the application, including:
 - Housing Assistance. For applicants proposing to use HOPWA funds or other funds for acquiring, constructing, rehabilitating, leasing, and/or operating a housing facility, or operating a rental assistance program, describe experience in carrying out the same type of activity;
 - Supportive Services. For applicants providing supportive services, describe experience in undertaking or managing activities related to providing supportive services; and
 - Technical Assistance. For applicants proposing technical assistance or resource identification activities, describe experience related to assisting the development and operation of programs and the capacity of organizations to undertake and manage assistance to eligible persons.
3. Experience and knowledge in monitoring and evaluating program performance and disseminating information on project outcomes.
4. Experience with any HOPWA grants or other HUD community development and/or homeless assistance grants by the applicant or a sponsor.

Your description may address the following elements:

- The knowledge and experience of the proposed project director and staff, including the day-to-day program manager, consultants and contractors in planning and managing the kind of activities for which funding is being requested.
- The applicant's and/or sponsor's experience in managing complex interdisciplinary programs, especially those involving housing and community development programs directly relevant to the work activities proposed and carrying out grant management responsibilities.
- If the applicant and/or sponsor received funding in previous years in the program area for which they are currently seeking funding, the applicant's or sponsor's past experience as evidence of their ability to attain demonstrated measurable progress in the implementation of their *recent grant awards*, as measured by expenditures and measurable progress in achieving the purpose for which funds were provided.

B. Non-profit Status (For each non-profit applicant and any non-profit serving as a project sponsor)

For applications that involve non-profit organizations that are either the applicant/grantee or a project sponsor, for each nonprofit organization, the application must provide either:

- (a) a copy of the Internal Revenue Service (IRS) ruling that provides tax exempt status for the organization under Sec. 501(c)(3) of the IRS Code; or
- (b) alternative documentation, noted below, that shows that the organization satisfies the criteria provided by the statutory definition of non-profit organization found at 42 USC 12902 (13).

Organizations which have not received this IRS notification as of the application due date, or which can not satisfy the alternative documentation as of that date, cannot serve as a grantee or as a project sponsor.

The statutory definition 42 USC 12902 (13) reads: “The term *nonprofit organization* means any nonprofit organization (including a State or locally chartered, nonprofit organization) that-- (A) is organized under State or local laws; (B) has no part of its net earnings inuring to the benefit of any member, founder, contributor, or individual; (C) complies with standards of financial accountability acceptable to the Secretary; and (D) has among its purposes significant activities related to providing services or housing to persons with acquired immunodeficiency syndrome or related diseases.” The Department interprets the words related diseases to include HIV infection.

Alternative Documentation. The Department interprets this definition to include the following:

- (a) in lieu of a IRS exemption for non-profits in Puerto Rico, a ruling from the Treasury Department of the Commonwealth of Puerto Rico granting income tax exemption under Section 101 of the Income Tax Act of 1954, as amended (13 LPRA 3101);
- (b) that documentation of an IRS ruling of tax exempt status under Sec. 501(c)(4), (6), (7), (9) or (19) is acceptable in lieu of the Sec. 501(c)(3) documentation; and
- (c) that in lieu of the IRS ruling, a nonprofit organization may provide documentation to evidence that it satisfies the statutory definition; HUD would consider as satisfactory the submission of all of the following four items:
 - (1) a certification by the appropriate official of the jurisdiction under whose laws the nonprofit organization was organized, that the organization was so organized and is in good standing;
 - (2) documentation showing that the organization is a certified United Way member agency or other documentation that shows that no inurement of benefits will occur;
 - (3) documentation from a CPA or Public Accountant that the organization has a functioning accounting system that is operated in accordance with generally acceptable accounting principles or that a qualifying entity is designated for that activity, or the United Way member agency certification noted in item 2; and
 - (4) a certified copy of the nonprofit organization’s articles of incorporation, by-laws, statement of purposes, board of director’s resolution or a similar document which includes a provision demonstrating its purpose regarding significant activities for persons living with HIV/AIDS.

Please note that, if a nonprofit organization does not provide the requested documentation, the organization would *not be eligible* to receive funds and serve as the grantee or as a project sponsor. However, that organization could collaborate with eligible nonprofit organizations (e.g. which have the 501(c)(3) designation) or with a government agency that applies for the grant and assist them, for example, in planning for the proposed activities, identifying needs in the community and identifying clients who will be assisted. Eligible grantees and project sponsors may also contract out services that are funded by this grant.

Exhibit 2: Need/Extent of Problem

Describe, on not more than 3 pages, the extent to which the need for the project or the need for continuation of a project is evidenced in the area to be served. Please describe:

1. the extent to which there is a need for funding eligible activities in the area to be served. The applicant may demonstrate that the area to be served has an urgent and unmet need in the eligible population. The applicant should describe the need for:
 - (a) the proposed Special Project of National Significance; describe needs that are not currently addressed by other projects or programs in the area, any unresolved or emerging issues, and/or the need to provide new or alternative forms of assistance that enhance area systems of housing and related care for persons living with HIV/AIDS and their families; or
 - (b) the proposed Project that is part of a Long-term Comprehensive Strategy in an area that does not receive a HOPWA formula allocation; describe the need that is not currently addressed by other projects or programs in this area, any unresolved or emerging issues and/or the need to provide forms of assistance that enhance the community's strategy for providing housing and related services to eligible persons.

The applicant should present statistics and data sources based on soundness and reliability and the specificity of information to the target population and the area to be served. To the extent that the area's Consolidated Plan and Analysis of Impediments to Fair Housing Choice identify the level of the problem and the urgency in meeting the need, references to these documents should be included in the response. Other sound and reliable sources may also be used, including Continuum of Care Homeless Assistance plans, and comprehensive HIV/AIDS housing plans.*

2. If the application proposes to continue the operations of HOPWA funded activities that have been supported by HOPWA competitive funds in prior years, on not more than one additional page please describe how the grant activities operated with reasonable success. An applicant has operated with reasonable success if it evidences that previous HOPWA-funded activities have been carried out and are nearing completion of the planned activities in a timely manner. The applicant should also evidence that performance reports were provided and that benchmarks, if any, in program development and operation have been met, and that the number of persons assisted is comparable to the number that was planned at the time of application.

* If the proposal would address the needs of persons who have been traditionally underserved, please describe this need in this exhibit.

Proposed HOPWA Project / Soundness of Approach

A. Category of Assistance. Check only one of the following two boxes:

- Category 1: Special Projects of National Significance**
- Category 2: Projects which are part of long-term comprehensive strategies for providing housing and related services** in an area that did not qualify for a HOPWA formula award

B. Duplication of Assistance Requested. Please indicate if the applicant or a project sponsor is seeking funding under this HOPWA competition for an activity that is duplicated in an application under the HUD Continuum of Care Homeless Assistance 1998 competition as follows:

- A proposed HOPWA activity is identical and *duplicates funding* requested in an application for HUD continuum of care funding;
- A proposed activity is related but *not identical* to the requested funding.
- No related assistance is being requested.

C. Summary of Persons Assisted. Please provide best estimates in the following table:

	Full Grant Period:
1. Number of persons with HIV/AIDS who will receive some form of housing assistance	
2. Number of family members of the above who will be residing with the person receiving housing assistance	
3. Number of persons with HIV/AIDS who will only be receiving some form of supportive services (persons receiving both services and housing are reported in item 1 above)	

D. Service Area. Please identify the intended service area, i.e., the name of the community or metropolitan area, or, if activities are planned for a state-wide or nation-wide basis:

- Please check if the activities will be carried out in an area that has been designated an Empowerment Zone, an Enterprise Community, a Supplemental Empowerment Zone or an Enhanced Enterprise Community, by HUD or the Department of Agriculture and priority placement will be given to eligible persons whose last know address was within the designated area or who are homeless persons living on the streets or in shelters within the designated area.

E. Project Sponsors and Sites. On a separate page, if needed, identify all the project sponsors that are involved in your proposed project, including the amount of funds each will utilize; and the sponsor’s mailing address, telephone and fax numbers and the name of a contact person. Your narrative on the proposed program activities should also specify which activities each sponsor will be carrying out.

Sites. For projects involving sites, for example, a structure where HOPWA funds will be used for new construction, acquisition, rehabilitation, operating costs, and/or project-based rental assistance, please attach or provide the address of the project site.

Photo. Please attach a photograph of the structure (except for new constructions).

Additional Information

The Department of Housing and Urban Development needs the following information to respond to public inquiries about program benefit. Your responses will not affect in any way the scoring of your submission.

1. Which of the following subpopulations will your project serve? (Check all that apply)
 - Severely Mentally Ill
 - Chronic Substance Abuse
 - Multiply-Diagnosed
 - Victims of Domestic Violence
2. Will the proposed project be located in a rural area? (A project is considered to be in a rural area when the project either (1) is in an area outside of Metropolitan Areas, or (2) is outside of the urbanized areas within a Metropolitan Area.)
 - Yes
 - No
3. Is the sponsor of the project a religious organization, or a religiously affiliated or motivated organization? (Note: This characterization of religious is broader than the standards used for defining a religious organization as "primarily religious" for purposes of applying HUD's church/state limitations. For example, while the YMCA is often not considered "primarily religious" under applicable church/state rules, it would likely be classified as a religiously motivated entity.)
 - Yes
 - No

F. Soundness of Approach: Responsiveness and Model Qualities

On not more than ten pages, the proposal should evidence a soundness in its approach to assisting HOPWA eligible persons, including the responsiveness of planned activities, any model qualities in this approach and any innovation in the provision of housing for eligible persons. Please note that if an application proposes to only use HOPWA funds for supportive services activities, the application must clearly demonstrate that the housing needs of eligible persons in the area are addressed through other means.

1. Responsiveness

The application should describe the activities that will be carried out with HOPWA funds and how these activities and any related efforts ensure that the proposal is responsiveness to the needs of clients. HUD will consider the extent to which the proposed activities address area needs for the project, as demonstrated in exhibit 2. The proposal may demonstrate how:

- The proposed activities respond to the need for housing and related supportive services for eligible persons in the community.
- The proposed activities will offer a personalized response to the needs of clients which maximizes opportunities for independent living, including accessibility of housing units and other structures, and in the case of a family, accommodates the needs of families.
- The proposed activities will result in tangible benefits for the community and for persons with HIV/AIDS and their families, including persons who have been traditionally underserved, as described in exhibit 2.

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- In relation to technical assistance activities proposed in the application, the proposed activities respond to the technical assistance needs of programs which provide or seek to provide housing and related supportive services for HOPWA-eligible persons.

2. Model Qualities.

The proposal should describe the model qualities in offering or expanding housing opportunities for eligible persons. The proposal may demonstrate that the design, planning, operation, coordination with health-care and other supportive services, management oversight and evaluation of activities are appropriate and sufficiently evidenced to serve as a model for replication in other similar communities.

In presenting its qualities, the application may evidence the extent to which the proposed activities are likely to result in measurable accomplishments within an appropriate timeframe and reasonably serve as: a Special Project of National Significance, when compared to other applications and projects funded under this category in the past; or a Project that is part of a Long-term Comprehensive Strategy for providing housing and related supportive services for HOPWA-eligible persons in areas of the nation that do not receive HOPWA formula allocations. The proposal should demonstrate:

- that the proposed activities will be undertaken using technically competent methodologies for conducting the work to be performed which may include a cost effective plan for designing, organizing and carrying out the proposed activities. 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. All activities that include rehabilitation, construction, weatherization, lead-based paint removal and other activities related to site and design must meet or exceed local building codes.
- a potential for yielding a “best practice” that can be replicated and disseminated to other organizations, including nonprofit organizations, and State and local governments. HUD will assess the transferability of results in terms of model programs or lessons learned from the work performed under the award. If selected, the applicant will be required to prepare an analysis of best practices as part of their reports to HUD that may be used by HUD to inform others who may be interested in learning from the experiences gained from the work performed under awards funded through this NOFA.
- in the case of a Project that is part of a Long-term Comprehensive Strategy in an area that does not receive a HOPWA formula allocation, that the proposed project is part of a community strategy involving local, metropolitan or state-wide planning and coordination of housing programs designed to meet the changing needs of low-income persons with HIV/AIDS and their families, including programs providing housing assistance and related services that are operated by Federal, State, local, private and other entities serving eligible persons.

3. Innovation.

The proposal may describe an innovation in the provision of housing for eligible persons. HUD will consider the extent to which the project involves a new program for, or alternative method of, meeting the needs of eligible persons, when compared to other HOPWA applications and projects funded in the past. The Department will consider the extent to which the project design,

management plan, proposed effects, local planning and coordination of housing programs, and proposed activities help to ensure that the innovation or innovative quality will benefit eligible persons. HUD will also consider the extent to which the proposal provides for the evaluation of this innovation or quality in order to measure the benefit(s) and allow for the dissemination of information on the success of the proposed activities in assisting eligible persons and/or in establishing or operating systems of housing and related care for eligible persons.

G. Performance Measures

On not more than two pages, applicants should establish and describe performance goals and objectives that are important in developing the proposed project and that will be used to evidence accomplishments under the HOPWA performance measures. These goals and objectives (i.e. specific, achievable and time-limited statements) will be a basis for a review of project outcomes and help establish the nature of possible findings that would be disseminated to the benefit of other projects.

As standard, program-wide performance measures, applicants should use the following:

1. In the area to be served, increase the number of short-term housing units (that may include access to related supportive services) by an estimated “xx” by the end of the program year.

For example, a transitional program that provides five units used for drug and/or alcohol abuse treatment and counseling and/or mental health services with a plan for client outplacement to other housing.

2. In the area to be served, increase the number of permanent housing units by an estimated “xx” by the end of the program year.

For example, a program designed to offer 25 rental vouchers and guidance to participants in finding housing and help in accessing service components which could assist clients in maintaining daily living activities through an appropriate range of support.

Exhibit 4:

HOPWA Project Budget and Leveraging

A. Project Summary Budget. In column 1, enter the total amount of HOPWA funds that are requested for the activities proposed in your application. The total should include amounts to be used during the project's operating period, which may be up to three years for HOPWA funds. If the planned activities involve other funding sources, please indicate the total budget for the planned activities in column 2, including HOPWA and other funds. If other funds are committed to the project at the time of application, they may be eligible for leveraging under part B of this exhibit. For additional details on eligible activities and limitations, consult the program regulations at 24 CFR 574.300-340.

	1. HOPWA Request	2. Total Budget (HOPWA & other sources)
Acquisition	\$	\$
Rehabilitation, Repair & Conversion	\$	\$
New Construction	\$	\$
Lease	\$	\$
Operating Costs	\$	\$
Supportive Services	\$	\$
Housing Information	\$	\$
Technical Assistance & Resource Identification	\$	\$
Rental Assistance	\$	\$
Short-term Rent, Mortgage & Utility Payments to Prevent Homelessness	\$	\$
Other (name the type of alternative activity that is also described in exhibit 3):	\$	\$
Subtotal of Activity Costs:	\$ (not to exceed \$1,000,000)	\$
Grantee's Administrative Costs:	\$ (not to exceed 3% of Subtotal)	\$
Project sponsor's Administrative Costs:	\$ (not to exceed 7% of amounts received by sponsors)	\$
Project Outcomes:	\$ (not to exceed \$50,000)	\$
Total	\$	\$

Worksheet on Administrative Cost (optional; not required to be filed with the application)

Applications that involve project sponsors are encouraged to fill out the following worksheet to determine the allowable amount of HOPWA funds available for administrative costs of the grantee and the project sponsor(s). The worksheet is intended for the applicant's use in order to reduce the number of budget corrections that have been experienced in prior competitions on this subject. The worksheet is not required to be filed with the application.

Part 1. Grantee administrative costs.

- a. Defined.** The grantee under this HOPWA competition is the entity that applies to HUD for these program funds, for example, the entity that signs the SF-424 and the application certifications. This entity, a State, local government or nonprofit organization, when selected, will assume the responsibilities of administration of the HOPWA projects as provided by the statute, regulations and the grant agreement with HUD.
- b. Limits.** A grantee may not use more than 3 percent of the grant amount for its own administrative costs. The NOFA establishes that the maximum amount that an applicant may receive is \$1,000,000 for program activities (e.g. the housing assistance, supportive services, program development activities that benefit participants) to be used during a three year operating period. In this example, an applicant as the grantee may receive up to an additional \$30,000 for grantee administrative costs, if the maximum amount for program activities is requested.

Please make the following calculation:

a. Amount requested for program activities: (the subtotal from line 13 of Exhibit 4)	\$
b. Multiply by three percent	x 0.03
c. Equals the maximum amount available for grantee administrative costs	= \$
d. Amount being requested in this application (enter the amount from line "c" or a lesser amount) and enter this amount on line 14:	\$

Background note. In cases where the grantee directly carries out the program activities, no additional administrative costs are available for those activities. Applicants should note that the costs of staff that are carrying out the program activities may be included in those program activity costs and that costs may be prorated between categories as may be appropriate. Non-federal funds may also be used for this purpose and may be counted toward leveraging under part B of this exhibit.

Part 2. Project Sponsor(s) administrative costs.

- a. Defined.** A project sponsor under this HOPWA competition is an entity, other than the applicant/grantee, that is designated by the applicant/grantee to participate in their proposal and receive HOPWA competitive funds to carry out HOPWA eligible activities. A project sponsor may be a nonprofit organization or a government housing agency, i.e. an agency that has provided some form of housing or residential assistance to clients (see 24 CFR 574.3).

b. Limits. The NOFA establishes that the maximum amount that an applicant may receive is \$1,000,000 for program activities (e.g. the housing assistance, supportive services, program development activities that benefit participants) to be used during a three year operating period. A project sponsor may receive up to an additional seven percent (7%) of the amount of the program activity funds that this project sponsor receives for administrative costs. For example, if a sponsor will receive \$200,000 for program activities, that sponsor could request up to \$14,000 for its administrative costs.

Please make the following calculation for *each* project sponsor:

a. Name of this project sponsor:	
b. Of the amount requested for program activities (the subtotal from line 13 of Exhibit 4), the amount that is designated for activities to be carried out by this project sponsor:	\$ _____
c. Multiply by seven percent	x 0.07
d. Equals the maximum amount available for this project sponsor's administrative costs	= \$ _____
e. Amount being requested in this application (enter the amount from line "d" above or a lesser amount)	\$ _____

To calculate the total amount for the application request for project sponsor administrative costs:

f. Enter the amounts from line "e" for every project sponsor that is involved in this application (multiple entries are possible):	\$ _____
	\$ _____
	\$ _____
	\$ _____
	\$ _____
g. Add the amounts listed in "f" for the subtotal of project sponsor administrative costs: (enter this subtotal on line 15 of exhibit 4)	sum = \$ _____

Background note. A project sponsor may use up to seven (7) percent of the amount it receives for administrative costs. Only if the maximum amount of program funds is requested and all program activities will be carried out by project sponsors, a maximum amount of \$70,000 would be available for the administrative costs of these sponsors.

This worksheet is optional and it is not required to be filed with the application.

Exhibit 4: Budget (continued)

B. Leveraging

Applicants will receive points to the extent that they document resources that are being brought to the project from other public or private sources. Enter in this chart the cash value of documented cash and in-kind resources from other public (including other Federal) and private sources that are committed to the project during the grant period. Part B is optional in that it is not a required element in determining the technical sufficiency of an application.

Value of Documented Resources

Resource	Page No. of Documentation	Cash Value	HUD Use Only
a. Cash			
b. Non-Cash Resources			
c. Volunteer Time			
d. Contribution of a Building			
e. Contribution of a Building to be Acquired with HOPWA			
f. Contribution of a Leasehold Interest			
Total of all Leveraging		\$	

Supporting Documentation.

To receive leveraging points, applicants need to document the cash value of leveraged resources pledged to the project(s). Appropriate language is described below. Note that HUD will not consider other HOPWA-funded activities, entitlement benefits inuring to eligible persons, or conditioned commitments that depend on future fund-raising or actions.

Applicant or Third Party Cash Resources. If this proposal is funded, (applicant name or third party name) commits \$(amount) (of its own funds, if applicant, or to applicant name, if third party) for (type of activity) to be made available to the HOPWA program. These funds will be available from (date) to (date).

(Signature and Title of authorized representative and date)

Non-Cash Resources. If this proposal is funded, (organization’s name) commits to make available (type of resource) valued at \$(amount) to the HOPWA program proposed by (applicant name). These resources will be made available to the HOPWA program from (date) to (date).

(Signature and Title of authorized representative and date)

The donation of a third party professional service should be valued at the professional’s customary charge. The value of materials to be contributed to the project by a third party or by the applicant may also be counted as leveraging.

Volunteer Time. If this proposal is funded, (name of the organization or of self), commits to provide (number of hours) of volunteer time from (date) to (date) to provide (type of activity) to the HOPWA program proposed by (applicant name). The total value of these services, based on \$10.00 per hour, is \$(amount).

(Signature and Title, and date)

Time to be contributed to the project by volunteers should be valued at \$10.00 per hour. In the case of individuals volunteering their time directly to the applicant, the applicant should list itself as the organization.

Contribution of a Building. If this proposal is funded, (applicant name) pledges the building at (site address) to the HOPWA program. The building has a fair market value of \$(amount). An appropriate independent third party made this assessment which is based on comparable properties in the area.

(Signature of applicants authorized representative and date)

Ownership of a building or portion of a building to be used in the project may be counted as leveraging. The fair market value of the building or portion of the building being contributed may be counted. Do not send an appraisal to HUD, but keep documentation of fair market value on file. The contribution of land (as a leveraged resource for new construction) should be treated the same as contribution of a building. The applicant will need to keep documentation of the fair market value on file, particularly if it is improved land and the applicant wishes to include the value of the improvements in the contribution.

Contribution of a Building to be Acquired with HOPWA Funds. If this proposal is funded, (applicant name) commits the building at (site address) for the HOPWA program. The building has a fair market value of \$(amount). An appropriate independent third party made this assessment which is based on comparable properties in the area.

The HOPWA request for the building is \$(amount). Therefore, the contribution is the difference between the fair market value and the HOPWA request, or \$(amount).

(Signature of applicants authorized representative and date)

The difference between the documented fair market value and the portion paid for with HOPWA funds may be counted as leveraging. Maintain documentation of fair rental value on file.

Contribution of Leasehold Interest. If this proposal is funded, (applicant name) commits the leasehold interest at (site address) for the HOPWA program. The fair rental value of this site is \$(amount) annually, and at constant value will amount to \$(amount) over (term of the lease, up to three years). An appropriate independent third party made this assessment which is based on comparable properties in the area. The total leasing cost over the term of the lease to be paid with HOPWA funds is \$(amount). Therefore, the contribution is the difference between the HOPWA leasing cost and the fair rental value, or \$(amount).

(Signature of applicants authorized representative and date)

The difference between the fair rental value (for a term up to three years) and the cost of the lease to be paid for with HOPWA funds may be counted as leveraging.

Exhibit 5:**Comprehensiveness and Coordination**

On not more than five pages, please describe the proposal's comprehensiveness and coordination. This factor addresses the extent to which the applicant coordinated its activities with other known organizations, participates or promotes participation in a community's Continuum of Care Homeless Assistance planning process (if homeless persons are to be served by proposed activities), the Consolidated Planning process, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community.

Describe the extent to which the proposed activities were planned and are proposed to be carried out with HOPWA funds and other resources in order to provide a comprehensive and responsive range of housing and related supportive services to meet the changing needs of eligible persons. The proposal should demonstrate that housing is provided in conjunction with the client's access to health-care and other supportive services in the area to be served, including assistance provided under the Ryan White CARE Act programs.

The applicant should demonstrate it has:

- (A) 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.
- (B) Been actively involved in its community's Continuum of Care Homeless Assistance planning process (if homeless persons are to be served by proposed activities) and/or the Consolidated Planning process established to identify and address a need/problem that is related in whole, or part, directly, or indirectly to the activities the applicant proposes.
- (C) In the case of technical assistance providers, the applicant will be evaluated on the specific steps it will take to work with recipients of technical assistance services to inform them of, and get them involved in, the community's Continuum of Care Homeless Assistance planning process and/or the jurisdiction's Consolidated Planning process as applicable. The Department will review more favorably those applicants who can demonstrate they are active, or in the case of technical assistance providers, will work with recipients of technical assistance to get them involved in the local Consolidated Planning process.
- (D) Developed linkages, or the specific steps it will take to develop linkages with other activities, programs or projects through meetings, information networks, planning processes or other mechanisms to coordinate its activities so solutions are holistic and comprehensive, including linkages with:
 - other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and
 - other Federal, State or locally funded activities, including those proposed or on-going in the community.

22 Statutory Certifications

HUD is required by law to obtain certain certifications for funding. *Except as noted, all applications must include signed Applicant Certifications (A) and (B).* A signature is also required on the Standard Form 424.

A. Consolidated Plan Certification Requirement

Except as stated below, all applicants must include a Consolidated Plan (hereafter called the plan) certification from the applicable State or local government official responsible for submitting the appropriate plan.

Applicants for projects which will be carried out on a national basis or for projects that are to be located on a reservation of an Indian tribe, Guam, the Virgin islands, American Samoa, or the Northern Mariana Islands are not required to include a Consolidated Plan certification with this application.

Certification of Consistency with Consolidated Plan

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:

Housing Opportunities for Persons With AIDS Program

Name of
Certifying Jurisdiction: _____

Certifying Official
of the Jurisdiction
Name: _____

Title: _____

Signature & Date: _____

B. HOPWA Applicant Certifications

These certified statements are required by law. The Applicant hereby assures and certifies that:

1. Within the HOPWA eligible population, it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000(d)) and regulations pursuant thereto (Title 24 CFR Part I), which state that no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance, and will immediately take any measures necessary to effectuate this agreement. With reference to the real property and structure(s) thereon which are provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer, the transferee, for the period during which the real property and structure(s) are used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.

It will comply with the Fair Housing Act (42 U.S.C. 3601-19), as amended, and with implementing regulations at 24 CFR Part 100, which prohibit discrimination in housing on the basis of race, color, religion, sex, handicap, familial status or national origin, and administer its programs and activities relating to housing in a manner to affirmatively further fair housing. For Indian tribes, it will comply with the Indian Civil Rights Act (25 U.S.C. 1301 *et seq.*), instead of Title VI and the Fair Housing Act and their implementing regulations.

It will comply with Executive Order 11063 on Equal Opportunity in Housing and with implementing regulations at 24 CFR Part 107 which prohibit discrimination because of race, color, creed, sex or national origin in housing and related facilities provided with Federal financial assistance.

It will comply with Executive Order 11246 and all regulations pursuant thereto (41 CFR Chapter 60-1), which state that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal contracts and shall take affirmative

action to ensure equal employment opportunity. The applicant will incorporate, or cause to be incorporated, into any contract for construction work as defined in Section 130.5 of HUD regulations the equal opportunity clause required by Section 130.15(b) of the HUD regulations.

It will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701(u)), and regulations pursuant thereto (24 CFR Part 135), which require that to the greatest extent feasible opportunities for training and employment be given to lower-income residents of the project and contracts for work in connection with the project be awarded in substantial part to persons residing in the area of the project.

It will comply with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended, and with implementing regulations at 24 CFR Part 8, which prohibit discrimination based on handicap in Federally-assisted and conducted programs and activities.

It will comply with the Age Discrimination Act of 1975 (42 U.S.C. 6101-07), as amended, and implementing regulations at 24 CFR Part 146, which prohibit discrimination because of age in projects and activities receiving Federal financial assistance.

It will comply with Executive Orders 11625, 12432, and 12138, which state that program participants shall take affirmative action to encourage participation by businesses owned and operated by members of minority groups and women.

If persons of any particular race, color religion, sex, age, national origin, familial status, or handicap who may qualify for assistance are unlikely to be reached, it will establish additional procedures to ensure that interested persons can obtain information concerning the assistance.

It will comply with the reasonable modification and accommodation requirements of the Fair Housing Act and, as appropriate, the accessibility requirements of the Fair Housing Act and section 504 of the Rehabilitation Act of 1973, as amended.

2. It will provide drug-free workplaces in accordance with the Drug-Free Workplace Act of 1988 (41 U.S.C. 701) by:

-
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantees workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) establishing an ongoing drug-free awareness program to inform employees about -
- (1) the dangers of drug abuse in the workplace;
 - (2) the grantees 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), (b), (c), (d), (e) and (f);
- (h) providing the street address, city, county, state, and zip code for the site or sites where the performance of work in connection with the grant will take place. For some applicants who have functions carried out by employees in several departments or offices, more than one location may need to be specified. It is further recognized that States and other applicants who become grantees may add or change sites as a result of changes to program activities during the course of grant-funded activities. Grantees, in such cases, are required to advise the HUD Field Office by submitting a revised Place of Performance form. The period covered by the certification extends until all funds under the specific grant have been expended.
3. It will comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and the implementing regulations at 49 CFR Part 24.
4. It will comply with the environmental laws and authorities at 24 CFR part 50 which implements the National Environmental Policy Act and related acts. The applicant agrees to supply HUD with information necessary for it to perform any necessary environmental review of each property. The applicant will carry out mitigating measures required by HUD or select an alternate eligible property. The applicant will not acquire, rehabilitate, convert, lease, repair or construct property to provide housing or commit HUD, State, local or other funds to program activities with respect to any eligible property until HUD approval is received.
- 5.
- (a) No Federally 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 any 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.

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.

- (b) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.
- (c) 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 of more than \$100,000 for each such failure.

6. Any building or structure assisted with amounts under this part will be maintained as a facility to provide assistance for eligible persons: (i) for not less than 10 years in the case of assistance involving new construction, substantial rehabilitation or acquisition of a building or structure; and (ii) for not less than three years in cases involving non-substantial rehabilitation or repair of a building or structure.

- 7. It and its principals (see 24 CFR 24.105(p)):
 - (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions (see 24 CFR 24.110) by any Federal department or agency;
 - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in (b) of this certification; and
 - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, such applicant shall attach an explanation behind this page.

HOPWA Applicant Certifications

Signature of Authorized Certifying Official & Date:

X

Title:

Name of Applicant :

For PHA Applicants Only:
PHA Number:

Certification of Consistency with the EZ/EC Strategic Plan

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: _____

Application for Federal Assistance

Please place at front of application before submission.

OMB Approval No. 0348-0043

1. Type of Submission: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <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)
	FAX Number:

6. Employer Identification Number (EIN):

<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	7. Type of Applicant: (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District Other (Specify): H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Non-profit
8. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> 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: **Housing Opportunities for Persons with AIDS (HOPWA) -- Competitive 1998**

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: (Use Exhibit 4.)	16. Is Application Subject to Review by State Executive Order 12372 Process? a. Yes This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date: _____ b. No <input checked="" type="checkbox"/> Program is not covered by E.O. 12372 or <input type="checkbox"/> Program has not been selected by State for review.
	17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes If "Yes," explain below or attach an explanation <input type="checkbox"/> No
	(This area is shaded gray in the original form)

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

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

Instructions for the SF-424

This is a standard form used by applicants as a required facesheet for preapplications 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 1. Self-explanatory.
- Item 2. Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
- Item 3. State use only (if applicable).
- Item 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
- Item 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 and facsimile number of the person to contact on matters related to this application.
- Item 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
- Item 7. Enter the appropriate letter in the space provided.
- Item 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
 - "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.

- Item 9. Name of Federal agency from which assistance is being requested with this application.
- Item 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
- Item 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- Item 12. List the local jurisdiction(s) to be served by the project.
- Item 13. Self-explanatory.
- Item 14. List the applicant's Congressional District and any District(s) affected by the program or project.
- Item 15. Not applicable.
- Item 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.
- Item 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.
- Item 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.)

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 on Assisting Persons with HIV/AIDS:

The NOFA (please circle one):

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

(c) other (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.