

**FY 2001 Application Kit  
for Indian Community Development  
Block Grant Program**

**Sponsored by the U.S. Department of Housing and  
Urban Development**

**Mel Martinez, Secretary**

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# ICDBG FY 2001 FUNDING

## INTRODUCTION

### PROGRAM BACKGROUND

The Indian Community Block Grant Program for Indian Tribes and Alaska Native Villages (commonly referred to as the ICDBG Program) provides eligible grantees with direct grants for use in developing viable Indian and Alaskan Native communities, including decent housing, a suitable living environment, and economic opportunities, primarily for low- and moderate-income persons. The ICDBG Program is authorized by legislation codified at 42 USC Section 5301, et. seq. HUD's regulations implementing the ICDBG Program are located in 24 CFR part 1003. The program is administered by the Office of Native American Programs (ONAP) in HUD's Office of Public and Indian Housing.

ICDBG funds are distributed as annual competitive grants. Funds are allocated to each of the six Area ONAPs. Therefore, you compete for funding only with other tribes or eligible Indian entities within the jurisdiction of the Area ONAP which serves your community. All federally recognized Indian Tribes and Alaska Native Villages are eligible to participate in the ICDBG Program. Projects funded by the ICDBG Program must primarily benefit low- and moderate-income persons. ICDBG funds may be used to improve housing stock, provide community facilities, improve infrastructure, and expand job opportunities by supporting the economic development of the communities, especially by nonprofit tribal organizations or local development corporations.

Fiscal Year (FY) 2001 is the first year the ICDBG Program is included under HUD's Super Notice of Funding Availability (SuperNOFA). The SuperNOFA approach, in which the great majority of HUD's competitive funds are announced in one document, is designed to simplify the application process, bring consistency and uniformity to the application and selection process, and accelerate the availability of funding. Equally important, the SuperNOFA approach is designed to increase the ability of applicants to consider and apply for funding under a wide variety of HUD programs.

The SuperNOFA is comprised of two parts, the General Section and the Program Section. The General Section contains information pertinent to all Programs included in the SuperNOFA and the Program Section contains Program specific information. The General Section and the ICDBG Program Section have been included as part of this application kit for your convenience.

In prior years the application process for funding under the ICDBG Program has been implemented through separate stand-alone NOFAs. This was based, in part, on a determination that the considerations for grant award were substantially different for the ICDBG Program when compared with those included in the SuperNOFA. Based upon closer review, HUD has determined that the SuperNOFA process, especially as it has evolved in the last two years, affords the degree of flexibility necessary to address important distinctions in funding considerations (such as project specific thresholds), while at the same time providing a framework within which application simplification procedures may be implemented.

Certain regulatory changes were required in order to permit the incorporation of the ICDBG Program in the SuperNOFA process. Accordingly, HUD, following a tribal consultation process, issued revised ICDBG Program regulations at §1003.301 and §1003.303, which established the ICDBG application selection and rating procedures.

The primary differences between previous stand-alone ICDBG NOFAs and this year's ICDBG that is a part of the SuperNOFA are the threshold requirements and the rating factors. You will notice that this year, the General Threshold requirements have been significantly reduced. Some of the old threshold requirements were incorporated into the rating factors themselves and others were removed completely. However, the most significant changes occurred to the rating factors.

Under the stand-alone ICDBG NOFAs, the rating factors were project specific. Rating factors differed depending on which type of project (housing, community facilities, and economic development ) was being applied for. This type of organization not only made the application process complicated but also made it difficult to rate projects that were eligible under the statute but did not fit neatly into the 3 project rating categories.

To be included in the SuperNOFA, the ICDBG Program had to adopt rating factors that were standard to all Programs included under the SuperNOFA. As you will see below, these rating factors include Capacity of the Applicant, Need/Extent of the Problem, Soundness of Approach, Leveraging Resources and Comprehensiveness and Coordination. The eligible activities permitted under the ICDBG statute are still the same. However, now each of those projects are evaluated in accordance with the same rating factors. Not only does this decrease the complexity of applying for and evaluating applications, but it also more easily permits the full range of eligible activities under the ICDBG Program to be evaluated. Applicants can now better address rating factor requirements for such activities as homeownership assistance and microenterprises programs.

The General and ICDBG Program Sections of the SuperNOFA are included as part of this application kit. They contain information concerning the Program's purpose, applicant eligibility, eligible activities, selection criteria, and application processing, including how to apply, how selections will be made, and how applicants will be notified of results. You should review both the General and ICDBG Program Sections of the SuperNOFA in their entirety prior to completing your ICDBG application. The General Section and the ICDBG Program Section contains additional information and complete details on application and program requirements.

## **ELIGIBLE APPLICANTS**

To apply for funding in a given fiscal year, an applicant must be eligible by the application submission date.

Eligible applicants are any Indian Tribe, Band, or Nation, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native Village of the United States that is considered an eligible recipient under Title I of the Indian Self-Determination and Education Assistance

Act (25 USC 450) or which had been an eligible recipient under the State and Local Fiscal Assistance Act of 1972 (31 USC 1221). Eligible recipients under the Indian Self Determination and Education Assistance Act will be determined by the Bureau of Indian Affairs. Eligible recipients under the State and Local Fiscal Assistance Act of 1972 are those that have been determined eligible by the Department of the Treasury, Office of Revenue Sharing.

Tribal organizations are permitted to submit applications under §1003.5(b) on behalf of eligible tribes when one or more eligible tribe(s) authorize the organization to do so under concurring resolutions. As is stated in this regulatory section, the tribal organization must itself be eligible under title I of the Indian Self-Determination and Education Assistance Act. A determination of such eligibility must be made by the Bureau of Indian Affairs or the Indian Health Service, as appropriate. This determination must be provided to the appropriate Area ONAP by the application submission date. If a tribe or tribal organization claims that it is a successor to an eligible entity, the appropriate Area ONAP must review the documentation to determine whether it is in fact the successor entity.

Please see the ICDBG Program Section of the SuperNOFA for special requirements for tribal organizations submitting an application for activities in the jurisdiction of one or more eligible tribes or villages in Alaska. Any questions regarding eligibility determinations and related documentation requirements for entities in Alaska should be referred to the Alaska Area ONAP prior to the application submission date.

## **APPLICATION SUBMISSION PROCEDURES**

One original and two copies of the application must be received by the Area ONAP which serves your community by May 23, 2001. Please see the ICDBG Program Section of the SuperNOFA for Area ONAP contact information.

If your application is mailed to your Area ONAP, your application will be considered timely filed if your application is postmarked on or before 12:00 midnight on May 23, 2001, and received by the designated Area ONAP on or within 10 days of the application due date.

If your application is sent by overnight/express mail, your application will be timely filed if it is received before or on May 23, 2001, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date.

If your application is hand-carried to your Area ONAP, your application will be timely filed if it is received during normal business hours before or on May 23, 2001. On May 23, 2001, business hours will be extended to 6:00 p.m. local time. Please be sure to arrive at the Area ONAP with adequate time to submit the application before the 6:00 p.m. deadline on the application due date.

Applications that do not meet the requirements for timeliness will not be evaluated. Facsimile and telegraphic applications are not authorized and shall not be considered.

Follow all delivery instructions above and in the General and ICDBG Program Sections of the SuperNOFA.

### **PLEASE NOTE**

- An applicant may apply for more than one project in a single application. However, only one application may be submitted by, or on behalf of any eligible participant.
- HUD will not accept an application from any applicant that requests more than the maximum grant amount established by each Area ONAP as published in Section II. of the ICDBG Program Section of the SuperNOFA.
- As stated in §1003.300(b), HUD will not reimburse or recognize any costs incurred before submission of the single purpose grant application and will not normally reimburse or recognize costs incurred before HUD approval of an application for funding.

### **INFORMATION CONTACTS**

Additional copies of this application kit or the SuperNOFA may be obtained by calling the HUD SuperNOFA Center at 1-800-HUD-8929 or on the HUD website at <http://www.hud.gov>. If you have questions about this application kit or the program in general, please contact the nearest HUD Area ONAP. Please see the ICDBG Program Section of the SuperNOFA for Area ONAP contact information.

### **VIDEO BROADCAST INFORMATION**

HUD will conduct a video broadcast on the ICDBG Program on March 8, 2001, from 1:00 to 4:00 Eastern time. Within 24-28 hours of this live broadcast, HUD will archive a copy of the broadcast on its web site, <http://www.hud.gov>, to be available for viewing until the last application due date. Tapes of the video broadcast are also available upon request from the HUD SuperNOFA Center at 1-800-HUD-8929. HUD Area Offices of Native American Programs (ONAP) will hold ICDBG training sessions at each of their locations. During the sessions, the video on the ICDBG Program will be aired and staff will respond to questions. Contact your Area ONAP for the times and dates.

### **TECHNICAL ASSISTANCE**

Before the application deadline, Area ONAPs will be available to provide you with technical assistance. However, they cannot provide you with assistance on the actual contents of your application. Section 103 of the HUD Reform Act of 1989 prohibits HUD employees from providing information that would provide a competitive advantage to an applicant of HUD assistance that is distributed on a competitive basis.

Technical assistance includes activities such as explaining and responding to questions concerning program regulations, defining terms in an application kit or package, and providing other forms of technical guidance described in the SuperNOFA.

If applicable, after selection but before award, Area ONAPs will be available to assist you in clarifying or confirming information that is required to address a pre-award requirement or condition.

## **GENERAL TIPS FOR ICDBG APPLICATION PREPARATION**

- Read carefully both the General Section and the ICDBG Program Section of the SuperNOFA. Careful reading will help ensure that your application addresses all of the requirements.
- Note that if there is a discrepancy between information provided in the application kit and the information in either the General Section or the ICDBG Program Section of the SuperNOFA, the information in the SuperNOFA prevails.
- Utilize the following Application Checklist to ensure that you include all required forms, assurances, certifications and other aspects of your application. The Application Checklist can be found in Appendix A of this application kit.
- Use separate tabs for each selection criterion and sub-criterion. In order to be rated, make sure the response is beneath the appropriate heading. Keep responses in the same order as the SuperNOFA. Limit your narrative explanations to 200 words or less and provide the necessary data supporting the response under the appropriate tab.
- Do not assume the reviewer will search elsewhere in the application for information not included under the appropriate tab.
- Do not include documentation that is not required by the selection criteria because irrelevant information will be disregarded during the review of your application.
- Do a preliminary rating for your project, providing a score according to the SuperNOFA point system and submit your preliminary rating with your application.
- Please follow instructions on each form for completing all Standard Forms and HUD forms as identified in the General Section and in the Program Section of the SuperNOFA. All forms located in Part B of this application kit must be submitted with the application.

## **APPLICATION CHECKLIST & FORMS**

- A checklist of items you will need to include in your application submission can be found in Appendix A of this application kit.
- Also, in Appendix A is a brief description of each item included on the checklist and guidance on how to best provide the required information.
- All forms listed on the checklist can be found in Appendix B of this application.



## **ELIGIBLE AND INELIGIBLE ACTIVITIES**

### **ELIGIBLE ACTIVITIES**

Activities that are eligible for ICDBG funding are identified at 24 CFR part 1003, subpart C. Please note that although this subpart has not yet been revised to include the restrictions on activity eligibility which was added to section 105 of the CDBG statute by section 588 of the Quality Housing and Work Responsibility Act of 1998, these restrictions apply. Specifically, ICDBG funds may not be used to assist directly in the relocation of any industrial or commercial plant, facility, or operation, from one area to another, if the relocation is likely to result in a significant loss of employment in the labor market area from which the relocation occurs.

As noted earlier in this application kit, by changing from project specific rating factors to more general rating factors, projects that have always been eligible under part 1003, subpart C of the ICDBG regulation can now more easily evaluated. Two primary examples of such projects are homeownership assistance and microenterprise programs.

Tribes may apply for assistance to provide direct homeownership assistance to low- and moderate-income households to: subsidize interest rates and mortgage principal amounts for low- and moderate-income homebuyers; finance the acquisition by low- and moderate-income homebuyers of housing that is occupied by the homebuyers; acquire guarantees for mortgage financing obtained by low- and moderate-income homebuyers from private lenders (except that ICDBG funds may not be used to guarantee such mortgage financing directly, and grantees may not provide such guarantees directly); provide up to 50 percent of any downpayment required from a low- and moderate-income homebuyer; or, pay reasonable closing costs (normally associated with the purchase of a home) incurred by a low- or moderate-income homebuyer.

Tribes may also apply for assistance to operate programs to fund the development, expansion and stabilization of microenterprises. Microenterprises are defined as commercial entities with five or fewer employees, including the owner. Microenterprise program activities may entail the following assistance to eligible businesses: providing credit, including, but not limited to, grants, loans, loan guarantees, and other forms of financial support for the establishment, stabilization, and expansion of microenterprises; providing technical assistance, advice, and business support services to owners of microenterprises and persons developing microenterprises; and, providing general support, including, but not limited to, peer support programs, counseling, child care, transportation, and other similar services to owners of microenterprises and persons developing microenterprises.

Homeownership and microenterprise programs along with new housing construction, housing rehabilitation, land acquisition, public facilities and improvements and economic development are specifically referred to under IV (K) of the ICDBG Program Section of the NOFA. However, the following eligible activities not clearly identified by the rating factors may be proposed and rated as described below. For a complete description of eligible activities, please refer to Appendix C of this application kit where the specific regulatory language of §1003.200 - 206 has been provided for your guidance.

- **Acquisition of property.** This activity can be proposed as Land to Support New Housing or as part of New Housing Construction, Community Facilities or Economic Development depending on the purpose of the land acquisition.
- **Assistance to Institutions of Higher Learning.** If such entities have the capacity, ICDBG grantees may enter into agreements with such entities to implement eligible activities.
- **Assistance to Community Based Development Organizations (CBDO's).** Grantees may provide assistance to these organizations to undertake activities related to neighborhood revitalization, community economic development or energy conservation. (See specific requirement for new housing projects - they may only be implemented through an organization which is an eligible CBDO as defined in §1003.204 (c).
- **Clearance, Demolition.** These activities can be proposed as part of Housing Rehabilitation, New Housing Construction, Community Facilities or Land to Support New Housing.
- **Code Enforcement.** This activity can be proposed as Housing Rehabilitation. The activity must comply with the requirements at §1003.202. HUD approval is required prior to demolition of any assisted housing.
- **Comprehensive Planning.** This activity is eligible, and can be proposed, as part of any otherwise eligible project to the extent allowed by the 20 percent cap on the grant for planning/administration.
- **Energy Efficiency.** Associated activities can be proposed under Housing Rehabilitation or Community Facilities depending upon the type of energy efficiency activity.
- **Lead Based Paint Abatement and Evaluation.** These activities can be proposed under Housing Rehabilitation.
- **Non-Federal Share.** ICDBG funds can be used as a match for any non-ICDBG funding to the extent allowed by such funding and the activity is eligible under Part 1003, Subpart C.
- **Privately and Publicly Owned Commercial or Industrial Buildings (real property improvements).** These activities can be proposed under Economic Development. Privately owned commercial rehabilitation is subject to the requirements at §1003.202.
- **Privately Owned Utilities.** Assistance to privately owned utilities can be proposed under Community Facilities.
- **Removal of Architectural Barriers.** This includes removing barriers that restrict mobility and access for elderly and severely disabled persons. This activity can be

proposed under Housing Rehabilitation or Community Facilities depending upon the type of structure where the barrier will be removed.

## INELIGIBLE ACTIVITIES

The general rule is that any activity that is not authorized under the provisions of §1003.201 - §1003.206 is ineligible to be assisted with ICDBG grant funds. The regulations at §1003.207 govern ineligible activities and should be referred to for details. The following guidance is provided in determining the eligibility of other activities frequently associated with ICDBG projects.

- **Government Office Space.** Buildings or portions thereof, used predominantly for the general conduct of government cannot be assisted with ICDBG funds. Those buildings include, but are not limited to, local government office buildings, courthouses, and other headquarters of government where the governing body meets regularly. Buildings that contain both governmental and non-governmental services can be assisted as long as the ICDBG funds are used only for the non-governmental sections. Your Area ONAP office should be consulted for projects of this nature.
- **General Government Expenses.** Except as otherwise specifically authorized in the regulations or under OMB Circular A-87, expenses required to carry out the regular responsibilities of the unit of general local government are not eligible for assistance with ICDBG funds.
- **Maintenance and Operation Expenses.** The general rule is that any expenses associated with repairing, operating, or maintaining public facilities and services is generally not eligible for assistance. Specific exceptions to this general rule are operating and maintenance expenses associated with public service activities [§1003.201(e)], office space for program staff employed in carrying out the ICDBG Program [§1003.206(a)(4)], and interim assistance [§1003.201(f)]. For example, where a public service is being assisted with ICDBG funds, the cost of operating and maintaining that portion of the facility in which the service is located is eligible as part of the public service. Examples of ineligible operating and maintenance expenses are maintenance and repair of streets, parks, playgrounds, water and sewer facilities, neighborhood facilities, senior centers, centers for the handicapped, parking facilities, and similar public facilities and, payment of salaries for staff , utility costs, and, similar expenses necessary for the operation of public works and facilities.
- **New Housing Construction.** The construction of new permanent residential structures and any program to subsidize or finance such new construction is ineligible unless provided under the last resort housing provisions at 24 CFR 42; or, carried out by a CBDO pursuant to §1003.204(a).
- **Furnishings and Personal Property.** The purchase of equipment, fixtures, motor vehicles, furnishings, or other personal property not an integral structural fixture is generally ineligible unless it is necessary for use in grant administration (§1003.206); necessary and appropriate for use in a project carried out by a CBDO (§1003.204);

used in providing a public service (§1003.201(e)); or, used as fire fighting equipment (§1003.201(c)(1)(ii)). ICDBG funds may be used, however, to pay depreciation or use allowances (in accordance with OMB Circular A-87 or A-122 as applicable).

- **Construction Tools and Equipment.** The purchase of construction tools and equipment is generally ineligible, but compensation for the use of such tools and equipment through leasing, depreciation, or use allowances pursuant to OMB Circulars A-87 and A-122, as applicable, for an otherwise eligible activities is an eligible use of CDBG funds. Exceptions include construction tools and equipment which can be purchased when used as part of a solid waste facility (§1003.201(c)(1)(ii)) and construction tools only (not equipment) can be purchased for use in a housing rehabilitation project being administered by the recipient using the force account construction method (§1003.202(b)(8)).
- **Income Payments.** The general rule is that assistance shall not be used for income payments for housing or any other purpose. Examples of ineligible income payments include the following: payments for income maintenance, housing allowances, down payments, and mortgage subsidies.

## **PROJECT SPECIFIC THRESHOLDS**

Please note that only project specific thresholds are discussed in this part of the application kit. You should refer to Section II (B) of the General Section and Section V (I) of the ICDBG Program Section of the SuperNOFA for applicable general threshold requirements. You will notice that this year, the General Threshold requirements have been significantly reduced. To streamline the ICDBG application process, some of the old threshold requirements specifically related to the ICDBG Program were incorporated into the rating factors themselves and others were removed completely.

Below, additional guidance or clarification is given to the project specific thresholds found in Section V (J) of the ICDBG Program Section of the SuperNOFA. To ensure completeness, the applicant should use the information provided below in conjunction with the specific requirements listed in the SuperNOFA.

### **HOUSING PROJECTS**

Housing projects include rehabilitation, land acquisition, new construction and homeownership assistance activities. Section V (J)(1) of the ICDBG Program Section of the SuperNOFA lists two threshold requirements that apply to all housing projects. These requirements are:

- You must provide an assurance that households that have been evicted from HUD assisted housing within the past five years will not be assisted by the proposed project, except in emergency situations. The Area ONAP Administrator will review each emergency situation proposed by an applicant on a case-by-case basis to determine whether an exception is warranted.
- You must provide an assurance that the housing project proposed is consistent with, and to the extent possible, identified in, the Indian Housing Plan (IHP)(One -Year Financial Resources Narrative; Table 2, Financial Resources, Part I, Line 1E; and, Table 2, Financial Resources, Part II) submitted by you or on your behalf for the Indian Housing Block Grant Program under the Native American Housing Assistance and Self-Determination Act of 1996 (25 U.S.C. 4101 et seq.). If the IHP for the IHBG program year that coincides with the implementation of the ICDBG proposed project has not been submitted, you must provide an assurance that when submitted, the IHP will specifically reference the proposed housing project.

In addition, Section V (J)(2) thru V(J)(5) lists threshold requirements that apply only to certain types of housing projects. These are listed below. Please note that no other project specific thresholds apply to homeownership projects except those listed above for all types of housing activities.

**Rehabilitation.** You must adopt rehabilitation standards and rehabilitation policies, prior to submitting an application. These standards and policies must be submitted with the application.

You must provide an assurance that:

- All households that receive grant assistance under a housing rehabilitation project will be of low and moderate income status.
- Any house to be rehabilitated will be the permanent non- seasonal residence of the occupants. The residents will live in the unit at least nine months per year.
- Housing designated for eventual replacement will only receive repairs essential for the health and safety of the occupants.
- Project funds will be used to rehabilitate HUD-assisted units only where the tenant/homebuyer's payments are current or the tenant/homebuyer is current in a repayment agreement. In emergency situations the Area ONAP Administrator may grant exceptions to this requirement on a case-by-case basis.
- Houses that have received comprehensive rehabilitation assistance from any ICDBG or other federal grant within the past 8 years will not receive ICDBG funds to make the same repairs if the repairs are needed as a result of abuse or neglect.

Grant funds spent on rehabilitation per house must fall within certain limits established for each Area ONAP. A listing of these limits can be found at V(J)(2)(f).

### **Don't Forget**

- Low and moderate income tenants occupying a rehabilitated dwelling should pay no more than 30 percent of their household income in rent.
- Evidence of public disclosure must be included in the application if any proposed recipient is in the category of "persons covered" as defined in § 1003.606(c). Please note that the public disclosure required by § 1003.606(e) must occur prior to the submission of the application.

**Land acquisition.** Your application must contain information and documentation, such as a preliminary plot plan or its equivalent, establishing that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low and moderate income households with documented housing needs. A clear objective of the applicant must be to make the most effective and economic use of the land proposed for acquisition.

Your application must clearly demonstrate and document housing assistance needs with either a survey that identifies the households to be served, their size, income levels and the

condition of current housing or, if applicable, Table I, Statement of Needs from your Tribe's Indian Housing Plan (IHP). The survey and/or Table I from the IHP must be submitted with the application.

Your application must include evidence of a commitment and an ability to construct at least 25 percent of the housing units to be built on the land proposed for acquisition. This evidence must consist of one (or more) of the following: a firm or conditional commitment to construct (or to finance the construction of) the units; documentation that an approved application for the construction of these units has been submitted to a funding source or entity; or, documentation that these units are specifically identified in the Indian Housing Plan submitted by or on behalf of the applicant as an affordable housing resource with a commensurate commitment of Indian Housing Block Grant (IHBG) resources.

### **Don't Forget**

- If the housing to be built on the land proposed for acquisition is to be provided through a TDHE, there should be no reason why the TDHE cannot provide the commitment for the units.
- Where a dwelling(s) currently exists on the land to be acquired, and you plan to use that unit for housing, you should submit a proposed plan that contains a method for selecting the recipient(s), and a description of the type of housing being acquired. The dwelling must meet tribal or Section 8 housing standards or you should describe how the unit(s) will be brought up to these standards.
- Please refer to §1003.602 for requirements related to any relocation which may occur as a result of the land acquisition project you are proposing. This regulatory section will also provide the requirements you must follow with respect to the acquisition process itself.

**New housing construction.** New housing construction can only be implemented through an organization that is eligible under §1003.204(c). You must provide an assurance that you understand this requirement.

You must include documentation which supports the following determinations in your application:

- All households to be assisted must be of low or moderate income status.
- No other housing is available in the immediate reservation area that is suitable for the households to be assisted.
- No other funding sources including an Indian Housing Block Grant can meet the needs of the households to be served.

- The house occupied by the household to be assisted is not in standard condition and rehabilitation is not economically feasible, or the household is currently in an overcrowded house (sharing house with another household), or the household to be assisted has no current residence. No current residence means that no member of the household to be assisted currently owns, rents, or leases a standard housing unit either on or off reservation. This applies to housing units located on other reservations or other trust properties as well.

You must adopt construction standards and construction policies, prior to submitting your application. You must identify the building code to be used when constructing the houses. The building code may be a tribal building code or a nationally recognized model code. If it is a tribal code, it must regulate all of the areas and sub-areas identified in §200.925(b). If the code is recognized nationally, it must be the latest edition of one of the codes incorporated by reference in §200.925(c).

You must provide an assurance that any house to be constructed will be the permanent non-seasonal residence of the household to be assisted. This household must live in the unit at least nine months per year.

### **Don't Forget**

- The cost of homeowner counseling is an eligible cost under §1003.204 (a) if it is necessary and appropriate to achieve an applicant's community development objectives. It could also be an eligible administrative cost or public service, subject to the restrictions placed upon the use of ICDBG funds for these purposes.
- Evidence of public disclosure must be included in the application if any proposed recipient of assistance is in the category of "persons covered" as defined in §1003.606(c). Please note that the public disclosure required by §1003.606(e) must occur prior to the submission of the application.

## **COMMUNITY FACILITIES**

**Infrastructure.** There are no project specific thresholds for infrastructure projects. However, certain projects may require proof of submission to other Federal agencies for review and comment. See below.



### **Don't Forget**

- For all projects which include provision of water, waste water treatment or solid waste disposal facilities, you should include with the application evidence that the project has been submitted to the Indian Health Service (IHS) for review and comment.
- If the project consists of new or existing community water system improvements (defined as serving more than 25 persons or 15 households), you should provide evidence that the project has been submitted to the Environmental Protection Agency (EPA) for review and comment. The purpose of this review is to establish if the community water system as proposed for repair or construction will produce water which will meet the requirements of the Safe Drinking Water Act.

**Buildings.** If you are proposing a facility which would provide health care services funded by the IHS, you must provide an assurance that the facility meets all applicable IHS facility requirements. It is recognized that tribes which are compacting services from the IHS may establish other facility standards. These tribes must provide an assurance that these standards at least compare to nationally accepted minimum standards. Please see the section titled, Health Care Facilities in this application kit for further guidance.

### **ECONOMIC DEVELOPMENT**

In addition, to establishing that the project is financially feasible and has a reasonable chance of success, section V (J)(8) of the ICDBG Program Section of the SuperNOFA states that economic development assistance may be provided only when a financial analysis is provided which shows the following:

- Public benefit commensurate with the assistance to the business can reasonably be expected to result from the assisted project.
- Reasonable financial support will be committed from non-federal sources prior to disbursement of federal funds.
- Any grant amount provided will not substantially reduce the amount of non-federal support for the activity.
- Not more than a reasonable rate of return on investment is provided to the owner.
- Grant funds used for the project will be disbursed on a pro-rata basis with amounts from other sources.

**MICROENTERPRISE PROJECTS.** There are no project specific thresholds for microenterprise projects.



## RATING FACTORS

### RATING FACTORS POINT AWARDS

<b>Activities Key:</b>		
ED	=	Economic Development
HA	=	Homeownership Assistance
HR	=	Housing Rehabilitation
Land	=	Land Acquisition
Micro	=	Microenterprise Programs
NH	=	New Housing
PFI	=	Public Facilities & Improvements

RATING FACTOR	ACTIVITY	POINTS	SUBPOINTS
Capacity of the Applicant		35 (25 point minimum)	
Admin Capacity	All		20
Performance	All		15
Need/Extent of the Problem		25	
Statement of Need	All		10
Beneficiaries Need or IHBG Amount or Employees Need	PFI, ED NH, HR, Land, HA Micro		15
Soundness of Approach		25	
Viable/Cost Effective	All		5
Other Objectives	All		5
Operation & Maintenance or Maintenance Plan or Business Documents or Program Documents	PFI NH, HR, HA ED Micro		15
Leveraging Resources	All	10	
Comprehensiveness & Coordination	All	5	

In this Section, additional guidance or clarification is given to the rating factors found in Section V(K) of the ICDBG Program Section of the SuperNOFA. To ensure completeness, the applicant should use the information provided below in conjunction with the specific requirements listed in the SuperNOFA.

### **RATING FACTOR 1: CAPACITY OF THE APPLICANT (35 Points)**

#### **25 POINT MINIMUM**

Please keep in mind that a minimum of 25 points must be received under this factor for your proposed activity to be eligible for funding. HUD will not rate any projects further that do not receive a minimum of 25 points under this factor.

The first subfactor assigns up to 20 points based upon your application's ability to document that you possess or can obtain managerial, technical, and/or administrative capability necessary to carry out the proposed project. Your application must address who will administer the project and how you plan to handle the technical aspects of executing the project.

Examples of documentation that would support your claim for points for the above criterion for administrative capacity may include:

- Narrative descriptions of applicants experience with application activity.
- Letters of endorsement from qualified experts such as auditors, federal entities, etc..
- Resumes of the staff involved with the project.
- Description of a contracting entity's or subrecipient's expertise with the application activity.

For example, a housing rehabilitation application would address the housing rehabilitation experience of the staff. It would identify a qualified project manger. It would describe the methods and procedures that the staff will use to address financial management and adhere to OMB Circular A-87. It would adhere to procurement and contract administration in compliance with Part 85 and meet environmental requirements in compliance with Part 58 as well as all other grant administration requirements found at §1003. If you did not have an existing qualified staff, your application would then address via narrative and/or examples of job descriptions, etc. of how you intend to obtain the expertise necessary to administer the activity successfully.

#### **REMEMBER**

**Relate Your Experience to the Specific Type of Activity for which you are Applying.**

The other subfactor assigns up to 15 points based upon your performance in administering ICDBG Grants.

- Area ONAPs will rate this factor based on current information. If you believe supplemental information is needed, please provide.
- Only considers the preceding 12-month period for any open ICDBG grant.
- If there are no open grants, then you will receive the full 15 points.

Area ONAPs are **no longer required** to inform potential applicants of inadequate performance 30 days prior to the application due date. Potential applicants should be working with Area ONAP staff throughout the year to ensure that the potential applicant's performance is in accordance with ICDBG Program requirements.

## **RATING FACTOR 2: NEED/EXTENT OF THE PROBLEM (25 Points)**

The first subfactor assigns up to 10 points based upon a **brief narrative** addressing how your proposed project meets an essential community development need by fulfilling a function critical to the continued existence or orderly development of the community.

The other subfactor assigns up to 15 points based upon who benefits from the proposed activity. The evaluation criteria differs depending on the type of activity being proposed. For:

- Public Facilities and Improvements & Economic Development Projects.  
You must demonstrate that the proposed activities will serve the neediest segment of the population. Guidance on acceptable sources of data is given in Appendix A ICDBG Application Checklist and Guidance (11), of this application kit.
- New Housing, Housing Rehab, Land Acquisition & Homeownership Assistance.  
The amount of the **last executed Indian Housing Block Grant grant agreement** by the tribe or its tribally designated housing entity will be considered for this factor.
- Microenterprise Programs.

The owner(s) of the microenterprise must be low or moderate income **and** the majority of the jobs created or retained must be for low or moderate income persons. To demonstrate the owners are low or moderate income, you may provide an assurance that this is true. To demonstrate the jobs created or retained are for low or moderate income persons you must provide:

- Justification the proposed number of permanent full time equivalent jobs to be created or retained by the project (full and part-time) is realistic.
- Evidence the project can support job costs/salaries.
- Costs of employment related to the jobs claimed must be reflected in the financial projections for the project.

Only full-time equivalent positions will be counted for point award under the rating criterion related to job creation/retention. When several part-time jobs are created or retained and it can be shown that these are long term, a combination of jobs will be counted as full time permanent jobs, e.g., two half-time jobs equal one full-time job. A full-time job is 40 hours per week, 52 weeks per year.

All applications must include a verifiable basis for job projections, including an itemized listing of jobs with wages. Jobs retained are those positions that would be lost if it were not for the ICDBG project. Jobs that are retained only for the period of the grant will not count. Your application must show, clearly and objectively, that jobs will be lost without the ICDBG project.

### **RATING FACTOR 3: SOUNDNESS OF APPROACH (25 Points)**

This factor consists of three subfactors. What you need to demonstrate in the first two subfactors is independent of the type of proposed project. What you need to demonstrate in the third subfactor varies depending on the type of project proposed.

The first subfactor assigns up to 5 points based upon your ability to demonstrate that your proposed project is a viable and cost effective approach to address the identified need. A good description of what information to include is given in the ICDBG Program Section of the SuperNOFA under (V)(K) Rating Factor 3 (1).

The second subfactor assigns up to 5 points based upon your ability to provide supporting information or an assurance that your proposed project will contribute to community objectives other than the direct objective of the project. For a discussion on documenting job creation or retention, please refer to Rating Factor 2 , Microenterprises above.

The third subfactor awards up to 15 points based upon your ability to demonstrate your commitment to sustain your proposed activities. What you need to demonstrate under this subfactor is dependent upon the type of proposed activity. To decrease error, stay focused on only those parts that apply to your specific type of proposed activity.

The following examples highlight, by type of proposed activity, items commonly found missing from applications. Please refer to Section V (K) Rating Factor 3: Soundness of Approach of the ICDBG Program Section of the SuperNOFA for a more detailed breakdown of point awards.

- Public Facilities & Improvements

If the tribe assumes operation and maintenance responsibilities, be certain to include all of the following:

- An operations and maintenance plan. Please refer to Section V (K) Rating Factor 3: Soundness of Approach (3)(a)(i) of the ICDBG Program Section of the SuperNOFA for what aspects must be included in the operations and maintenance plan.
- A resolution that adopts the operations and maintenance plan.
- A resolution specifying dollar amounts committed for operations and maintenance.

If an entity other than the tribe commits to pay of operation and maintenance, the application must contain a **letter of commitment** from the entity that assumes the operation and maintenance responsibilities. Please refer to Section V (K) Rating Factor 3: Soundness of Approach (3)(a)(ii) of the ICDBG Program Section of the SuperNOFA for what aspects must be included in the letter of commitment.

- New Housing Construction, Housing Rehabilitation & Homeownership Assistance

Be certain to include:

- A list of ongoing maintenance responsibilities.
- A list of who is responsible for ongoing maintenance responsibilities.
- If participants are responsible, a statement listing participant maintenance responsibilities that will be signed by participants as a condition of receiving grant assistance.

- Economic Development

In addition to submitting the documents listed in Section V (K) Rating Factor 3: Soundness of Approach (3)(c)(i) through (vii) of the ICDBG Program Section of the SuperNOFA, be certain to include a **narrative** that states your proposed project's chance for financial success.

Be sure to address the following when describing your organizational system and capacity of the entity that will operate the business; the feasibility and market analysis of the proposed business activity and the financial viability of the project

- The product or service the enterprise will produce or perform.
- The location and physical facilities. Be certain to list regional, local and site-specific location and description of existing and proposed facilities.
- If land is to be acquired for the specific economic development project, you should either submit evidence that the land will be taken into trust, or demonstrate

compliance with zoning and other local requirements, and show that the tribe or the entity operating the business has the ability to pay all required taxes on that land.

- Key production factors. Include requirements relating to utilities, transportation access, special technical and/or equipment requirements, market, raw materials, and labor force.
- Jobs/labor available. Include justification that the number of permanent full time equivalent jobs proposed to be created or retained by the project (full and part-time) is realistic. Include evidence that the project can support job costs/salaries. The costs of employment related to the jobs claimed must be reflected in the financial projections for the project. All applications must include a verifiable basis for job projections, including an itemized listing of jobs with wages.
- The developmental entity. Identify the developmental entity to be used (e.g., local development corporation, tribe/village, private developer, joint venture).
- Equipment. For projects that include the purchase of equipment, the appropriateness and cost effectiveness of purchasing versus leasing should be demonstrated. The use of lease financing is encouraged wherever possible to help contain development costs. **Please note that the purchase of equipment as part of an economic development project is eligible only if the project is undertaken through a CBDO -See §1003.204.**
- Financial information. You must submit a detailed cost summary, evidence of funding sources, and five year operating projections of the following: balance sheet, profit and loss statement, cash flow statements, and statement of retained earnings. These projections shall be shown on a monthly basis until the cash flow is positive. Include explanations and rationale for the projections. Include key business ratios, e.g., break-even point, current ratio, quick ratio, debt equity ratio. If the project is the expansion of an existing business, business financial statements for the most recent three year period must be submitted. Current financial or net worth statements on the principal business owners or officers are also needed unless the tribe will be the owner of the business. For acquisition or expansion of existing businesses, financial statements for the most recent three year period shall be submitted in addition to the requirements in the preceding paragraphs.
- Economic strategy and objectives. You must describe how the proposed project will meet the tribe's economic development strategy and objectives (e.g., to create or retain permanent, private sector jobs or provide a product and service needed and affordable to native members).
- Microenterprise Assistance

In addition to submitting the documents listed in Section V (K) Rating Factor 3: Soundness of Approach (3)(d)(i) through (v) of the ICDBG Program Section of the



SuperNOFA, be certain to include a **narrative** that states your proposed project's chance for financial success.

#### **RATING FACTOR 4: LEVERAGING RESOURCES (10 Points)**

The following calculation should be used to determine leverage points.

$$\text{Leveraged Resource Percentage} = \frac{\text{Amount of Allowable non-ICDBG Resources}}{\text{Grant Request} + \text{Allowable non-ICDBG Resources}}$$

where, Grant Request + Allowable non-ICDBG Resources = Total Project Costs.

For example, a tribe requests \$400,000 of ICDBG funds. Their allowable non-ICDBG resources total \$100,000. Therefore, their Total Project Costs is the sum of their grant request plus their non-ICDBG resources or \$400,000 + \$100,000 = \$500,000. So, their leveraged resource percentage is their non-ICDBG resources divided by their Total Project Costs or \$100,000 / \$500,000 = 20%.

#### **DO NOT FORGET**

- Include **signed** resolutions including the committed **dollar amount** towards leverage.
- Add non-ICDBG resources to the grant request to get Total Project Costs. This is a common mistake in calculating leveraged resource percentages.

#### **RATING FACTOR 5: COMPREHENSIVENESS & COORDINATION (5 Points)**

An adopted tribal resolution stating the proposed project is included in an adopted comprehensive community plan must be submitted to receive the full points under this factor. The adopted resolution must identify the title and approval date of the plan and indicate how project implementation will be coordinated with tribal and other efforts directed towards addressing the identified needs. An Indian Housing Plan may be considered a comprehensive plan in cases of new housing, housing rehabilitation, land acquisition projects, and homeownership assistance projects.

If your proposed project is not included in an adopted comprehensive community plan, you still may be able to receive points under this factor. Documentation of active participation in tribal planning efforts to coordinate your proposed project may include such evidence of participation in community meetings and/or consultation with other Federal, State or Local agencies regarding your proposed project.



## **SPECIAL CONSIDERATIONS**

### **ADMINISTRATIVE, PLANNING AND PROJECT COSTS**

As has been stated above, no more than 20 percent of the ICDBG funding requested may be used for administrative or planning costs. To help prepare your Cost Summary (HUD-4123) (see 8e under ICDBG Application Checklist and Guidance section above), please refer to the following guidelines.

**Administrative Costs.** The Cost Summary line item (5 a) for costs related to the general management and oversight of your program will include costs for the following:

- Salaries, wages and related costs of your staff, the staff of local public agencies or other staff engaged in program administration. Program administration includes the following types of assignments:
  - Providing local officials and citizens with information about the program.
  - Preparing program budgets, schedules and amendments thereto.
  - Developing systems for assuring compliance with program requirements.
  - Developing inter-agency agreements and agreements with sub-recipients and contractors to carry out program activities.
  - Monitoring program activities for progress and compliance with program requirements.
  - Preparing reports and other documents for HUD related to the program.
  - Coordinating the resolution of audit and monitoring findings.
  - Evaluating program results against stated objectives.
  - Managing or supervising persons whose primary responsibilities with regard to the program include such assignments as those described above.
- Travel costs incurred for official business in carrying out the program.
- Administrative services performed under third party contracts or agreements including such services as general legal services and accounting services.
- Other costs for goods and services required for the administration of the program including such goods and services such as rental or purchase of equipment, insurance, utilities, office supplies and rental and maintenance but not purchase of office space.

The Cost Summary line item (5 b) for indirect costs will include such costs charged to the program under a cost allocation plan prepared in accordance with OMB Circular A-87.

The Cost Summary line item for audit (5 c) will include the anticipated ICDBG Program share for your A-133 audits. Please note that a separate audit cost dollar amount should not be included if, as is generally the case, audit costs are included as an indirect cost charged to the program.

**Planning Costs.** The Cost Summary line item for costs related to planning (6) will include costs for eligible planning, urban design and policy-planning-management capacity building activities.

**Project Costs.** In the space provided in Section 4 of the Cost Summary, the following costs will be identified:

- Direct costs for the project or activity - e.g., costs of construction.
- The cost of environmental studies necessary to comply with 24 CFR Part 58 and other applicable laws including project specific clearance.
- The cost of construction/rehabilitation inspection.
- Architectural and engineering costs - the cost of engineering and design including the preparation of bid and contract documents.
- Staff and overhead costs directly related to implementing eligible activities.

## **PLANNING PROJECTS**

Please keep in mind the following guidelines should you submit planning activities as part of your application.

- The total cost of planning and administrative activities included in an approved ICDBG Program cannot exceed 20 percent of the total grant. By implication, there can be no "planning only " programs. It would only be possible to fund planning activities if a physical development activity, e.g., hardware type activity were also funded.
- The words " planning activity or project" as used in this context is a generic phrase and is meant to cover all eligible planning, policy planning, and management capacity building activities listed as eligible activities in §1003.205.
- Planning activities do not include engineering or architectural design activities for funded ICDBG hardware projects.
- Planning activities do not include ICDBG project specific environmental clearances.

- Technical assistance activities as defined in §1003.203 are not considered planning activities. The distinction which should be drawn between technical assistance activities and management capacity building activities is that technical assistance activities must be directly related to the implementation of a specifically identified ICDBG activity, previously funded or included in the same application.

In deciding to include planning activities as part of your application, you may want to consider the following questions:

- Will the planning activity as described in the application directly address improvements to management capacity of the applicant through the implementation of a work program to eliminate previously identifiable or known deficiencies?
- Are the planning activities oriented towards a project(s) with a high degree of implementation possibility given the capacity, location, and other pertinent characteristics of the Tribe?
- Will the planning activity produce final products which could be implemented without further study, investigation and research?
- Does the proposed cost of the planning activity have a reasonable relationship to the anticipated products?
- Does the Tribe have a positive history of implementing (or attempting to implement) the results of previous planning activities?
- Has the Tribe received significant amounts of Federal grant assistance in the past for undertaking planning activities?
- Has the Tribe undertaken planning activities of a same or similar nature in the past? If so, what has happened to the plans prepared?

Tribes proposing planning activities should provide a needs justification, project description and cost estimates that meet the standards set forth for other eligible activities proposed for funding. Project specific thresholds and the rating factors in the ICDBG Program Section of the SuperNOFA do not readily accommodate planning activities. For planning activities to be evaluated, the applicant should address or include the following:

- The specific work plan to be undertaken including implementation time frames.
- A project budget which identifies major items of cost.
- A specific description of expected or anticipated work products.
- The required qualifications of the staff or firm to be selected.

- The magnitude and severity of the problems that create the need for the planning activities.
- The cost effectiveness of the activity.
- The anticipated beneficial impacts that the assistance will provide.
- A projection or analysis of plan implementation.
- Other relevant information the Tribe believes is necessary to address the considerations above.

## **HEALTH CARE FACILITIES**

Health care facilities are special buildings with unique and often complex functional requirements. To ensure that the facility, when completed, functions as desired to provide effective health care in a safe and efficient manner, it is highly desirable that applicants for such facilities involve the Indian Health Service (IHS). It is recognized that tribes or villages compacting health care services from the IHS can establish their own facility standards. However, it is advisory that these tribes use as a minimum the same nationally recognized facility standards used by all Federal agencies, Joint Commission on Accreditation of Health Care organizations, the Health Care Financing Administration, and most state health programs. Failure to involve the IHS may jeopardize or delay access to available IHS resources, programs, and funding for operations and maintenance for the new facility. Recommended areas of coordination with IHS are as follows.

**Facility planning.** The proposed health care facility must be on the IHS Area-Wide Master Facilities Plan and after construction on the facilities inventory in order to be eligible for facilities management programs and routine maintenance funding. The applicant must receive written documentation from the local IHS Area Director or headquarters of its inclusion.

If the applicant proposes to lease the health care facility to the IHS, appropriate prior authorization is required from the IHS consistent with its congressionally mandated approval process.

The applicant should justify and assure that it has adequate operational funding for any space within the facility.

It is highly recommended that the applicant hire planning and design professionals experienced in the design and construction of health care facilities.

If the applicant proposes to leverage the project with any IHS funds, it should receive advance written notice from the local IHS Area Director regarding the availability of these funds.

**Facility staffing.** If increased staffing and operating budgets are anticipated from IHS in order to operate the new facility, the facility must be on the IHS Health Facility Priority

System list. If it is not, the applicant should provide an assurance that sufficient alternative sources of funding will be available to support anticipated operational staff increases and other operations costs.

**Facility design and construction.** Facility design should be in accordance with the latest edition of the “AIA Guidelines for Construction and Equipment of Hospital and Medical Facilities” and the “IHS Health Facility Planning Manual, Vols.1 & 2”. Compact applicants should establish and provide their standards for design and construction, if they are different.

The applicant should provide IHS sufficient time to comment at the four stages of design and development of the construction documents prior to advertisement for contractors. The stages are: conceptual, schematic, 50% design, and 100% design.

The applicant should have a registered architect or professional engineer confirm in writing that the facility as constructed ("as-built") is in full compliance with the AIA guidelines and the referenced facility standards.

## **CLARIFYING INFORMATION**

As stated in Section VII of the ICDBG Program SuperNOFA, HUD may contact you after the submission of your application to clarify an item in the application. As indicated, HUD may not seek clarifying information which would improve the substantive quality of what was provided in the application to address any eligibility or selection criteria; no information submitted by you in response to such a request can enhance a project's rating score. In addition, no unsolicited information provided by you will be accepted by HUD.

All requests for clarifying information will be made in writing and will provide a specific, adequate timeframe for response. Failure on your part to provide such information will result in the rejection of the application if HUD determines that in so doing you have failed to achieve compliance with §1003.

## **CORRECTION OF TECHNICAL DEFICIENCIES**

As defined in Section VIII of the ICDBG Program SuperNOFA, a technical deficiency is an error or oversight which, if corrected, would not alter, either in a positive or negative fashion, the review and rating of an application. Examples of such deficiencies include the failure to have an original signature of an authorized official on an application form, or the failure to submit a proper certification. All applications submitted and accepted for processing will be screened for technical deficiencies but only successful applicants, i.e., those whose projects rated high enough to be considered for funding, will be required to address any such deficiencies. The correction of technical deficiencies will be made a pre-award condition.





## IMMINENT THREAT GUIDELINES

As stated in the ICDBG Program Section of the SuperNOFA, \$2,000,000 of the FY 2001 ICDBG allocation is being held in reserve as an Imminent Threat Set-Aside. A grant ceiling of \$350,000 for each Imminent Threat grant has been established. The funds available under this set-aside will be used for grants to alleviate or remove imminent threats to health or safety which require an immediate solution. Please note that the problem to be addressed must be such that an emergency situation would exist if it were not addressed.

The criteria for the funding of these grants and the application process is described in detail in §1003, subpart E. These funds will be granted on a first come, first served basis. Application requirements for imminent threat funding are set forth in Section II of ICDBG Program Section of the SuperNOFA. The following criteria which directly reflect the regulatory requirements of §1003.400 must be addressed by the applicant and will be used in reviewing requests for assistance:

- The existence, urgency and immediacy of the threat must be verified by a qualified entity which is independent of the applicant, e.g., IHS, Bureau of Indian Affairs, a county health department.
- The threat must not be recurring in nature, i.e., it must represent a unique and unusual circumstance that has been clearly identified by the applicant. A recurring problem would be more appropriately addressed by applying for funds under the regular, single purpose ICDBG Program.
- The threat must affect or impact an entire service area and not solely an individual family or household.
- It must be established that funds are not available from other local, state, or Federal sources to address the problem. The applicant must verify that Federal or local agencies which would normally provide assistance for such improvements or corrections have no funds available by providing a written statement to that effect. The applicant must also verify in the form of a tribal council resolution or its equivalent that it has no available funds for this purpose.



# Federal Register

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**Monday,  
February 26, 2001**

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**Part II**

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

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**Super Notice of Funding Availability  
(SuperNOFA) for HUD's Housing,  
Community Development and  
Empowerment Programs and Section 8  
Housing Voucher Assistance for Fiscal  
Year 2001; Notice**

**DEPARTMENT OF HOUSING AND  
URBAN DEVELOPMENT**

[Docket No. FR-4630-N-01]

**Super Notice of Funding Availability  
(SuperNOFA) for HUD's Housing,  
Community Development and  
Empowerment Programs and Section 8  
Housing Voucher Assistance for Fiscal  
Year 2001**

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

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

**SUMMARY:** This Fiscal Year 2001 Super Notice of Funding Availability (SuperNOFA) announces the availability of approximately \$2.75 billion in HUD program funds covering 45 grant categories within programs operated and administered by HUD offices and Section 8 housing voucher assistance.

The General Section of this SuperNOFA provides the application procedures and requirements that are applicable to all the programs in this SuperNOFA. The Programs Section of this SuperNOFA provides a description of the specific programs for which funding is made available and describes any additional procedures and requirements that are applicable to a specific program. Please be sure you read both the General Section and the Program Section of this SuperNOFA to ensure you respond to all the requirements for funding.

**APPLICATION DUE DATES:** *The information in this APPLICATION DUE DATES section applies to all programs that are part of this SuperNOFA.* You, the applicant, must submit a completed application to HUD no later than the application due date established for the program for which you are seeking funding. HUD will not accept for review and evaluation any applications sent by facsimile (fax).

**ADDRESSES AND APPLICATION SUBMISSION PROCEDURES:** *Addresses.* You, the applicant, must submit a complete application to the location identified in the Programs Section of this SuperNOFA. When submitting your application, please refer to the name of the program for which you are seeking funding.

*For Applications to HUD Headquarters.* If your application is due to HUD Headquarters, you must send the application to the following address: Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410 (see the Program Chart or Programs Section for Room

location and additional information regarding the addresses for application submission). Please make sure that you note the room number. The correct room number is very important to ensure that your application is not misdirected.

*For Applications to HUD Field Offices.* If your application is required to be submitted to a HUD Field Office, please see the Programs Section for the exact office location for submission of your application.

*Applications Submission Procedures. Mailed Applications.* Your application will be considered timely filed if your application is 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.* If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date.

*Hand Carried Applications. Hand-carried to HUD Headquarters.* If your application is required to be submitted to HUD Headquarters, and you arrange for the application to be hand carried, hand carried applications delivered before and on the application due date must be brought to the specified location at HUD Headquarters 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, Eastern time. This deadline date is firm. Please make appropriate arrangements to arrive at the HUD Headquarters Building before 12:00 midnight, Eastern time, on the application due date.

*Hand-carried to HUD Field Office.* If your application is required to be submitted to a HUD Field Office, your application must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the Programs Section of the SuperNOFA. A hand carried application will be accepted at the specified HUD Field Office during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 pm, local time. (Appendix A-1 to this General Section of the SuperNOFA lists the HUD Field Offices. Please call to find out the hours of operation.) Please be

sure to arrive at the HUD Field Office with adequate time to submit the application before the 6:00 pm deadline on the application due date.

*Copies of Applications to HUD Offices.* The Programs Section of this SuperNOFA may specify that to facilitate the processing and review of your application, a copy of the application also must 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 directions of the Programs Section to ensure that you submit your application to the proper location. For some programs, HUD requests additional copies in order to expeditiously review your application, and to ensure that all reviewers receive complete applications to review. HUD appreciates your assistance in providing the copies. Please note that for those applications for which copies are to be submitted to the Field Offices and HUD Headquarters, timeliness of submission will be based on the time your application is received at HUD Headquarters.

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

The information in this section is applicable to all programs that are part of this SuperNOFA. This section describes how you may obtain application kits, further information about the SuperNOFA and technical assistance. A guidebook to HUD programs, titled "Connecting with Communities: A User's Guide to the HUD Programs and the 2001 SuperNOFA process" is available from the SuperNOFA Information Center and the HUD website at [www.hud.gov/grants](http://www.hud.gov/grants). This guidebook provides a brief description of all of HUD's programs, a description of the SuperNOFA programs, and eligible applicants for these programs, and examples of how programs can work in combination to serve local community needs. The main sources for obtaining this information are:

The SuperNOFA Information Center, which you may reach by calling 1-800-HUD-8929 or the Center's TTY number at 1-800-HUD-2209; and

HUD's web site on the Internet at <http://www.hud.gov/grants>.

*For Application Kits and SuperNOFA User Guide.* HUD is pleased to provide you with the FY 2001 application kits and/or a guidebook to all HUD programs that are part of this SuperNOFA. For some announcements of funding

availability in this SuperNOFA, the process for applying for funds is so simple no application kit is required. Where this is the case, the program section for that funding will note that there is no application kit. The application kits are designed to guide you through the application process and ensure that your application addresses all requirements for the program funding you are seeking. *Please note that if there is a discrepancy between information provided in the application kit and the information provided in the published SuperNOFA, the information in the published SuperNOFA prevails.* Therefore, please be sure to review your application submission against the requirements in the SuperNOFA.

You may request general information and application kits from the SuperNOFA Information Center. When requesting an application kit from the SuperNOFA Information Center, please refer to the name of the program 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). To ensure sufficient time to prepare your application, requests for application kits can be made immediately following publication of the SuperNOFA. The SuperNOFA Information Center opens for business simultaneously with the publication of the SuperNOFA.

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. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. Additionally, you can obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov/grants>.

**Consolidated Application Submissions.** If you, the applicant, would like to apply for funding under more than one program in this SuperNOFA, you need only submit one originally signed SF-424 and one set of original signatures for the other standard assurances and certifications, accompanied by the matrix that is provided in each application kit. As long as you submit one originally signed set of these documents with an application, you need only submit copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications.

Additionally, the Programs Section may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA.

**For Further Information.** For answers to your questions about this SuperNOFA, you have several options. You may call, during business hours, the SuperNOFA Information Center at 1-800-HUD-8929, or you may contact the HUD Office or Processing Center serving your area at the telephone number listed in the application kit for the program in which you are interested. If you are a person with a hearing or speech impairment you may call the Center's TTY number at 1-800-HUD-2209. You may also obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov/grants>.

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

**Satellite Broadcasts.** HUD will hold information broadcasts via satellite for potential applicants to learn more about the programs in this SuperNOFA and preparation of the applications. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov/grants>.

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

This law also requires OMB to consult with the grantee community as it works with the Federal agencies to develop

and implement the course of action that would be undertaken by the Federal agencies to establish an electronic site for accessing grant information and applications. Over the last few months, OMB has been conducting outreach sessions informing you of the goals of this new law and seeking your input as the Federal agencies work together to achieve implementation.

HUD has been an active member in the Federal agency working groups and has established a common website where you can find information about all the grant programs within HUD. You can access this site from our homepage at [www.hud.gov/grants](http://www.hud.gov/grants) and checking on grant program inventory. This site will be linked with other Federal agencies as the grants common website develops. If you are interested in finding out more about the "Federal Commons" and the work being done by other agencies, please visit the Inter-Agency Electronic Grants Committee (IAEGC) website at [www.fedcommons.gov](http://www.fedcommons.gov).

## INTRODUCTION TO THE FY 2001 SUPERNOFA

### HUD'S FY 2001 SuperNOFA Process

#### Background

This year marks the fourth year that HUD is issuing a SuperNOFA for almost all of its competitive grant programs, and additional programs have been added as noted below. The SuperNOFA approach, in which the great majority of HUD's competitive funds are announced in one document, is designed to simplify the application process, bring consistency and uniformity to the application and selection process, and accelerate the availability of funding. Equally important, the SuperNOFA approach is designed to increase the ability of applicants to consider and apply for funding under a wide variety of HUD programs. The SuperNOFA provides a "menu" of HUD competitive 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.

The most creative and novel element of the SuperNOFA is that it places heavy emphasis on the coordination of activities assisted by HUD funds to provide (1) greater flexibility and responsiveness by potential grantees in meeting local housing and community development needs, and (2) greater

flexibility for eligible applicants to determine what HUD program resources best fit the community's needs. The SuperNOFA's promotion of coordination and comprehensive planning of HUD assistance reduces duplication in the delivery of services by organizations and communities, and allows for delivery of a wider more integrated array of services, thereby resulting in more efficient use of HUD funds to more effectively serve a greater number of those most in need of HUD assistance.

#### *Changes Made in the SuperNOFA Process for FY 2001*

The FY 2001 SuperNOFA includes more grant assistance funding than in previous years and therefore further increases the ability of applicants to consider and apply for funding under a wide variety of HUD programs. Funding availability announcements that are being added to the Fiscal Year 2001 SuperNOFA are the following:

- Assisted Living Conversion Program (ALCP) for Eligible Multifamily Projects
- Community Development Block Grants for Indian Tribes and Alaska Native Villages
  - Early Doctoral Research Program
  - Doctoral Research Program
  - HUD Urban Scholars Fellowship Program (a post doctoral program)
  - Family Self-Sufficiency (FSS) Program Coordinators Program
  - Healthy Homes Demonstration and Education Program (replacing the Healthy Homes Initiative Program of Fiscal Year 2000)
  - Healthy Homes Research Program (replacing the program for Research to Improve the Evaluation and Control of Residential Lead-Based Paint)
  - Indian Housing Drug Elimination Program
  - Service Coordinators in Multifamily Housing

With respect to the program NOFA for the Community Development Block Grants for Indian Tribes and Alaska Native Villages (ICDBG), a rule that amends the regulations for this program was published on January 17, 2001 (66

FR 4578) and takes effect on April 16, 2001.

Funding availability announcements that were part of the Fiscal Year 2000 SuperNOFA but for which there will be no funding availability announcements in FY 2001 are the following:

- Public Housing Drug Elimination Technical Assistance for Safety and Security
- Outreach and Assistance Training Grants

#### *Organization of the SuperNOFA*

The SuperNOFA is divided into two major sections. The General Section of the SuperNOFA describes the procedures and requirements applicable to all applications. The Programs Section of the SuperNOFA describes each program that is part of this SuperNOFA. For each program, the Programs Section describes the eligible applicants, eligible activities, factors for award, 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) for which you are applying. Your careful reading will ensure that you apply for program funding for which your organization is eligible to receive funds and that you fulfill all the requirements for that program(s).

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 that are part of this SuperNOFA. HUD programs that provide assistance for, or complement, similar activities (for example, the Continuum of Care programs and CPD Technical Assistance programs) have a consolidated application that reduces the administrative and paperwork burden applicants would otherwise encounter in submitting a separate 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.

As we did in last year's SuperNOFA, HUD is providing copies of the application forms in this publication. The standard forms, certifications and assurances applicable to all programs, or the great majority of programs, in the SuperNOFA follow the General Section as Appendix B. The forms and any additional certifications and assurances that are unique to the individual program will follow that program section of the SuperNOFA.

The specific statutory and regulatory requirements of the programs that are part of this SuperNOFA continue to apply to each program. The SuperNOFA will identify, 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. Note that not all applicants are eligible to receive assistance under all programs identified in this SuperNOFA.*

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

The programs that are part of this SuperNOFA are identified in the chart below. The approximate available funds for each program are based on appropriated funds, and for some programs, the available funding includes funds already recaptured. In the event (1) HUD recaptures funds (either for programs for which funding already reflects recaptured funds or other programs for which funding does not reflect recaptured funds), or (2) other funds become available for any program, HUD reserves the right to increase the available funding amount for a program by the additional amounts that become 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.

**BILLING CODE 4210-32-P**

## HUD FY 2001 SUPERNOFA FUNDING

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
<b>HOUSING AND COMMUNITY DEVELOPMENT</b>			
<b>Community Development Technical Assistance (TA)</b>	<b>Up to \$21.18</b>		
Community Housing Development Organization (CHDO) TA  CFDA No. 14.239 OMB Approval No.:2506-0166	Up to \$7.6 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOME TA  CFDA No. 14.239 OMB Approval No.:2506-0166	Up to \$8 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
McKinney-Vento Act Homeless Assistance Programs TA  CFDA No. 14.235 OMB Approval No.:2506-0166	Up to \$3 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOPWA TA  CFDA No. 14.241 OMB Approval No.:2506-0133	Up to \$2.580 million	May 22, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Offices
<b>Community Development Block Grant Assistance</b>	<b>Up to \$71.3 million</b>		
Community Development Block Grants for Indian Tribes and Alaska Native Villages  CFDA No. 14,862 OMB Approval No.: 2577-0191	Up to \$71.3 million	May 23, 2001	HUD Area ONAP Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
<b><i>UNIVERSITY AND COLLEGE PARTNERSHIPS</i></b>			
<b>University and College Programs</b>	<b>\$ 27.5 million</b>		
Community Outreach Partnership Centers (COPC)  CFDA No: 14511 OMB Approval No.:2528-0180	\$8 million	June 1, 2001	HUD Headquarters Room 7251
Historically Black Colleges and Universities (HBCUs) Program  CFDA No.: 14.237 OMB Approval No.: 2506-0122	\$10 million	June 1, 2001	HUD Headquarters Room 7251 and one copy to local HUD Field Office
Hispanic-Serving Institutions Assisting Communities (HSIAC) Program  CFDA No.: 14.514 OMB Approval No.:2528-0198	\$6.5 million	June 1, 2001	HUD Headquarters Room 7251
Alaska Native/Native Hawaiian Institutions Assisting Communities Program (AN/NHIAC)  CFDA No.: 14.515 OMB Approval No.:2528-0206	\$3 million	June 1, 2001	HUD Headquarters Room 7251
<b><i>FAIR HOUSING OUTREACH, ENFORCEMENT AND HOUSING COUNSELING</i></b>			
<b>Fair Housing and Housing Counseling Programs</b>	<b>\$34.05 million</b>		
Fair Housing -- Private Enforcement Initiative (PEI)  CFDA No.: 14.410 OMB Approval No.: 2539-0033	\$10.5 million	May 2, 2001	HUD Headquarters Room 5224
Fair Housing -- Education and Outreach Initiative (EOI)  CFDA No.: 14.409 OMB Approval No.: 2539-0033	\$3.9 million	May 2, 2001	HUD Headquarters Room 5224

<b>Program Name</b>	<b>Funding Available (funding is approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
Fair Housing Organizations Initiative (FHOI)  CFDA No.: 14.413 OMB Approval No.: 2539-0033	\$2.1 million	May 2, 2001	HUD Headquarters Room 5224
Housing Counseling -- Local Housing Counseling Agencies  CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$6.6 million	May 3, 2001	Appropriate HUD Homeownership Center (HOC)
Housing Counseling -- National, Regional, and Multi-State Intermediaries  CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$9.95 million	May 3, 2001	HUD Headquarters Room 9166
Housing Counseling -- State Housing Finance Agencies  CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$1 million	May 3, 2001	Appropriate HUD Homeownership Center (HOC)
<b><i>HEALTHY HOMES AND LEAD HAZARD CONTROL</i></b>			
<b>Healthy Homes and Lead Hazard Control Programs</b>	<b>\$66 million</b>		
Lead-Based Paint Hazard Control Program  CFDA No.: 14.901 OMB Approval No.: 2539-0015	\$59 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206
Healthy Homes Research  CFDA No.: 14.901 OMB Approval No.: 2539-0010	\$1.5 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206



<b>Program Name</b>	<b>Funding Available (funding is approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
Healthy Homes Demonstration and Education Program  CFDA No.: 14.900 OMB Approval No.: 2539-0015	\$5.5 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206
<b><i>PUBLIC AND INDIAN HOUSING REVITALIZATION AND DEMOLITION</i></b>			
<b>Revitalization and Demolition Programs</b>	<b>\$565 million</b>		
HOPE VI Revitalization Grants  CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$490 million	June 22, 2001	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
HOPE VI Demolition Grants  CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$75 million	July 10, 2001	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
<b><i>DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING</i></b>			
<b>Drug Elimination Programs</b>	<b>\$49.15 million</b>		
Public Housing Drug Elimination - Technical Assistance (DETAP)  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$900,000	July 27, 2001	HUD Headquarters Room 4206 and one copy to appropriate local HUD Field Office or Area ONAP Office
Indian Housing Drug Elimination Program  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$12 million	April 24, 2001	IHDE-IRC P.O. Box 14970 Silver Spring, MD

<b>Program Name</b>	<b>Funding Available (funding is approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
Drug Elimination New Approach Anti-Drug Program (Formerly Safe Neighborhood Grant)  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$20 million	June 19, 2001	Appropriate Multifamily Hub or Program Center or Area ONAP Office
Drug Elimination Grants for Multifamily Low Income Housing  CFDA No.: 14.193 OMB Approval No.: 2502-0476	\$16.25 million	May 23, 2001	Appropriate Multifamily Hub or Program Center
<b><i>ECONOMIC DEVELOPMENT AND EMPOWERMENT</i></b>			
<b>Economic and Empowerment Programs</b>	<b>\$187.6 million</b>		
Economic Development Initiative  CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$10.7 million	July 6, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Brownfields Economic Development Initiative  CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$25 million	May 22, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Self-Help Homeownership Opportunity Program (SHOP)  CFDA No.: 14.247 OMB Approval No.: N/A	\$20 million	May 29, 2001	HUD Headquarters Room 7251
Youthbuild  CFDA No.: 14.243 OMB Approval No.: 2506-0142	\$52.9 million	May 30, 2001	HUD Headquarters Room 7255 and one copy to appropriate local HUD Field Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
ROSS for Resident Management and Business Development  CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$6 million	May 24, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Capacity Building and Conflict Resolution  CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$5 million	May 24, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Resident Service Delivery Models  CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$24 million	June 26, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Service Coordinator Renewals  CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$20 million	June 28, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rural Housing and Economic Development Program  CFDA No.: 14.250 OMB Approval No.: 2506-0169	\$24 million	April 6, 2001	HUD Headquarters Room 7255

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
<b>TARGETED HOUSING, HOMELESS AND SECTION 8 VOUCHER ASSISTANCE</b>			
<b>Targeted Housing and Homeless Assistance Programs</b>	<b>\$1591.8 million</b>		
Continuum of Care Homeless Assistance - Supportive Housing CFDA No.: 14.235 - Shelter Plus Care CFDA No.: 14.238 - Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) CFDA No.: 14.249 OMB Approval No.: 2506-0112	\$850 million	May 31, 2001	HUD Headquarters Room 7270 and one copy to appropriate local HUD Field Offices
Housing Opportunities for Persons with AIDS  CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$25.5 million	April 24, 2001 (for renewals)  June 13, 2001 (new requests)	HUD Headquarters Room 7251 and two copies to appropriate local HUD Field Office
Section 202 Supportive Housing for the Elderly  CFDA No.: 14.157 OMB Approval No.: 2502-0267	\$495.9 million	May 25, 2001	Appropriate local HUD Multifamily HUB or Multifamily Program Center
Section 811 Supportive Housing for Persons with Disabilities  CFDA No.: 14.181 OMB Approval No.: 2502-0462	\$121.2 million	May 25, 2001	Appropriate local HUD Multifamily Hub or Multifamily Program Center
Assisted Living Conversion Program for Eligible Multifamily Projects  CFDA No.: 14.314 OMB Approval No.: 2502-0542	\$75 million	June 21, 2001	Appropriate Multifamily Hub Office
Service Coordinators in Multifamily Housing  CFDA No.: 14.191 OMB Approval No.: 2577-0198	\$24.2	June 21, 2001	Appropriate local HUD Multifamily Hub Office or Multifamily Program Center
<b>Section 8 Housing Vouchers for Persons with Disabilities</b>	<b>\$139.1 million</b>		

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Mainstream Housing Opportunities for Persons with Disabilities  CFDA No.: 14.857 OMB Approval No.: 2577-0169	\$54.1 million	July 20, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Assistance for Non-Elderly Persons with Disabilities Related to Certain Types of Section 8 Project-Based Developments and Sections 202, 221(d) and 236 Developments  CFDA No.: 14.857 OMB Approval No.: 2506-0169	\$20 million	June 15, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Assistance for Non-Elderly Persons with Disabilities in Support of Designated Housing Plans  CFDA No.: 14.857 OMB Approval No.: 2577-0169	\$20 million	May 16, 2001 (for submittal of Designated Housing Plans only)  July 24, 2001 (for submittal of entire application)	Special Applications Ctr, Room 2401 77 West Jackson Blvd, Chicago, IL  Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Certificate Housing Choice Voucher Family Self-Sufficiency (FSS) Program Coordinators  CFDA No.: 14.855 & 14.857 OMB Approval No.: 2577-0198	\$45 million	April 25, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
<b><i>OTHER EDUCATIONAL PROGRAMS</i></b>			
<b>Doctoral Education Programs</b>	<b>Up to 1.3 million</b>		
Early Doctoral Student Research Grant Program  CFDA No.: 14.517 OMB Approval No.: Pending	\$150,000	April 26, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850
Doctoral Dissertation Research Grant Program  CFDA No.: 14.516 OMB Approval No.: 2528-0213	\$600,000	April 26, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850
HUD Urban Scholars Fellowship Program  CFDA No.: 14.518 OMB Approval No.: 2528-0214	\$550,000	June 5, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850

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

## GENERAL SECTION OF THE SUPERNOFA

### I. Authority; Purposes of the FY 2001 SuperNOFA; Funding Amount; Eligible Applicants and Eligible Activities

(A) *Authority.* HUD's authority for making funding under this SuperNOFA is the Fiscal Year 2001 Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 2001 (Pub.L. 106–377, approved October 27, 2000) (FY 2001 HUD Appropriations Act). Generally, the authority is not repeated in the individual program sections of this SuperNOFA. The authority provision of the program sections identify additional laws and regulations that authorize the requirements listed for the funding competitions that make up this SuperNOFA.

(B) *Purposes.* The purposes of this SuperNOFA are to:

(1) *Make funding available to empower communities and residents.* The funding made available by this SuperNOFA will assist community leaders and residents, particularly low- and moderate-income residents, in using HUD funds to develop viable communities and provide decent housing for all citizens, without discrimination.

(2) *Simplify the application process for funding under HUD programs.* For the majority of funding that is part of this year's SuperNOFA, the SuperNOFA continues to provide a single, uniform set of rating factors and submission requirements. This year's SuperNOFA also allows, as did last year's, for you, the applicant, to apply for more than

one program with a single application. This year's SuperNOFA also includes funding for the Housing Choice Voucher Program that is available on a first come, first serve basis.

(3) *Promote comprehensive approaches to housing and community development.* Through the SuperNOFA process, HUD encourages you, the applicant, to focus on the interrelationships that exist in a community and in HUD's funding programs, and to build community-wide efforts that coordinate the resources of multiple applicants and programs. To successfully address community needs and solve community problems, and to take advantage of existing resources, HUD encourages members of a community to join together and pool all available resources in a common, coordinated effort. By making all of HUD's competitive funding available in one document, HUD allows you, the applicant, to be able to relate the activities proposed for funding under this SuperNOFA to the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice.

(C) *Funding Available.* As noted in the Introduction Section to the SuperNOFA, the HUD programs that are part of this SuperNOFA are allocated amounts based on appropriated funds. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding amounts by the amount of funds recaptured.

(D) *Restrictions on the Use of HUD Funds in Support of the Sale of Tobacco Products.* Section 211 of the FY 2001 HUD Appropriations Act requires that funds appropriated to HUD may not be used to construct, operate, or otherwise benefit a facility or facilities with a designated portion of that facility which sells or intends to sell predominantly cigarettes or other tobacco products. The Act defines the predominant sale of cigarettes or other tobacco products to mean sales representing more than 35 percent of the annual total in-store, non-fuel sales.

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

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

Except as may be modified in the Programs Section of this SuperNOFA, or as noted within the specific provisions of this Section II, the requirements, procedures and principles listed below apply to all programs that are part of this SuperNOFA. Please be sure to read the Programs Section of the SuperNOFA

for additional requirements or information.

(A) *Statutory Requirements.* To be eligible for funding under this SuperNOFA, you, the applicant, must meet all statutory and regulatory requirements applicable to the program or programs for which you are seeking funding. If you need copies of the program regulations, they are available from the SuperNOFA Information Center or through the Internet at the HUD web site located at <http://www.hud.gov>. Among the reasons that HUD may find an application ineligible to receive further funding consideration is if the activities or projects proposed in the application are not eligible activities and projects. In addition (with the exception of the Section 202 and Section 811 programs) HUD may eliminate the ineligible activities from funding consideration and reduce the grant amount accordingly.

(B) *Threshold Requirements.* (1) *Compliance with Fair Housing and Civil Rights Laws.* With the exception of Federally recognized Indian tribes and their instrumentalities, all applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a). If you are a Federally recognized Indian tribe, you must comply with the nondiscrimination provisions enumerated at 24 CFR 1000.12.

If you, the applicant—

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

(b) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(c) Have received a letter of noncompliance findings under Title VI, Section 504, or Section 109,—

HUD will not rate and rank your application under this SuperNOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(2) *Other Threshold Requirements.* The program section for the funding for which you are applying may specify other threshold requirements.

Additional threshold requirements may be identified in the discussion of "eligibility" requirements in the program section.

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

(D) *Affirmatively Furthering Fair Housing.* Unless otherwise specified in the Programs Section of this SuperNOFA, if you are a successful applicant, you will have a duty to affirmatively further fair housing. Again, except as may be provided otherwise in the Programs Section of this SuperNOFA, you, the applicant, should include in your application or work plan the specific steps that you 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, you, the applicant, have a duty to carry out the specific activities provided in your responses to the SuperNOFA rating factors that address affirmatively furthering fair housing. Please see the Programs Section of this SuperNOFA for further information.

(E) *Economic Opportunities for Low and Very Low-Income Persons (Section 3).* Certain programs in this SuperNOFA require recipients of assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements subpart E of this part. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will 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. As noted in the Programs Section of this SuperNOFA, Section 3 is applicable to the following programs:

- Community Development Block Grant Program for Indian Tribes and Alaska Native Villages;
- Historically Black Colleges and Universities (HBCU);

- Hispanic-Serving Institutions Assisting Communities (HSIAC);
  - Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC)
  - Lead-Based Paint Hazard Control;
  - Healthy Homes Demonstration and Education Program;
  - Healthy Homes Research Program;
  - HOPE VI Public Housing Revitalization and Demolition;
  - Indian Housing Drug Elimination Program;
  - Public Housing Drug Elimination Program—New Approach Anti-Drug Program
  - Resident Opportunities and Self-Sufficiency Program
  - Economic Development Initiative (EDI);
  - Brownfields Economic Development Initiative (BEDI);
  - Self-Help Homeownership Opportunity Program (SHOP);
  - Youthbuild Program;
  - Continuum of Care Homeless Assistance Programs;
  - Housing Opportunities for Persons with AIDS (HOPWA);
  - Section 202 Supportive Housing for the Elderly Program;
  - Assisted Living Conversion Program;
  - Section 811 Supportive Housing for Persons with Disabilities Program;
- (F) *Relocation.* Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by Federal relocation statute and regulations. Specifically, this type of move is covered by the 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. The relocation requirements of the URA and the governmentwide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of acquisition, rehabilitation or demolition for an activity undertaken with HUD assistance.

(G) *Forms, Certifications and Assurances.* You, the applicant, are required to submit signed copies of the standard forms, certifications, and assurances listed in this section, unless the requirements in the Programs

Section specify otherwise. Also, the Programs Section may specify additional forms, certifications, assurances or other information that may be required for a particular program in this SuperNOFA.

As part of HUD's continuing efforts to improve the SuperNOFA process, several of the required standard forms have been simplified this year. The standard forms, certifications, and assurances are as follows:

- Standard Form for Application for Federal Assistance (SF-424) (which includes civil rights/fair housing certification);
  - Federal Assistance Funding Matrix and Certifications, HUD-424M;
  - Standard Form for Budget Information—Non-Construction Programs (SF-424A) or
  - Standard Form for Budget Information—Construction Programs (SF-424C), as applicable;
  - Standard Form for Assurances—Non-Construction Programs (SF-424B) or
  - Standard Form for Assurances—Construction Programs (SF-424D), as applicable; Drug-Free Workplace Certification (HUD-50070);
  - Certification of Payments to Influence Federal Transaction (HUD-50071) and if engaged in lobbying, the Disclosure Form Regarding Lobbying (SF-LLL); (Tribes and tribally designated housing entities (TDHEs) 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.)
  - Applicant/Recipient Disclosure/Update Report (HUD-2880);
  - Certification Regarding Debarment and Suspension (HUD-2992). This is the 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.);
  - Certification of Consistency with EZ/EC Strategic Plan (HUD-2990);
  - Certification of Consistency with the Consolidated Plan (HUD-2991) if applicable;
  - Acknowledgment of Application Receipt (HUD-2993);
  - Client Comments and Suggestions (HUD 2994)
- Copies of these standard forms follow this General Section of the SuperNOFA. Copies of forms that are particular to an



individual program, follow the funding information for that program.

Also included in the Appendix B to the General Section is the Funding Application for the Section 8 Housing Choice Voucher Program (HUD 52515). Note that Forms SF-424A and SF-424C ask for information which is similar to the same information that is required by form HUD 4123-Cost Summary which is listed as a required form under the ICDBG program section of this SuperNOFA and which is a required application for that program. Also note that there are assurances separate from SF-424B and 424D for the ICDBG program which are specific to that program.

(H) *OMB Circulars and Governmentwide Regulations Applicable to Grant Programs.* Certain OMB circulars also apply to programs in this SuperNOFA. The policies, guidance, and requirements of: OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments); OMB Circular A-21 (Cost Principles for Education Institutions) OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations); OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations); and the regulations in 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally recognized Indian tribal governments)—may apply to the award, acceptance and use of assistance under the programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 2001 HUD Appropriations Act, other Federal statutes or the provisions of this SuperNOFA. Compliance with additional OMB Circulars or governmentwide regulations 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 20503, telephone (202) 395-7332 (this is not a toll free number) or from the website at <http://whitehouse.gov/wh/eop/omb/html/circulars>.

(I) *Environmental Requirements.* If you become a grantee under one of the programs in this SuperNOFA that assist physical development activities or property acquisition, you are generally prohibited from acquiring, rehabilitating, converting, leasing,

repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) HUD has completed an environmental review in accordance with 24 CFR part 50; or  
 (2) For programs subject to 24 CFR part 58, HUD has approved a grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review.

You, the applicant, should consult the Programs Section of the SuperNOFA for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Sections 202 or 811 Programs, please note the environmental review requirements for these programs.

(J) *Conflicts of Interest.* If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA, you are subject to 18 U.S.C. 208, the Federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for this SuperNOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this SuperNOFA. All individuals involved in rating and ranking this SuperNOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information if applicable: how the selection or non-selection of any applicant under this SuperNOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208; or how the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this SuperNOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202-708-3815 and ask to speak to one of HUD's attorneys in this division.

(K) *Accessible Technology.* The Rehabilitation Act Amendments of 1998 apply to all electronic information technology (EIT) used by a grantee for

transmitting, receiving, using, or storing information to carry out the responsibilities of any federal grant awarded. It includes, but is not limited to, computers (hardware, software, wordprocessing, email and web pages) facsimile machines, copiers and telephones. Recipients of HUD funds when developing, procuring, maintaining or using EIT must ensure that the EIT allows (1) employees with disabilities to have access to and use information and data that is comparable to the access and use of data by employees who do not have disabilities; and (2) members of the public with disabilities seeking information or service from a grantee must have access to and use of information and data and comparable to the access and use of data by members of the public who do not have disabilities. If these standards impose on a funding recipient, they may provide an alternative means to allow the individual to use the information and data. However, no grantee will be required to provide information services to a person with disabilities at any location other than the location at which the information services is generally provided.

### III. Application Selection Process

(A) *Rating Panels.* To review and rate your applications, HUD may establish panels. These panels may include persons not currently employed by HUD. HUD may include these non-HUD employees to obtain certain expertise and outside points of view, including views from other Federal agencies.

(1) *Rating.* HUD will evaluate and rate all applications for funding that meet the threshold requirements and rating factors for award described in this SuperNOFA. The rating of you, as the "applicant," or of your organization, "the applicant's organization and staff," for technical merit or threshold compliance will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

(2) *Ranking.* HUD will rank applicants within each program (or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care section of this SuperNOFA). HUD will rank applicants only against other applicants that applied for the same program funding. Where there are set-asides within a program competition, you, the applicant, will compete against only those applicants in the same set-aside competition.

(B) *Threshold Requirements.* HUD will review your application to determine whether it meets all of the threshold requirements described in

Section II(B), above. Only if your application meets all of the threshold requirements will it be eligible to be rated and ranked.

(C) *Factors For Award Used To Evaluate and Rate Applications.* For each program that is part of this SuperNOFA, the points awarded for the rating factors total 100. Depending upon the program for which you the applicant seek funding, the program may provide for up to four bonus points as provided in paragraphs (1) and (2) of this Section III(C).

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

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

<sup>1</sup> In December 1994, 72 urban areas and 33 rural communities were designated as Empowerment Zones or Enterprise Communities. These designated areas receive more than \$1.5 billion in performance grants and more than \$2.5 billion in tax incentives. The Taxpayers Relief Act of 1997 established a second round of designations for 15 new Empowerment Zones. Round II designees were announced in December 1998. Strategic Planning Communities are HUD designations that ranked competitively in the Round II competition but were not selected for EZ designation.

(2) *Court-Ordered Consideration.* For any application submitted by the City of Dallas, Texas, for funds under this SuperNOFA for which the City of Dallas is eligible to apply, HUD will consider the extent to which the strategies or plans in the city's application or applications will be used to eradicate the vestiges of racial segregation in the Dallas Housing Authority's low income housing programs. The City of Dallas should address the effect, if any, that vestiges of racial segregation in Dallas Housing Authority's low income housing programs have on potential participants in the programs covered by this NOFA, and identify proposed actions for remedying those vestiges. HUD may add up to 2 points to the score based on this consideration. This special consideration results from an order of the U.S. District Court for the Northern District of Texas, Dallas, Division. (This Section III(C)(2) is limited to applications submitted by the City of Dallas.)

(3) *The Five Standard Rating Factors.* The majority of programs in this SuperNOFA use the five rating factors described below. Additional details about the five rating factors listed below, and the maximum points for each factor, are provided in the Programs Section of the SuperNOFA. You, the applicant, should carefully read the factors for award as described in the Programs Section of the SuperNOFA. HUD has established these five factors as the basic factors for award in every program that is part of this SuperNOFA. For a specific HUD program, however, HUD may have modified these factors to take into account specific program needs, or statutory or regulatory limitations imposed on a program. The standard factors for award, except as modified in the program area section are:

- Factor 1: Capacity of the Applicant and Relevant Organizational Staff
- Factor 2: Need/Extent of the Problem
- Factor 3: Soundness of Approach
- Factor 4: Leveraging Resources
- Factor 5: Comprehensiveness and Coordination

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

(D) *Negotiation.* After HUD has rated and ranked all applications and has made selections, HUD may require, depending upon the program, 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 with a selected applicant or

a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

(E) *Adjustments to Funding.*

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

(2) HUD will not fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements; which does not meet the requirements of this SuperNOFA or which may be duplicative of other funded programs or activities from previous years' awards or other selected applicants. Only the eligible portions of your application (including non-duplicative portions) may be funded.

(3) If funds remain after funding the highest ranking applications, HUD may fund all or part of the next highest ranking application in a given program. If you, the applicant, turn down 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 where there is a balance of funds.

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

(F) *Performance and Compliance Actions of Grantees.* HUD will measure and address the performance and compliance actions of grantees in accordance with the applicable standards and sanctions of their respective programs.

#### IV. Application Submission Requirements

As discussed in the Introduction Section of this SuperNOFA, part of the simplification of this funding process is to reduce the duplication of effort that has been required of applicants in the past. Before the SuperNOFA process, many of HUD's applicants were required to complete and submit similar applications for HUD funded programs. As the Program Chart above shows, the FY 2001 SuperNOFA provides, as did the previous SuperNOFAs, 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 its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you, however, to clarify an item in your application or to correct technical deficiencies. You should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of your response to any rating factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may, however, contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. *Examples* of curable (correctable) technical deficiencies include your failure to submit the proper certifications or your failure to submit an application that contains an original signature by an authorized official. In each case, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. You 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 due date falls on a Saturday, Sunday, or Federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or Federal holiday.) If your deficiency is not corrected within this time period, HUD will reject your application as incomplete, and it will not be considered for funding. (Note that the Sections 202 and 811 Programs provide for appeal of rejection of an application on technical deficiency. Please see the Programs Sections for these programs for additional information and instructions.)

#### 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. This Section VI of the General Section of the SuperNOFA describes important initiatives that applicants should be aware of.

(B) *Linking Program Activities With AmeriCorps.* You are encouraged to link your 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, or visit the AmeriCorps website at [www.cns.gov/ameriCorps](http://www.cns.gov/ameriCorps).

(C) *Linking Program Activities with USDA.* In this year's SuperNOFA, HUD is working with the Department of Agriculture (USDA) to provide technical assistance to public housing authorities to develop a natural resource stewardship program to enhance the natural environment through activities such as tree planting, creating green spaces in areas devoid of vegetation and protecting areas from erosion and storm water runoff. Further information about this initiative can be found on the U.S. Forest Service website at [www.fs.us/research/rvur/urban/urbanforest.html](http://www.fs.us/research/rvur/urban/urbanforest.html).

(D) *Encouraging Visitability in New Construction and Substantial Rehabilitation Activities.* In addition to applicable accessible design and construction requirements, you are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means 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. 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 Uniform Federal Accessibility Standards (UFAS) are available from the SuperNOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-877 8399 (Federal Information Relay Service).

(E) *Encouraging Universal Design.* Universal design is the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design. The intent of universal design is to simplify life for everyone by making products, communications and the built

environment more usable by as many people as possible at little or no extra cost. Universal design benefits people of all ages and abilities. In addition to any applicable required accessibility features under section 504 of the Rehabilitation Act of 1973 or the design and construction requirements of the Fair Housing Act, the Department encourages applicants to incorporate the principles of universal design when developing housing, community facilities, electronic communication mechanisms, or when communicating with community residents at public meetings or events.

(F) *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, proper ventilation and moisture control to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can trigger asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323, and information is also available at the following website—[www.hud.gov:80/health/safehome.html](http://www.hud.gov:80/health/safehome.html).

(G) *Participation in PATH.* If you are applying for funds that may be utilized for construction or rehabilitation, HUD encourages participation in Partnership for Advancing Technology in Housing (PATH). PATH's goal is to achieve dramatic improvement in the quality of American housing by the year 2010. PATH encourages leaders from the home building, product manufacturing, insurance and financial industries and representatives from federal agencies dealing with housing issues to work together to spur housing design and construction innovations. PATH has a

FY 2001 budget of \$10 million. PATH will provide technical support in design and cost analysis of advanced technologies to be incorporated in project construction.

Applicants should see [www.pathnet.org](http://www.pathnet.org) on the Internet for more information, the list of technologies, latest PATH Newsletter, results from field demonstrations and PATH projects. Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices by: reducing costs; improving durability; increasing energy efficiency; improving disaster resistance; and reducing environmental impact.

HUD's objective is to select projects funded under this SuperNOFA which demonstrate high potential opportunities for application of PATH technologies. HUD will provide technical assistance in the form of architectural, engineering and financial analysis to incorporate the specific technologies appropriate to the type of construction and climate. More information about PATH is available at the following website—[www.pathnet.org/about/about.html](http://www.pathnet.org/about/about.html).

(H) *Bridging the Digital Divide*. Bridging the Digital Divide is an initiative whose objective is to provide access to computers to low and moderate income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. HUD encourages applicants to incorporate education and job training opportunities through initiatives such as HUD's Neighborhood Networks and Twenty/20 Education communities in their programs.

(1) *Neighborhood Networks*. The Neighborhood Networks 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 them with on-site access to computer and training resources.

(2) *The Twenty/20 Education Communities Initiative*. This initiative (formerly known as Campus of Learners) 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.

(I) *Bridging the Gap Initiative*. Bridging the Gap is a HUD initiative aimed at expanding economic and skills building opportunities offered through registered apprenticeship programs in

HUD assisted construction related and maintenance activities. Apprenticeship programs have a long history of providing structured, highly competent, safe and comprehensive occupational training which produces highly qualified journey level workers. Through this initiative, HUD seeks to encourage and promote the use of apprenticeship programs in programs sponsored with HUD funds and to ensure the beneficiaries of such apprenticeship programs are HUD's client community of public housing and low-and moderate-income residents of our nation's communities.

## 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) *Executive Order 13132, Federalism*. Executive Order 13132 (entitled "Federalism") prohibits, to the extent practicable and permitted by law, an agency from promulgating policies that have federalism implications and either impose substantial direct compliance costs on State and local governments and are not required by statute, or preempt State law, unless the relevant requirements of section 6 of the Executive Order are met. This SuperNOFA does not have federalism implications and does not impose substantial direct compliance costs on State and local governments or preempt State law within the meaning of the Executive Order.

(C) *Prohibition Against Lobbying Activities*. You, the applicant, are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that you will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, you

must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (TDHEs) 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 (update information also reported on 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 5.

(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** 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, subpart B, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD

employees involved in the review of applications and in the making of funding decisions are 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 2001 SuperNOFA Process and Future HUD Funding Processes**

Each year, HUD strives to improve its SuperNOFA. The FY 2001 SuperNOFA was revised based on comments received during the FY 2000 funding process. HUD continues to welcome comments and feedback from applicants and other members of the public on how HUD may further improve its competitive funding process.

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

Dated: February 15, 2001.

**Mel Martinez,**  
*Secretary.*

**APPENDIX A-1.—LIST OF HUD FIELD OFFICES**

Jurisdiction	Office	Address and phone numbers
NEW ENGLAND .....	Boston, MA .....	HUD—Boston Office, O'Neil Federal Building, 10 Causeway Street, Rm. 375, Boston, MA 02222-1092, OFC PHONE (617) 565-5236
	Hartford, CT .....	HUD—Hartford Office, One Corporate Center, Hartford, CT 06103-3220, OFC PHONE (860) 240-4844
	Manchester, NH .....	HUD—Manchester Office, Norris Cotton Federal Bldg., 275 Chestnut Street, Manchester, NH 03101-2487, OFC PHONE (603) 666-7510
	Providence, RI .....	HUD—Providence Office, 10 Weybosset Street, Sixth Floor, Providence, RI 02903-2808, OFC PHONE (401) 528-5352
	Bangor, ME .....	HUD—Bangor Office, 202 Harlow Street—Chase Bldg., Suite 101, Bangor, ME 04401-4925, OFC PHONE (207) 945-0468
	Burlington, VT .....	HUD—Burlington Office, Room 237—Federal Building, 11 Elmwood Avenue, PO Box 879, Burlington, VT 05401-0879, OFC PHONE (802) 951-6290
NY/NEW JERSEY .....	New York, NY .....	HUD—New York Office, 26 Federal Plaza—Suite 3541, New York, NY 10278-0068, OFC PHONE (212) 264-4377
	Buffalo, NY .....	HUD—Buffalo Office, Lafayette Court, 5th Floor, 465 Main Street, Buffalo, NY 14203-1780, OFC PHONE (716) 551-5755
	Camden, NJ .....	HUD—Camden Office, 2nd Floor—Hudson Bldg., 800 Hudson Square, Camden, NJ 08102-1156, OFC PHONE (856) 757-5088
	Newark, NJ .....	HUD—Newark Office—13th Floor, One Newark Center, Newark, NJ 07102-5260, OFC PHONE (973) 622-7619
	Albany, NY .....	HUD—Albany Office, 52 Corporate Circle, Albany, NY 12203-5121, OFC PHONE (518) 464-4200
MID-ATLANTIC .....	Philadelphia, PA .....	HUD Philadelphia Office, The Wanamaker Building, 100 Penn Square, East, Philadelphia, PA 19107-3380, OFC PHONE (215) 656-0600
	Baltimore, MD .....	HUD Baltimore Office, 5th Floor, 10 South Howard Street, Baltimore, MD 21201-2505, OFC PHONE (410) 962-2520
	Pittsburgh, PA .....	HUD Pittsburgh Office, 339 Sixth Avenue—Sixth Floor, Pittsburgh, PA 15222-2515, OFC PHONE (412) 644-5945
	Washington, DC .....	(Office Temporarily covered), HUD Washington, DC Office, Suite 300, 820 First Street, NE., Washington, DC 20002-4205, OFC PHONE (202) 275-9200
	Richmond, VA .....	HUD Richmond Office, 3600 West Broad Street, Richmond, VA 23230-4920, OFC PHONE (804) 278-4500
	Charleston, WV .....	HUD—Charleston Office, 405 Capitol Street, Suite 708, Charleston, WV 25301-1795, OFC PHONE (304) 347-7036
	Wilmington, DE .....	HUD—Delaware State Office, One Rodney Square, 920 King Street, Suite 404, Wilmington, DE 19801, OFC PHONE (302) 573-6300
SOUTHEAST/CARRIBEAN .....	Atlanta, GA .....	HUD—Atlanta Office, 40 Marietta Street—Five Points Plaza, Atlanta, GA 30303-2806, OFC PHONE (404) 331-4111
	Birmingham, AL .....	HUD—Birmingham Office, Medical Forum Building, 950 22nd St., North, Suite 900, Birmingham, AL 35203-5301, OFC PHONE (205) 731-2630
	Louisville, KY .....	HUD—Louisville Office, 601 West Broadway, PO Box 1044, Louisville, KY 40201-1044, OFC PHONE (502) 582-5251

## APPENDIX A-1.—LIST OF HUD FIELD OFFICES—Continued

Jurisdiction	Office	Address and phone numbers
	Jackson, MS .....	HUD—Jackson Office, McCoy Federal Building, 100 W. Capitol Street, Room 910, Jackson, MS 39269-1096, OFC PHONE (601) 965-4700
	Memphis, TN .....	HUD—Memphis Office, 200 Jefferson Avenue, Suite 1200, Memphis, TN 38103-2335, OFC PHONE (901) 544-3403
	Nashville, TN .....	HUD—Nashville Office, 235 Cumberland Bend Drive, Suite 200, Nashville, TN 37228-1803, OFC PHONE (615) 736-5213
	Jacksonville, FL .....	HUD—Jacksonville Office, 301 West Bay Street, Suite 2200, Jacksonville, FL 32202-5121, OFC PHONE (904) 232-2627
	Miami, FL .....	HUD—Florida State Office, 909 SE First Avenue, Miami, FL 33131, OFC PHONE (305) 536-5676
	Greensboro, NC .....	HUD—Greensboro Office, Koger Building, 2306 West Meadowview Road, Greensboro, NC 27407-3707, OFC PHONE (336) 547-4001, 4002, 4003
	San Juan, PR .....	HUD—Caribbean Office, 171 Carlos E. Chardon Avenue, San Juan, PR 00918-0903, OFC PHONE (787) 766-5201
	Columbia, SC .....	HUD—Columbia Office, 1835 Assembly Street, Columbia, SC 29201-2430, OFC PHONE (803) 765-5592
	Knoxville, TN .....	HUD—Knoxville Office, 710 Locust Street, SW, Knoxville, TN 37902-2526, OFC PHONE (423) 545-4384
	Orlando, FL .....	HUD—Orlando Office, 3751 Maguire Boulevard, Room 270, Orlando, FL 32803-3032, OFC PHONE (407) 648-6441
	Tampa, FL .....	HUD—Tampa Office, 500, Zack St., #402, Tampa, FL 33602-3945, OFC PHONE (813) 228-2431
MIDWEST .....	Chicago, IL .....	HUD—Chicago Office, Ralph Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604-3507, OFC PHONE (312) 353-5680
	Detroit, MI .....	HUD—Detroit Office, 477 Michigan Avenue, Detroit, MI 48226-2592, OFC PHONE (313) 226-7900
	Indianapolis, IN .....	HUD—Indianapolis Office, 151 North Delaware Street, Suite 1200, Indianapolis, IN 46204-2526, OFC PHONE (317) 226-7034
	Grand Rapids, MI .....	HUD—Grand Rapids Office, Trade Center Building, 50 Louis Street, N.W., Grand Rapids, MI 49503-2648, OFC PHONE (616) 456-2125
	Minneapolis, MN .....	HUD—Minneapolis Office, 220 Second Street, South, Minneapolis, MN 55401-2195, OFC PHONE (612) 370-3000
	Cincinnati, OH .....	HUD—Cincinnati Office, 525 Vine Street, Suite 700, Cincinnati, OH 45202-3188, OFC PHONE (513) 684-2967
	Cleveland, OH .....	HUD—Cleveland Office, 1350 Euclid Avenue, Suite 500, Cleveland, OH 44115-1815, OFC PHONE (216) 522-4058
	Columbus, OH .....	(Office Temporarily Covered), HUD—Columbus Office, 200 North High Street, Columbus, OH 43215-2499, OFC PHONE (614) 469-2540
	Milwaukee, WI .....	HUD—Milwaukee Office, 310 West Wisconsin Avenue, Room 1380, Milwaukee, WI 53203-2289, OFC PHONE (414) 297-3214
	Flint, MI .....	HUD—Flint Office, 1101 S. Saginaw Street, North Building, Flint, MI 48502-1953, OFC PHONE (810) 766-5082
	Springfield, IL .....	HUD—Springfield Office, 320 West Washington, 7th Floor, Springfield, IL 62707, OFC PHONE (217) 492-4120
SOUTHWEST .....	Fort Worth, TX .....	HUD—Fort Worth Office, 801 Cherry Street, PO Box 2905, Ft. Worth, TX 76113-2905, OFC PHONE (817) 978-5965
	Dallas, TX .....	HUD—Dallas Office, 525 Griffin Street, Room 860, Dallas, TX 75202-5007, OFC PHONE (214) 767-8300
	Albuquerque, NM .....	HUD—Albuquerque Office, 625 Silver Avenue SW, Suite 100, Albuquerque, NM 87102-3185, OFC PHONE (505) 346-6463
	Houston, TX .....	HUD—Houston Office, 2211 Norfolk, #200, Houston, TX 77098-4096, OFC PHONE (713) 313-2274
	Lubbock, TX .....	HUD—Lubbock Office, 1205 Texas Avenue, Rm. 511, Lubbock, TX 79401-4093, OFC PHONE (806) 472-7265
	San Antonio, TX .....	HUD—San Antonio Office, 800 Dolorosa, San Antonio, TX 78207-4563, OFC PHONE (210) 475-6806
	Little Rock, AR .....	HUD—Little Rock Office, 425 West Capitol Avenue #900, Little Rock, AR 72201-3488, OFC PHONE (501) 324-5401
	New Orleans, LA .....	HUD—New Orleans Office, Hale Boggs Bldg.—501 Magazine Street, 9th Floor, New Orleans, LA 70130-3099, OFC PHONE (504) 589-7201
	Shreveport, LA .....	HUD—Shreveport Office, 401 Edwards Street, Rm. 1510, Shreveport, LA 71101-3289, OFC PHONE (318) 676-3440
	Oklahoma City, OK .....	HUD—Oklahoma City Office, 500 W. Main Street, Suite 400, Oklahoma City, OK 73102-2233, OFC PHONE (405) 553-7500
	Tulsa, OK .....	HUD Tulsa Office, 50 East 15th Street Tulsa, OK 74119-4030, OFC PHONE (918) 581-7496

APPENDIX A-1.—LIST OF HUD FIELD OFFICES—Continued

Jurisdiction	Office	Address and phone numbers	
GREAT PLAINS .....	Kansas City, KS .....	HUD—Kansas City Office, 400 State Avenue, Room 200, Kansas City, KS 66101-2406, OFC PHONE (913) 551-5462	
	Omaha, NE .....	HUD—Omaha Office, 10909 Mill Valley Road, Suite 100, Omaha, NE 68154-3955, OFC PHONE (402) 492-3103	
	St. Louis, MO .....	HUD—St. Louis Office, 1222 Spruce Street #3207, St. Louis, MO 63103-2836, OFC PHONE (314) 539-6560	
	Des Moines, IA .....	HUD—Des Moines Office, 210 Walnut Street, Room 239, Des Moines, IA 50309-2155, OFC PHONE (515) 284-4573	
ROCKY MOUNTAINS .....	Denver, CO .....	HUD—Denver Office, 633 17th Street, 14th Floor, Denver, CO 80202-3607, OFC PHONE (303) 672-5440	
	Salt Lake City, UT .....	HUD—Salt Lake City Office, 257 East, 200 South, Rm. 550, Salt Lake City, UT 84111-2048, OFC PHONE (801) 524-6071	
	Helena, MT .....	HUD—Helena Office, 7 West Sixth Avenue, Power Block Building, Helena, MT 59601, OFC PHONE (406) 449-5048	
	Sioux Falls, SD .....	HUD—Sioux Falls Office, 2400 West 49th Street, Rm. I-201, Sioux Falls, SD 57105-6558, OFC PHONE (605) 330-4223	
	Fargo, ND .....	HUD—Fargo Office, 657 2nd Avenue North, Room 366, Fargo, ND 58108, OFC PHONE (701) 239-5040	
	Casper, WY .....	HUD—Wyoming Office, 150 East B Street, Room 1010, Casper, WY 82601-1969, OFC PHONE (307) 261-6250	
	PACIFIC/HAWAII .....	San Francisco, CA .....	HUD—San Francisco Office, 450 Golden Gate Avenue, Box 36003, San Francisco, CA 94102-3448, OFC PHONE (415) 436-6532
Honolulu, HI .....		HUD—Honolulu Office, 7 Waterfront Plaza, #500 Ala Moana Blvd. #500, Honolulu, HI 96813-4918, OFC PHONE (808) 522-8175	
Los Angeles, CA .....		HUD—Los Angeles Office, 611 W. Sixth Street, Suite 800, Los Angeles, CA 90017, OFC PHONE (213) 894-8007	
Sacramento, CA .....		HUD—Sacramento Office, 925 L Street, Sacramento, CA 95814, OFC PHONE (916) 498-5220	
Reno, NV .....		HUD—Reno Office, 3702 S. Virginia Street, Suite G-2, Reno, NV 89502-6581, OFC PHONE (775) 784-5383	
San Diego, CA .....		HUD—San Diego Office, Symphony Towers, 750 B Street, Suite 1600, San Diego, CA 92101-8131, OFC PHONE (619) 557-5310	
Las Vegas, NV .....		HUD—Las Vegas Office, 333 N. Rancho Drive-Atrium Bldg., Suite 700, Las Vegas, NV 89106-3714, OFC PHONE (702) 388-6208/6500	
Phoenix, AZ .....		HUD—Phoenix Office, 400 North Fifth Street, Suite 1600, Phoenix, AZ 85004-2361, OFC PHONE (602) 379-4434	
Santa Ana, CA .....		HUD—Santa Ana Office, 1600 N. Broadway, Suite 100, Santa Ana, CA 92706-3927, OFC PHONE (714) 796-5577	
Tucson, AZ .....		HUD—Tucson Office, 33 North Stone Avenue #700, Tucson, AZ 85701-1467, OFC PHONE (520) 670-6000	
Fresno, CA .....		HUD—Fresno Office, 2135 Fresno Street, Suite 100, Fresno, CA 93721-1718, OFC PHONE (559) 487-5032	
NORTHWEST/ALASKA .....		Seattle, WA .....	HUD—Seattle Office, 909 First Avenue, Suite 200, Seattle, WA 98104-1000, OFC PHONE (206) 220-5101
		Portland, OR .....	HUD—Portland Office, 400 SW 6th Avenue #700, Portland, OR 97204-1632, OFC PHONE (503) 326-2561
	Anchorage, AK .....	HUD—Anchorage Office, 949 East 36th Avenue, Suite 401, Anchorage, AK 99508-4399, OFC PHONE (907) 271-4170	
	Boise, ID .....	HUD—Boise Office, Suite 220, Plaza IV, 800 Park Boulevard, Boise, Idaho 83712-7743, OFC PHONE (208) 334-1990	
	Spokane, WA .....	HUD—Spokane Office, US Courthouse Bldg., 920 W. Riverside, Suite 588, Spokane, WA 99201-1010, OFC PHONE (509) 353-0682	

**Appendix A-2—List of EZs, ECs, Urban Enhanced Enterprise Communities, Strategic Planning Communities**

*AK, Anchorage*

Ms. Linda Yarbrough, Municipality of Anchorage, Department of Community Planning and Development, P.O. Box 196650, Anchorage, AK 99501, 907-343-4303 (Phone), 907-343-4220 (Fax)

Terrence Booth, Metlakatla Indian Enterprise Community, Metlakatla, AK 99926, 907-886-4441 (Phone), 907-886-7997 (Fax)

*AL, Anniston*

David Umling, Chambers County Enterprise Community, Anniston, AL 36202, 256-237-6741 (Phone), 256-237-6763 (Fax)

*AL, Birmingham*

Mr. Keith Strother, City of Birmingham, 710 N. 20th St. City Hall, Third Floor, Birmingham, AL 35203, 205-254-2870 (Phone), 205-254-7741 (Fax)

*AL, Epes*

John Zippert, Greene and Sumter Enterprise Community, Epes, AL 35460, 205-652-9676 (Phone), 205-652-9678 (Fax)

*AR, Blytheville*

Sam Scruggs, Mississippi County Enterprise Community, Blytheville, AR 72316, 870-532-2348 (Phone), 870-532-2625 (Fax)

*AR, Forrest City*

Robert Cole, Eastern Arkansas Enterprise Community, Forrest City, AR 72335, 870-630-2005 (Phone), 870-630-2035 (Fax)

*AR, Little Rock*

Mr. Henry L. McHenry, County of Pulaski, Enterprise Community Alliance, Inc., 3805 W. 12th St. Suite 205, Little Rock, AR

- 72204, 501-379-1543 (Phone), 501-379-1571 (Fax)
- AZ, Douglas*  
Art Macias, Jr., Arizona Border Region Enterprise Community, Douglas, AZ 85607, 520-364-7501 (Phone), 520-364-7507 (Fax)
- AZ, Nogales*  
Laura Ornelas, Arizona Border Region Enterprise Community, Nogales, AZ 85621, 520-287-6571 (Phone), 520-287-9159 (Fax)
- AZ, Phoenix*  
Steve Capobres, Arizona Border Region Enterprise Community, Phoenix, AZ 85012-1920, 602-280-1365 (Phone), 602-280-1470 (Fax)  
Ms. Jennifer Harper, City of Phoenix, Department of Neighborhood Services, 200 W. Washington St. Fourth Floor, Phoenix, AZ 85003-1611, 602-262-4730 (Phone), 602-534-1555 (Fax)
- AZ, San Luis*  
Frank Carrillo, Arizona Border Region Enterprise Community, San Luis, AZ 85349, 520-627-2027 (Phone), 520-627-3879 (Fax)
- AZ, Window Rock*  
Anthony Perry, Four Corners Enterprise Communities (Navajo Nation, Window Rock, AZ 86515, 520 871-6504 (Phone), 520-871-7381 (Fax)
- CA, El Centro*  
Ken Hollis, Imperial County Enterprise Community, El Centro, CA 92243, 760-337-7814 (Phone), 760-337-8907 (Fax)
- CA, Fresno*  
Becki Mendibles Central California Enterprise Community, Fresno, CA 93727, 559-452-0881 (Phone), 559-452-8038 (Fax)
- CA, Indio*  
John Thurman, Desert Communities Empowerment Zone, Indio, CA 92201, 760-863-8225 (Phone), 760-863-7049 (Fax)
- CA, Los Angeles*  
Ms. Alicia DeCastro, City of Los Angeles, Department of Community Development, 215 W. Sixth St., Third Floor, Los Angeles, CA 90014, 213-485-1023 (Phone), 213-847-0890 (Fax)  
Mr. Robert Perez, City of Los Angeles, Department of Community Development, 215 W. Sixth St., Third Floor, Los Angeles, CA 90014, 213-485-8161 (Phone), 213-847-0890 (Fax)
- CA, Oakland*  
Mr. Mahlon Harmon, One Stop Capital Shop, 519 17th St. Sixth Floor, Oakland, CA 94612-2032, 510-238-2353 (Phone), 510-238-7999 (Fax)
- CA, San Diego*  
Ms. Bonnie Contreras, City of San Diego, Division of Economic Development, 1200 Third Ave. Suite 1300, San Diego, CA 92101-3863, 619-236-6846 (Phone), 619-533-6515 (Fax)
- CA, San Francisco*  
Ms. Anna Yee, City of San Francisco, Enterprise Community Program, 25 Van Ness Ave. Suite 700, San Francisco, CA 94102, 415-252-3130 (Phone), 415-252-3110 (Fax)
- CA, Santa Ana*  
Ms. Shawna Lahey, City of Santa Ana, Community Development Agency, P.O. Box 1988, Santa Ana, CA 92702, 714-647-5372 (Phone), 714-647-6580 (Fax)
- CA, Watsonville*  
Anna Espinoza, Watsonville/City of Santa Cruz Enterprise Community, Watsonville, CA 95076, 831-763-4033 (Phone), 831-761-0736 (Fax)
- CO, Denver*  
Mr. Ernest Hughes, City and County of Denver, Community Planning and Development Agency, 216 16th St. Suite 1400, Denver, CO 80202, 720-913-1547 (Phone), 720-913-1800 (Fax)
- CT, Bridgeport*  
Ms. Janice B. Willis, City of Bridgeport, Office of Central Grants, 999 Broad St. City Hall Annex Chase Bldg., Bridgeport, CT 06604, 203-332-5662 (Phone), 203-332-3060 (Fax)
- CT, New Haven*  
Ms. Diana E. Edmonds, City of New Haven, Office of Business Development, 200 Orange St. Fifth Floor, New Haven, CT 06510, 203-946-7727 (Phone), 203-946-8049 (Fax)  
Ms. Sherri Killins, Empower New Haven, Inc., 59 Elm St. Fourth Floor, Suite 410, New Haven, CT 06510, 203-776-2777 (Phone), 203-776-0537 (Fax)
- DC, Washington*  
Ms. Judy Brown, Enterprise Community Programs, Office of Economic Development EZ/EC Urban Task Force, 801 N. Capitol St., Sixth Floor, Washington, DC 20002, 202-442-7205 (Phone), 202-442-7090 (Fax)
- DE, Wilmington*  
Ms. Edwina Bell-Mitchell, Wilmington Enterprise Community/New Castle County, 800 French St. Louis L. Redding Bldg., Ninth Floor, Wilmington, DE 19801, 302-571-4472 (Phone), 302-571-4326 (Fax)
- FL, Marianna*  
Bill Stanton, Jackson County Enterprise Community, Marianna, FL 32447, 850-526-4005 (Phone), 850-526-4008 (Fax)  
Stan Whitehurst, Jackson County Enterprise Community, Marianna, FL 32447, 850-526-7669 (Phone), 850-526-4008 (Fax)
- FL, Miami*  
Mr. Bryan K. Finnie, Miami-Dade Empowerment Trust, Inc., 140 W. Flagler St., Suite 1107, Miami, FL 33130, 305-372-7620 (Phone), 305-372-7629 (Fax)
- FL, Naples*  
Barbara Cacchione, Empowerment Alliance of Southwest Florida EC, Naples, FL 34103, 941-649-5000 (Phone), 941-649-5337 (Fax)
- FL, Tampa*  
Ms. Jeanette LaRussa-Fenton, City of Tampa, Department of Business and Community Services, 2105 N. Nebraska Ave. Ybor Service Center, Tampa, FL 33602-2529, 813-274-7966 (Phone), 813-274-7927 (Fax)
- GA, Albany*  
Ms. Julie Duke, City of Albany, Office of the City Manager, P.O. Box 447, Albany, GA 31702, 229-431-3234 (Phone), 229-431-3223 (Fax)
- GA, Atlanta*  
Ms. Charisse Richardson, Atlanta Empowerment Zone Corp., 675 Ponce De Leon Ave., N.E. City Hall East, Second Floor, Atlanta, GA 30308, 404-853-7610 (Phone), 404-853-7315 (Fax)
- GA, Augusta*  
Hilda Alexander, CSRA Enterprise Community, Augusta, GA 30904, 706-667-4179 (Phone), 706-737-1459 (Fax)
- GA, Cordele*  
Robert Cooke, Southwest Georgia United Empowerment Zone, Cordele, GA 31010, 912-273-9111 (Phone), 912-276-0450 (Fax)  
Bambi Hayes, Southwest Georgia United Empowerment Zone, Cordele, GA 31010, 912-273-9111 (Phone), 912-276-0450 (Fax)
- HI, Kaunakakai*  
Stacy Crivello, Molokai Enterprise Community, Kaunakakai, HI 96748, 808-553-5123 (Phone), 808-553-3735 (Fax)  
Karen M. Holt, Molokai Enterprise Community, Kaunakakai, HI 96748, 808-553-3244 (Phone), 808-553-3370 (Fax)
- IA, Des Moines*  
Ms. Caroline Gathright, City of Des Moines, Division of Neighborhood Planning, 602 E. First St., Des Moines, IA 50309, 515-283-4151 (Phone), 515-237-1713 (Fax)
- IL, Chicago*  
Mr. Wallace Goode, City of Chicago, 20 N. Clark St., 28th Floor, Chicago, IL 60602-5086, 312-744-9623 (Phone), 312-744-9696 (Fax)
- IL, E. St. Louis*  
Mr. Ralph Muhammed, East St. Louis Enterprise Community, 301 River Park Dr., Third Floor, E. St. Louis, IL 62201, 618-482-6642 (Phone), 618-482-6788 (Fax)
- IL, Springfield*  
Ms. Cleatia Bowen, City of Springfield, Office of Economic Development, 231 S. Sixth St., Springfield, IL 62701, 217-789-2377 (Phone), 217-789-2380 (Fax)
- IL, Ullin*  
Donna Raynalds, Southernmost Illinois Delta Empowerment Zone, Ullin, IL 62992, 618-634-9471 (Phone), 618-634-9452 (Fax)



*IN, Austin*

Donald Campbell, Town of Austin Enterprise Community, Austin, IN 47102, 812-794-2877 (Phone), 812-794-2859 (Fax)

Charlotte Mathis, Town of Austin Enterprise Community, Austin, IN 47102, 812-794-9446 (Phone), 812-794-8765 (Fax)

*IN, East Chicago*

Mr. John D. Artis, City of East Chicago, Department of Redevelopment and Housing Authority, P.O. Box 498, East Chicago, IN 46312-0498, 219-397-9974 (Phone), 219-397-4249 (Fax)

*IN, Gary*

Ms. Venus Cobb, City of Gary, Empowerment Zone Office, 840 Broadway First Floor, Gary, IN 46404, 219-886-9047 (Phone), 219-886-9051 (Fax)

*IN, Hammond*

Ms. Rocharda Moore-Harris, City of Hammond, Department of Planning, 649 Conkey St., Hammond, IN 46324, 219-853-6371 (Phone), 219-853-6334 (Fax)

*IN, Indianapolis*

Ms. Renia Colbert, City of Indianapolis, Division of Community Development and Financial Services, 200 E. Washington St., City County Bldg., Suite 1841, Indianapolis, IN 46204, 317-327-5869 (Phone), 317-327-5908 (Fax)

*KS, Leoti*

Sharla Krenzel, Wichita County Enterprise Community, Leoti, KS 67861, 316-375-2182 (Phone), 316-375-4350 (Fax)

Elmer Ridder, Wichita County Enterprise Community, Leoti, KS 67861, 316-375-2731 (Phone), 316-375-4350 (Fax)

*KY, Bowling Green*

Lisa Ryan, City of Bowling Green Enterprise Community, Bowling Green, KY 42102-0430, 270-393-3658 (Phone), 502-393-3698 (Fax)

*KY, London*

Jerry Rickett, Kentucky Highlands Empowerment Zone, London, KY 40743, 606-864-5175 (Phone), 606-864-5194 (Fax)

*KY, Louisville*

Mr. Walter Munday, City of Louisville, Empowerment Zone Community, 200 S. Seventh St., Louisville, KY 40202, 502-574-2682 (Phone), 502-574-4227 (Fax)

*KY, Whitley City*

Bruce Murphy, McCreary County Enterprise Community, Whitley City, KY 42653, 606-376-2413 (Phone), 606-376-9499 (Fax)

*LA, Ferriday*

Chip Rogers, Macon Ridge Enterprise Community, Ferriday, LA 71334, 318-757-3033 (Phone), 318-757-4212 (Fax)

*LA, Monroe*

Mr. Eric Loewe, Ouachita Enterprise Community, P.O. Box 4268, Monroe, LA 71211, 318-329-4031 (Phone), 318-329-4034 (Fax)

*LA, New Orleans*

Ms. Thelma H. French, City of New Orleans, Office of Federal and State Programs, 1300 Perdido St., Room 2E04, New Orleans, LA 70112, 504-565-6445 (Phone), 504-565-6423 (Fax)

*LA, Tallulah*

Moses Jr. Williams, Northeast Louisiana Delta Enterprise Community, Tallulah, LA 71282, 318-574-0995 (Phone), 318-574-3132 (Fax)

*MA, Lowell*

Ms. Kathy Muldoon, City of Lowell, Department of Planning and Development, 50 Arcand Dr., City Hall, JFK Civic Center Bldg., Lowell, MA 01852, 978-446-7150 (Phone), 978-446-7014 (Fax)

*MA, Roxbury*

Mr. Reginald Nunnally, Boston Empowerment Zone, Boston Business Assistance Center, 20 Hampdon St., Roxbury, MA 02119, 617-445-3413 (Phone), 617-445-5675 (Fax)

*MA, Springfield*

Mr. Miguel Rivas, City of Springfield, Department of Community Development, 36 Court St., City Hall, Room 313, Springfield, MA 01103, 413-750-2240 (Phone), 413-787-6027 (Fax)

*MD, Baltimore*

Ms. Diane Bell, Empower Baltimore Management Corp., 34 Market Place, Suite 800, Baltimore, MD 21202, 410-783-4400 (Phone), 410-783-0526 (Fax)

*ME, Lewiston*

Carole J. Ansheles, City of Lewiston Enterprise Community, Lewiston, ME 04240-7282, 207-777-5144 (Phone), 207-786-4412 (Fax)

*MI, Detroit*

Ms. Denise Gray, Detroit Empowerment Zone Development Corp., One Ford Place, Suite 1F, Detroit, MI 48202, 313-872-8050 (Phone), 313-872-8002 (Fax)

*MI, Flint*

Ms. Nancy Jurkiewicz, City of Flint, Flint Area Enterprise Community, 805 Welch Blvd., Flint, MI 48504, 810-341-1499 (Phone), 810-766-7351 (Fax)

*MI, Harrison*

Edward Kerr, Clare County Enterprise Community, Harrison, MI 48625-0439, 517-539-7805 (Phone), 517-539-2791 (Fax)

*MI, Muskegon*

Ms. Cathy Brubaker-Clarke, City of Muskegon, Department of Community and Economic Development, P.O. Box 536, Muskegon, MI 49443-0536, 231-724-6702 (Phone), 231-724-6790 (Fax)

*MI, Scottville*

Mary L. Trucks, Lake County Enterprise Community, Scottville, MI 49454, 616-757-3785 (Phone), 616-757-9669 (Fax)

*MN, Minneapolis*

Ms. Kim W. Havey, Minneapolis Empowerment Zone, 350 S. Fifth St., City Hall, Room 200, Minneapolis, MN 55415, 612-673-5415 (Phone), 612-673-3724 (Fax)

*MN, St. Paul*

Mr. Jeremy Lenz, City of St. Paul, Department of Planning and Economic Development, 25 W. Fourth St., 1200 City Hall Annex, St. Paul, MN 55102, 651-266-6603 (Phone), 651-228-3341 (Fax)

*MO, East Prairie*

Martha Ellen Black, City of East Prairie Enterprise Community, East Prairie, MO 63845, 573-649-3731 (Phone), 573-649-5028 (Fax)

*MO, Kansas City*

Ms. Marlene Nagel, Mid-American Regional Council (MARC), 600 Broadway 300 Rivergate Center, Kansas City, MO 64105-1554, 816-474-4240 (Phone), 816-421-7758 (Fax)

*MO, St. Louis*

Ms. A. Danine Lard, Greater St. Louis Regional Empowerment Zone Management, 1015 Locust St., Suite 1030, St. Louis, MO 63101, 314-622-3400 (Phone), 314-436-7983 (Fax)

*MS, Itta Bena*

Arthur Peyton, Mid-Delta Empowerment Zone, Itta Bena, MS 38941, 662-254-9957 (Phone), 662-254-9941 (Fax)

*MS, Jackson*

Mr. Roosevelt T. Sanders, Jackson Urban Enterprise Community Council, Inc., P.O. Box 10353, Jackson, MS 39289, 601-949-7879 (Phone), 601-981-2407 (Fax)

*MS, Sardis*

Stuart Guernsey, North Delta Enterprise Community, Sardis, MS 38666, 662-487-1968 (Phone), 662-487-0088 (Fax)

*MT, Poplar*

Mark Sansaver, Fort Peck Assiniboine and Sioux Tribe EC, Poplar, MT 59255, 406-768-3155 (Phone), 406-768-3581 (Fax)

*NC, Charlotte*

Mr. Franklin McCrary, Jr., City of Charlotte, Department of Neighborhood Development, 600 E. Trade St., Charlotte, NC 28202, 704-336-5577 (Phone), 704-336-2527 (Fax)

*NC, Lumberton*

Cynthia Johnson, Robeson County Enterprise Community, Lumberton, NC 28358, 910-618-0722 (Phone), 910-618-1504 (Fax)

*NC, Rocky Mount*

Terri Anderson, Halifax/Edgecombe/Wilson Enterprise Community, Rocky Mount, NC 27802, 252-972-1609 (Phone), 252-972-1590 (Fax)

*ND, Cando*

Joanne Rodenbiker, Center of North America REAP Zone, Cando, ND 58324, 701-968-3314 (Phone), 701-968-1747 (Fax)

*ND, Dickenson*

Shirley Brentrup, Southwest REAP Zone, Dickenson, ND 58601, 701-227-1241 (Phone),

*ND, Finley*

Kim Sheffield, Griggs-Steele Empowerment Zone, Finley, ND 58230, 701-524-2240 (Phone), 701-524-2241 (Fax)

*NE, Omaha*

Mr. Herb Patten, City of Omaha, Omaha Enterprise Community/Enterprise Zone, 2421 N. 24th St., Blue Lion Centre, Omaha, NE 68110-2282, 402-444-3514 (Phone), 402-444-3755 (Fax)

*NH, Manchester*

Mr. William J. Jabjiniak, City of Manchester, Department of Planning and Community Development, One City Hall Plaza, Manchester, NH 03101, 603-624-6505 (Phone), (603-624-6529 (Fax)

*NJ, Bridgeton*

Mr. Gerard Velasquez, Cumberland Empowerment Zone Corp., 50 E. Broad St., Bridgeton, NJ 08302, 856-459-1700 (Phone), 856-459-4099 (Fax)

*NJ, Camden*

Mr. Richard H. Cumming, Jr., Camden Empowerment Zone Corp., 817 Carpenter St., Hudson Square Complex, Camden, NJ 08102, 856-365-0300 (Phone), 856-365-1058 (Fax)

*NJ, Newark*

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*NM, Albuquerque*

Ms. Sylvia Fettes, City of Albuquerque, Department of Family and Community Services, P.O. Box 1293, Albuquerque, NM 87103, 505-768-2932 (Phone), 505-768-3204 (Fax)

*NM, Deming*

Richard McInturff, City of Deming Enterprise Community, Deming, NM 88031, 505-546-8848 (Phone), 505-546-6442 (Fax)

John Strand, City of Deming Enterprise Community, Deming, NM 88031, 505-546-8848 (Phone), 505-546-6442 (Fax)

*NM, Penasco*

Ron Martinez, La Jicarita Enterprise Community, Penasco, NM 87553, 800-458-7323 (Phone), 505-587-1687 (Fax)

*NV, Las Vegas*

Mr. Douglas Bell, County of Clark, Department of Community Resources Management, P.O. Box 551212, Las Vegas, NV 89106-1212, 702-455-5025 (Phone), 702-455-5038 (Fax)

*NY, Bronx*

Ms. Maria Canales, Bronx Overall Economic Development Corp., 198 E. 161st St., Suite 201, Bronx, NY 10451, 718-590-6201 (Phone), 718-590-3499 (Fax)

*NY, Buffalo*

Ms. Paula Alcalá Rosner, City of Buffalo, Federal Enterprise Community of Buffalo, Inc., 911 City Hall, Buffalo, NY 14202, 716-851-5032 (Phone), 716-851-4388 (Fax)

*NY, Ferndale*

Rick Bishop, Sullivan-Wawarsing REAP Zone, Ferndale, NY 12734, 845-295-2632 (Phone), 845-295-2633 (Fax)

*NY, New York*

Mr. Fernando Fernandez, Upper Manhattan Empowerment Zone Development Corp., Department of Community Affairs, 290 Lenox Ave. Third Floor, New York, NY 10027, 212-410-0030 (Phone), 212-410-9616 (Fax)

Mr. George Glatter, City of New York, Department of Business Services, 110 William St., Third Floor, New York, NY 10038, 212-513-6442 (Phone), 212-618-8987 (Fax)

Mr. James Ilako, New York EZ Corp., 633 Third Ave. 32nd Floor, New York, NY 10017, 212-803-3235 (Phone), 212-803-3294 (Fax)

Mr. Marion Phillips, III, New York Empowerment Zone Corp., 633 Third Ave. 32nd Floor, New York, NY 10017, 212-803-3240 (Phone), 212-803-3294 (Fax)

Ms. June Van Brackle, City of New York, Mayor's Office of the New York City EZ, 100 Gold St., Second Floor, New York, NY 10038, 212-788-6777 (Phone), 212-788-2718 (Fax)

*NY, Newburgh*

Ms. Sharon Hyder, Kingston-Newburgh Enterprise Corp., 62 Grand St., Suite 211, Newburgh, NY 12550, 914-569-1680 (Phone), 914-569-1630 (Fax)

*NY, Owego*

Michael Morse, Tioga County REAP Zone, Owego, NY 13827, 607-687-8254 (Phone), 607-687-1435 (Fax)

*NY, Rochester*

Mr. Philip Banks, City of Rochester, Department of Economic Development, 30 Church St., Room 005A, Rochester, NY 14614, 716-428-6965 (Phone), 716-428-6042 (Fax)

*NY, Schenectady*

Mr. Anthony Tozzi, City of Schenectady, Department of Development, Jay St., Schenectady, NY 12305, 518-382-5054 (Phone), 518-382-5275 (Fax)

*OH, Akron*

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*OH, Cincinnati*

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*OH, Cleveland*

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335, Cleveland, OH 44114, 216-664-2804 (Phone), 216-420-8522 (Fax)

*OH, Columbus*

Mr. Jon C. Beard, Columbus Compact Corp., 1000 E. Main St., Columbus, OH 43205, 614-251-0926 (Phone), 614-251-2243 (Fax)

*OH, Portsmouth*

Bob Walton, Greater Portsmouth Enterprise Community, Portsmouth, OH 45662, 740-354-7541 (Phone), 740-354-3933 (Fax)

*OK, Ada*

Chris Fields, Tri-County Indian Nations Enterprise Community, Ada, OK 74820, 580-310-2264 (Phone), 580-436-0236 (Fax)

*OK, Hugo*

Bob Yandell, Southeast Oklahoma EC, Hugo, OK 74743, 580-326-3351 (Phone), 580-326-2305 (Fax)

*OK, Oklahoma City*

Mr. Carl D. Friend, City of Oklahoma City, Division of Community Development, 420 W. Main St., Suite 920, Oklahoma City, OK 73102, 405-297-2574 (Phone), 405-297-3796 (Fax)

*OR, Cave Junction*

Tena Marrington, Illinois Valley Community Response Team, Cave Junction, OR 97523, 541-592-2838 (Phone), 541-592-4106 (Fax)

*OR, Portland*

Ms. Regena S. Warren, County of Multnomah, 421 S.W. Sixth Ave. Suite 200, Portland, OR 97204, 503-988-3020 (Phone), 503-988-3710 (Fax)

*OR, Wolf Creek*

Louise Dix, Josephine County Enterprise Community, Wolf Creek, OR 97497, 541-866-2600 (Phone), 541-866-2449 (Fax)

*PA, Harrisburg*

Ms. Terri Martini, City of Harrisburg, Department of Building and Housing Development, Ten N. Second St., MLK City Government Center, Suite 206, Harrisburg, PA 17101-1681, 717-255-6408 (Phone), 717-255-6421 (Fax)

*PA, Lock Haven*

Maria Boileau, City of Lock Haven Enterprise Community, Lock Haven, PA 17745, 570-893-5907 (Phone), 570-893-5905 (Fax)

*PA, Philadelphia*

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*PA, Pittsburgh*

Ms. Joan Blaustein, City of Pittsburgh, Department of Planning, 200 Ross St., Fourth Floor, Pittsburgh, PA 15219, 412-255-2206 (Phone), 412-255-2838 (Fax)

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*RI, Providence*

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*SC, Allendale*

Manuel, Tammy "Lynn" Futch, Allendale County ALIVE Enterprise Community, Allendale, SC 29810, 803-584-3600 (Phone), 803-584-0700 (Fax)

Henry Lefite, Allendale County ALIVE Enterprise Community, Allendale, SC 29810, 803-584-7117 (Phone), 803-584-0700 (Fax)

*SC, Charleston*

Ms. Geona Shaw Johnson, City of Charleston, Department of Housing and Community Development, 75 Calhoun St., Third Floor, Charleston, SC 29401, 843-973-7285 (Phone), 843-720-3836 (Fax)

*SC, Columbia*

Mr. Milton Smalls, Sumter/Columbia Empowerment Zone, Department of Community Service, 1225 Laurel St., Columbia, SC 29201, 803-733-8314 (Phone), 803-733-8312 (Fax)

*SC, Kingstree*

John H. Whittleton, Williamsburg/Lake City Enterprise Community, Kingstree, SC 29558, 843-354-9070 (Phone), 843-354-3252 (Fax)

*SC, Sumter*

Mr. Talmadge Tobias, City of Sumter, P.O. Box 1449, Sumter, SC 29151-1449, 803-436-2577 (Phone), 803-436-2615 (Fax)

*SD, Kyle*

Head Herb Wounded, Oglala Sioux-Pine Ridge Empowerment Zone, Kyle, SD 57752, 605-455-1570 (Phone), 605-455-1571 (Fax)

*SD, Yale*

Lori Hintz, Beadle & Spink Enterprise Community, Yale, SD 57752, 605-599-2991 (Phone), 605-599-2992 (Fax)

*TN, Huntsville*

Leslie Winningham, Scott-McCreary Enterprise Community, Huntsville, TN 37756, 423-663-3280 (Phone), 423-663-3290 (Fax)

*TN, Knoxville*

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Ms. Sherry Kelley Marshall, Partnership for Neighborhood Improvement, P.O. Box 2464, Knoxville, TN 37901, 865-251-5300 (Phone), 865-522-5085 (Fax)

*TN, Memphis*

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*TN, Nashville*

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*TN, Rutledge*

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Lindy Turner, Clinch-Powell Enterprise Community, Rutledge, TN 37861, 865-828-5927 (Phone), 865-828-5212 (Fax)

*TX, Dallas*

Mr. Mark G. Obeso, City of Dallas, Department of Housing, 1500 Marilla St., Suite 6D N., Dallas, TX 75201, 214-670-3601 (Phone), 214-670-0156 (Fax)

*TX, El Paso*

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*TX, Houston*

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*TX, Waco*

Mr. George Johnson, Jr., City of Waco, 300 Austin Ave., Waco, TX 76701-2570, 254-750-5640 (Phone), 254-750-5880 (Fax)

*UT, Blanding*

Larry Rogers, Four Corners Enterprise Community, Blanding, UT 84511, 435-678-1468 (Phone), 435-678-1464 (Fax)

*UT, Ogden*

Ms. Karen Thurber, City of Ogden, Department of Neighborhood Development, 2484 Washington Blvd. Suite 211, Ogden, UT 84401, 801-629-8943 (Phone), 801-629-8902 (Fax)

*VA, Nassawadox*

Arthur Carter, Accomack/Northampton Enterprise Community, Nassawadox, VA 23413, 757-442-4509 (Phone), 757-442-7530 (Fax)

*VA, Norfolk*

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*VT, Burlington*

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*WA, Colville*

Martin E. Wold, Five Star Enterprise Community, Colville, WA 99114, 509-684-4571 (Phone), 509-684-4788 (Fax)

*WA, Seattle*

Mr. Ben Wolters, City of Seattle, Office of Economic Development, 600 Fourth Ave., Seattle Municipal Bldg., Room 205, Seattle, WA 98104-1826, 206-684-8591 (Phone), 206-684-0379 (Fax)

*WA, Sunnyside*

Mike Gregory, Lower Yakima County Enterprise Community, Sunnyside, WA 98944, 509-839-6847 (Phone), 509-839-7462 (Fax)

*WA, Tacoma*

Dr. Shirl E. Gilbert, III, Tacoma Urban League, 2550 S. Yakima Ave., Tacoma, WA 98405, 253-383-2007 (Phone), 253-383-4818 (Fax)

Ms. Cynthia Spry, Tacoma/Pierce County Chamber of Commerce, P.O. Box 1933, Tacoma, WA 98401-1933, 253-627-2175 (Phone), 253-597-7305 (Fax)

*WI, Lac du Flambeau*

Karlene Zajicek, Northwoods Nijii Enterprise Community, Lac du Flambeau, WI 54135, 715-588-3303 (Phone), 715-588-9408 (Fax)

*WI, Milwaukee*

Mr. Glen Mattison, City of Milwaukee, Community Block Grant Administration, 200 E. Wells St., City Hall, Room 606, Milwaukee, WI 53202, 414-286-3760 (Phone), 414-286-5003 (Fax)

*WV, Charleston*

Ben Newhouse, Upper Kanawha Valley Enterprise Community, Charleston, WV 25301, 304-340-7060 (Phone), 304-343-3774 (Fax)

*WV, Clay*

Jerry Sizemore, Central Appalachia Enterprise Community, Clay, WV 25043, 304-587-2034 (Phone), 304-587-2027 (Fax)

*WV, Huntington*

Ms. Cathy Burns, Huntington WV/Ironton OH Empowerment Zone Inc., P.O. Box 1659, Huntington, WV 25717, 304-696-5533 (Phone), 304-696-4465 (Fax)

*WV, Wilcoe*

Dr. Clif Moore, McDowell County Enterprise Community, Wilcoe, WV 24895, 304-448-2118 (Phone), 304-448-3287 (Fax)

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**COMMUNITY DEVELOPMENT  
BLOCK GRANT PROGRAM FOR  
INDIAN TRIBES AND ALASKA  
NATIVE VILLAGES**



**FUNDING AVAILABILITY FOR THE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM FOR INDIAN TRIBES AND ALASKA NATIVE VILLAGES**

**Program Overview**

*Purpose of the Program.* The purpose of the Community Development Block Grant Program for Indian Tribes and Alaska Native Villages (ICDBG) is the development of viable Indian and Alaska Native communities, including the creation of decent housing, suitable living environments, and economic opportunities primarily for persons with low and moderate incomes as defined in 24 CFR 1003.4.

*Available Funds.* Approximately \$71,284,661 is available for the ICDBG Program.

*Eligible Applicants.* Eligible applicants are Indian tribes or tribal organizations on behalf of Indian tribes.  
*Application Deadline.* May 23, 2001.  
*Match.* None.

**Additional Information**

If you are interested in applying for funding under this program, please review carefully the General Section of this SuperNOFA and the following additional information.

**I. Application Due Date, Application Kits, Further Information, and Technical Assistance**

*Application Due Date.* Your completed application (one original and two copies) is due on or before 12:00 midnight, Eastern time, on May 23, 2001.

See the General Section of this SuperNOFA for specific procedures that

you must follow for the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

*Addresses for Submitting Applications to the Appropriate Area ONAP.* Submit original signed application and two copies to the appropriate Area Office of Native American Programs for your jurisdiction. A list of jurisdictions is given below. A hand carried application will be accepted at the specified HUD Area ONAP during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 p.m. local time. Please be sure to arrive at the Area ONAP with adequate time to submit the application before the 6:00 p.m. deadline by the application due date.

If you are applying from this geographic location then . . .	send your application to this Area ONAP:
All States East of the Mississippi River, plus Iowa and Minnesota.	Eastern/Woodlands Office of Native American Programs, Grants Management Division, 77 West Jackson Blvd., Room 2400, Chicago, IL 60604-3507, Telephone: (312) 886-4532, Ext. 2815.
Louisiana, Kansas, Oklahoma, and Texas, except West Texas.	Southern Plains Office of Native American Programs, Grants Management Division, 500 W. Main Street, Suite 400, Oklahoma City, OK 73102-3202, Telephone: (405) 553-7525.
Colorado, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming.	Northern Plains Office of Native American Programs, Grants Management Division, First Interstate Tower North, 633 17th Street, Denver, CO 80202-3607, Telephone: (303) 672-5465.
Arizona, California, and Nevada .....	Southwest Office of Native American Programs, Grants Management Division, Two Arizona Center, Suite 1650, 400 N. Fifth Street, Phoenix, AZ 85004-2361, Telephone: (602) 379-3865.
New Mexico and West Texas .....	Southwest Office of Native American Programs, Grants Management Division, Albuquerque Plaza, 201 3rd Street N.W., Suite 1830, Albuquerque, NM 87102-3368, Telephone: (505) 346-6923.
Idaho, Oregon, Washington .....	Northwest Office of Native American Programs, Grants Management Division, Federal Office Building, 909 First Avenue, Suite 300, Seattle, WA 98104-1000, Telephone: (206) 220-5271.
Alaska .....	Alaska Office of Native American Programs, Grants Management Division, 949 E. 36th Avenue, Suite 401, Anchorage, AK 99508-4399, (907) 271-4603.

In order to expedite the review of your application and to ensure that your application is given a thorough and complete review of all responses to each of the components of the selection criteria, HUD strongly requests that you use separate tabs for each selection criterion and sub-criterion. In order to be rated, make sure the response is beneath the appropriate heading. Keep the responses in the same order as the NOFA. Limit your narrative explanations to 200 words or less and provide the necessary data such as a market analysis, a pro forma, housing survey data, etc., that support the response. Include all relevant material to a response under the same tab. Do not assume the reviewer will search for the answer or information to support the answer elsewhere in the application. Do not include documentation that is not required by the selection criteria

because irrelevant information will be disregarded during the review of your application. HUD asks that you do a preliminary rating for your project, providing a score according to the NOFA point system and submit your preliminary rating with your application. This will help to show you how your project might be scored by reviewers. Also, it will help to show you where the strengths and weaknesses of the application are located so that you may improve your application prior to its submission by the deadline date.

*For Application Kits.* For an application kit and any supplemental material please call the SuperNOFA Information Center at 1-800-HUD-8929 or the appropriate Area ONAP for your jurisdiction as listed above. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. An application kit also

will be available on the Internet through the HUD web site at <http://www.hud.gov>. When requesting an application kit, please refer to ICDBG and provide your name, address (including zip code), and telephone number (including area code).

*For Further Information.* You should direct general program questions to the Area ONAP serving your area or to Jackie Kruszek, Office of Native American Programs, Office of Public and Indian Housing, Department of Housing and Urban Development, 1999 Broadway, Suite 3390, Denver, CO 80202; telephone (800) 561-5913. 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.

*For Technical Assistance.* Before the application deadline, we will be available to provide you with general guidance. We cannot, however, provide you with guidance on the actual contents of your application. If applicable, after selection but before award, we will be available to assist you in clarifying or confirming information that is required to address a pre-award requirement or condition.

**II. Amount Allocated**

Approximately \$70,843,800 is available for the ICDBG Program.

*General.* Title I of the Housing and Community Development Act of 1974 (the CDBG statute) requires grants for Indian tribes be awarded on a competitive basis in accordance with selection criteria contained in a regulation promulgated by the Secretary after notice and public comment. All grant funds awarded in accordance with this NOFA are subject to the requirements of 24 CFR part 1003. Applicants within an Area ONAP's geographic jurisdiction compete only against each other for that Area ONAP's allocation of funds.

*Allocations.* The requirements for allocating funds to Area ONAPs responsible for program administration are found at 24 CFR 1003.101. Following these requirements, based on an appropriation of \$ 70,843,800, the allocations for FY 2001 are as follows:

Eastern/Woodland .....	\$5,481,761
Southern Plains .....	12,972,631
Northern Plains .....	10,941,946
Southwest .....	29,848,823
Northwest .....	4,180,664
Alaska .....	5,858,836
Total .....	\$69,284,661

The total allocation includes \$440,861 in unused funds from the amount reserved by the Assistant Secretary in Fiscal Year 2000 for Imminent Threat grants. As indicated below, \$2,000,000 will be retained to fund Imminent Threat grants.

*Grant Ceilings.* The authority to establish grant ceilings is found at 24 CFR 1003.100(b)(1). Grant ceilings are established for FY 2001 funding at the following levels:

Area ONAP	Population	Ceiling
Eastern/Woodlands:	ALL .....	\$500,000
Southern Plains:	ALL .....	750,000
Northern Plains:	ALL .....	800,000
Southwest:	50,001+ .....	5,000,000
	10,501-50,000 .....	2,500,000
	7,501-10,500 .....	2,000,000

Area ONAP	Population	Ceiling
	6,001-7,500 ..	1,000,000
	1,501-6,000 ..	750,000
	0-1,500 .....	550,000
Northwest: .....	ALL .....	350,000
Alaska: .....	ALL .....	500,000

For the Southwest Area ONAP jurisdiction, the population used to determine ceiling amounts is the Native American population that resides on a reservation or rancheria. Please contact that office before submitting your application if you are unsure of the population level to use to determine the ceiling amount for your tribe or if you believe that the level used for previous years needs to be revised or corrected. The Southwest ONAP must accept any corrections or revisions before you submit your application.

*Imminent Threats.* The criteria for grants to alleviate or remove imminent threats to health or safety that require an immediate solution are described at 24 CFR part 1003, subpart E. In order to satisfy these criteria, the problem to be addressed must be such that an emergency situation exists or would exist if the problem were not addressed. In addition, you may use funds provided under that subpart only to address imminent threats that are not of a recurring nature and that represent a unique and unusual circumstance that impacts an entire service area. In accordance with the provisions of 24 CFR part 1003, subpart E, we will retain \$2,000,000 to meet the funding needs of imminent threat applications submitted to any of the Area ONAPs. The grant ceiling for imminent threat applications for FY 2001 is \$350,000. We established this ceiling pursuant to the provisions of 24 CFR 1003.400(c).

You do not have to submit a request for assistance under the imminent threat set-aside (24 CFR part 1003, subpart E) by the deadline established in this NOFA; the deadline applies only to applications submitted for assistance under 24 CFR part 1003, subpart D, Single purpose grants.

If, in response to a request for assistance, an Area ONAP issues you a letter to proceed under the authority of 1003.401(a), then your application must be submitted to and approved by the Area ONAP before a grant agreement may be executed. This application must contain: Standard Form 424, Application for Federal Assistance; a brief description of the proposed project; Form HUD-4123, Cost Summary; Form HUD-4125, Implementation Schedule; Form HUD-2880, Applicant/Recipient Disclosure/Update Report; Form HUD-4126,

Certifications; and, Form HUD-50070, Certification for a Drug-Free Workplace.

**III. Program Description; Eligible Applicants; and Eligible Activities**

*Program Description.* The purpose of the ICDBG Program is the development of viable Indian and Alaska Native communities, including the creation of decent housing, suitable living environments, and economic opportunities primarily for persons with low and moderate incomes.

*Eligible Applicants.* To apply for funding you must be eligible as an Indian Tribe (or as a tribal organization) by the application submission date.

Tribal organizations are permitted to submit applications under 24 CFR 1003.5(b) on behalf of eligible tribes when one or more eligible tribe(s) authorize the organization to do so under concurring resolutions. As is stated in this regulatory section, the tribal organization must itself be eligible under title I of the Indian Self-Determination and Education Assistance Act. A determination of such eligibility must be made by the Bureau of Indian Affairs or the Indian Health Service, as appropriate. This determination must be provided to the ONAPs by the application submission date.

If a tribe or tribal organization claims that it is a successor to an eligible entity, the ONAPs must review the documentation to determine whether it is in fact the successor entity.

Due to the unique structure of tribal entities eligible to submit ICDBG applications in Alaska, and as only one ICDBG application may be submitted for each area within the jurisdiction of an entity eligible under 24 CFR 1003.5, a tribal organization that submits an application for activities in the jurisdiction of one or more eligible tribes or villages must include a concurring resolution from each such tribe or village authorizing the submittal of the application. Each such resolution must also indicate that the tribe or village does not itself intend to submit an ICDBG application for that funding round. The hierarchy for funding priority continues to be the IRA Council, the Traditional Village Council, the ANCSA Village Corporation, and the ANCSA Regional Corporation.

On March 13, 2000 (65 FR 13298), the Bureau of Indian Affairs published a **Federal Register** notice entitled "Indian Entities Recognized and Eligible to Receive Services From the United States Bureau of Indian Affairs." This notice provides a listing of Indian Tribal Entities in Alaska found to be Indian

Tribes as the term is defined and used in 25 CFR part 83. Additionally, pursuant to title I of the Indian Self-Determination and Education Assistance Act, ANCSA Village Corporations and Regional Corporations are also considered tribes and therefore eligible applicants for the ICDBG program.

Any questions regarding eligibility determinations and related documentation requirements for entities in Alaska should be referred to the Alaska Area ONAP prior to the application submission date. (See 24 CFR 1003.5 for a complete description of eligible applicants.)

**Please note:** when used in this NOFA the word "tribe" means an Indian tribe, band, group or nation, including Alaska Indians, Aleuts, Eskimos, Alaska Native Villages, ANCSA Village Corporations, and ANCSA Regional Corporations.

**Eligible Activities.** Activities that are eligible for ICDBG funding are identified at 24 CFR part 1003, subpart C. Please note that although this subpart has not yet been revised to include the restrictions on activity eligibility which was added to section 105 of the CDBG statute by section 588 of the Quality Housing and Work Responsibility Act of 1998, these restrictions apply. Specifically, ICDBG funds may not be used to assist directly in the relocation of any industrial or commercial plant, facility, or operation, from one area to another, if the relocation is likely to result in a significant loss of employment in the labor market area from which the relocation occurs. The rating factors included under IV (K) specify many of the activities listed as eligible under part 1003, subpart C. Those listed include new housing construction, housing rehabilitation, land acquisition, homeownership assistance, public facilities and improvements, economic development, and micro-enterprise programs. However, the following eligible activities not clearly identified by the rating factors may be proposed and rated as described below. For a complete description of eligible activities, please refer to 24 CFR Part 1003 Subpart C.

**Acquisition of property.** This activity can be proposed as Land to Support New Housing or as part of New Housing Construction, Community Facilities or Economic Development depending on the purpose of the land acquisition.

**Assistance to Institutions of Higher Learning.** If such entities have the capacity, they can help the ICDBG grantees to implement eligible projects.

**Assistance to Community Based Development Organizations (CBDO's).**

Grantees may provide assistance to these organizations to undertake activities related to neighborhood revitalization, community economic development or energy conservation.

**Clearance, Demolition.** These activities can be proposed as part of Housing Rehabilitation, New Housing Construction, Community Facilities or Land to Support New Housing.

**Code Enforcement.** This activity can be proposed as Housing Rehabilitation. The activity must comply with the requirements at 24 CFR 1003.202. HUD approval is required prior to demolition of any assisted housing.

**Comprehensive Planning.** This activity is eligible, and can be proposed, as part of any otherwise eligible project to the extent allowed by the 20 percent cap on the grant for planning/administration.

**Energy Efficiency.** Associated activities can be proposed under Housing Rehabilitation or Community Facilities depending upon the type of energy efficiency activity.

**Lead Based Paint Abatement and Evaluation.** These activities can be proposed under Housing Rehabilitation.

**Non-Federal Share.** ICDBG funds can be used as a match for any non-ICDBG funding to the extent allowed by such funding and the activity is eligible under 24 CFR part 1003, Subpart C.

**Privately and Publicly Owned Commercial or Industrial Buildings (real property improvements).** These activities can be proposed under Economic Development. Privately owned commercial rehabilitation is subject to the requirements at 24 CFR 1003.202.

**Privately Owned Utilities.** Assistance to privately owned utilities can be proposed under Community Facilities.

**Removal of Architectural Barriers.** This includes removing barriers that restrict mobility and access for elderly and severely disabled persons. This activity can be proposed under Housing Rehabilitation or Community Facilities depending upon the type of structure where the barrier will be removed.

#### IV. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, as an applicant you must comply with the following requirements:

**Indian Preference.** HUD has determined that the ICDBG program is subject to section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e(b)). The provisions and requirements for implementing this section are in 24 CFR 1003.510.

**Anti-discrimination Provisions.** Under the authority of section 107(e)(2) of the CDBG statute, HUD waived the requirement that recipients comply with the anti-discrimination provisions in section 109 of the CDBG statute with respect to race, color, and national origin. You must comply with the other prohibitions against discrimination in section 109 (HUD's regulations for section 109 are in 24 CFR part 6) and with the Indian Civil Rights Act.

**Conflict of Interest.** In addition to the conflict of interest requirements with respect to procurement transactions found in 24 CFR 85.36 and 84.42, as applicable, the provisions of 24 CFR 1003.606 apply to such activities as the provision of assistance by the recipient or sub-recipients to businesses, individuals, and other private entities under eligible activities that authorize such assistance.

**Economic Opportunities for Low and Very Low-Income Persons (Section 3).** Section 3 requirements apply to the ICDBG Program, but as stated in § 135.3(c), the procedures and requirements of 24 CFR part 135 apply to the maximum extent consistent with, but not in derogation of, compliance with Indian Preference.

Please note that the requirements in the General Section regarding applicability of affirmatively furthering fair housing do not apply. The requirement is inconsistent with section 106(a) of the Housing and Community Development Act of 1974, as amended, which specifically makes inapplicable to the ICDBG program the requirement of section 104(b)(2) that the grantee certify that it will affirmatively further fair housing.

#### V. Application Selection Process

You, the applicant, must meet all of the applicable threshold requirements of Section II(B) of the General Section of the SuperNOFA. HUD will review each application and assign points in accordance with the selection factors described in this section. The maximum number of points is 100.

(A) **Screening for acceptance.** ONAPs will screen applications for single purpose grants. The ONAPs will reject an application that fails this screening and will return the application unrated. The ONAPs will accept your application if it meets all the criteria listed below as items (1) through (6):

(1) Your application is received or submitted in accordance with the requirements set forth under

**APPLICATION DUE DATE** in this NOFA;

(2) You are eligible;

(3) The proposed activities are eligible;



(4) Your application contains substantially all the components specified in VI of this notice;

(5) Your application shows that at least 70% of the grant funds are to be used for activities that benefit low and moderate income persons, in accordance with the requirements of 24 CFR 1003.208; and

(6) Your application is for an amount that does not exceed the grant ceilings that are established by the NOFA.

(B) *Threshold review.* ONAPs will rate and rank each application that passes the screening process to ensure that each applicant and each proposed project meets the applicant threshold requirements set forth in 24 CFR 1003.301(a) and the project specific threshold requirements set forth in 1003.302.

(C) *Rating.* The ONAPs will review and rate each project that meets the acceptance criteria and threshold requirements. The total points for all rating factors is 100. This is the maximum any project can receive. As indicated below, please note that to be considered for funding, a project must receive a minimum of 25 points under Rating Factor 1.

(D) *Public Service Projects.* Because there is a statutory 15 percent cap on the amount of grant funds that may be used for public services activities, you may not receive a single purpose grant solely to fund public services activities. Your application, however, may contain a public services component for up to 15 percent of the total grant. This component may be unrelated to the other project(s) included in your application. If your application does not receive full funding, we will reduce the public services allocation proportionately so that it comprises no more than 15 percent of the total grant award. In making such reductions, the feasibility of the proposed project will be taken into consideration. If a proportionate reduction of the public services allocation renders such a project infeasible, the project will not be funded.

(E) *Final Ranking.* We will rank all projects against each other according to the point totals they receive, regardless of the type of project or component under which the points were awarded. We will select projects for funding based on this final ranking, to the extent that funds are available. We will determine individual grant amounts in a manner consistent with the considerations set forth in 24 CFR 1003.100(b)(2). Specifically, ONAPs may approve a grant amount less than the amount requested. In doing so, ONAPs may take into account the size

of the applicant, the level of demand, the scale of the activity proposed relative to need and operational capacity, the number of persons to be served, the amount of funds required to achieve project objectives, the reasonableness of the project costs, and the administrative capacity of the applicant to complete the activities in a timely manner.

If the ONAPs determine that there are not enough funds available to fund a project as proposed by the applicant, they may decline to fund that project and may fund the next highest ranking project or projects for which adequate funds are available. The ONAPs may select, in rank order, additional projects for funding if one of the higher ranking projects is not funded or if additional funds become available.

(F) *Tiebreakers.* When rating results in a tie among projects and insufficient resources remain to fund all tied projects, the ONAPs will approve projects that can be fully funded over those that cannot be fully funded. When that does not resolve the tie, the ONAPs will use the following factors in the order listed to resolve the tie:

(1) The applicant that has not received an ICDBG over the longest period of time.

(2) The applicant with the fewest active ICDBGs.

(3) The project that would benefit the highest percentage of low and moderate income persons.

(G) *Pre-award requirements.* If there are technical deficiencies in successful applications, you must satisfactorily address these deficiencies before we can make a grant award. Please see Section VIII of this NOFA for a definition of such a deficiency and a description of the process to address and correct the deficiency. You must correct all technical deficiencies within the timeframe established by HUD. If they are not corrected, we will not make the grant award and will reject your application.

We also may require a successful applicant to provide supporting documentation concerning the management, maintenance, operation, or financing of proposed projects before a grant agreement can be executed. We will normally give you no less than thirty (30) calendar days to respond to these requirements. If you do not respond within the prescribed time period or you make an insufficient response, the ONAPs may determine that you have not met the requirements and may withdraw the grant offer. The ONAPs require you to submit supporting documentation if specific questions remain concerning the scope,

magnitude, timing, or method of implementing the project; or you have not provided information verifying the commitment of other resources required to complete, operate, or maintain the proposed project. You may not substitute new projects for those originally proposed in your application. We will award, in accordance with the provisions of this NOFA, grant amounts that had been allocated for applicants unable to meet pre-award requirements.

(H) *Definitions.*

*Adopt* means to approve by formal tribal resolution.

*Assure* means to comply with a specific NOFA requirement. As an applicant, you should state your compliance or your intent to comply in your application.

*Document* means to supply supporting written information and/or data in the application that satisfies the NOFA requirement.

*Entity Other than Tribe.* A distinction is made between the requirements for point award under Rating Factor 3 if a tribe or an entity other than the tribe will assume maintenance and related responsibilities for projects other than economic development and land acquisition for housing. Entities other than the tribe must have the following characteristics: must be legally distinct from the tribal government; their assets and liabilities cannot be considered to be assets and liabilities of the tribal government; claims against such entities cannot be made against the tribal government; and, must have governing boards, boards of directors, or groups or individuals similar in function and responsibility to such boards which are separate from the tribe's general council, tribal council, or business council, as applicable.

Entities other than the tribe may be completely external to the tribe, e.g., a Federal agency, or may be an entity formed or chartered under provisions of tribal law, e.g., a tribally chartered non-profit or for-profit corporation, tribal utility authority, or tribal political subdivision.

If the nature of the entity is such that it is apparent that it is not the tribe, e.g., it is a Federal or state department or agency, information establishing that it is an entity other than the tribe need not be provided. However, if it is *not* apparent that the entity has all of the characteristics stated above, it is the applicant's responsibility to provide information to HUD to establish that this is true. If potential applicants are unsure whether or not a specific entity has the necessary characteristics, a request for review should be submitted to the ONAPs *prior* to the submission of

the application for assistance. If an applicant waits to submit the information on entity characteristics with an application and HUD found the information to be inadequate or inconclusive, the award of points would be jeopardized.

**Homeownership Assistance Programs.** Tribes may apply for assistance to provide direct homeownership assistance to low- and moderate-income households to: subsidize interest rates and mortgage principal amounts for low- and moderate-income homebuyers; finance the acquisition by low- and moderate-income homebuyers of housing that is occupied by the homebuyers; acquire guarantees for mortgage financing obtained by low- and moderate-income homebuyers from private lenders (except that ICDBG funds may not be used to guarantee such mortgage financing directly, and grantees may not provide such guarantees directly); provide up to 50 percent of any downpayment required from a low- and moderate-income homebuyer; or, pay reasonable closing costs (normally associated with the purchase of a home) incurred by a low- or moderate-income homebuyer.

**Leverage** means resources that you will use in conjunction with ICDBG funds to achieve the objectives of the project. Resources include, but are not limited to: tribal trust funds; loans from individuals or organizations; State or Federal loans or guarantees; other grants; and non-cash contributions and donated services. (See Rating Factor 4 of this NOFA for documentation requirements for point award for leveraged resources.)

**Microenterprise Programs.** Tribes may apply for assistance to operate programs to fund the development, expansion and stabilization of microenterprises. Microenterprises are defined as commercial entities with five or fewer employees, including the owner. Microenterprise program activities may entail the following assistance to eligible businesses: providing credit, including, but not limited to, grants, loans, loan guarantees, and other forms of financial support for the establishment, stabilization, and expansion of microenterprises; providing technical assistance, advice, and business support services to owners of microenterprises and persons developing microenterprises; and, providing general support, including, but not limited to, peer support programs, counseling, child care, transportation, and other similar services to owners of microenterprises and persons developing microenterprises.

**Operations and Maintenance (O&M) for Community Facilities.** While various items of cost will vary in importance and significance depending on the type of facility proposed, there are items of expense related to the operation of the physical plant which must be addressed in a maintenance and operation plan (tribe assumes responsibility) or letter of commitment (entity other than tribe will assume these responsibilities). These items include daily or other periodic maintenance activities; repairs such as replacing broken windows; capital improvements or replacement reserves for repairs such as replacing the roof; fire and liability insurance (may not be applicable to most types of infrastructure projects such as water and sewer lines); and, security (may not be applicable to many types of infrastructure projects such as roads).

Please note that while it is possible that the service provider may, in its agreement with a tribe, commit itself to cover certain or all facility O&M costs, as defined, these O&M costs *do not include* the program service provision costs related to the delivery of services (social, health, recreational, educational or other) which may be provided in a facility.

**Project Cost** means the total cost to implement the project. Project cost includes both ICDBG and non-ICDBG funds and resources.

**Section 8 standards** means housing quality standards contained in 24 CFR 982.401 (Section 8 Tenant-Based Assistance: Unified Rule for Tenant-Based Assistance Under the Section 8 Rental Certificate Program and the Section 8 Rental Voucher Program).

**Standard Housing/Standard Condition** means housing that meets the housing quality standards (HQS) adopted by the applicant. The HQS adopted by the applicant must be at least as stringent as the Section 8 standards unless the ONAPs approve less stringent standards based on a determination that local conditions make the use of Section 8 standards infeasible. You may submit, before the application due date, a request for the approval of standards less stringent than Section 8 standards. If you submit the request with your application, you should not assume automatic approval by the ONAPs. The adopted standards must provide for a safe house, in physically sound condition with all systems performing their intended design functions; a livable home environment and an energy efficient building and systems that incorporate energy conservation measures; and, an adequate space and privacy for all intended household members.

(I) **General threshold requirement.** According to 24 CFR 1003.301(a), an applicant that has an outstanding ICDBG obligation to HUD that is in arrears, or one that has not agreed to a repayment schedule, will be disqualified from the competition.

(J) **Project specific threshold requirements.** (1) Housing Projects (New Construction, Rehabilitation, Land Acquisition and Homeownership Assistance). For housing projects, you must provide an assurance that households that have been evicted from HUD-assisted housing within the past five years will not be assisted by the proposed project except in emergency situations. The ONAP Administrator will review each emergency situation proposed by an applicant on a case-by-case basis to determine whether an exception is warranted.

You also must provide an assurance that the proposed housing category project is consistent with and, to the extent possible, identified in the Indian Housing Plan (IHP) (One-Year Financial Resources Narrative; Table 2, Financial Resources, Part I, Line 1E; and, Table 2, Financial Resources, Part II) submitted by you or on your behalf for the Indian Housing Block Grant Program under the Native American Housing Assistance and Self Determination Act of 1996 (25 U.S.C. 4101 *et seq.*). If the IHP for the IHBG program year that coincides with the implementation of the ICDBG proposed project has not been submitted, you must provide an assurance that when submitted, the IHP will specifically reference the proposed housing category project.

(2) Housing Rehabilitation Projects. For housing rehabilitation projects, you must adopt rehabilitation standards and rehabilitation policies before you submit an application. *You must submit these standards and policies with the application.* You must also provide an assurance that:

(a) All households that receive grant assistance under a housing rehabilitation project will be of low and moderate income status.

(b) Any house to be rehabilitated will be the permanent non-seasonal residence of the occupants; the residents will live in the unit at least nine months per year.

(c) Houses designated for eventual replacement will only receive repairs essential for the health and safety of the occupants.

(d) Project funds will be used to rehabilitate HUD-assisted houses only when the tenant/homebuyer's payments are current or the tenant/homebuyer is current in a repayment agreement. In emergency situations, the ONAP

Administrator may grant exceptions to this requirement on a case-by-case basis.

(e) Houses that have received comprehensive rehabilitation assistance from any ICDBG or other federal grant program within the past 8 years will not be assisted with ICDBG funds to make the same repairs if the repairs are needed as a result of abuse or neglect.

(f) Although you do not have to provide an assurance, grant funds spent on rehabilitation per house must fall within the following limits for each Area ONAP jurisdiction:

(i) Eastern/Woodlands .....	\$35,000
(ii) Southern Plains .....	20,000
(iii) Northern Plains .....	35,000
(iv) Southwest .....	40,000
(v) Northwest .....	40,000
(vi) Alaska .....	55,000

(3) Land Acquisition Projects. For land acquisition projects, your application must contain information and documentation, such as a preliminary plot plan or its equivalent, establishing that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low and moderate income households with documented housing needs. A clear objective of the applicant must be to make the most effective and economic use of the land proposed for acquisition.

Your application must clearly demonstrate and document housing assistance needs with a survey that identifies the households to be served, their size, income levels, and the condition of current housing or, if applicable, Table I, Statement of Needs from your Tribe's Indian Housing Plan (IHP). *The survey and/or Table I from the IHP must be submitted with the application.*

Your application must include evidence of a commitment and an ability to construct at least 25 percent of the housing units to be built on the land proposed for acquisition. This evidence must consist of one (or more) of the following: a firm or conditional commitment to construct (or to finance the construction of) the units; documentation that an approvable application for the construction of these units has been submitted to a funding source or entity; or, documentation that these units are specifically identified in the Indian Housing Plan submitted on or on behalf of the applicant as an affordable housing resource with a commensurate commitment of Indian Housing Block Grant (IHBG) resources.

(4) New Housing Construction. New housing construction can only be implemented through a Community

Based Development Organization (CBDO). Eligible CBDOs are described in 24 CFR 1003.204(c). You must provide an assurance that you understand this requirement.

You must include in the application, documentation supporting the following determinations: all households to be assisted under a new housing construction project must be of low or moderate income status; no other housing is available in the immediate reservation area that is suitable for the households to be assisted; no other funding sources including an Indian Housing Block Grant can meet the needs of the household(s) to be served; the house occupied by the household to be assisted is not in standard condition and rehabilitation is not economically feasible, the household is currently in an overcrowded house (sharing house with another household(s)), or the household to be assisted has no current residence.

Before you submit an application for new housing construction projects, you must adopt construction standards and construction policies. You must identify the building code to be used when constructing the houses and must document that this code has been adopted. The building code may be a tribal building code or a nationally recognized model code. If it is a tribal code, it must regulate all of the areas and sub-areas identified in 24 CFR 200.925(b). If the code is recognized nationally, it must be the latest edition of one of the codes incorporated by reference in 24 CFR 200.925(c).

You must provide an assurance that any house to be constructed will be the permanent non-seasonal residence of the household to be assisted. This household must live in the house at least nine months per year.

(5) Homeownership Assistance Projects. No project specific thresholds.

(6) Infrastructure. No project specific thresholds.

(7) Buildings. If you propose a facility that would provide health care services funded by the Indian Health Service (IHS), you must assure that the facility meets all applicable IHS facility requirements. We recognize that tribes that are contracting services from the IHS may establish other facility standards. These tribes must assure that these standards at least compare to nationally accepted minimum standards.

(8) Economic Development. Economic development assistance may be provided only when a financial analysis is provided that shows public benefit commensurate with the assistance to the business can reasonably be expected to

result from the assisted project. The analysis should also establish that to the extent practicable, reasonable financial support will be committed from non-federal sources prior to disbursement of federal funds; any grant amount provided will not substantially reduce the amount of non-federal financial support for the activity; not more than a reasonable rate of return on investment is provided to the owner; and that grant funds used for the project will be disbursed on a pro-rata basis with amounts from other sources. In addition, it must be established that the project is financially feasible and has a reasonable chance of success.

Microenterprise Projects. No project specific thresholds.

(K) *Factors for Award Used To Evaluate and Rate Applications.* The factors for rating and ranking applications and the points for each factor are provided below. The maximum number of points for all rating factors is 100. This is the maximum any project can receive.

**Rating Factor 1: Capacity of the Applicant (35 Points)**

This factor addresses the extent to which you have the organizational resources necessary to successfully implement the proposed activities in a timely manner. If applicable, past performance in administering previous ICDBG will be taken into consideration. Please specifically address the existence or availability of these resources for the specific type of activity for which you are applying. You must receive a minimum of 25 points under this factor for your proposed activity to be eligible for funding. HUD will not rate any projects further that do not receive a minimum of 25 points under this factor.

Your application must include documentation demonstrating that you possess or can obtain managerial, technical, and/or administrative capability necessary to carry out the proposed project. Your application must address who will administer the project and how you plan to handle the technical aspects of executing the project.

Your application describes the experience and expertise of existing staff in the implementation of the specific activity for which you are applying and what responsibilities they will have in project implementation, as well as those aspects of project implementation that will be contracted to outside parties. (5 points)

Your application addresses overall project management. (5 Points)

Your application addresses financial management. (4 Points)

Your application addresses procurement and contract administration. (3 Points)

Your application addresses environmental reviews. (3 Points)

Your performance in administering ICDBG grants over the preceding 12-month period on any open grant will be evaluated based on the following performance measures. If you do not have any open ICDBG grants, then you will receive 15 points under this sub-factor.

You have had satisfactory progress in meeting the time frames established in the HUD-approved Implementation Schedule for the ICDBG Program. (3 Points)

You have had timely submission of required reports including the Annual Status and Evaluation Report and Federal Cash Transaction Report for the ICDBG Program. (3 Points)

You have submitted close-out documents to HUD in a timely manner. Close-out documents are required for the ICDBG program within 90 days of completion of project activities. (3 Points)

You have submitted in a timely fashion annual audits in accordance with the ICDBG Program requirements. (3 Points)

You have resolved in a timely fashion ICDBG monitoring findings and controlled audit findings or no findings in current reports. (3 Points)

#### **Rating Factor 2: Need/Extent of the Problem (25 Points)**

This factor addresses the extent to which there is a need for the proposed project to address a documented problem among the intended beneficiaries.

Your application includes documentation demonstrating that the proposed project meets an essential community development need by fulfilling a function that is critical to the continued existence or orderly development of the community. (10 points)

For public facilities and improvements and economic development projects, the proposed activities benefit the neediest segment of the population, as identified below. You must include information demonstrating that income data were collected in a statistically reliable and independently verifiable manner.

85 percent or more of the beneficiaries are low or moderate income. (15 points)

At least 75 percent but less than 85 percent of the beneficiaries are low or moderate income. (10 points)

At least 55 percent but less than 75 percent of the beneficiaries are low or moderate income. (5 points)

Less than 55 percent of the beneficiaries are low or moderate income. (0 points)

For new housing, housing rehabilitation, land acquisition, and homeownership assistance projects, the proposed activities are limited to low or moderate income beneficiaries. To evaluate need, the applicant must demonstrate that the amount of the Indian Housing Block Grant (IHBG) most recently received by the tribe or its tribally designated housing entity (TDHE) is not sufficient to have a significant impact on identified housing needs of low or moderate income households.

The Indian tribe's IHBG amount was \$100,000 or less in IHBG funds. (15 points)

The Indian tribe's IHBG amount was more than \$100,000 but at most \$300,000 in IHBG funds. (10 points)

The Indian tribe's IHBG amount was more than \$300,000 but at most \$500,000 in IHBG funds. (5 points)

The Indian tribe's IHBG amount was more than \$500,000 in IHBG funds. (0 points)

For programs which will assist in the development, expansion, or stabilization of microenterprises, the owner(s) of the microenterprise must be low or moderate income and the majority of the jobs created or retained will be for low or moderate income persons. To evaluate need, the nature of the jobs created or retained will be evaluated. The owners of the microenterprises are low and moderate income and:

All employees are low or moderate income. (15 points)

At least 75 percent but less than 100 percent of the employees are low or moderate income. (10 points)

At least 55 percent but less than 75 percent of the employees are low or moderate income. (5 points)

Less than 55 percent of the employees are low and moderate income. (0 points)

#### **Rating Factor 3: Soundness of Approach (25 Points)**

This factor addresses the quality and cost effectiveness of your proposal, the degree to which your project provides other benefits to community members, and the commitment to sustain your proposed activities.

(1) Your proposed project is a viable and cost effective approach to address the identified need. Appropriate information to include in the application to address this factor is a description of other options considered

during project planning, an explanation of how the size, type, and location of the project, if applicable and appropriate, were determined, and a discussion of anticipated cost savings due to innovative program design and/or construction methods. (5 points)

(2) Your proposed project will contribute to community objectives other than the direct objective of the project, such as job creation or retention, education and job training opportunities, economic self-sufficiency, homeownership, and reduction of drug-related crime. (5 points)

(3) Your application demonstrates your commitment to sustain your proposed activities. This commitment must be demonstrated in the following project specific ways:

(a) Public facilities and improvements. (i) If the tribe assumes operation and maintenance responsibilities for public facilities and improvements, a resolution that both adopts the operation and maintenance plan and commits necessary funds must be included in the application.

The plan itself is included and addresses maintenance, repairs, insurance, replacement reserves and includes a cost breakdown for annual expenses; for community buildings only, the source of operating funds is identified for any recreation, social or other services to be provided by other entity/ies and letters of commitment from service providers are included which address both operating expenses and space needs. (15 points)

A resolution adopting the operation and maintenance plan and committing funds is included; the plan is included and addresses most, but not all above items, but does include a satisfactory cost breakdown; for community buildings only, above service provider commitments (if applicable) as well as the source of operating funds are included. Information provided is sufficient to determine that the project will proceed effectively. (10 points)

A resolution adopting the plan and committing funds, or a plan addressing most of the above items is included. Information provided is sufficient to determine that the project will proceed effectively. (5 points)

None of the above criteria are met. (0 points)

(ii) If an entity other than the tribe commits to pay for operation and maintenance for public facilities and improvements, the application must contain a letter of commitment from the entity that assumes the operation and maintenance responsibilities.

Your application contains a letter of commitment from the entity that identifies the maintenance responsibilities and, if applicable, responsibilities for operations the entity will assume, as well as its financial capacity to provide for these responsibilities; for community buildings only, the source of funds for program service provision is identified for any recreation, social or other services to be provided by other entities and letters of commitment from service providers are included which address both these funds and space needs. (15 points)

Your application contains a letter of commitment identifying maintenance responsibilities and, if applicable, responsibilities for operations the entity will assume, but no information regarding the entity's financial capacity is included; for community buildings only, the source of funds for program service provision is identified for any applicable services to be provided and letters of commitment from applicable providers are included which address both these funds and space needs. (10 points)

Your application identifies the maintenance provider and, if applicable, responsibilities for operations the entity will assume, but a letter of commitment is not provided; for community buildings only, letters of commitment to provide services are included but no information regarding the provision of these funds or space needs is provided. (5 points)

None of the above criteria are met. (0 points)

(b) New housing construction, housing rehabilitation, and homeownership assistance projects.

The ongoing maintenance responsibilities are clearly identified for the tribe and/or the participants, as applicable. All participant maintenance responsibilities are included on a statement to be signed by the participant as a condition of receiving grant assistance and the statement to be used is included in the application. (15 points)

Maintenance responsibilities are identified, but in insufficient detail, and the above statement to be signed by the participant is submitted. (10 points)

Tribal maintenance responsibilities are identified but participant responsibilities are either not addressed or do not exist. (5 points)

None of the above criteria are met. (0 points)

(c) Economic development. You must include information or documentation which addresses or provides the following in the application: a

description of the organizational system and capacity of the entity that will operate the business; the feasibility and market analysis of the proposed business activity and the financial viability of the project.

Appropriate documents to include in the application to address these items include:

(i) Articles of incorporation, by-laws, resumes of key management positions and board members.

(ii) Business operating plan.

(iii) Market study no more than two years old.

(iv) Feasibility study indicating how the proposed business will capture a fair share of the market.

(v) Detailed cost summary for the development of the project.

(vi) Five year operating or cash flow financial projections.

(vii) For the expansion of an existing business, copies of financial statements for the most recent three years (or the life of the business, if less than three years).

All above documents applicable to the proposed project are included in your application and the chances for financial success are excellent. (15 points)

All or most of the above documents applicable to the proposed project are included in your application and the chances for financial success are reasonable. (8 points)

Neither of the above criteria are met. (0 points)

(d) Micro enterprise assistance. You must include the following information or documentation in the application:

(i) Program description: You must submit a description of the proposed microenterprise program, including the types of entities that will be eligible to apply for funds through the microenterprise program.

(ii) Business plan. You must demonstrate that you will require each microenterprise applicant to submit a business plan. You must describe your process for reviewing and analyzing these plans.

(iii) Underwriting. If a credit program is intended, you must indicate what your underwriting criteria will be. A thorough description of the process for how you will analyze the financial status of microenterprise applications is included.

(iv) Loan terms. If a credit program is intended, you must indicate their range of loan terms (i.e. interest rate, maximum loan amount, duration, loan servicing provisions) and you must also indicate how you will determine the terms offered to individual microenterprise applicants.

(v) Market. You must indicate how you will analyze the market for the proposed microenterprise businesses and ensure that each funded business has a well defined market strategy.

All above documents applicable to the proposed project are included in the application and the chances for success are excellent. (15 points)

All or most of the above documents applicable to the proposed project are included in the application and the chances for success are reasonable. (8 points)

Neither of the above criteria are met. (0 points)

(e) Land Acquisition: Submissions should include the results of a preliminary investigation conducted by a qualified independent entity demonstrating that the proposed site has suitable soil conditions for housing and related infrastructure, available drinking water, access to utilities, vehicular access, drainage, nearby social and community services, and no known environmental problems.

The submissions include all of the above mentioned items and all necessary infrastructure is in place. (15 points)

The submissions demonstrate that the proposed site(s) is/are suitable for housing but that not all necessary infrastructure is in place. A detailed description of resources to be used and a detailed implementation schedule for development of all necessary infrastructure demonstrates that such infrastructure, as needed for proposed housing development, will be developed in time for such development, but no later than two years after site purchase. (8 points)

Neither of the above criteria are met. (0 points)

**Rating Factor 4: Leveraging Resources (10 Points)**

HUD believes that ICDBG funds can be used more effectively to benefit a larger number of Native American persons and communities if projects are developed that use tribal resources and resources from other entities in conjunction with ICDBG funds. To encourage this, we will award points based on the percentage of non-ICDBG resources provided relative to project costs as follows:

Non-ICDBG resources to project costs	Points
Less than 5 percent .....	0
At least 5 percent but less than 10 percent .....	2
At least 10 percent but less than 15 percent .....	4

Non-ICDBG resources to project costs	Points
At least 15 percent but less than 20 percent .....	6
At least 20 percent but less than 25 percent .....	8
25 percent or more .....	10

Contributions which could be considered as leveraged resources for point award include, but are not limited to: tribal trust funds; loans from individuals or organizations; State or Federal loans or guarantees; other grants; donated goods and services needed for the project; land needed for the project; and, direct administrative costs.

Contributions that will not be considered include, but are not limited to: indirect administrative costs as identified in OMB Circular A-87, attachment A, section F; contributions of resources to pay for anticipated operations and maintenance costs of the proposed project; and, in the cases of expansions to existing facilities, the value of the existing facility.

To be considered for point award, firm and projected commitments must be demonstrated at the time of application.

To demonstrate the commitment of tribal resources, the application must contain a council resolution or legal equivalent that identifies and commits the tribal resources to the project, subject to approval of the ICDBG assistance and favorable outcome of any environmental review required under 24 CFR part 58 for the project.

To demonstrate the commitment of public agency, foundation, or other private party resources, a letter of commitment, memorandum of understanding, and/or agreement to participate, including any conditions to which the contribution may be subject, must be submitted with the application. All letters of commitment must include the donor organization's name, the specific resource proposed, the dollar amount of the financial or in-kind resource and method for valuation, and the purpose of that resource within the proposed project. The commitment must be signed by an official of the organization legally authorized to make commitments on behalf of the organization and must be conditional upon favorable outcome of any environmental review required under 24 CFR part 58 for the project.

HUD recognizes that in some cases, firm commitments of non-tribal resources may not be obtainable by your tribe by the application due date. For such projected resources, your

application must include a statement from the contributing entity that describes why the firm commitment cannot be made at the current time and affirms that your tribe and the proposed project meets eligibility criteria for receiving the resource. In addition, a date by which the funding decisions will be made must be included. This date cannot be more than six months from the anticipated date of grant approval notification by HUD. Should HUD not receive notification of the firm commitment within 6 months of the date of grant approval, HUD will recapture the grant funds approved and will use them in accordance with the requirement of 24 CFR 1003.102.

In addition to the above requirements, for all contributions of goods, services and land, you must demonstrate that the donated items are necessary to the actual development of the project and include comparable costs (or time estimates, if appropriate) that support the donation. Land valuation must be established using one of the following methods and the documentation must be contained in the application: a site specific appraisal no more than two years old; an appraisal of a nearby comparable site also no more than two years old; or a reasonable extrapolation of land value based on current area realtor value guides.

#### **Rating Factor 5: Comprehensiveness and Coordination (5 Points)**

This factor addresses the extent to which your project planning and proposed implementation reflect a coordinated, community-based process of identifying and addressing needs.

Your application includes a tribal resolution stating that the proposed project is included in an adopted comprehensive community plan. In the case of new housing, housing rehabilitation, land acquisition projects, and homeownership assistance projects, the NAHASDA Indian Housing Plan may be considered a comprehensive community plan. The resolution must identify the title and approval date of the plan and indicate how project implementation will be coordinated with tribal and other efforts directed towards addressing the identified needs. (5 Points)

Your application documents active participation in tribal planning efforts to coordinate your proposed project, but the project is not included in an adopted comprehensive community plan. (3 Points)

Your application contains no documentation regarding the inclusion of the project in a comprehensive

community plan or planning process. (0 Points)

#### **VI. Application Submission Requirements**

(A) *Demographic data.* You may submit data that are unpublished and not generally available in order to meet the requirements of this section. You must certify that:

(1) Generally available, published data are substantially inaccurate or incomplete;

(2) Data provided have been collected systematically and are statistically reliable;

(3) Data are, to the greatest extent feasible, independently verifiable; and

(4) Data differentiate between reservation and BIA service area populations, when applicable.

(B) *Publication of Community Development Statement.* You must prepare and publish or post the community development statement portion of your application according to the citizen participation requirements of 1003.604.

(C) *Application Submission.* Your application must contain the items listed below. You must also include the forms, standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding and can be found in Appendix B to the General Section of the SuperNOFA. Those forms listed in that Appendix which are not applicable to this funding are: SF 424 A—Standard Form for Budget Information—Non-Construction Programs; SP 424-B—Standard Form for Assurances—Non-Construction Programs; SP 424 C—Standard Form for Budget Information—Construction Programs; and, SP 424 D—Standard Form for Assurances—Construction Programs. In addition, if the application has been submitted by a tribal organization as defined in 24 CFR 1003.5(b), on behalf of an Indian tribe, you must submit concurring resolutions from the Indian tribe stating that the tribal organization is applying on the tribe's behalf. The other required items are as follows:

(1) Community Development Statement that includes:

(a) Components that address the relevant selection criteria;

(b) A brief description or an updated description of community development needs;

(c) A brief description of projects proposed to address needs, including scope, magnitude, and method of implementing the project;

(d) A schedule for implementing the project (form HUD-4125, Implementation Schedule); and

(e) Cost information for each separate project, including specific activity costs, administration, planning, technical assistance, and total HUD share (form HUD-4123, Cost Summary);

(2) Certifications (form HUD 4126);

(3) A map showing project location, if appropriate;

(4) If the proposed project will result in displacement or temporary relocation, a statement that identifies:

(a) The number of persons (families, individuals, businesses, and nonprofit organizations) occupying the property on the date of the submission of the application (or date of initial site control, if later);

(b) The number to be displaced or temporarily relocated;

(c) The estimated cost of relocation payments and other services;

(d) The source of funds for relocation; and

(e) The organization that will carry out the relocation activities;

(5) If applicable, evidence of the disclosure required by 24 CFR 1003.606(e) regarding conflict of interest.

(6) If applicable, the demographic data certification described in Section IV(B) of the NOFA. The data accompanying the certification must identify the total number of persons benefiting from the project and the total number of low-and-moderate persons benefiting from the project. Supporting documentation should include a sample copy of a completed survey form and an explanation of the methods used to collect the data, and a listing of incomes by household.

## VII. Clarifying Information

After the application due date, the ONAPs may not, consistent with 24 CFR part 4, subpart B, consider unsolicited information from you. The ONAPs may, however, but is under no obligation to, contact you to clarify an item in the application. You should note, however, that the ONAPs may not seek clarification of items or responses that improve the substantive quality of the applicant's response to any eligibility or selection criterion. The ONAPs will make any requests for clarifying information in writing and will specify the item, or items, that need clarification and a timeframe for response. Failure on your part to provide such requested information will result in the rejection of the application.

## VIII. Correction of Technical Deficiencies

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications. Additionally, as indicated under Section V(G) above, only successful applicants will be required to address technical deficiencies and this must be done before we make a grant award. If you do not provide the information necessary to address the deficiency within the time allowed, we will not award you the grant and will reject your application. The ONAPs will notify you in writing and will describe the technical deficiency, what must be done to correct it, and the date by which you must submit this information. The ONAPs will notify you by facsimile or by return receipt requested. Your response must be submitted (postmarked) by no later than the date established by the ONAPs. The ONAPs must provide you at least 14 calendar days to respond to the request.

## IX. Error and Appeals

Judgments made within the provisions of this NOFA and the program regulations (24 CFR part 1003) are not subject to claims of error. You may bring arithmetic errors in the rating and ranking of applications to the attention of the ONAPs within 30 days of being informed of your score. If an arithmetic error was made in the application review and rating process that, when corrected, would result in the award of sufficient points to warrant the funding of an otherwise approvable project, the ONAPs may fund that project in the next funding round without further competition.

## X. Environmental Requirements

As required by 24 CFR 1003.605, ICDBG grantees must perform environmental reviews of ICDBG activities in accordance with 24 CFR part 58. Grantees may not commit or expend any ICDBG or nonfederal funds on project activities (other than those listed in 24 CFR 58.34 or 58.35(b)) until HUD has approved a Request for Release of Funds and environmental certification submitted by the grantee. The expenditure or commitment of ICDBG or nonfederal funds for such activities prior to this HUD approval may result in the denial of assistance for the project or activities under consideration.

## XI. Authority

Title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301 *et seq.*) and the regulations in 24 CFR part 1003.

## Appendix A

The non-standard forms, which follow, are required for your ICDBG application.

**BILLING CODE 4210-32-P**

# Implementation Schedule

Indian Community Development Block Grant (ICDBG)

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

OMB Approval No. 2577-0191  
(exp. 5/31/2003)

See Instructions and Public Reporting Statement on back.  
Submit a separate implementation schedule for each project category.

1. Name of Applicant (as shown in Item 5, Standard Form 424)	2. Application/Grant Number (to be assigned by HUD)	3. <input type="checkbox"/> Original (First submission to HUD) <input type="checkbox"/> Pre-Award Submission <input type="checkbox"/> Amendment (submitted after grant approval)	Date (mm/dd/yyyy)
4. Name of Project (as shown on form HUD-4123, item 4)		5. Effective Date (mm/dd/yyyy)	Expected Completion Date (mm/dd/yyyy)   Expected Closeout Date (mm/dd/yyyy)

6. Environmental Review Status

<input type="checkbox"/> <b>Exempt</b> (As described in 24 CFR 58.34)	<input type="checkbox"/> <b>Under Review</b> (Review underway; findings not yet made)	<input type="checkbox"/> <b>Finding of No Significant Impact</b> (Finding made that request for release of funds for project is not an action which may significantly affect the environment.)
<input type="checkbox"/> <b>EIS Required</b> (Finding that project may significantly affect environment or EIS automatically required by 24 CFR 58.37)	<input type="checkbox"/> <b>Not Started</b> (Review not yet begun)	<input type="checkbox"/> <b>Certification</b> (Environmental review completed; certification and request for release of funds being prepared for submission.)
		<input type="checkbox"/> <b>Categorically Excluded</b> (as described in 24 CFR 58.35)

7. Tribal Fiscal Year (mm/dd/yyyy)

8. Task List  
(List tasks such as environmental assessment, acquisition, etc.)

9. Schedule.  
Use Calendar Year (CY) quarters. Fill-in the CY below. See detailed instructions on back.

	CY				CY				Date (mm/dd/yyyy) (If exceeds 8th Quarter)
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	5th Qtr.	6th Qtr.	7th Qtr.	8th Qtr.	
(Task List)									
10. <b>Planned Drawdowns by Quarter</b> (Enter amounts non-cumulatively)	\$	\$	\$	\$	\$	\$	\$	\$	\$Total
11. <b>Cumulative Drawdown</b> (If more than one page, enter total on last page only)	\$	\$	\$	\$	\$	\$	\$	\$	\$Total



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Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0191), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600. 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.

This collection of information requires that each eligible applicant submit information to enable HUD to select the best projects for funding during annual competitions for the ICDBG Program. The information will be used by HUD to determine whether applications meet minimum screening eligibility requirements and application submission requirements. Applicants provide general information about the project which is preliminary to the review of the applicant's response to the criteria for rating the application. The information is essential for HUD in monitoring grants to ensure that grantees are making proper use of Federal dollars. Responses to the collection are required by Section 105 of the Department of Housing and Urban Development Reform Act (P.L. 101-235) as amended by the Cranston-Gonzales National Affordable Housing Act of 1990. The information requested does not lend itself to confidentiality.

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**Instructions for Item 9 Schedule:** Use Calendar Year (CY) quarters. Fill-in the CY below. If the project begins in May, for example, enter under "1st Qtr.", A(April), M(May), J(June). Indicate time period required to complete each activity, e.g., acquisition, by entering "X" under the months it will begin and end. Draw a horizontal line from the first to the second "X". If the completion date will extend beyond the 8th quarter, enter date in the far right column and attach an explanation.

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#### **Instructions for Item 4.**

##### **Project Name and Project Type**

Participants enter the project name and the name of one of the following three categories of activities:

- Housing
- Community Facilities
- Economic Development

Also enter the component name if applicable. Use a separate Cost Summary sheet (form HUD-4123) for each project included in the application.

Examples of categories and/or components including examples of eligible activities are listed below.

##### **Housing**

###### **Rehabilitation Component**

- Rehabilitation
- Demolition

###### **Land to Support New Housing Component**

###### **New Housing Construction Component**

##### **Community Facilities**

###### **Infrastructure Component**

- Water
- Sewer
- Roads and Streets
- Storm Sewers

###### **Buildings Component**

- Health Clinic
- Daycare Center
- Community Center
- Multi-purpose Center

##### **Economic Development**

- Commercial (wholesale, retail)
- Industrial
- Motel/Hotel
- Restaurant
- Agricultural Development

# Certifications

Indian Community Development  
Block Grant (ICDBG)

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

OMB Approval No. 2577-0191  
(exp. 5/31/2003)

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The grantee hereby certifies and assures that it will comply with the regulations, guidelines, and requirements with respect to the acceptance and use of Federal funds for this Federally-assisted program. Also, the grantee gives assurances and certifies with respect to the grant that:

- A. It possesses the legal authority to apply for the grant and execute the proposed program.
  - B. The governing body has duly authorized the filing of the application, including all understandings and assurances contained in the application and has directed and authorized the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
  - C. It will comply with the HUD general administration requirements in 24 CFR Part 85.
  - D. It will comply with the requirements of Title II of Public Law 90-284 (25 USC 1301 ) (the Indian Civil Rights Act).
  - E. It will comply with the Indian preference provisions required in 24 CFR 1003.510.
  - F. It will establish written safeguards to prevent employees from using positions funded under the ICDBG programs for a purpose that is, or gives the appearance of being, motivated by private gain for themselves, their immediate family or business associates. Nothing in this certification should be construed as to limit employees from benefiting from program activities for which they would otherwise be eligible.
  - G. It will give HUD and the Comptroller General access and right to examine all books, records, papers, or documents related to the grant for a period of not less than three years after program completion or until resolution of any final audit findings.
  - H. Neither the applicant nor its principals are presently excluded from participation in any HUD programs, as required by 24 CFR part 24.
  - I. It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, implementing regulations at 49 CFR part 24 and the requirements of 24 CFR 1003.602.
  - J. The chief executive officer or other official of the applicant approved by HUD:
    1. Consents to assume the status of a responsible Federal official under the National Environmental Policy Act of 1969 insofar as the provisions of the Act apply to the applicant's proposed program pursuant to 24 CFR 1003.605.
    2. Is authorized and consents on behalf of the applicant and him/her self to accept the jurisdiction of the Federal courts for the purpose of enforcement of his/her responsibilities as such an official.
- Note:** Applicants for whom HUD has approved a claim of incapacity to accept the responsibilities of the Federal government for purposes of complying with the environmental review requirements of 24 CFR part 58 pursuant to 24 CFR 1003.605 need not include the provision of paragraph J in their assurance.
- K. It will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 and the regulations in 24 CFR part 135 (Economic Opportunities for Low and Very Low Income Persons) to the maximum extent consistent with, but not in derogation of, compliance with Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 USC. 450e(b)).
  - L. It will comply with the requirements of the Fire Authorization Administration Act of 1992 (Pub.L. 102-522).
  - M. It will provide the drug-free workplace required by 24 CFR part 24, subpart F.
  - N. It will comply with 24 CFR, part 4, subpart A, showing full disclosure of all benefits of the project as collected by Form HUD-2880, Applicant/Recipient Disclosure Report.
  - O. Prior to submission of its application to HUD, the grantee has met the citizen participation requirements which includes following traditional means of member involvement, as required in 24 CFR 1003.604.
  - P. It will administer and enforce the labor standard requirements prescribed in 24 CFR 1003.603.
  - Q. The Program has been developed so that not less than 70 percent of the funds received under this grant will be used for activities that benefit low- and moderate-income persons.
- Note:** Applicants receiving Imminent Threat Grants need not include the provision of this paragraph in their assurance

Name (type or print)	Title
Signature	Date (mm/dd/yyyy)