
Application Kit FY 2002

**COMMUNITY DEVELOPMENT WORK STUDY
PROGRAM**

Sponsored by the

U.S. Department of Housing and Urban Development
Mel Martinez, Secretary

Community Development Work Study Program OMB Approval
No. 2528-0175 (exp. 3/31/2002)

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

Selection of applications for funding under the Community Development Work Study Program) are based on the rating factors listed in the NOFA for the program published in the Federal Register.

Public reporting burden for collection of this information for CDWSP is estimated to average 40 hours. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project to the Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments please refer to OMB Approval No. 2528-0175.

Do not send this form to the above address.

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

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

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

OMB Control No. 2528-0175
(exp. 3/31/2002)

APPLICATION KIT

Dear Applicant:

The U.S. Department of Housing and Urban Development (HUD) is soliciting applications for the **Community Development Work Study Program (CDWSP)**. If you are an institution of higher education, an Area-wide Planning Organization (APO), or a State, you may be eligible to apply. CDWSP provides funding for you to assist economically disadvantaged and minority graduate students who participate in community development work study programs and are enrolled full time in a community building academic program.

This call for applications is issued under the authority of Section 107(c) of the Housing and Community Development Act of 1974, as amended, which authorizes the CDWSP. HUD intends to award up to \$3 million from FY 2002 appropriations (plus any additional funds recaptured from prior appropriations) to fund work study programs to be carried out from August 2002 to August 2004

Before you begin preparing your application, please carefully read this entire application kit as well as the regulations and Notice of Funding Availability (NOFA). A copy of the NOFA is part of this kit.

The application kit tells you how to prepare your application and gives you a checklist of all required documents. Please use this checklist to ensure that you have submitted a complete application. Please feel free to take this application kit apart and use the forms to supply the requested information. If you prepare your application properly, it will enable HUD to rate and rank your application in a timely manner and speed the process of making awards.

This Application Kit consists of this cover letter and the following attachments:

Attachment A - Application Instructions

Attachment B - Application Checklist

Attachment C - Applicable Forms

Attachment D - Certifications

Attachment E - Acknowledgment of Receipt of Application

Attachment F - Notice of Funding Availability

HUD is not committed to award a grant or pay any costs incurred in the preparation of your application. HUD reserves the right to accept or reject your application, or to cancel in part or in its entirety this solicitation, if it is in HUD's best interest to do so.

Instructions for Submitting Applications and Other Documents

The deadline date established in this competition is firm as to date, hour, and place. In the interest of fairness to you and all other competing applicants, the Department will treat your application as ineligible for consideration if it is received after the deadline. For more information about the deadline please review the Notice of Funding Availability for this program in Attachment F. HUD will not accept facsimile copies of your application.

You should submit an original and two copies of your application to:

Processing and Control Branch
Office of Community Planning and Development
U.S. Department of Housing and Urban Development
451 Seventh Street, S.W.
Room 7251
Washington, DC 20410

Applications are due on March 11, 2002

If you have any questions regarding this Application Kit, you should contact Armand Carriere in HUD's Office of University Partnerships. He can be reached at (202) 708-3061, extension 3181, by e-mail at Armand_W_Carriere@hud.gov, or for the hearing impaired, at TDD (202) 708-1455. (These are not toll free numbers.)

Sincerely,

Lawrence L. Thompson

ATTACHMENT A

APPLICATION INSTRUCTIONS

I. APPLICATION CONTENT

Your application must contain an original and two (2) copies of each of the items listed below. In order to be able to recycle paper, you should not submit applications in bound form. Binder clips or loose leaf binders are acceptable. Please do not use colored paper. You should make sure that the items are included in the order listed.

Except where a particular form may direct otherwise, all forms included in this application kit, as well as the Transmittal Letter, must be signed by your chief executive officer (generally, for college or university applicants, this is the President or Provost) or an official authorized to bind you. In the latter case, you must provide evidence of the formal delegation of authority to that person.

The application kit also includes an "Acknowledgment of Receipt of Application" form as Attachment E, so you can be informed that HUD actually received the application. You should attach your mailing label to this form and include it with the rest of your application.

Your application should consist of two separate parts, Parts A and B, as described below.

A. Part A shall consist of:

1. Transmittal Letter containing the following:

(a) A statement assuring that the *institution* of higher education (not the department or program) that will be receiving funds under this grant is fully accredited. This assurance must state not only the name(s) of the accrediting agency but also that the particular accrediting agency is recognized by the U.S. Department of Education. If you are a State or Areawide Planning Organization, the transmittal letter must set forth this assurance for each institution of higher education with whom you will be working.

(b) The name, title, address, telephone number, fax number and e-mail address of your Program Director and the individual(s) authorized to negotiate on your behalf.

(c) A statement assuring that you either (i) were not awarded a Fiscal Year 1999 CDWSP grant (which was to cover the school years August 1999 to August 2001) or (ii) were awarded a Fiscal Year 1999 CDWSP grant and had a 50 percent or higher rate of graduation of CDWSP students. (If you are an APO or state, you must provide this assurance for each institution that would participate in your Fiscal Year 2002 CDWSP grant.)

2. Standard Form 424 (SF-424, "Application for Federal Assistance"). You should enter the **full** grant amount in block 15, not the amount for the first year, as the form instructions state. In designating your contact (in box 5), please include a title, address, telephone number, and fax number. **This is the person who will be sent reviewers' comments—so please make sure this is an address for which this person normally receives mail.** On item 10, you should indicate that the Catalogue of Federal Domestic Assistance number is 14.512. Your project start date should be August 1, 2002 and your completion date should be August 31, 2004.
3. Table of Contents.
4. Application Checklist (See Attachment B), fully completed.
5. Executive Summary (no more than three pages in length).

Your executive summary should, at a minimum, describe the academic degree programs for which your students will be selected, the types of work placement agencies (including specific examples) that have committed to participate in your program, and your plans and resources/facilities for administering your program and for assisting students to pursue post-academic or community building opportunities.

6. Designation of Applicable Graduate Degree Program.

You should complete this form only after reviewing carefully the regulations dealing with eligible types of degree programs. If you have questions about eligibility of the degree program, you should call Armand Carriere if the proposed program is other than one listed in the NOFA as an eligible degree program.

7. Proposal Narrative Statement addressing the selection factors for award

This statement is the main document used to rate and rank your application. Therefore it is very important that you become fully familiar with the rating factors in the Notice of Funding Availability. Your response to each factor should be concise and contain only information relevant to that factor, but should be detailed enough to address the factor fully. As a supplement to your narrative response to Selection Factor One, you should include photocopies of excerpts from official publications of your educational institution or department setting forth the degree requirements and listing the courses applicable for the particular academic program(s) to which your grant would cover.

Other than those excerpts and any executed work placement agreements

(which appear under Item #10), you should not provide any exhibits, appendices, or resumes to support your responses to the factors for award. Your responses should be self-contained.

8. Management/Work Plan

Your Management/Work Plan must:

a. Indicate the work hours and key personnel responsible for administering, managing and evaluating your project; and

b. Set forth plans, procedures, schedules and milestones for:

(1) recruiting and selecting student participants;

(2) monitoring and guiding student academic and work progress;

(3) monitoring and tracking the allocation to and expenditure of funds by the students;

(4) coordinating and monitoring the work placement agencies; and

(5) other matters that you deem significant.

9. Recipient/Student Binding Agreement covering the purposes of the internship, responsibilities of both parties, including financial support, and work component. Among any other matters you determine to be appropriate, this agreement should address the student responsibilities described in the program regulations. HUD does not provide a model or sample format.

10. Recipient/Work Placement Agreement covering the purpose of the internship and the respective roles of the parties. Among any other matters you determine to be appropriate, this agreement should address the work placement agency responsibilities described in the program regulations. HUD does not provide a model or sample format. If you submit executed agreements, they belong here.

B. Part B shall consist of:

1. Budget.

Using the budget forms provided, you should prepare a project budget for the August 2002 through August 2004 funding cycle.

You may request no more than a total of \$15,000 per year per student. You may not ask for funding for more than five, nor less than three, students per

institution of higher education. Your budget should break out (rounding to the nearest dollar) the per-student cost for the following categories: *Administrative Allowance* (fixed on a formula basis at \$1,000 per year per student), *Work Stipend* (maximum \$9,000 per year per student), and *Tuition, Fees and Additional Support* (maximum \$5,000 per year per student).

One of the two budget forms is for "resident" students and the other "non-resident" students. If you are a public institution, you should use both forms if you intend to assist both resident and non-resident students. If you are a private institution, tuition is presumably the same regardless of a student's residency status, and you should use the non-resident form. (If you are an Areawide Planning Organization, you must provide separate budget forms for each institution of higher education involved in your application. You must also complete the "Budget Cover Sheet for Areawide Planning Organizations.")

If you intend to fund both resident and non-resident students, please complete each form for the number of students expected to be funded under each category (rather than including the total number of students to be funded under both categories). If you are in doubt about this break-down, and one category is more expensive than the other, pick a break-down that maximizes the grant amount, and does not jeopardize the success of your program due to a lack of sufficient funding.

You should provide any necessary back-up documentation (e.g., pages from course catalogues listing the fees) to demonstrate concisely that the amounts requested are reasonable and customary. You do not need to submit documentation for the administrative allowance amount. You should build in any projected increases to these costs and explain the basis for these increases. If you do not include this documentation, your award amount will be based on current tuition rates, regardless of any subsequent tuition increase.

HUD will not increase the amount of your grant, once awarded, to reflect any tuition or fee increases that have not been set forth in your application. Also, HUD will not cover any costs exceeding the per-student maximum.

2. Assurance Regarding Financial Management System

An award will not be made unless your financial management system meets the prescribed standards required by 24 CFR Part 84 (for institutions of higher education and areawide planning organizations) or 24 CFR Part 85 (for State government applicants). You must provide evidence (such as a letter) from an independent auditor certifying this. If you are an APO or State applicant, you must provide this certification for your organization and for each of higher education participating in your application. Do not submit a copy of an entire audit.

3. Additional Assurances and Certifications. These additional assurances and certifications include:

SF- 424B

Certification Regarding Drug-Free Workplace Requirements (Note that for purposes of the Certification Regarding Drug Free Workplace Requirements the "place of performance" is your address).

Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions

Standard Form LLL, "Disclosure of Lobbying Activities," to be completed only if you do not certify that the form is not required (See certification immediately above)

HUD Form 2880, "Applicant/Recipient Disclosure Update Report"

II. OTHER INFORMATION

A. DEBARRED AND SUSPENDED APPLICANTS

HUD will not award you a grant if you are debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549. Prior to award, HUD will check the General Services Administration's Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs. If you are found to be on that list, you will be ineligible for an award under this NOFA.

B. FREEDOM OF INFORMATION ACT NOTIFICATION

Your application, submitted in response to this solicitation, is subject to disclosure under the Freedom of Information Act (FOIA). To assist the Department in determining whether or not to release information contained in a application in the event a FOIA request is received, you may, through clear ear-marking or otherwise, indicate those portions of your applications that you believe should not be disclosed. While your advice will be considered by the Department in its determination whether to release requested information or not, it must be emphasized that the Department is required by the FOIA to make an independent evaluation as to the information, notwithstanding your views.

It is suggested that if you believe that confidential treatment is appropriate, you should provide the basis for this view, where possible, because general assertions or blanket requests for confidentiality, without more information, are not particularly helpful to the Department in making determinations concerning the release of information under the Act. It should also be noted that the Department is required to segregate disclosable information from non-disclosable items, so you should take particular care in the identifying each portion for which confidential treatment is requested. Your views concerning confidentiality will be used solely to aid the Department in preparing its response to FOIA requests. Further, you should note that the presence or absence of such comments or earmarking regarding confidential information will have no bearing whatsoever on the evaluation of applications submitted pursuant to this solicitation, nor will the absence of this earmarking automatically result in greater disclosure.

C. CORRECTIONS TO DEFICIENT APPLICATIONS

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

ATTACHMENT B -- APPLICATION CHECKLIST

CDWSP Application Checklist

This checklist identifies application submission requirements. You are requested to use this checklist when preparing your application to ensure submission of all required elements and to include the completed checklist in your application. Standard Forms and required certification are found in Attachments C and D, respectively.

I. **PART A**

- Transmittal letter, addressing:
 - accreditation of your institution(s) of higher education
 - your contact person for grant
 - graduation rate of CDWSP students under a previous (FY '99 grant)
 - delegation of authority if the President does not sign this letter
- Completed/Signed Standard Form 424, Application for Federal Assistance
- Table of Contents and this Application Checklist
- Executive Summary
- Designation of Applicable Degree Program
- Proposal narrative statement addressing selection factors for award
- Management/Workplan
- Recipient/Student Binding Agreement
- Recipient/Work Placement Agreement

II. **PART B**

- Budget for resident and non-resident students, with documentation
- Assurance regarding your financial management system
- Completed Standard Form 424B, Assurances --Non-Construction Programs

___ Certification Regarding Drug-Free Workplace Requirements

___ Certification Regarding Payments to Influence Federal Transactions

___ HUD Form 2880, Applicant/Recipient Disclosure Update Report

ATTACHMENT C

STANDARD FORMS

Application for Federal Assistance

OMB Approval No. 0348-0043

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

5. Applicant Information

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

6. Employer Identification Number (EIN) (xx-yyyzzz) <input type="text"/> - <input type="text"/>	7. Type of Applicant (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N Nonprofit O Public Housing Agency P. Other (Specify)
8. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify)	9. Name of Federal Agency

10. Catalog of Federal Domestic Assistance Number (xx-yyy) Title: <input type="text"/> - <input type="text"/>	11. Descriptive Title of Applicant's Project
12. Areas Affected by Project (cities, counties, States, etc.)	

13. Proposed Project Start Date (mm/dd/yyyy) Ending Date (mm/dd/yyyy)	14. Congressional Districts of a. Applicant b. Project
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<p style="font-size: 24pt; font-weight: bold;">Complete form HUD-424-M, Funding Matrix</p>	16. Is Application Subject to Review by State Executive Order 12372 Process? a. Yes This pre-application/application was made available to the State Executive Order 12372 Process for review on: Date (mm/dd/yyyy) _____ b. No <input type="checkbox"/> Program is not covered by E.O. 12372 or <input type="checkbox"/> Program has not been selected by State for review.
17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No	

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

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number (Include Area Code)
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043, Washington, DC 20503).

**Please do not return your completed form to the Office of Management and Budget.
Send it to the address provided by the sponsoring agency .**

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

- | Item | Entry | Item | Entry |
|------|--|------|---|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Use form HUD-4243-M, Funding Matrix. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
– "New" means a new assistance award.
– "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.
– "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project. | | |

CDWSP
FALL 2002-2004 BUDGET FOR RESIDENT STUDENTS

Name of institution of higher education: _____

CATEGORY	YEAR ONE (Per Student)	YEAR TWO (Per Student)	Number of Students	TOTAL (Both years, all students)
Administrative Allowance (Maximum = \$1,000)	\$ 1,000	\$ 1,000		
Work Stipend (Maximum = \$9,000)				
Tuition, Fees and Additional Support (Maximum = \$5,000)				
Totals				

Total requested per resident student for the two years combined: \$_____

To support the requested TUITION AND FEES, a tuition and fee schedule is included in my application: Yes__ No__

The requested WORK STIPEND is based on the prevailing hourly rate of \$_____ for initial entry positions in the community and economic development field for graduate students multiplied by____ hours per semester/quarter multiplied by____ semesters/quarters and, if applicable,____ hours during the summer for the yearly per student total work stipend.

ADDITIONAL SUPPORT may cover books and other educational supplies (\$_____), travel expenses for the students (\$_____), professional association dues (\$_____), or other, i.e., computer diskettes _____ (\$_____).

CDWSP
FALL 2002-2004 BUDGET FOR NON-RESIDENT STUDENTS

Name of institution of higher education: _____

CATEGORY	YEAR ONE (Per Student)	YEAR TWO (Per Student)	Number of Students	TOTAL (Both years, all students)
Administrative Allowance (Maximum = \$1,000)	\$ 1,000	\$ 1,000		
Work Stipend (Maximum = \$9,000)				
Tuition, Fees and Additional Support (Maximum = \$5,000)				
Totals				

Total requested per non-resident student for the two years combined: \$_____

To support the requested TUITION AND FEES, a tuition and fee schedule is included in my application: Yes__ No_

The requested WORK STIPEND is based on the prevailing hourly rate of \$_____ for initial entry positions in the community and economic development field for graduate students multiplied by___ hours per semester/quarter multiplied by___ semesters/quarters and, if applicable,___ hours during the summer for the yearly per student total work stipend.

ADDITIONAL SUPPORT may cover books and other educational supplies (\$_____), travel expenses for the students (\$_____), professional association dues (\$_____), or other, i.e., computer diskettes ____ (\$_____).

CDWSP
BUDGET COVER SHEET FOR
STATE/AREAWIDE PLANNING ORGANIZATION APPLICANTS

Name of Areawide Planning Organization: _____

Application funding cycle: Fall 2002-2004

Total Application Budget:

Administrative Allowance \$ _____

Work stipend \$ _____

Tuition, Fees and Additional Support \$ _____

TOTAL \$ _____

Total number of students: _____

Participating institutions of higher education:

CDWSP

DESIGNATION OF APPLICABLE GRADUATE ACADEMIC DEGREE PROGRAM

To be eligible for participation in Community Development Work Study Program (CDWSP), you must have a graduate academic degree program in a relevant field as defined in program regulations. You should closely examine the definitions of "community building" and "community building academic program" in the regulations and, if in doubt, speak with Office of University Partnerships program staff, before preparing your application.

Below are the degree programs that my institution has determined are eligible programs and which will we intend to use in implementing our CDWSP grant.

Academic Degree Program(s):

You should attach photocopies of excerpts from official publications of your educational institution or department setting forth the degree requirements and listing the courses applicable for the particular academic program(s) to which your grant would apply.

Signature of Dean (or Equivalent) of Academic Department Granting Degree(s)

ATTACHMENT D

REQUIRED CERTIFICATIONS

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

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

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

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

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

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

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

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

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

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

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

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

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

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

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

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

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

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

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

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

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

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

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

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

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

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

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

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

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Signature

Date

X

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Program/Activity Receiving Federal Grant Funding

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

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

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

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

Name of Authorized Official	Title
Signature	Date (mm/dd/yyyy)

**COMPLETE THIS FORM ONLY IF YOU CHECKED "YES"
ON THE PREVIOUS FORM**

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

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

<p>1. Type of Federal Action</p> <p><input type="checkbox"/> a. contract</p> <p><input type="checkbox"/> b. grant</p> <p><input type="checkbox"/> c. cooperative agreement</p> <p><input type="checkbox"/> d. loan</p> <p><input type="checkbox"/> e. loan guarantee</p> <p><input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action</p> <p><input type="checkbox"/> a. bid/offer/application</p> <p><input type="checkbox"/> b. initial award</p> <p><input type="checkbox"/> c. post-award</p>	<p>3. Report Type</p> <p><input type="checkbox"/> a. initial filing</p> <p><input type="checkbox"/> b. material change</p> <p>For Material Change Only</p> <p>year (yyyy) _____ quarter _____</p> <p>date of last report (mm/dd/yyyy) _____</p>
<p>4. Name and Address of Reporting Entity</p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:</p> <p>Congressional District, if known _____</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime</p> <p>Congressional District, if known _____</p>	
<p>6. Federal Department/Agency</p> 	<p>7. Federal Program Name/Description</p> <p>CFDA Number, if applicable _____</p>	
<p>8. Federal Action Number, if known</p>	<p>9. Award Amount, if known</p> <p>\$ _____</p>	
<p>10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI)</p> <p style="text-align: right; font-size: small;">(attach continuation sheet(s) if necessary)</p>	<p>b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI)</p> <p style="text-align: right; font-size: small;">(attach continuation sheet(s) if necessary)</p>	
<p>11. Amount of Payment (check all that apply)</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>	<p>13. Type of Payment (check all that apply)</p> <p><input type="checkbox"/> a. retainer</p> <p><input type="checkbox"/> b. one-time fee</p> <p><input type="checkbox"/> c. commission</p> <p><input type="checkbox"/> d. contingent fee</p> <p><input type="checkbox"/> e. deferred</p> <p><input type="checkbox"/> f. other (specify) _____</p>	
<p>12. Form of Payment (check all that apply)</p> <p><input type="checkbox"/> a. cash</p> <p><input type="checkbox"/> b. in-kind; specify: nature _____ value _____</p>		
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11</p> <p style="text-align: right; font-size: small;">(attach continuation sheet(s) if necessary)</p>		
<p>15. Continuation sheets attached <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
<p>16. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature _____</p> <p>Print Name _____</p> <p>Title _____</p> <p>Telephone No. _____</p> <p>Date (mm/dd/yyyy) _____</p>	
Federal Use Only:		Authorized for Local Reproduction Standard Form-LLL (7/97)

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just the time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) are attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 3/31/2003)

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

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

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

Part I Threshold Determinations

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

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

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

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

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

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

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

(Note: Use Additional pages if necessary.)

Certification

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

I certify that this information is true and complete.

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

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

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

Instructions

Overview.

A. Coverage. You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity **and** you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the fiscal year;
- (2) You are updating a prior report as discussed below; or
- (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

B. Update reports (filed by "Recipients" of HUD Assistance):

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

Line-by-Line Instructions.

Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. **NOTE:** In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

Part I. Threshold Determinations - Applicants Only

Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

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

Part II. Other Government Assistance and Expected Sources and Uses of Funds.

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a

number of structural costs, such as roof, elevators, exterior masonry, etc.

- B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** - that have been or are to be, made available for the project or activity. Non-government sources of funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

ATTACHMENT E

**ACKNOWLEDGEMENT OF RECEIPT OF APPLICATION
FORM**

Acknowledgment of Application Receipt

U.S. Department of Housing and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: _____

To Be Completed by HUD

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

Enclosed

Being sent under separate cover

Processor's Name _____

Date of Receipt _____

ATTACHMENT F

NOTICE OF FUNDING AVAILABILITY



Federal Register

**Friday,
February 8, 2002**

Part IV

Department of Housing and Urban Development

**Notice of Funding Availability for the
Community Development Work Study
Program Fiscal Year 2002; Notice**

**DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

[Docket No. FR-4719-N-01]

**Notice of Funding Availability for the
Community Development Work Study
Program Fiscal Year 2002**

AGENCY: Office of Policy Development and Research, HUD.

ACTION: Notice of Funding Availability (NOFA).

SUMMARY: This NOFA announces the availability of approximately \$3.0 million for the Community Development Work Study Program (CDWSP).

Purpose of the Program: To provide assistance to economically disadvantaged and minority graduate students who participate in community development work study programs, are U.S. citizens or resident aliens, and are enrolled full-time in a graduate community building academic degree program.

Available Funds: Approximately \$3 million from Fiscal Year (FY) 2002 appropriations (plus any additional funds recaptured from prior appropriations).

Eligible Applicants: Institutions of higher education, area-wide planning organizations (APOs), and States.

Application Deadline: March 11, 2002.

Matching Requirements: None.

ADDITIONAL INFORMATION:

Paperwork Reduction Act Statement

The information collection requirements contained in this NOFA have been approved by the Office of Management and Budget, under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520), and assigned OMB Control Number 2528-0175. 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.

I. Application Due Date, Application Kits, and Technical Assistance

Application Due Date: Your completed application must be received at the address listed below on March 11, 2002, based on the following submission requirements.

New Security Procedures. In response to the terrorist attacks in September 2001, HUD has implemented new security procedures that impact on application submission procedures. Please read the following instructions carefully and completely. HUD will not accept hand delivered applications.

Applications may be mailed using the United States Postal Service (USPS) or may be shipped using the following delivery services: United Parcel Service (UPS), Federal Express (FedEx), DHL, or Falcon Carrier. *No other delivery services are permitted into HUD Headquarters without escort. You must, therefore, use one of the four carriers listed above.*

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 fifteen (15) days of the application due date. *All applicants must obtain and save a time stamped Certificate of Mailing* showing the date when you submitted your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was timely filed.

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. Due to new security measures, couriers who arrive at HUD buildings without proper identification may be delayed or denied entry altogether. To avoid the possibility that security related delay might cause your application to be judged not timely filed, you must use one of four carrier services that do business with HUD regularly. These services are UPS, DHL, FedEx and Falcon Carrier. Delivery by these services must be made during HUD's Headquarters business hours, between 8:30 a.m. and 5:30 p.m., Eastern Time, Monday to Friday. If these companies do not service your areas, you should submit your application via the United States Postal Service.

Address for Submitting Applications: Your completed applications (one original and two copies) must be submitted to: Processing and Control Branch, Office of Community Planning and Development, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7251, Washington, DC 20410. When submitting your application, you should include your name, mailing address (including zip code) and telephone number (including area code).

For Application Kits, Further Information, and Technical Assistance:

For Application Kits: You may obtain an application kit by calling HUD USER at 1-800-245-2691. If you have a hearing or speech impairment, you may call the following TTY number: 1-800-483-2209. You may also access the application kit on the Internet from HUD's web site at www.hud.gov. When requesting an application, you should refer to CDWSP and include your name, mailing address (including zip code) and telephone number (including area code).

For Further Information and Technical Assistance: Armand W. Carriere Office of University Partnerships at (202) 708-3061, ext. 3181. Hearing-or speech-impaired individuals may call HUD's TTY number (202) 708-0770, or the Federal Information Relay Service at 1-800-877-8339. Other than the "800" number, these numbers are not toll-free. Armand W. Carriere can also be reached via the Internet at: Armand-W.-Carriere@HUD.gov.

II. Amount Allocated

Up to \$3 million, plus any additional funds recaptured from prior appropriations.

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

(A) Program Description

CDWSP funds two-year grants to institutions of higher education, area-wide planning organizations, and States to provide assistance to economically disadvantaged and minority graduate students who participate in a community development work study program, are U.S. citizens or resident aliens, and are enrolled full-time in a graduate community building academic degree program. Grants will cover the academic period August 2002 through August 2004.

(B) Eligible Applicants

You must demonstrate that you are eligible to apply for the program. You are an eligible applicant if (a) you are an institution of higher education offering graduate degrees in a community development academic program, (b) an Area-wide Planning Organization (APO) applying on behalf of two or more eligible institutions of higher education located in the same Standard Metropolitan Statistical Area (SMSA) or non-SMSA as the APO (as a result of a final rule for the program published at 24 CFR 570.415, institutions of higher education are permitted to choose whether to apply independently or

through an APO); or (c) a State applying on behalf of two or more eligible institutions of higher education located in the State. If a State is approved for funding, institutions of higher education located in the State are not eligible recipients. If you received a CDSWSP grant in FY 1998 or before and have not received one since then, you are considered a new applicant. If you did not fill all the student slots from a previous CDWSP grant, you may not apply again until one full grant application cycle after the expiration of that grant.

(C) Eligible Activities and Costs

You may request no more than \$15,000 per year per student, for a total of two years. The total is broken down as follows: an administrative allowance of \$1,000 per student per year; a work stipend of no more than \$9,000 per student per year; and tuition, fees, and additional support of no more than \$5,000 per student per year.

IV. Program Requirements

(A) Statutory Requirements

You must comply with all statutory and regulatory requirements applicable to this program. CDWSP regulations can be found at 24 CFR part 570.415. Copies of the regulations are available on request from HUD User.

(B) Eligibility of the Degree Program

An eligible community building academic degree program includes but is not limited to graduate degree programs in community and economic development, community planning, community management, public administration, public policy, urban economics, urban management, and urban planning. The term excludes social and humanistic fields such as law, economics (except for urban economics), education, sociology, social work, business administration, and history. The term also excludes joint degree programs except where both joint degree fields have the purpose and focus of educating students in community building.

You are encouraged to contact Armand W. Carriere at the above listed telephone number if you have any questions about eligibility of a proposed degree program.

(C) Affirmatively Furthering Fair Housing

You are not required to respond to HUD's affirmatively furthering fair housing requirements.

V. Application Selection Process

(A) Two Types of Reviews

Two types of reviews will be conducted—a threshold review to determine applicant eligibility and a rating based on the selection criteria for all applications that pass the threshold review.

(B) Threshold Criteria for Funding Consideration

(1) General Threshold Requirements

You must meet the following threshold requirement before an application can be evaluated, rated, and ranked:

(a) *Eligibility.* You must be eligible to apply for the program.

(b) *Compliance with nondiscrimination requirements.* You must comply with all Fair Housing Act and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). If you: (i) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination; (ii) are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or (iii) have received a letter of noncompliance findings under Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act, or section 109 of the Housing and Community Development Act, you are not eligible to apply for funding under this NOFA until you have resolved such charge, lawsuit, or letter of findings to the satisfaction of the Department.

(c) *Number of students to be assisted.* You may request funding for as many as five students, and in no case, for no less than three students, since the work plan and other facets of the evaluation are assessed in the context of the number of students for whom funding is requested. If your application requests fewer than three or more than five students per institution, it will be disqualified.

(d) *Eligibility of the applicant and its proposed academic degree program.* You must demonstrate that you are eligible to participate in the program, by demonstrating that you are either an institution of higher education that offers graduate degrees in at least one eligible community building academic program or you are an APO or State submitting an application on behalf of such institutions. Your application must also demonstrate that each institution participating in your program has the faculty to carry out its activities under your program. Each work placement agency must be involved in community

building and must be an agency of a State or unit of local government, an area-wide planning organization, an Indian tribe, or a private nonprofit organization. In addition, if you did not fill all the student slots from a previous CDWSP grant, you may not apply again until one full grant application cycle after the expiration of that grant.

(e) *Graduation rates.* If you were funded during the FY 1999 round, you must maintain at least a 50 percent rate of graduation of students from this round which covered the school years August 1999 to August 2001 in order to be eligible to participate in the current round of CDWSP funding. If you were funded under the FY 1999 CDWSP funding round and did not maintain such a rate, you will be excluded from participating in the FY 2002 funding round. This rate must be achieved by the application submission date.

(C) Factors for Award Used To Evaluate and Rate Applications

To review and rate applications, the Department may establish panels including persons not currently employed by HUD to obtain certain expertise and outside points of view, including views from other Federal agencies. You will be evaluated competitively and ranked against all other applicants that have applied for the same funding program.

(D) General Factors for Award Used To Evaluate and Rank Applications

The factors for rating and ranking your application, and maximum points for each factor, are provided below. The maximum number of points for this program is 100. The rating of your organization and staff, unless otherwise specified, will include any sub-contractors, consultants, sub-recipients, and members of consortia that are firmly committed to your project, to the extent of their participation.

(1) Quality of the Academic Program (30 points if you have never received a CDWSP grant) (25 points if you have previously received a CDWSP grant)

HUD will evaluate the quality of the academic program you offer (or in the case of an application from an APO or State, those offered by the institutions included in your application) including, without limitation, the:

(i) Quality of your course offerings in terms of their depth, sophistication, quality, and emphasis on applied coursework;

(ii) Appropriateness of your course offerings for preparing students for careers in community building; and

(iii) Qualifications of your faculty and percentage of their time devoted to teaching and research in community building.

(2) Quality of the Work Placement Assignments (15 points)

HUD will evaluate the extent to which participating students will receive a sufficient number and variety of work placement assignments, the assignments will provide practical and useful experience to students participating in your program, and the assignments will further the participating students' preparation for professional careers in community building. In applying this factor, HUD will consider the quality in terms of relevance to community building and variety of work placement agencies and the quality and variety of projects/experiences at each agency and overall. You must have a plan for rotating students among work placement agencies. In order to receive full points on this factor, you must propose at least three different work placement experiences (typically, one each school year and one during the summer between the two school years). Students engaging in community building projects *through* an institution of higher education (rather than being directly supervised by local work placement sites) may do so only through a community outreach center, which will in that instance be considered a work placement agency even if the community building projects are undertaken with or through a separate organization or entity. Accordingly, students engaging in community building through an institution of higher education's outreach center should do so during only part of their academic program and should rotate to other work placement agency responsibilities as well. Full points will be awarded to institutions that have included executed agreements with their proposed work study sites, rather than just listing these sites. Note, this factor measures the quality of the placements and assignments, while Factor 3 below measures the quality of the plan for placing and rotating students.

(3) Effectiveness of Program Administration (18 points)

HUD will evaluate the degree to which you will be able to coordinate and administer your program. HUD will allocate the maximum points available under this criterion equally among the following three considerations, except that the maximum points available under this criterion will be allocated equally only between (i) and (ii), where you have not previously administered a

CDWSP-funded program. If you received a CDWSP grant in FY 1998 or before and have not received one since then, you are considered a new applicant, for purposes of this factor.

(i) The strength and clarity of your plan for placing CDWSP students on rotating work placement assignments and for monitoring CDWSP students' progress both academically and in their work placement assignments;

(ii) The degree to which the individual who will coordinate and administer your program has clear responsibility, ample available time, and sufficient authority to do so;

(iii) The effectiveness of your prior coordination and administration of a CDWSP-funded program, where applicable. In addressing this factor, you should describe the timeliness of report submission. You should review your prior CDWSP grant agreements and reports and compare when reports were due with when the reports actually were submitted. A chart of your report submissions for each grant by submission time should be included. You should also describe your timeliness in drawing down grant funds.

(4) Demonstrated Commitment of the Applicant to Meeting the Needs of Economically Disadvantaged and Minority Students (10 points)

HUD will evaluate your commitment to meeting the needs of economically disadvantaged and minority students as demonstrated by your policies and plans, and past efforts and successes in recruiting, enrolling and financially assisting economically disadvantaged and minority students, including the provision of reasonable accommodations for students with disabilities. If you are an APO or State, HUD will consider the demonstrated commitment of each institution of higher education on whose behalf you are applying; HUD will also consider your demonstrated commitment to recruit and hire economically disadvantaged and minority students.

(5) Rates of Graduation (7 points)

HUD will evaluate the rates of students previously enrolled in a community building academic degree program, specifically (where applicable) graduation rates from any previously funded CDWSP academic programs or similar programs. This factor measures the rate of graduation for all applicable years and awards points based on the extent to which the applicant exceeds a 50% graduation rate each applicable year.

(6) Extent of Financial Commitment (10 points)

HUD will evaluate your commitment and ability to assure that CDWSP students will receive sufficient financial assistance above and beyond the CDWSP funding to complete their academic program in a timely manner and without working in excess of 20 hours a week during the school year. When addressing this issue, you should, among other responsive information, delineate the full costs budgeted annually for a student (including living expenses, fees, etc), explain the basis for your budget and explain how the financial assistance package you will offer to each CDWSP student will meet that budget. You should have an adequate means of addressing reasonable variations in budget needs among students and for addressing emergency financial needs of students. Loans are less preferred than grants because students have to repay them.

(7) Likelihood of Fostering Students' Permanent Employment in Community Building (10 points if you have never received a CDWSP grant) (15 points if you have previously received a CDWSP grant)

HUD will evaluate the extent to which your proposed program will lead participating students directly and immediately to permanent employment in community building, as indicated by:

(i) Your past success in placing your graduates (particularly CDWSP-funded and similar program graduates, where applicable) in permanent employment in community building; and

(ii) The amount of faculty/staff time and resources you devote to assisting students (particularly students in CDWSP-funded and similar programs, where applicable) in finding permanent employment in community building.

VI. Application Submission Requirements

(A) Content of Application

Your application should include an original and two copies of the items listed below. In order to be able to recycle paper, you should not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please do not use colored paper.

(1) Transmittal Letter, which must be signed by your Chief Executive Officer, or his or her designee. If a designee signs, your application must contain a copy of the official delegation of signatory authority. The letter must contain an assurance that you were not awarded a CDWSP grant in Fiscal Year 1999 or were awarded a Fiscal Year

1999 grant and had a 50 percent or higher rate of graduation of CDWSP students funded through the grant.

(2) Designation of your degree program(s) under which students will be educated.

(3) Executive Summary.

(4) Narrative statement addressing the Factors for Award in Section V. No attachments are permitted.

(5) Management/Work Plan.

(6) Recipient/Student Binding Agreement. HUD does not provide a model or sample format for this document.

(7) Recipient/Work Placement Agreement. HUD does not provide a model or sample format for this document. If you include executed agreements with your application, they belong here.

(8) Budget. Using the forms provided for the August 2002 through August 2004 funding period.

(9) Application for Federal Assistance (HUD-424).

(10) Standard Form for Assurances—Non-Construction Programs (SF-424B).

(11) Drug-Free Workplace Certification (HUD-50070).

(12) Certification of Payments to Influence Transactions (Form HUD-50071).

(13) Applicant/Recipient Disclosure Update Report (HUD-2880).

(14) Assurance regarding the applicant's financial management systems.

(B) Final Selection

If your application passes the threshold requirements, it will be rated and then ranked based on its total score on the selection factors. Your application will be considered for selection based on its rank order. HUD may make awards out of rank order to achieve geographic diversity, and may provide assistance to support a number of students that is less than the number requested under your application or a lower funding level per student, in order to provide assistance to as many highly ranked applications as possible.

If there is a tie in the point scores of two applications, the rank order will be determined by the scores on Rating Factor 1 entitled "Quality of the Academic Program." The application with the most points on this factor will be given the higher rank. If there is still a tie, the rank order will be determined by the applicants' scores on Rating Factor 2 entitled "Effectiveness of program administration." The application with the most points for this selection factor will be given the higher rank.

If there are insufficient funds to fund an application, even if the request is

reduced to the minimum number of students which could be funded (i.e., three students per institution of higher education), HUD may select the next ranked application which would not exceed the funding left available and still fund the minimum number of students allowed.

HUD reserves the right to make selections out of rank order to provide for geographic distribution of funded CDWSPs. If HUD decides to use this option, it will do so only if two adjacent HUD Hubs (formerly referred to as regions) do not yield at least one fundable CDWSP on the basis of rank order. If this occurs, HUD will fund the highest ranking applicant within the two Hubs.

HUD reserves the right to reduce your amount of funding in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked application, HUD may fund part of the next highest ranking application (as long as it would provide assistance to the minimum number of students required to be served) in a given program area. If you 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, the remaining will be carried over to the next funding cycle's competition.

(C) Negotiations

After selections have been made, HUD may require winners to participate in negotiations to determine the Grant Budget. In cases where HUD cannot successfully conclude negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest applicant.

VII. 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 selection 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.

VIII. Environmental Requirements

This NOFA does not direct, provide for assistance or loan and mortgage insurance for, or otherwise govern or regulate real property acquisition, disposition, leasing, rehabilitation, alteration, demolition, or new construction, or establish, revise, or provide for standards for construction or construction materials, manufactured housing, or occupancy. Accordingly, under 24 CFR 50.19(c)(1), this NOFA is categorically excluded from environmental review under the National Environmental Policy Act of 1969, as amended (42 U.S.C. 4321) and no Finding of No Significant Impact is needed. In addition, the provision of assistance under this NOFA is categorically excluded from environmental review under § 50.19(b)(3) and (b)(9).

IX. Other Matters

(A) Federalism, Executive Order 13132

This notice 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 Executive Order 13132 (entitled "Federalism"). (B) *Executive Order 12372 Intergovernmental Review of Federal Program* was issued with the desire to foster the intergovernmental partnership and strengthen Federalism by relying on State and local processes for the coordination and review of Federal financial assistance and direct Federal development. The Order allows

each State to designate an entity to perform a State review function. For the official listing of State Points of Contact (SPOC) for this review process, please go to www.whitehouse.gov/omb/grants/spoc.html. States that are not listed on the website have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of those States, you should contact them to see if they are interested in reviewing your application prior to submission to HUD. Please make sure that you allow ample time for this review process when developing and submitting your applications.

(C) Prohibition Against Lobbying Activities

Applicants for funding under this NOFA (except Indian Housing Authorities established by tribal governments exercising their sovereign powers with respect to expenditures specifically permitted by Federal law) are subject to the provision of Section 319 of the Department of Interior and Related Agencies Appropriations Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment) and to the provisions of the Lobbying Disclosure Act of 1995, Pub. L. 104-65 (December 19, 1995).

The Byrd Amendment, which is implemented in regulations at 24 CFR part 87, prohibits applicants for Federal contracts and grants from using appropriated funds to attempt to influence Federal Executive or legislative officers or employees in connection with obtaining such assistance, or with its extension, continuation, renewal, amendment, or modification. The Byrd Amendment applies to the funds that are the subject of this NOFA. Therefore, applicants must file a certification stating that they have not made and will not make any prohibited payments and, if any payments or agreement to make payments of nonappropriated funds for these purposes have been made, a form SF-LLL disclosing such payments must be submitted. The certification and the SF-LLL are included in the application kit.

The Lobbying Disclosure Act of 1995, Pub. L. 104-65 (December 19, 1995), which repealed section 112 of the HUD Reform Act and resulted in elimination of the regulations at 24 CFR part 86, requires all persons and entities who lobby covered Executive or Legislative Branch officials to register with the Secretary of the Senate and the Clerk of the House of Representatives and file

reports concerning their lobbying activities.

(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 (HUD Reform Act) and the final rule codified at 24 CFR part 4, subpart A, published on April 1, 1996 (61 FR 1448), contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992, HUD published, at 57 FR 1942, a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 are applicable to assistance awarded under this NOFA as follows:

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

(2) *Debriefing.* Beginning not less than 30 days after the awards for assistance are announced in the above-mentioned **Federal Register** notice, and for not longer than 120 days after awards for assistance are announced, HUD will provide a debriefing to any applicant requesting a debriefing on their application. All requests for debriefings must be made in writing and submitted to Armand W. Carriere, Office of University Partnerships, at the address listed above. Materials provided to you during your debriefing will include the final scores you received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

(3) *Disclosures.* HUD will make available to the public for five years all applicant disclosure reports (HUD Form

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

(E) Section 103 of the HUD Reform Act

HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, 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 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, such as whether particular subject matter can be discussed with persons outside the Department, should contact HUD's Ethics Law Division (202) 708-3815 (voice), (202) 708-1112 (TTY). (These are not toll-free numbers.) 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.

(F) Catalog of Federal Domestic Assistance

The Catalogue of Federal Domestic Assistance number is: 14.512.

X. Authority

Section 107(c) of the Housing and Community Development Act of 1974, as amended (42 U.S.C. 5301 *et seq.*) authorizes CDWSP. Regulations for the program appear at 24 CFR 570.415.

Dated: February 4, 2002.

Lawrence Thompson,
General Deputy, Assistant Secretary for Policy Development and Research.

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