

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITIES AND COLLEGES  
PROGRAMS**

**HISPANIC-SERVING INSTITUTIONS  
ASSISTING COMMUNITIES (HSIAC)  
PROGRAM**

Billing Code 4210-32-C



## The Hispanic-Serving Institutions Assisting Communities (HSIAC) Program

### Overview Information

*A. Federal Agency Name:* Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

*B. Funding Opportunity Title:* Hispanic-Serving Institutions Assisting Communities (HSIAC) Program.

*C. Announcement Type:* Initial announcement.

*D. Funding Opportunity Numbers:* The **Federal Register** Number for this NOFA is FR-4900-24. The OMB Approval Number for this program is 2528-0198.

*E. Catalog of Federal Domestic Assistance (CFDA) Number:* The CFDA Number for this program is 14.514.

*F. Dates:* The application due date is June 25, 2004. Please see the General Section of the SuperNOFA for application submission, delivery and timely receipt requirements.

### *G. Additional Overview Content Information:*

1. *Purpose of the Program:* The Hispanic-Serving Institutions Assisting Communities (HSIAC) Program assists Hispanic-Serving Institutions (HSI) of higher education expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low- and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

2. *Award Information:* In Fiscal Year (FY) 2004, approximately \$6.95 million has been appropriated for this program by the Consolidated Appropriations Act, 2004 (Pub.L. 108-199; approved January 23, 2004; 118 Stat. 3). The maximum amount an applicant can request for award is \$600,000 for a three-year (36 months) grant performance period.

3. *Eligible Applicants:* Nonprofit Hispanic-Serving Institutions of higher education that meet the definition of an HSI established in Title V of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244; enacted October 7, 1998) are eligible to apply for funding under this program. In order to meet this definition, at least 25 percent of the full-time undergraduate students enrolled in an institution must be Hispanic and not less than 50 percent of these Hispanic students must be low-income individuals. Institutions are not required to be on the list of eligible HSIs prepared by the U.S. Department of

Education. However, an institution that is not on the list is required to provide a statement in the application that the institution meets the U.S. Department of Education's statutory definition of an HSI. HUD intends to fund at least two eligible HSIAC applications (applications that received a minimum score of 75 points) that serve Colonias (as defined in the General Section of this SuperNOFA). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If less than two fundable applications are eligible for award these funds will be made available to award additional HSIAC grants.

### Full Text of Announcement

#### I. Funding Opportunity Description

The purpose of the Hispanic Serving Institutions Assisting Communities (HSIAC) Program is to assist Hispanic Serving Institutions (HSI) of higher education expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing and economic development, principally for persons of low- and moderate-income consistent with the purpose of the Title I of the Housing and Community Development Act of 1974, as amended.

A. For the purpose of this program, the term "locality" includes any city, county, township, parish, village, or other general political subdivision of a state, Puerto Rico, or the U.S. Virgin Islands where the institution is located.

B. A "target area" is the area within the locality in which the institution will implement its proposed HSIAC grant.

C. Listed below are major modifications from the Fiscal Year (FY) 2003 program-funding announcement:

1. This program has a separate NOFA and is no longer a part of the combined Office of Universities Partnerships Program NOFA;

2. All applications must be submitted to: University Partnerships Clearinghouse; c/o Danya International; 8737 Colesville Road, Suite 1200; Silver Spring, MD 20910;

3. Points will no longer be assigned to the budget. However, a budget narrative must be submitted that addresses the total dollar amount reflected on the HUD-424-CB for the entire three-year grant performance period; and

4. Applicants must have drawn down at least 75 percent of the previous grant three weeks prior (not two weeks as stated in the FY 02 NOFA) to the program's application due date to be

eligible to apply for funding under this NOFA. It is the applicant's responsibility to make sure this requirement is met.

D. HUD's authority for making this funding available under this NOFA is the Consolidated Appropriations Act, 2004 (Pub. L. 108-199, approved January 23, 2004, 118 Stat. 3). This program is being implemented through this NOFA and the policies governing its operation are contained herein.

#### II. Award Information

In Fiscal Year (FY) 2004, approximately \$6.95 million has been appropriated by the Consolidated Appropriations Act, 2004 (Pub. L. 108-199, January 23, 2004, 118 Stat. 3). The maximum amount an applicant can request for award is \$600,000 for a three-year (36 months) grant performance period.

#### III. Eligibility Information

##### A. Eligible Applicants

Nonprofit Hispanic-serving institutions of higher education that meet the definition of an HSI of higher education established in Title V of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244; enacted October 7, 1998) are eligible to apply for funding under this program. In order to meet this definition, at least 25 percent of the full-time undergraduate students enrolled in an institution must be Hispanic and not less than 50 percent of these Hispanic students must be low-income individuals. Institutions are not required to be on the list of eligible HSIs prepared by the U.S. Department of Education. However, an institution that is not on the list is required to provide a statement in the application that the institution meets the U.S. Department of Education's statutory definition of an HSI. HUD intends to fund at least two eligible HSIAC applications that serve Colonias (as defined in the General Section of the SuperNOFA). While it is not necessary for the institution to be located in a Colonias, all program activities must be directed to the Colonias and its residents. If fewer than two applications are eligible for award these funds will be made available to award additional HSIAC grants.

##### B. Cost Sharing or Matching

None Required.

##### C. Other

##### 1. Eligible Activities

Eligible activities are listed in 24 CFR part 570, subpart C, particularly 570.201 through 570.206. Information regarding

these activities can be found at: [www.hudclips.org](http://www.hudclips.org).

a. Examples of eligible activities include, but are not limited to:

- (1) Acquisition of real property;
- (2) Clearance and demolition;
- (3) Rehabilitation of residential

structures including lead-based paint hazard evaluation and reduction; and encouraging accessible design features in accordance with the requirements of section 504 of the Rehabilitation Act of 1973;

(4) Facilities and improvements, such as water and sewer facilities and streets; including lead-based paint hazard evaluation and reduction; and encouraging compliance accessible with the design and construction requirements of Section 504 of the Rehabilitation Act of 1973 and the Fair Housing Act;

(5) Relocation payments and other assistance for permanently and temporarily relocated individuals, families, businesses, nonprofit organizations, and farm operations where the assistance is:

(a) Required under the provisions of 24 CFR 570.606(b) or (c); or

(b) Determined by the grantee to be appropriate under the provisions of 24 CFR 570.606(d);

(6) Direct homeownership assistance to low- and moderate-income persons, as provided in section 105(a)(25) of the Housing and Community Development Act of 1974;

(7) Special economic development activities described at 24 CFR 570.203 and assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;

(8) Assistance to community-based development organizations (CBDO) to carry out a CDBG neighborhood revitalization, community economic development, or energy conservation project, in accordance with 24 CFR 570.204. This could include activities in support of a HUD-approved local entitlement grantee, CDBG Neighborhood Revitalization Strategy (NRS) or HUD-approved State CDBG Community Revitalization Strategy (CRS);

(9) Public service activities such as general support activities that can help to stabilize a neighborhood and contribute to sustainable redevelopment of the area, including but not limited to such activities as those concerned with employment, crime prevention, child care, health, drug abuse, education, fair housing counseling, energy conservation, homebuyer down

payment assistance, or recreational needs;

(10) Up to 20 percent of the grant for payments of reasonable grant administrative costs related to planning and execution of the project (*e.g.*, preparation/submission of HUD reports). Detailed explanations of these costs are provided in the OMB circulars that can be accessed at the White House Web site at: [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html);

(11) Fair housing services designed to further the fair housing objectives of the Fair Housing Act (42 U.S.C. 3601–20) by making all persons, without regard to race, color, religion, sex, national origin, familial status and/or disability aware of the range of housing opportunities available to them; and

(12) Activities designed to promote training and employment opportunities (*e.g.*, Neighborhood Networks in federally assisted or insured housing and employment opportunities for lower income persons in connection with Assisted Projects).

b. Eligible activities that may be funded under this program are those activities that meet both a Community Development Block Grant (CDBG) Program national objective and the CDBG eligibility requirements.

c. The three national objectives of the Community Development Block Grant program are:

(1) Benefit to low- or moderate-income persons;

(2) Aid in the prevention or elimination of slums or blight; and

(3) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs. Criteria for determining whether an activity addresses one or more of these objectives are provided at 24 CFR 570.208.

d. The CDBG publication entitled “Community Development Block Grant Program Guide to National Objectives and Eligible Activities for Entitlement Communities” describes the regulations, and a copy can be obtained from HUD’s NOFA Information Center at 800–HUD–8929 or 800–HUD–2209 for the hearing-impaired.

## 2. Threshold Requirements Applicable to All Applicants

All applicants must comply with the threshold requirements as defined in the General Section of the SuperNOFA and the requirements listed below to be evaluated, rated, and ranked.

Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified:

a. The applicant must meet the eligibility requirements as defined in Section III.A, Eligible Applicants.

b. The maximum amount an applicant can request for award is \$600,000.

c. In order to meet the definition of a HSIAC, at least 25 percent of the full-time undergraduate student enrolled in an institution must be Hispanic and not less than 50 percent of these Hispanic students must be low-income individuals.

d. Applicants must ensure that not less than 51 percent of the aggregated expenditures of a grant benefit low- and moderate-income persons under the criteria specified in 24 CFR 570.208(a) or 570.208(d)(5) or (6).

e. An individual campus that is one of several campuses of the same institution may apply separately from the other campus as long as the applicant’s campus has a separate administrative and budget structure.

f. Only *one* application can be submitted per campus.

g. Institutions that received an HSIAC grant in FY2003 are not eligible to submit an application under this NOFA. If an institution received an HSIAC grant in FY2000, FY2001, or FY2002, the institution may apply under this NOFA as long as it: (a) Propose a different activity (activities) in their current project location, or propose replicating their current project in a new location and (b) have drawn down at least 75 percent of the previous grant three-weeks prior to this program’s application due date. It is the applicant’s responsibility to make sure that this requirement is met.

h. Applicants must receive a minimum score of 75 points to be considered for funding.

i. An applicant must have a DUNS number to receive HUD grant funds. (The General Section of the SuperNOFA provides information regarding the DUNS requirement.)

## 3. Program Requirements

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

a. All funds awarded under this program must be spent during a three-year (36 months) grant performance period.

b. Applicants that claim leveraging from *any source*, including their own institution, must provide letters of firm commitment, memoranda of

understanding, or agreements evidencing the extent and firmness of commitment of leveraging from other federal (e.g., Department of Labor, AmeriCorps Programs), state, local, and other private sources (including the applicant's own resources). These documents must be dated no earlier than the date of this published NOFA and follow the outline provided for this program in Section V, Application Review Information "Factor 4: Leveraging Resources" of this NOFA.

c. **Site Control.** Where grant funds will be used for acquisition, rehabilitation, or new construction an applicant must demonstrate site control. Funds may be recaptured or deobligated from applicants that cannot demonstrate control of a suitable site within one year after the initial notification of award.

d. **Environmental Requirements.** Selection for award does not constitute approval of any proposed sites. Following selection for award, HUD will perform an environmental review of activities proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property, and not commit or expend HUD or local funds for these program activities with respect to any eligible property until HUD's written approval of the property is received. In supplying HUD with environmental information, applicants should use the same guidance as provided in the HUD Notice CPD-99-01 entitled "Field Environmental Review Processing for HUD Colonias Initiative (HCI) Grants" issued January 27, 1999. The General Section of the SuperNOFA provides further discussion of the environmental requirements. Further information and assistance on HUD's environmental requirements is available at: <http://www.hud.gov/offices/cpd/energyenviro/energyenviro/index.cfm>.

e. **Labor Standards.** Institutions and their sub-grantees, contractors, and subcontractors must comply with the labor standards (Davis-Bacon)

requirements referenced in 24 CFR 570.603.

#### **IV. Application and Submission Information**

##### *A. Addresses To Request Application Package*

Applicants may request general information, copies of the General Section, and Program Sections of the SuperNOFA from the NOFA Information Center by calling 800-HUD-8929 or 800-HUD-2209 (TTY) between the hours of 9 a.m. and 8 p.m. (Eastern Time) Monday through Friday, except on federal holidays. When requesting information, please refer to the Hispanic-Serving Institutions Assisting Communities Program. Be sure to provide your name, address (including ZIP code), and telephone number (including area code). To ensure sufficient time to prepare an application, requests for copies of this NOFA can be made immediately following publication of the SuperNOFA. The NOFA Information Center opens for business simultaneously with the publication of HUD's 2004 NOFA. Applicants can also obtain information on this SuperNOFA and download application information for this SuperNOFA through the HUD Web site, [www.hud.gov](http://www.hud.gov).

##### *B. Content and Form of Application Submission*

A complete application package must include an original signed application, three copies, and one computer disk of the application (in Word 6.0 or higher) of the items listed below. (The computer disk must include the narrative portion of the application and all required forms. Forms can be downloaded from the Web site, <http://www.hud.gov>.) In order to recycle paper, applications must not be submitted in bound form; binder clips or loose-leaf binders are acceptable. Please do not use colored paper. Applications must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, with one-inch margins (from top, bottom, left and right) and printed in a standard Times New Roman 12-point font. Each page must include the applicant's name and be numbered. Each section must be tabbed sequentially. The application narrative, tables, and maps, must not exceed 75 pages (excluding forms, budget narrative, assurances, commitment letters, memoranda of understanding, agreements, and abstract). The double-spacing requirement applies to the application narrative (excluding the abstract, tables, maps, budget narrative, commitment

letters, memoranda of understanding, and agreements). Please note that although submitting pages in excess of the page limit will not disqualify an application, HUD will not consider the information on any excess pages. This may result in a lower score or failure to meet a threshold requirement. Except where a particular form may direct otherwise, all forms included in an application, as well as the transmittal letter, must be signed by the Chief Executive Officer (this is generally the President or Provost) or an official authorized legally to make a commitment on behalf of the institution. If a designee signs, the application must contain a copy of the official designation of signatory authority.

Please include in your application each item in the order listed below:

1. *SF-424, Application for Federal Assistance.* Instructions for completing this form are found on the back of the first page of the form. Please remember the following:

a. The full grant amount (entire three years) should be entered, not the amount for just one year;

b. Include the name, title, address, telephone number, facsimile number, and email address of the designated contact. This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information;

c. The Employer Identification/Tax ID;

d. The DUNS Number;

e. The Catalog of Federal Domestic Assistance Number for this program is 14.514;

f. The project's proposed start date and completion date. For the purpose of this application, the program start date should be October 1, 2004; and

g. The signature of an authorized official (an individual who has the authority to make a binding commitment on behalf of the institution).

2. *Transmittal Letter.* The letter must contain a statement that the institution is an eligible institution because it is a two-or four-year fully accredited institution. The letter should state the name of the accrediting agency, and that the accrediting agency is recognized by the U.S. Department of Education. Applicants may also use the transmittal letter as one way to demonstrate the President's commitment to the institutionalization of the program. The *Chief Executive Officer* (usually the President or Provost) of the institution must sign this letter. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign, but a copy of the

delegation of authority must be included or clearly stated in the letter.

3. *Application Checklist.* Applicants must include the completed checklist in their application. On the checklist, the applicant must indicate the page number where each of the items can be found in the application (See Appendix A).

4. *Abstract.* Applicants must include no more than a two-page summary of the proposed project. Please include the following:

a. A clear description of the proposed project activities, the target population that will be assisted, and the impact this project will have on the institution;

b. The designated contact person, including phone number, facsimile number, and email address (This is the person who will receive the reviewers' comments; therefore, please ensure the accuracy of the information);

c. University's name, department, mailing address, telephone number, facsimile number, and email address; and

d. The principal investigator, if different from the designated contact person, for the project, including phone number, facsimile number, and email address.

5. *Narrative statement addressing the Factors for Award.* HUD will use the narrative response to the "Factors for Award" to evaluate, rate, and rank applications. The statement and work plan are the main source of information. Applicants are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are subfactors, each subfactor must be presented separately, with the short title of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor.

6. *Budget.* The budget submission must be placed behind the narrative statement addressing the "Factors for Award" and include the following form:

a. HUD-424-CB, "Grant Application Detailed Budget." This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also submit this form to reflect the total cost for the entire grant performance period (Grand Total).

Make sure that the amount shown on the SF-424, the HUD-424-CB, and on all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on the HUD-424-CB form so that all items are included in the total. If there is an inconsistency between any of the forms required, the HUD-424-C will be used. All budget forms must be completed in full. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

b. *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for any line item over \$5,000. For example, an applicant proposes to construct a building using HUD funding totaling \$200,000. The following costs estimate reflects this total. Foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, finishing work \$35,000, and landscaping \$10,000. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used and included. All direct labor or salaries must be supported with mandated city/state pay scales, the Davis-Bacon rate, (if applicable) or other documentation. When an applicant proposes to use a consultant, the applicant must indicate whether there is a formal agreement or written procurement policy. For each consultant, please provide the name, if known, hourly or daily rate, and the estimated time on the project.

Applicants must submit a cost estimate from a qualified firm (e.g., Architectural or Engineering), vendor, and/or qualified individual (e.g., independent architect) other than the institution for projects that involve rehabilitation of residential, commercial and/or industrial structures; and/or acquisition, construction, or installation of public facilities and improvements. Such an entity must be involved in the business of housing rehabilitation, construction and/or management. Equipment and contracts cannot be presented as a total estimated figure. For equipment, applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract.

c. *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants should include a copy of

their indirect cost rate agreement with their application. Applicants who are selected for funding that do not have an approved indirect cost rate agreement (established by the cognizant federal agency, Certified Public Account, or auditor) will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and enter into an agreement to have one established.

d. *Audits.* Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. Grantees that expend \$500,000 or more in federal financial assistances in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR parts 84 and 85. Applicants can access additional information regarding this requirement at the following Web site, <http://harvester.census.gov/sac>.

7. *Appendix.* Applicants must place all letters of commitment, memoranda of understanding, and agreements for funds/resources in response to Factor 4 in this section. An applicant may not submit general support letters or resumes or other back-up materials (unless an applicant is willing to have the additional material count toward the page limits).

#### C. Submission Dates and Times

A complete application package is due on or before June 25, 2004. Please see the General Section of the SuperNOFA for application submission, delivery and timely receipt requirements.

#### D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

#### E. Funding Restrictions

Ineligible CDBG Activities are listed at 24 CFR 570.207. Funding may only be provided to applicants that meet the standards for eligible applicants in Section III. A.

#### F. Other Submission Requirements

##### 1. Complete Application Package

This package must be submitted to the following address: University Partnerships Clearinghouse; c/o Danya International; 8737 Colesville Road, Suite 1200; Silver Spring, MD 20910. When submitting an application package, include the following information on the outside of the envelope:

- a. Office of University Partnerships;
- b. Hispanic Serving-Institutions Assisting Communities Program; and

c. Applicant's name and mailing address (including zip code). Applicants must refer to the General Section of this SuperNOFA for detailed requirements governing application submission and receipt.

## 2. Forms, Certifications, and Assurances

The following certifications and assurances must be included in *all* application packages. These forms must be signed by the Chief Executive Officer (or official designee) of the institution and can be downloaded from: <http://www.hud.gov>.

- a. Application for Federal Assistance (SF-424).
- b. Applicant Assurances and Certifications (HUD-424-B).
- c. Grant Application Detailed Budget (HUD-424-CB).
- d. Disclosure of Lobbying Activities (SF-LLL).
- e. America's Affordable Communities Initiative Removal of Regulatory Barriers (HUD-27300), if applicable.
- f. Applicant/Recipient Disclosure/Update Report (HUD-2880).
- g. Certification of Consistency with the Consolidated Plan (HUD-2991).
- h. Certification of Consistency with the EZ/EC/RC Strategic Plan (HUD-2990). Must be signed by the certifying official of the EZ/EC/RC. The General Section of the SuperNOFA provides procedures and guidelines required to certify that proposed grant activities are being conducted in the EZ/EC/RC that serve the residents of these areas, and are certified to be consistent with the area's strategic plan.
- i. Program Logic Model (HUD-96010).
- j. Survey on Equal Opportunity (HUD-32004).
- k. Acknowledgment of Receipt of Application (HUD-2993). To confirm that HUD has received the application package, please complete this form. Applicants are not required to include this form, but it is recommended that an applicant do so.
- l. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Applicants are not required to complete this form.

## V. Application Review Information

### A. Criteria

1. Rating Factor 1: Capacity of the Applicant and Relevant Organizational

Experience (25 Points). This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which the proposal demonstrates:

a. Knowledge and Experience—For Previously Unfunded or First Time Applicants (25 Points) For Previously Funded Applicants (10 Points). The knowledge and experience of the overall project director and staff, including the day-to-day program manager, consultants (including technical assistance providers), and contractors in planning and managing this kind of program. Experience will be judged in terms of recent and relevant knowledge and skills of the staff to undertake eligible program activities. HUD will consider experience within the last 5 years to be recent and experience pertaining to specific activities and producing specific accomplishments to be relevant. The following categories will be evaluated:

- (1) Undertaking specific successful community development projects with community-based organizations or local governments; and
- (2) Providing leadership in solving community problems that have a direct bearing on the proposed activities.

b. Past Performance (15 Points) For Previously Funded Grant Applicants Only. This subfactor will evaluate the extent to which an applicant has performed successfully under all previously completed and open grants HUD HSIAC grant(s). Applicants must demonstrate this by providing the following information:

- (1) A detailed list outlining the achievement of specific measurable objectives and outcomes consistent with the approved timeline/work plan in previous grants;
- (2) Comparison of the proposed required leveraged funds and/or resources in previous grants with what was actually leveraged; and
- (3) A list of all HUD/HSIAC grants received, including the dollar amount awarded and the amount expended as of the date of this application.

2. Rating Factor 2: Need/Extent of the Problem (10 Points). This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need(s) in the target area. The need(s) described must be relevant to the activities for which funds are being requested. The proposal will be evaluated on the extent to which the level of need for the proposed

activities and the importance of meeting the need(s) are documented.

Applicants must use statistics or other analyses contained in at least one or more current data sources that are sound and reliable. The data provided must be current and specific to the area where the proposed project activities will be carried out. Sources for localized data can be found at [www.ffiec.gov](http://www.ffiec.gov) or [www.econddata.com](http://www.econddata.com).

In rating this factor, HUD will consider data collected within the last five years to be current. To the extent that the targeted community's Five Year Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, applicants should include references to these documents in the response to this factor.

Other reliable data sources include, but are not limited to Census reports, HUD Continuum of Care gap analysis and its E-MAP ([www.hud.gov/emaps](http://www.hud.gov/emaps)), law enforcement agency crime reports, Public Housing Agencies' Comprehensive Plans, community needs analyses such as provided by the United Way, the applicant's institution, and other sound and reliable appropriate sources. Needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements may also be addressed.

3. Rating Factor 3: Soundness of Approach (43 Points). This factor addresses the quality and effectiveness of the proposed work plan, the commitment of the institution to sustain the proposed activities, actions regarding HUD's priorities, goals and objectives, and affirmatively furthering fair housing

This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

a. (32 Points) Quality of the Work Plan. This subfactor will be evaluated on the extent to which an applicant provides a clear outline of the proposed project and anticipated accomplishments.

(1) Specific Services and/or Activities. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project. HUD will consider the probability of success of the program, the significance of the tasks identified, how realistic are the proposed time frames, and who will be responsible for completing each proposed activity.

(a) Describe each proposed activity and the tasks required to successfully implement and complete the proposed activities in measurable terms (*e.g.*, the

number of persons to trained and employed; houses to be built or rehabilitated; or minority owned businesses to be started, etc.);

(b) List the CDBG national objective each proposed activity is designed to address and how this will be accomplished;

(c) Include target completion dates for each activity/task (in 6 month intervals, up to 36 months); and

(d) Identify the staff member, as described in Factor 1, who will be responsible for completing each activity/task.

(2) Describe how each proposed activity will:

(a) Expand the role of the institution in its community;

(b) Alleviate and/or fulfill the needs identified in Factor 2;

(c) Relate to and not duplicate other activities in the target area. Duplicative effort will be acceptable only if an applicant can demonstrate through documentation that there is a population in need that is not being served; and

(d) Involve and empower citizens of the target area the proposed project.

b. (5 Points) Involvement of the Faculty and Students. The applicant must describe the extent to which it proposes to integrate the institution's students and faculty into proposed project activities.

c. (3 Points) HUD Policy Priorities. HUD encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which will help the Department achieve its goals and objectives in FY2005, when the majority of grant recipients will be reporting programmatic results and achievements. In addressing this factor, HUD will evaluate the extent to which a program will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed.

Applicants that just list a priority will receive no points. Each policy priority addressed has a point value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 3. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 3 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the

completed questionnaire found in the General Section. (Form HUD-27300). For the full list and explanation of each policy priority, please refer to the General Section of this SuperNOFA.

d. (3 Points) Affirmatively Furthering Fair Housing. This subfactor will be evaluated on the extent to which an applicant describes how it proposes to undertake activities designed to affirmatively further fair housing, for example:

(1) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services or lending;

(2) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or

(3) Providing housing mobility counseling services.

4. Rating Factor 4: Leveraging Resources (10 Points). This factor addresses the ability of the applicant to secure resources that can be combined with HUD's grant funds to achieve the program's purpose.

In evaluating this factor, HUD will consider the extent to which the applicant established partnerships with other entities to secure additional resources to increase the effectiveness of the proposed project activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of the grant. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities. Applicants may also establish partnerships with other program funding recipients to coordinate the use of resources in the target area. Overhead and other institutional costs (e.g., salaries, indirect costs, etc.) that the institution has waived may be counted.

Examples of potential sources for outside assistance includes:

- Federal, state, and local governments.
- Public Housing Authorities.
- Local or national nonprofit organizations.
- Financial Institutions and/or private businesses.
- Foundations.
- Faith-based and other community-based organizations.

For each cash or in-kind contribution to the program a letter of commitment, memorandum of understanding, or agreement must be provided that shows the extent and firmness of the

commitment of leveraged funds (including any commitment of resources from the applicant's own institution) in order for these resources to count in determining points under this factor. Resources will not be counted for which there is no commitment letter, memorandum of understanding, or agreement, nor quantified level of commitment. Letters, memoranda of understanding, or agreements must be submitted from the provider on the provider's letterhead and be included with the application package (Applicants must place all letters, memoranda of understanding, or agreements in the Appendices). The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than the date of this published SuperNOFA. Applications that do not include evidence of leveraging will receive zero (0) points for this Factor.

a. A firm commitment letter, memorandum of understanding, or agreement must address the following:

(1) The cash amount contributed or dollar value of the in-kind goods and /or services committed;

(2) A specific description of how the contribution is to be used;

(3) The date the contribution will be made available and a statement that describes the duration of the contribution;

(4) Any terms or conditions affecting the commitment, other than receipt of a HUD grant; and

(5) The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. Please remember that only items eligible for funding under this program can be counted.

5. Rating Factor 5: Achieving Results and Program Evaluation (12 Points). This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their performance to achieve the program's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved.

"Outcomes" are benefits accruing to institutions of higher education and/or communities during or after participation in the HSIAC program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include increased employment opportunities in the target community by a certain



percentage, or enhanced family stability through the creation of affordable housing opportunities.

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the program's activities. Examples of outputs are the number of new affordable housing units, the number of homes that have been renovated, the number of community facilities that been constructed or rehabilitated. Outputs should produce outcomes for the program. At a minimum an applicant must address the following activities in the evaluation plan:

a. Measurable objectives to be accomplished, e.g., the number of persons to be trained and employed; houses to be built (pursuant to 24 CFR 570.207) or rehabilitated; minority-owned businesses to be started;

b. Measurable impacts the grant will have on the community in general and the target area or population; and

c. The impact the grant will have on assisting the university to obtain additional resources to continue this type of work at the end of the grant performance period.

This information must be placed under this section on a HUD-96010, Program Outcome Logic Model form. (Applicants may use as many copies of this form as required. It will not be included in the page count requirement). A narrative is not required; however, if a narrative is provided, those pages will be included in the page count. Additional information on this form and how to use it can be found in the General Section of this SuperNOFA.

#### *B. Review and Selection Process*

##### *1. Application Selection Process*

Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Factors for Award" listed in Section V, A. above.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. Rating Panels. To review and rate applications, HUD may establish panels, which may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

3. Ranking. HUD will fund applications in rank order, until all

available program funds are awarded. In order to be funded, an applicant must receive a minimum score of 75 points out of a possible 100 points for Factors 1 through 5. In addition, two bonus points may be awarded for RC/EZ/EC, as described in the General Section of the SuperNOFA. If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 1, Capacity of the Applicant and Relevant Organizational Experience, shall be selected. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make the same determination for the next highest-ranking application. If funds remain after all selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

4. Correction to Deficient Applications. The General Section of the SuperNOFA provides the procedures for correction to deficient applications.

#### *C. Anticipated Announcement and Award Dates*

Announcements of awards are anticipated on or before September 30, 2004.

### **VI. Award Administration Information**

#### *A. Award Notice*

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section of the SuperNOFA.

#### *B. Administrative and National Policy Requirements*

The provisions of the HUD Reform Act of 1989 that apply to this NOFA are explained in the General Section of the SuperNOFA.

##### *1. Debriefing:*

The General Section of the SuperNOFA provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Armand Carriere; Office of University Partnerships; Robert C.

Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington, DC 20410. Applicants may also write to Mr. Carriere via e-mail at [Armand\\_W\\_Carriere@hud.gov](mailto:Armand_W_Carriere@hud.gov).

##### *2. Administrative:*

Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Education Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House website at [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).

##### *3. OMB Circulars and Governmentwide Regulations Applicable to Financial Assistance Programs:*

The General Section of this SuperNOFA provides further discussion on this matter.

4. *Executive Order 13202, Preservation of Open Competition and Government Neutrality Towards, Government Contractor's Labor Relations on Federal and Federally Funded Construction Projects:* See the General Section of the SuperNOFA for further discussion.

5. *Economic Opportunities for Low- and Very Low-Income Persons (Section 3)*

The provisions of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) apply to this NOFA. Regulations may be found at 24 CFR part 135.

6. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP):*

See the General Section of the SuperNOFA for further discussion.

##### *7. Conflicts of Interest:*

See the General Section of this SuperNOFA for further discussion.

#### *C. Reporting*

All grant recipients under this NOFA are required to submit semi-annual progress reports. The progress reports shall consist of two components, a narrative that must reflect the activities undertaken during the reporting period and a financial report that reflects costs incurred during the reporting period as well as a cumulative summary.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed Logic Model (form HUD 96010), which identifies output and outcome achievements.

**VII. Agency Contacts**

Applicants may contact Madlyn Wohlman-Rodriguez at (202) 708-3061, extension 5939 or Susan Brunson, at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service (TTY) at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Ms. Rodriguez via e-mail at *Madlyn\_S.\_Wohlman-Rodriguez@hud.gov*, and/or Ms. Brunson at *Susan\_S.\_Brunson@hud.gov*.

**VIII. Other Information***Paperwork Reduction Act*

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0198. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a

currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 59 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application semi-annual and final reports. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

**BILLING CODE 4210-32-P**

**Attachment A--Application Checklist**  
**HSIAC**  
Application Checklist

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Please present the information in the application in the order outlined below and indicate on each line the page number where each of the items can be found in the application. Standard Forms and required certification are found in the **General Section** of this SuperNOFA and can be downloaded from HUD's website, [www.hud.gov](http://www.hud.gov).

**I. PART A**

- \_\_\_\_\_ SF-424 "Application For Federal Assistance"
- \_\_\_\_\_ Transmittal Letter
- \_\_\_\_\_ Application Checklist
- \_\_\_\_\_ Abstract (no more than a two-page summary of the proposed project)
- \_\_\_\_\_ Narrative Statement addressing the Factors for Award. The narrative must not exceed 75 pages, (excluding forms, abstracts, tables, maps, budget narrative, assurances, commitment letters, memoranda of understanding, agreements) double-spaced on one side, with one-inch margins (from the top, bottom, left and right) printed in standard Times New Roman 12-point font).
- \_\_\_\_\_ HUD 96010 "Logic Model"
- \_\_\_\_\_ Budget
  - \_\_\_\_\_ HUD 424-CB" Grant Application Detailed Budget"
  - \_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total three-year grant period)
  - \_\_\_\_\_ Indirect Cost Rate
- \_\_\_\_\_ Appendix (letters of commitment, memoranda of understanding, or agreements)
- \_\_\_\_\_ Computer disk

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**II. PART B (All Required Forms)**

The following required certifications and assurance can be downloaded from HUD's website [www.hud.gov](http://www.hud.gov).

- \_\_\_\_\_ SF-424 "Application For Federal Assistance"
- \_\_\_\_\_ HUD-424-B "Applicant Assurance and Certifications"
- \_\_\_\_\_ HUD-424-CB" Grant Application Detailed Budget"
- \_\_\_\_\_ SF-LLL "Disclosure of Lobbying Activities"
- \_\_\_\_\_ HUD-27300 "America's Affordable Communities Initiative Removal of Regulatory Barriers" (if applicable)
- \_\_\_\_\_ HUD-2880 "Applicant/Recipient Disclosure Update Report"
- \_\_\_\_\_ HUD-2993 "Acknowledgement of Applicant Receipt"
- \_\_\_\_\_ HUD-2994 "Client Comments and Suggestions"
- \_\_\_\_\_ SF-424 Supplement "Survey on Ensuring Equal Opportunity for Applicants"
- \_\_\_\_\_ HUD-96010 "Logic Model"