

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**UNIVERSITIES AND COLLEGES
PROGRAMS**

**ALASKA NATIVE/NATIVE HAWAIIAN
INSTITUTIONS ASSISTING
COMMUNITIES PROGRAM (AN/NHIAC)**

Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) 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: Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program.

C. Announcement Type: Initial announcement.

D. Funding Opportunity Numbers: The **Federal Register** Number for this Notice Of Funding Availability (NOFA) is FR-4950-N-09. The OMB Approval Number for this program is 2528-0205.

E. Catalog of Federal Domestic Assistance (CFDA) Number: The CFDA Number for this program is 14.515.

F. Dates: The application submission deadline shall be on or before June 16, 2005. Please be sure to read the General Section for electronic application submission and receipt requirements.

G. Additional Overview Content Information:

1. *Purpose of the Program:* The Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program assists Alaska Native/Native Hawaiian Institutions (AN/NHI) 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) 2005, approximately \$3.9 million has been made available for this program by the Consolidated Appropriations Act, 2005 (Pub. L. 108-447) plus \$267,000 in previously unobligated funds are available for this program. The maximum amount an applicant can request for award is \$800,000 for a maximum three-year (36 months) grant performance period. Approximately \$2.1 million is being made available for Alaska Native Institutions (ANIs) and \$2.1 million is being made available for Native Hawaiian Institutions (NHIs). If funding remains after all eligible ANI applicants are awarded, the remaining funds will be made available to fund eligible NHI applicants. If funding remains after all eligible NHI applicants are awarded, the remaining funds will be made available to fund eligible ANI applicants.

Full Text Of Announcement

I. Funding Opportunity Description

The purpose of the Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC) Program is to assist Alaska Native/Native Hawaiian Institutions (AN/NHI) 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.

A. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2004). This program is being implemented through this NOFA and the policies governing its operation are contained herein.

B. Modifications

Listed below are major modifications from the Fiscal Year (FY) 2004 program-funding announcement:

1. Applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further discussion.

2. Letters, memoranda of understanding, or agreements in response to Factor 4 now can be dated no earlier than nine months prior to the date of this published NOFA and received no later than the application submission date.

II. Award Information

In Fiscal Year (FY) 2005, approximately \$3.9 million is made available for this program, plus \$267,000 in previously unobligated funds. HUD will award grants under this program to Alaska Native Institutions (ANI) and Native Hawaiian Institutions (NHI). The maximum amount an applicant can request for award is \$800,000 for a maximum three-year (36 months) grant performance period. Approximately \$2.1 million is being made available for ANIs. If funding remains after all eligible ANI applicants are awarded, the remaining funds will be made available to fund eligible NHI applicants. Approximately \$2.1 million is being made available for NHIs. If funding remains after all eligible NHI applicants are awarded, the remaining funds will be made available to award eligible ANI applicants.

III. Eligibility Information

A. Eligible Applicants

Nonprofit Alaska Native and Native Hawaiian Institutions of Higher Education that meet the definitions of Alaska Native and Native Hawaiian Institutions of Higher Education established in title III, part A, section 317 of the Higher Education Act of 1965, as amended by the Higher Education Amendments of 1998 (Pub. L. 105-244; enacted October 7, 1998) are eligible to apply for funding under this program. Institutions are not required to be on the list of eligible AN/NHIs 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 AN/NHI institution. In order to meet the definition of an Alaska Native Institution, at least 20 percent of the undergraduate headcount enrollment must be Alaska Native students. If an applicant is a Native Hawaiian institution, at least 10 percent of the undergraduate headcount enrollment must be Native Hawaiian students in order to meet this definition. In addition, applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. If an applicant is one of several campuses of the same institution, the applicant may apply separately from the other campuses as long as the campus has a separate administrative structure and budget and meets the enrollment test outlined above. All applicants must be accredited by a national or regional accrediting agency recognized by the U.S. Department of Education.

B. Cost Sharing or Matching

None required.

C. Other

1. *Eligible Activities:* Eligible activities include, but are not limited to:

- a. Acquisition of real property;
- b. Clearance and demolition;
- c. Rehabilitation of residential structures and compliance with the accessibility requirements contained in Section 5 of the Rehabilitation Act of 1973;
- d. Acquisition, construction, reconstruction, rehabilitation, or installation of public facilities and improvements, such as water and sewer facilities and streets; including lead-based paint hazard evaluation and reduction and compliance with the accessibility requirements contained in Section 504 of the Rehabilitation Act of

1973 and Americans with Disabilities Act of 1990;

e. 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;

f. 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;

g. Assistance to community-based development organizations (CBDO) to carry out neighborhood revitalization, community economic development, or energy conservation projects, 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);

h. 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 services, drug abuse, education, fair housing counseling, energy conservation, homebuyer down payment assistance, or recreational needs;

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

j. Up to 20 percent of the grant may be used 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: <http://www.whitehouse.gov/omb/circulars/index.html>; and

k. 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).

Eligible activities that may be funded under this program are those activities that meet both the Community Development Block Grant (CDBG)

Program national objectives and eligibility requirements.

a. 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.

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

2. *Audit Requirements.* Applicants must ensure that their most current A–133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in Federal financial assistance 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 part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

3. *Threshold Requirements Applicable to all Applicants.* All applicants must comply with the threshold requirements as defined in the General Section 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 applicant may request no more than \$800,000 for award.

c. Only *one* application can be submitted per campus. If multiple applications are submitted, all will be disqualified.

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

e. Institutions that received grants in FY 2004 are not eligible to submit an application under this NOFA.

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

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

h. Electronic applications must be received by Grants.gov no later than 11:59:59 p.m. Eastern time on June 16, 2005. See the General Section for information on application submission and timely receipt requirements.

4. *Program Requirements.* In addition to the program requirements listed in Section III.C of the General Section, applicants must meet the following program requirements:

a. All funds awarded are for 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 the commitment of leveraging from other federal (e.g., Department of Education, AmeriCorps Programs, etc.), state, or local governments, and other public/private sources (including the applicant’s own resources). These documents must follow the outline provided in Section V, Application Review Information, “Factor 4: Leveraging Resources” of this NOFA. Please refer to Section IV.F of the General Section for further instructions on how to submit these third party documents via the electronic submission process.

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

d. *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.

e. *Environmental Requirements.* Selection for award does not constitute approval of any proposed sites. Following selection for award, HUD will perform an environmental review of properties 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 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/energyenvirom/environment/index.cfm>.

f. Labor Standards. Institutions and their subgrantees, contractors, and subcontractors must comply with the labor standards (Davis-Bacon) requirements referenced in 24 CFR 570.603.

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

The provisions of Section 3 of the Housing and Urban Development Act of 196 (12 U.S.C. 1701u) apply to this NOFA. Regulations may be found at 24 CFR Part 135.

IV. Application and Submission Information

A. Address To Request Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at <http://www.Grants.gov./Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or e-mail your questions to Support@Grants.gov.

The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has the legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting e-mail notification of funding opportunities or downloading the application and should be done as soon as you download the application from the Grants.gov Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

B. Content and Form of Application Submission

1. *Forms*. The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. The electronic version of the NOFA contains all forms required for submission.

a. Application for Federal Assistance (SF-424);

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

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

g. Program Logic Model (HUD-96010);

h. 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;

i. Certification of Consistency with the Consolidated Plan (HUD-2991);

j. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver

to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so; and

k. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

2. *Certifications and Assurances*.

Please read the General Section for detailed information on all Certifications and Assurance. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the application in the following order:

a. SF-424, *Application for Federal Assistance*. Please remember the following:

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

(2) 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;

(3) The Employer Identification/Tax ID number;

(4) The DUNS Number;

(5) The Catalog of Federal Domestic Assistance Number for this program is 14.515;

(6) The project's proposed start date and completion date. For the purpose of this application, the program start date should be November 1, 2005; and

(7) The signature of the Authorized Organization Representative (AOR) who has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a legally binding agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

b. *Application Checklist.* Applicants should use the checklist to ensure that they have all the required components of their application. Applicants submitting an electronic application do not have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application submission. The checklist is found in Attachment A of this NOFA.

c. *Abstract.* Applicants must include the following:

(1) 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;

(2) A statement that the institution is an eligible institution because it is a two- or four-year fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education;

(3) A statement that the institution meets the definition of an Alaska Native Institution, at least 20 percent of the undergraduate headcount enrollment must be Alaska Native students. If an applicant is a Native Hawaiian institution, in order to meet this definition, at least 10 percent of the undergraduate headcount enrollment must be Native Hawaiian students;

(4) 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);

(5) University's name, campus, mailing address, telephone number, facsimile number, and e-mail address; and

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

d. *Narrative statement addressing the Rating Factors.* HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative statement is 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. The narrative section of an application must not exceed 75 pages, doubled spaced (excluding forms, budget narrative, assurances, commitment letters, memoranda of understanding, agreements, and abstract). Each page of the narrative must include the applicant's name and be numbered. Please note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement.

e. *Budget.* The budget submission must include the following:

(1) 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 Form 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 Form HUD-424-CB so that all items are included in the total. If there is any inconsistency between any of the required forms the HUD-424-CB will be used. All budget forms must be fully completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for any line item over \$5,000 cumulative. 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. (See the General Section for how to submit this information electronically). When an

applicant proposes to use a consultant, the applicant must indicate whether there is a formal written agreement. 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 based on historical data from the institution and/or 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 cost. 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.

(3) *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. Please refer to Section IV.F of the General Section for further discussion on electronic submission of required documentation. 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 assist applicants with the process of establishing a final rate.

f. *Appendix.* Applicants receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters of commitment, memoranda of understanding and agreements for funds/resources in response to Factor 4 and other required forms in this section. For applicants submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using the electronic submission process. An applicant SHOULD NOT submit general support letters, resumes, or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. Eastern time on or before the application June 16, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions 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. Ineligible activities include but are not limited to:

1. New construction of public housing;
2. General government expenses;
3. Political activities;
4. Planning and administrative activities that would result in a grantee exceeding the 20 percent cost limitation on such activities; and
5. Development and/or expansion of an institution's existing curriculum when it is primarily to enhance the institution rather than to achieve the specific goals/objectives of the proposed project.

F. Other Submission Requirements

1. *Application Submission and Receipt Procedure.* Please read the General Section carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirements.* Please refer to the General Section for further discussion.

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 First Time Applicants (25 Points) For Previously Funded Applicants (13 Points).* The knowledge and experience possessed by the proposed 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 project for which funding is being requested. Applicants must clearly identify the following: key project team members, titles (e.g., project manager/coordinator, etc.), respective roles for the project staff and a brief description of their relevant experience. 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 five (5) years to be recent and experience pertaining to similar activities to be relevant.

b. *Past Performance (12 Points) For Previously Funded Applicants Only.* This subfactor will evaluate the extent to which an applicant has performed successfully under all previously completed and open HUD/AN/NHIA grants. Applicants must demonstrate this by providing the following information:

- (1) A detailed list outlining the achievement of specific tasks, measurable objectives, and specific outcomes consistent with the approved timeline/work plan in previous grants;
- (2) Comparison of proposed leveraged funds and/or resources in previous grants to what was actually leveraged;
- (3) A list of all HUD/AN/NHIA grants received, including the dollar amount awarded and the amount expended as of the date of this application; and
- (4) A detailed list outlining the timeliness and completeness of complying with all the AN/NHIA reporting requirements. In addressing timeliness compare when reports were due with when they were actually submitted. HUD will also review an applicant's past performance in managing funds, including, but not limited to: the ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; and receipt of promised leveraged funds. In evaluating past performance, HUD reserves the right to deduct up to five (5) points from this rating score as a result of the information obtained from HUD's records (i.e., progress and financial reports, monitoring reports, Logic Model

submissions, and amendments), including the timely submission of required progress reports.

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 and 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: <http://www.ffiec.gov>.

In rating this factor, HUD will consider data collected within the last five (5) years to be current. To the extent that the targeted community's Five (5) 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 (<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 (45 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. (35 Points) *Quality of the Work Plan.* This subfactor will be evaluated on the extent to which an applicant provides a clear detailed description of the proposed project and anticipated accomplishments.

(1) (30 Points) Specific Services and/or Activities. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project.

(a) Applicants must provide a clear description of the proposed activities and address the following:

(i) Describe each proposed activity to successfully implement and complete the proposed project in measurable terms (e.g., the number of homes that will be renovated, the number of jobs created, etc.);

(ii) List how each proposed activity meets one of the following Community Development Block Grant (CDBG) Program national objectives:

- Benefit low- and moderate-income person;
- Aid in the prevention or elimination of slums or blight; or
- 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 objectives are provided at 24 CFR 570.208;

(b) Outline the major tasks required (in sequential order) to successfully implement and complete the proposed project activities. Include the target completion dates for these tasks (in 6 month intervals, up to 36 months); and

(c) Identify the individuals, as described in Factor 1, who will be responsible and accountable for completing each task.

(2) (5 Points) Describe clearly how each proposed activity will:

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

(b) Address 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 in the proposed project.

b. (4 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 help the

Department achieve its goals and objectives in FY 2006, 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 (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. The form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

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 opportunities for individuals on the basis of race, color, national origin, sex, religion, familial status, or disability. 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 (8 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 for 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 include:

- Federal, state, and local governments.
- Public Housing Agencies.
- 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, or quantified level of commitment. (Applicants submitting paper copy applications must place all letters, memoranda of understanding, or agreements in the Appendix. Applicants submitting these items electronically must follow the submission directions in Section IV.F of the General Section.) The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than nine months prior to this published NOFA. Letters, memoranda of understanding, or agreements must be submitted on the provider's letterhead in accordance with the instructions in the General Section. Applicants that do not provide the documentation evidencing the leveraging or address all items as outlined below will receive zero (0) points for this Factor.

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 (If a dollar amount and use is not shown, the source will not be counted);
- (2) A specific description of how each contribution is to be used toward the proposed activities;
- (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 funded.

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. The Logic Model is a summary of the narrative statements presented in Factors 1–4. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements.

“Outcomes” are benefits accruing to institutions of higher education and/or communities during or after participation in the AN/NHIAC program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include increased community development in the target community by a certain percentage, increased employment opportunities in the target community by a certain percentage, increased incomes/wages or other assets for persons trained, and 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, and the number of facilities

that have 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 outputs 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 outcomes 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 on a HUD-96010, Program Outcome Logic Model form. Applicants may submit as many copies of this form as required. It will not be included in the page count. 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 can be found in the General Section.

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 “Rating Factors” listed in Section V.A.

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. The RC/EZ/EC-II bonus points described in the General Section do not apply to this NOFA. 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. If there is

still a tie, the application with the most points for Factors 2, 4 and then 5 shall be selected, in that order, until the tie is broken. 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 an award offer, HUD will make an award to 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 provides the procedures for correction to deficient applications.

C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before September 30, 2005.

VI. Award Administration Information

A. Award Notices

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.

B. Administrative and National Policy Requirements

For additional information regarding these requirements, please refer to Section VI.B. in the General Section.

1. *Debriefing*. The General Section provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to: Sherone Ivey; Office of University Partnerships; Robert C. Weaver Federal Building; 451 Seventh Street, SW., Room 8106; Washington DC 20410. Applicants may also write to Ms. Ivey via e-mail at Sherone_E_Ivey@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 Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access

the OMB circulars at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs*. The General Section provides further discussion.

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

5. *Procurement of Recovered Materials*. See the General Section for further discussion.

6. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP)*. See the General Section for further discussion.

7. *Code of Conduct*. See the General Section for further discussion.

C. Reporting

All grant recipients under this NOFA are required to submit quarterly 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 by budget line item, as well as a cumulative summary of cost incurred during the reporting period.

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 Sherone Ivey at (202) 708-3061, extension 4200 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. Ivey via email at Sherone_E._Ivey@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 2528-0205. 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, quarterly, 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 AN/NHIAC

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. Applicants submitting an electronic application do not need to submit the checklist with their applications. Applicants that receive a waiver of the electronic application requirement must include a copy of the checklist with their applications.

Check of to ensure these items have been included in the application:

_____ SF-424 "Application For Federal Assistance"

_____ Application Checklist (Applicants that submit paper applications must include in the checklist in their applications)

_____ Abstract (must include no more than a two-page summary of the proposed project)

Indicate the page number where each of the Factors are located:

Narrative Statement Addressing the Factors for Award.

The narrative including tables and maps must not exceed 75 pages, (excluding forms, abstracts, budget narrative, assurances, commitment letters, memorandum of understanding, and agreements) double-spaced with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font.

_____ Factor I

_____ Factor II

_____ Factor III

_____ Factor IV

_____ Factor V

_____ HUD-96010 "Logic Model"

Check of to ensure these items have been included in the application:

Appendix

_____ 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 (if applicable)

_____ Letters of commitment, memoranda of understanding, or agreements)

Attachment B (All Required Forms)

The following forms are required for submission. All required forms are contained in the electronic application package.

_____ Application for Federal Assistance (SF-424);

_____ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

_____ Grant Application Detailed Budget (HUD-424-CB);

_____ Disclosure of Lobbying Activities (SF-LLL);

_____ America's Affordable Communities Initiative (HUD-27300), if applicable;

_____ Applicant/Recipient Disclosure/Update Report (HUD-2880);

_____ Program Logic Model (HUD-96010);

_____ Certification of Consistency with the Consolidated Plan (HUD-2991)

_____ Acknowledgement of Applicant Receipt (HUD-2993) Only for applicants that submit paper applications;

_____ Client Comments and Suggestions (HUD-2994); and

_____ Facsimile Transmittal Cover Page (HUD 96011) to be used when sending electronic application third party documentation and faxes to HUD. Do not use this form if you received a waiver of the electronic submission requirement and are submitting a hard copy application. Items received by fax as part of a paper copy submission will not be considered.