

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**UNIVERSITY AND COLLEGE  
PROGRAMS**

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

## 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 is FR-5030-N-20. The OMB Approval Number is 2528-0206.

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

*F. Dates:* The application deadline date is May 19, 2006. 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:* 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.

2. *Award Information:* In Fiscal Year (FY) 2006, approximately \$2.97 million has been made available for this program by the Department of Housing and Urban Development Appropriations Act, 2006 (Pub. L. 109-115; approved Nov. 30, 2005) and an additional \$238,000 in carryover funds. An applicant can request up to \$800,000 for a three-year (36 months) grant performance period.

3. *Eligible Applicant:* 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). 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, all applicants must be fully 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.

### 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 Department of Housing and Urban Development Appropriations Act, 2006 (Pub. L. 109-115; approved Nov. 30, 2005). 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) 2005 program-funding announcement:

1. Commitment letters, memoranda of understandings and/or agreements are not required at the time of application submission but must be on file. Applicants selected for award will be required to submit the signed commitment letters, memoranda of understandings and/or agreements outlined in the application, within twenty (20) calendar days after initial contact from the Office of University

Partnerships (OUP). OUP will provide specific instructions on how these documents must be submitted at that time. HUD will only request and consider the resources/organizations outlined in the application. If OUP does not receive those documents in the required format and allotted timeframe, an applicant will not receive points under this factor and the application will be rated and ranked to address this point change.

In scoring this factor, HUD will rate an applicant that provides leveraging resources that are 15 percent or more of the amount requested under this program and that are properly documented, as listed below, will be awarded nine (9) points; applicants that provide leveraging resources that are 10-14 percent of the amount requested under this program and that are properly documented, as listed below, will be awarded six (6) points; applicants that provide leveraging resources that are 5-9 percent of the amount requested under this program and that are properly documented, as listed below, will be awarded three (3) points; applicants that provide leveraging resources that are less than 5 percent of the amount requested or resources are not properly documented will receive zero points.

2. All applicants submitting electronic applications must attach their narrative responses to Rating Factors 1-5 as one attachment. PLEASE DO NOT ATTACH YOUR RESPONSE TO EACH FACTOR SEPARATELY.

#### II. Award Information

In Fiscal Year (FY) 2006, approximately \$2.97 million is made available for this program and an additional \$238,000 in carryover funds. HUD will award grants under this program to Alaska Native Institutions (ANI) and Native Hawaiian Institutions (NHI). An applicant can request up to \$800,000 for a three-year (36 months) grant performance period.

#### 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). 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, all applicants must be fully 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.

#### 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) (click on the Code of Federal Regulations for detailed information).

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 504 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 care services, drug abuse, education, housing counseling, energy conservation, homebuyer down payment assistance, establish and maintain Neighborhood Network centers in federally assisted or insured housing, job training and placement and recreational needs;

i. Fair housing services designed to further the civil rights 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;

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, etc.). 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); and

Each activity proposed for funding must meet the Community Development Block Grant (CDBG) Program eligibility requirements and at least one national objective.

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

See the General Section.

##### 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. 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

b. The applicant may request up to \$800,000.

c. Only *one* application can be submitted per campus. If multiple applications are submitted, all will be disqualified. However, different campuses of the same university system are eligible to apply as long as they have an administrative and budgeting structure independent of the other campuses in the system.

d. Institutions that received grants in FY 2005 are not eligible to submit an application under this NOFA.

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

f. An applicant must have a DUNS number to receive HUD grant funds (See the General Section).

g. Electronic applications must be received and validated by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date of May 19, 2006.

##### 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 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).

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 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-05-07 entitled, "Field Environmental Review Processing for Rural Housing and Economic Development (RHED) grants" issued August 30, 2005. The General Section provides further discussion of the environmental requirements. Further information and assistance on HUD's environmental requirements is available at: <http://hudstage.hud.gov/utilities/intercept.cfm?/offices/cpd/lawsregs/notices/2005/05-07.pdf>.

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

f. **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 and requires that to the greatest

extent feasible opportunities for training and employment be given to lower-income residents of the project and contracts for work in connection with the project be awarded in substantial part to persons residing in the area of the project. Regulations are located 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>. 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](mailto:Support@Grants.gov). See the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk.

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

###### 1. Forms

The following forms are required for submission. Copies of these forms are available on line at <http://www.hud.gov/offices/adm/grants/nofa06/snofaforms.cfm>.

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), if applicable;

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. Acknowledgement of Applicant Receipt (HUD-2993). Complete this form only if you have received a waiver to the electronic application submission requirement. Applicants submitting electronically are not required to include this form;

i. Facsimile Transmittal Cover Page (HUD-96011). This form must be used as the cover page to transmit third-party documents and other information. 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. Please do not use your own fax sheet. HUD will not read any faxes that are sent without the HUD-96011 fax transmittal cover page; and

j. **You Are Our Client Grant Applicant Survey (HUD-2994-A).** Applicants are not required to complete this form.

###### 2. Certifications and Assurances

Please read the General Section for detailed information on all Certifications and Assurances. 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 requested from HUD (entire three years) should be entered, not the amount for just one year;

(2) Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact, this is the person who will receive all correspondence; 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 December 1, 2006; and

(7) The signature of the Authorized Organization Representative (AOR) who, by virtue of submitting an application via Grants.gov, has been authenticated by the credential provider to submit applications on behalf of the Institution and approved by the eBusiness Point of Contact to submit an application via Grants.gov. The AOR must be able to make a legally binding agreement with HUD. For details on the Grants.gov registration process see HUD's Notice on Early Registration published in the **Federal Register** on December 9, 2005 (70 FR 73331).

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

should not 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 can be located in Appendix A.

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

(1) A clear description of the proposed project activities, where they will take place (be located), the target population that will be assisted, and the impact this project is expected to have on the community and 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, or a Native Hawaiian Institution, as appropriate;

(4) The designated contact person, including phone number, facsimile number, and e-mail address. (This is the person who will receive all correspondence; therefore, please ensure the accuracy of the information);

(5) The project director, if different from the designated contact person, for the project, including phone number, facsimile number, and e-mail 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, yet 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. 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 50 pages in length (excluding forms, budget narrative, assurances, and abstract) and must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, with one-inch margins (from the top, bottom and left to right side of the document) and printed in standard

Times New Roman 12-point font. Each page of the narrative must include the applicant's name and should be numbered. 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. All applicants submitting electronic applications must attach their narrative responses to Rating Factors 1–5 as one attachment. PLEASE DO NOT ATTACH YOUR RESPONSE TO EACH FACTOR SEPARATELY.

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

(1) *HUD-424-CB, "Grant Application Detailed Budget."* This 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 amounts shown on the SF-424, the HUD-424-CB and on all other required program forms are consistent and the budget totals are correct. Remember to check addition in totaling the categories on all forms so that all items are included in the total. If there is any inconsistency between any of the required budget 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 cost 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 (please make sure they are kept on file and are available for review by HUD at any time). 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 use cost estimates based on historical data from the institution and/or from a qualified firm (e.g., Architectural or Engineering firm), vendor, and/or qualified individual (e.g., independent architect or contractor) 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. Construction costs must be broken down to indicate how funds will be utilized (e.g., demolition, foundation, exterior walls, roofing, electrical work, plumbing, finishing work, etc.)

(3) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants must have on file, and submit to HUD if selected for award, a copy of their indirect cost rate agreement. Applicants who are selected for funding that do not have an approved indirect cost rate agreement, established by the cognizant federal agency, 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 required forms in this section. An applicant SHOULD NOT submit resumes, or other back-up materials. If this information is included, it will not be considered during the review process.

### C. Submission Dates and Times

A complete application package must be received and validated electronically by the Grants.gov no later than 11:59:59 p.m. eastern time on or before the application deadline date of May 19, 2006. In an effort to address any issues with transmission of your applications, applicants are strongly encouraged to submit their applications prior to the application deadline. This will allow an applicant enough time to make the necessary adjustments to meet the submission. Please see the General Section for further instructions.

Electronic faxes using the Facsimile Transmittal cover sheet (Form HUD-96011) contained in the electronic application must be received no later than 11:59:59 p.m. eastern time on the application deadline date.

#### D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

#### E. Funding Restrictions

Ineligible CDBG Activities are listed at 24 CFR 570.207. 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;
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; and
6. Construction, renovation, expansion of an institution's own facilities.

#### 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. Paper applications will not be accepted from applicants that have not been granted a waiver. If an applicant is granted a waiver, the Office of University Partnerships will provide instructions for submission. Applicants that submit a paper application must be received by or before on the application deadline date.

### V. Application Review Information

#### A. Criteria

##### 1. Rating Factor 1: Capacity of the Applicant and Relevant Experience (25 Points)

This factor addresses the extent to which the applicant has the resources necessary to successfully implement the proposed project in a timely manner.

- a. Knowledge and Experience. For First Time Applicants (25 Points) For Previously Funded Applicants (13

Points). In rating this subfactor, HUD will consider the extent to which the applicant clearly addresses the following:

- (1) Describe the knowledge and experience of the proposed project director and staff, including the day-to-day program manager/coordinator, consultants (including technical assistance providers), and contractors in planning and managing the type of project for which funding is being requested; and

- (2) 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.

If key personnel have not been hired, applicants must identify the position title, provide a description of duties and responsibilities, and describe the qualifications to be considered in the selection of personnel, including subcontractors and consultants.

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 how well an applicant has performed successfully under HUD/AN/NHIAC grants. Applicants must demonstrate this by addressing the following information for all previously completed and open HUD/AN/NHIAC grants:

- (1) A list of all HUD/AN/NHIAC grants received, including the dollar amount awarded and the amount expended and obligated as of the date of this application;

- (2) A description of the achievement of specific tasks, measurable objectives, and specific outcomes consistent with the approved project management plan;

- (3) A list detailing the date the project(s) was completed, was it completed in the original three-year grant performance period; if not completed, why (including when it was or will be completed);

- (4) A comparison of the amount of proposed leveraged funds and/or resources to the amount that was actually leveraged; and

- (5) A detailed description of compliance with all reporting requirements, including timeliness of submission, whether reports were complete and addressed all information (both narrative and financial) as required by the grant agreement.

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. 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).

##### 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. In addressing this factor, applicants should provide, at a minimum, the following and must cite statistics and/or analyses contained in at least one or more current data sources that are sound and reliable.

- (1) Describe the need(s); and
- (2) Describe the importance of meeting the proposed needs.

In rating this factor, HUD will consider only current data that is 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).

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, reliable and 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 (44 Points)

This factor addresses the quality and effectiveness of the proposed work plan

and the commitment of the institution to sustain the proposed activities.

a. (37 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) (32 Points) Specific Activities. The work plan must describe all proposed activities and major tasks required to successfully implement the proposed project. In addressing this subfactor applicants must provide a clear description of the proposed activities and address the following:

(a) Describe each 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.);

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

- Benefit low- and moderate-income persons;
- 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;

(c) Describe the major tasks required (in sequential order) to successfully implement and complete each project activity. Include the target completion dates for these tasks (in 6 month intervals, up to 36 months);

(d) Identify key staff, as described in Factor 1, who will be responsible and accountable for completing each task; and

(e) Describe how the project director will work with partners and citizens to accomplish the proposed activities.

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

(a) Expand the role of the institution in the 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. (3 Points) Involvement of the faculty and students. The applicant must describe how it proposes to integrate the institution's students and faculty into the proposed project activities.

c. (2 Points) HUD Policy Priorities. To earn points under this subfactor, HUD requires applicants to undertake specific activities that will assist the Department in implementing its policy priorities and that help the Department achieve its goals and objectives in FY 2007, when the majority of grant recipients will be reporting programmatic results and achievements. In rating this subfactor, 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.

The total number of points an applicant can receive under this subfactor is two (2). Each policy priority addressed has a point value of one (1) point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to two (2) points. To receive these two (2) points an applicant must indicate how this priority will be addressed and submit the completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available two (2) points.

d. (2 Points) Economic Opportunities for Low- and Very-Low Income Persons (Provision of Section 3). This subfactor will be evaluated on the extent to which an applicant describes how it proposes to:

(1) Provide opportunities to train and employ lower-income residents of the project area; and

(2) Award substantial contracts to persons residing in the project area.

Regulations regarding the provision of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) can be located at 24 CFR Part 135.

#### 4. Rating Factor 4: Leveraging Resources (9 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.

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 project activities. 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.

To address this factor, an applicant must provide an outline in the application and have on file written commitment letters, memoranda of understandings and/or agreements that show the extent and firm commitment of all proposed leveraged resources (including any commitment of resources from the applicant's own institution) that address the following information for each leveraged resource/fund:

(1) The name of the organization and the executive officer authorizing the funds/goods and/or services (Only applicable to the narrative section)

(2) The cash amount contributed or dollar value of the in-kind goods and/or services committed (If a dollar amount and its use is not shown, the funding will not be counted);

(3) A specific description of how each contribution is to be used toward the proposed activities;

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

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

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

Commitment letters, memoranda of understandings and/or agreements are not required at the time of application submission but you must have them on file. Applicants selected for award will be required to submit the signed commitment letters, memoranda of understandings and/or agreements outlined in the application, within twenty (20) calendar days after initial contact from the Office of University Partnerships (OUP). Letters, memoranda of understanding, or agreements must be submitted on the provider's letterhead and should be addressed to Sherone Ivey, Acting Associate Deputy Assistant Secretary for University Partnerships. 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. OUP will provide specific instructions on how these documents must be submitted when contact is made with the applicant. HUD will only request and consider the resources/organizations that are listed in the outline submitted in the application. If OUP does not receive those documents in the required format and allotted timeframe, an applicant will not receive points under this factor and the application will be rated and ranked to address this point change.

In scoring this factor, HUD will award nine (9) points to an applicant that provides properly documented leveraging resources as listed in their application that are 15 percent or more of the amount requested under this program; six (6) points to applicants that provide properly documented leveraging resources as listed that are 10–14 percent of the amount requested under this program; three (3) points to applicants that provide properly documented leveraging resources as listed that are 5–9 percent of the amount requested under this program; and zero (0) points to applicants that provide properly documented leveraging resources as listed that are less than 5 percent of the amount requested or resources are not properly documented.

#### *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.

The information must be placed on a HUD-96010, Program Logic Model form. HUD has developed a new approach to completing this form. Please carefully read the General Section for instructions, training is available. (Form HUD-96010 will be excluded from the page count.) A narrative is not required. However, if a narrative is provided, those pages will be included in the page count.

#### *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 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 shall be selected. If there is still a tie, the application with the most points for Factor 1 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*

See the General Section.

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

Announcements of awards are anticipated on or before September 30, 2006.

### **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

Refer to Section VI.B. of 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 within thirty (30) calendar days of receipt of written notification 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](mailto: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: [www.whitehouse.gov/omb/circulars/index.html](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 Section 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.

For FY2006, HUD is considering a new concept for the Logic Model. The new concept is a Return on Investment (ROI) statement. HUD will be publishing a separate notice on the ROI concept.

### 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 e-mail at [Sherone\\_E\\_Ivey@hud.gov](mailto:Sherone_E_Ivey@hud.gov), and/or Ms. Brunson at [Susan\\_S\\_Brunson@hud.gov](mailto: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 2528-0206. 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.

### Appendix A—Application Checklist—AN/NHIAC

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 have to submit the checklist. Applicants that receive a waiver of the electronic application submission requirement should include a copy of the checklist in their application.

*Check off 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 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 is located:*

Narrative Statement Addressing the Rating Factors.

The narrative section of an application must not exceed 50 pages in length (excluding forms, budget narrative and abstract). This information must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, with one-inch margins (from the top, bottom, left, and right sides of the documents) and printed in standard Times New-Roman 12-point font.

- Factor I
- Factor II
- Factor III
- Factor IV
- Factor V
- HUD-96010 "Logic Model"

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

- Appendix
- Budget
- HUD 424-CB "Grant Application Detailed Budget"
- Budget Narrative (No form provided, but must be submitted for the total three-year grant period.

### Appendix 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);
- Disclosure of Lobbying Activities (SF-LLL);
- Grant Application Detailed Budget (HUD-424-CB);
- America's Affordable Communities Initiative (HUD-27300), if applicable;
- Applicant/Recipient Disclosure/Update Report (HUD-2880);
- Acknowledgement of Applicant Receipt (Only applicants who submit paper applications (HUD-2993);
- Facsimile Transmittal (HUD-96011), if applicable;
- You Are Our Client Grant Applicant Survey (HUD-2994-A); and