

____ Logic Model (HUD-96010).

BILLING CODE 4210-01-P

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**UNIVERSITY AND COLLEGE
PROGRAMS**

**TRIBAL COLLEGES AND UNIVERSITIES
PROGRAM**

Billing Code 4210-01-C

Tribal Colleges and Universities 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: Tribal Colleges and Universities Program (TCUP).

C. Announcement Type: Initial announcement.

D. Funding Opportunity Numbers: The Federal Register Number is FR-5030-N-24. The OMB Approval Number is 2528-0215.

E. Catalog of Federal Domestic Assistance (CFDA) Number: The CFDA Number for this program is 14.519.

F. Dates: The application deadline date is May 22, 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 Tribal Colleges and Universities (TCU) to build, expand, renovate, and equip their own facilities, and to expand the role of the TCUs into the community through the provision of needed services such as health programs, job training, and economic development activities.

2. *Award Information:* In Fiscal Year (FY) 2006, approximately \$2.5 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 \$643,000 in carryover funds. An applicant can request up to \$600,000 for a three-year (36 months) grant performance period.

3. *Eligible Applicants:* Tribal Colleges and Universities that meet the definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244, approved October 7, 1998). Institutions must be fully accredited or provide a statement in the abstract of the application that states the institution is a candidate for accreditation by a regional institutional accrediting association recognized by the U.S. Department of Education.

Full Text of Announcement

I. Funding Opportunity Description

The purpose of this program is to assist Tribal Colleges and Universities (TCU) to build, expand, renovate, and equip their own facilities, and to expand the role of the TCUs into the community

through the provision of needed services such as health programs, job training, and economic development activities.

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. The provision of public services and program delivery activities are now eligible under this program. The purpose of the Tribal Colleges and Universities Program has been modified to include expanding the role of the TCUs into the community through the provision of needed services such as health programs, job training, and economic development.

2. 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 10 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 7-9 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 4-6 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 4 percent of the amount requested or resources are not properly documented will receive zero points.

3. 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 \$2.5 million is made available for this program and an additional \$643,000 in carryover funds. An applicant can request up to \$600,000 for a three-year (36 months) grant performance period.

III. Eligibility Information

A. Eligible Applicants

Tribal Colleges and Universities that meet the definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244, enacted October 7, 1998). Institutions must be fully accredited, or provide a statement in their application that verifies the institution is a candidate for accreditation, by a regional institutional accrediting association recognized by the U.S. Department of Education.

B. Cost Sharing or Matching

None Required.

C. Other

1. *Eligible Activities:* Eligible activities include building, expanding, renovating, and equipping facilities owned by the institution (a long-term lease for five years or more in duration is considered an acceptable form of ownership under this program). Buildings for which TCUP funding is used that also serve the community are eligible; however, the facilities must be predominantly (at least 51 percent of the time) for the use of the institution (*e.g.*, students, faculty, and staff). In addition, public services and program delivery activities for the community such as health programs, job training and economic development are eligible activities. Examples of eligible activities include, but are not limited to:

- a. Building a new facility (*e.g.*, classrooms, administrative offices, health and cultural centers, gymnasium, technology centers, etc.);
- b. Renovating an existing or acquired facility;
- c. Expanding an existing or acquired facility;

d. Equipping university facilities (e.g., lab equipment, library books, furniture, etc.); or

e. Property acquisition;

f. Health screening;

g. Homeownership counseling/

training;

h. Technical assistance to establish, expand or stabilize micro-enterprises;

i. Crime, alcohol and/or drug-abuse prevention activities;

j. Youth leadership development programs/activities;

k. Tutoring/mentoring programs;

l. Child care/development programs;

m. Cultural activities/programs; and

n. Applicants can use up to 20

percent of the grant for payments of reasonable grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports, etc.). A detailed explanation of these costs is provided in the OMB circulars that can be accessed at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

Each activity proposed for funding must meet at least 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. 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-impaired.

2. *Audit Requirements.* See Section III.C. of 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 \$600,000.

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 apply 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 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 May 22, 2006.

4. *Program Requirements.* In addition to the standard 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. While community-wide use of a facility (that is purchased, equipped, leased, renovated or built) is permissible under this program, the facility must be predominantly for the use of the institution (i.e., it must be used by the staff, faculty, and/or students at least 51 percent of the time).

c. If a TCU is a part or instrumentality of a federally recognized tribe, the applicant must comply with the Indian Civil Rights Act (25 U.S.C. 1301 *et seq.*) and all other applicable civil rights statutes and authorities as set forth in 24 CFR 1000.12. If the TCU is not a part or instrumentality of a federally recognized tribe the applicant must comply with the Fair Housing Act (42 U.S.C. 3601-19) and implementing regulations at 24 CFR part 100 *et seq.*, Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4) (Nondiscrimination in Federally Assisted Programs) and implementing regulations at 24 CFR part 1, Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794) and implementing regulation at 24 CFR Part 8, and Section 109 of Title One of the Housing and Community Development Act of 1974 (HCDA), as amended, with respect to nondiscrimination on the basis of age, sex, religion, or disability and implementing regulations at 24 CFR part 6.

d. Labor Standards. Institutions and their subgrantees, contractors and

subcontractors must comply with the labor standards (Davis-Bacon) requirements referenced in 24 CFR 570.603. However, in accordance with HCDA section 107(e)(2), the Secretary waives the provisions of HCDA section 110 with respect to the TCUP program for grants to a TCU that is part of a tribe, i.e., a TCU that is legally a department or other part of a tribal government, but not a TCU that is established under tribal law as an entity separate from the tribal government. If a TCU is not part of a tribe, the labor standards of HCDA section 110, as referenced in 24 CFR 570.603, apply to activities under the grant to the TCU.

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 activities proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property and not commit or expend HUD or local funds for these program activities with respect to any eligible property until HUD's written approval of the property is received. In supplying HUD with environmental information, applicants should use the same guidance as provided in the HUD Notice CPD-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>.

f. *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.

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 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 person 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. 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 cover sheet. HUD will not read any faxes that are sent without the HUD-96011 fax transmittal cover page; and

j. You Are Our Client Survey (HUD-2994-A). (Optional)

2. Certifications and Assurances

Please read the General Section for detailed information on all the 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 person 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 14.519;
- (6) The project's proposed start and completion dates. 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 73332).

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 in their application. Applicants receiving a waiver of the electronic application submission requirement should include a copy of the checklist in their application submission. The checklist is 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 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; or the applicant is a candidate for accreditation by a regional instructional accrediting association recognized by the U.S. Department of Education, including the name of the accrediting agency;

(3) 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);

(4) 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 the 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, HUD-424-CB, and all other required program forms are consistent and the budget totals are correct. Remember to check the 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.* Applicants must submit a narrative 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 an addition to an existing building, which will cost approximately \$200,000. The following cost estimate reflects this total:

Foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, interior 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). All direct labor or salaries must be supported with mandated city/state pay scales, Davis-Bacon wage rates/tribally designated wage rate (as appropriate) or other documentation. 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 fee, 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 rehabilitation, construction, and/or management. Equipment and contracts cannot be presented as a total estimated figure. For equipment, applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract. 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 22, 2006. In an effort to address any issues with transmission of your application, 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 deadline in the event Grants.gov rejects the application. 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 for an Intergovernmental Review.

E. Funding Restrictions

Ineligible activities for funding under this program include, but are not limited to the following:

1. Renovation of a facility in which the facility is not used at least 51 percent of the time by the institution;
2. Rental space to another entity that operates a small business assistance center;
3. Building of a new facility, where the activities are for non-students or the activities are run primarily by an outside entity;
4. Using more than 20 percent of the grant for payments of grant administrative costs related to planning and execution of the project (e.g., preparation/submission of HUD reports); and
5. Curriculum development and/or expansion on an institution's existing curriculum.

F. Other Submission Requirements

1. Application Submission and Receipt Procedure

Please read the General Section carefully and completely for the electronic 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. Paper application must be received by or before the application due 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 activities in a timely manner.

a. Knowledge and Experience. For First Time Applicants (25 Points), For Previously Funded Applicants (15 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 (10 Points) For Previously Funded Grant Applicants Only. This subfactor will evaluate how well an applicant has performed successfully under HUD/TCUP grants. Applicants must demonstrate this by addressing the following information for all previously completed and open HUD/TCUP grants:

(1) A list of all HUD/TCUP 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 submission, 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 project activities and an indication of the importance of meeting the need(s). The need(s) described must be relevant to 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. Reliable sources of data may include information that describes the need, such as a need to have a building renovated because it is 50 years old and is deteriorating; a new computer lab has been built, but the computers are obsolete; a library has been expanded, but the books are outdated, local/Tribal crime statistics, Indian Housing Plans, etc. When presenting data, include the source and date of the information.

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. (40 Points) Quality of Work Plan. HUD will evaluate this subfactor based on the extent to which an applicant provides a clear detailed description of the proposed project and anticipated accomplishments.

(1) (35 Points) Specific Activities. The work plan must describe all of the 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 all proposed activities in measurable terms (e.g., fifty or more students will be receiving computer literacy training, the number of new classes that will be taught as a result of building a new structure);

(b) Describe the major tasks in sequential order necessary to successfully implement the proposed project. Include the target completion dates for the tasks (6 month intervals, up to 36 months);

(c) 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 objective are provided at 24 CFR 570.208;

(d) Describe the measurable objectives that will be realized as a result of implementing the proposed project; and

(e) Identify the key staff, as described in Factor 1, who will be responsible for completing each task.

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

(a) Address the needs identified in Factor 2; and

(b) Relate to and not duplicate other activities in the target area.

b. (2 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 achievement. In addressing this subfactor, HUD will evaluate the extent to which a program will further and support HUD 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 is 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 related to removal of regulatory barriers to affordable housing, which has a value of up to two (2) points. To receive these two (2) points an applicant must indicate how this priority is 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.

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 program activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated for the purpose(s) of the proposed project. Resources can be provided by governmental entities (e.g., Tribal, federal, and/or state governments), public or private nonprofit organizations, for-profit private organizations, or other entities. Overhead and other institutional costs (e.g., salaries, indirect costs) that the institution has waived can be counted.

Examples of potential sources for outside assistance include:

- Tribal, federal, state, and local governments.

- Tribally Designated Housing Entities.
- Local or national nonprofit organizations.
- Banks 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 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. 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 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 award nine (9) points to an applicant that provides properly documented leveraging resources as listed in their application that are 10 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 7–9 percent of the amount requested under this program; three (3) points to applicants that provide properly documented leveraging resources as listed that are 4–6 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 4 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 during or after participation in the TCUP program. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include an increased number of campus facilities (e.g., newly built or renovated), an increased number of classroom spaces available, or an increased student enrollment and graduation rate.

In addition, applicants must establish interim benchmarks and outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct

products of the project's activities. Examples of outputs are the number of new facilities renovated, or the number of new dormitories built. Outputs should produce outcomes for the project. At a minimum, an applicant must address the following activities in the evaluation plan:

a. Short-and-long term objectives to be achieved;

b. Measurable impacts the grant will have on the university or the target population;

This information must be included under this section 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. above.

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

2. *Rating Panels.* To review and rate applications, HUD may establish panels that 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 to be considered for funding 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 Factor 2, 4, and then 5 shall be selected in that order, until the tie is broken. HUD reserves the right to select out of rank order to provide for geographic distribution of grantees.

HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make 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. *Corrections 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 Notice

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

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 20410-6000. 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 Governmentwide Regulations Applicable to Financial Assistance Programs.* The General Section provides

discussion of OMB circulars and governmentwide regulations.

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

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

6. *Executive Order 13202, Preservation of Open Competition and Government Neutrality Toward Government Contractors' Labor Relations of Federal and Federally Funded Construction Projects.* See the General Section for further discussion if applicable.

7. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP).* 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 report during the reporting period.

For each reporting period, as part of the required report to HUD, grant recipients must include a completed Logic Model (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, and Ms. Brunson at Susan_S_Brunson@hud.gov.

VIII. Other

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 2528-0215. 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 68 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 report. 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—TCUP

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, and 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); if applicable
- 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);
- Client Comments and Suggestions (HUD-2994);
- You Are Our Client Survey (HUD-2994-A); and
- Logic Model (HUD-96010).

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