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# Part V

# Department of Housing and Urban Development

## Notice of Funding Availability (NOFA) for the HUD Urban Scholars Fellowship Program; Notice

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**[Docket No. FR–4859–N–01]**

## Notice of Funding Availability (NOFA) for the HUD Urban Scholars Fellowship Program

**AGENCY:** Office of the Assistant Secretary for Policy Development and Research, HUD.

**ACTION:** Notice of Funding Availability (NOFA).

**SUMMARY:** *Purpose of the Program.* To provide encouragement to new scholars to undertake research now, and throughout their careers, on topics of interest to HUD.

*Available Funds.* Approximately $550,000 from the Fiscal Year (FY) 2003 Consolidated Appropriations Resolution, Division K, has been set aside to fund grants under this NOFA.

*Eligible Applicants:* Ph.D. recipients who have an academic appointment at an institution of higher education and have received their Ph.D. degrees no earlier than January 1, 1998.

*Application Deadline.* **December 17, 2003.**

*Match.* University support in terms of course load reductions, indirect costs waived, space, *etc.* is required.

### Additional Information

### I. Application Due Date

Your completed application must be received on or before December 17, 2003, based on the following submission requirements.

*Address for Submitting Applications.* Your completed application consists of an original signed application and one copy. Submit your completed application to the following address: The Fellowship Office/HUD GR 346A, National Research Council, 500 Fifth Street, NW., Washington, DC 20001–2736. Only one application per applicant will be accepted.

*For Further Information and Technical Assistance.* You may contact the National Research Council (NRC) by telephone: (202) 334–2872; fax: (202) 334–3419 (these are not toll-free numbers); or email: *infofell@nas.edu.*

### II. Amount Allocated

Approximately $550,000 made available from the FY 2003 Consolidated Appropriations Resolution (Pub. L. 108–7; approved February 20, 2003), Division K, for the Research and Technology Program, Office of Policy Development and Research, has been set aside to fund grants under this program NOFA.

The maximum grant period is 15 months. The tenure will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to an applicant is $55,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* The purposes of the HUD Urban Scholars Program are to:

(1) Fund research relevant to HUD priorities and issues in the United States and its possessions;

(2) Provide encouragement to new scholars to undertake research now, and throughout their careers, on topics of interest to HUD; and

(3) Make an impact on the academic context in which these scholars work so that this kind of research becomes highly valued. The research priorities for the HUD Urban Scholars Program are designed to inform federal problem-solving and policy-making relating to HUD's Strategic Goals.

(B) *HUD's Strategic Goals.* HUD's Strategic Goals are to:

(1) Increase Homeownership Opportunities. This strategic goal seeks to increase homeownership opportunities, particularly for minorities; make the home buying process easier and less expensive; fight practices that permit predatory lending; help HUD-assisted renters become homeowners; and keep existing homeowners from losing their homes.

(2) Promote Decent Affordable Housing. This strategic goal seeks to expand access to decent affordable rental housing; improve the physical quality and management accountability of public and assisted housing; increase housing opportunities for the elderly and persons with disabilities; and help HUD-assisted renters achieve progress toward self-sufficiency.

(3) Strengthen Communities. This strategic goal seeks to improve economic conditions in distressed communities; make communities more livable; end chronic homelessness; and mitigate housing conditions that threaten health.

(4) Ensure Equal Opportunity in Housing. HUD's Equal Opportunity in Housing strategic goal seeks to resolve discrimination complaints on a timely basis; promote public awareness of Fair Housing Laws; and improve housing accessibility for persons with disabilities.

(5) Embrace High Standards of Ethics, Management, and Accountability. Through this strategic goal HUD is seeking to rebuild HUD's human capital and further diversify its workforce; improve HUD's management, internal controls and systems, and resolve audit issues; improve accountability, service delivery, and customer service of HUD and its partners; and ensure program compliance.

(6) Promote Participation of Grass-Roots Faith-Based and Other Community-Based Organizations. Through this strategic goal, HUD seeks to reduce regulatory barriers to participation by grass-roots faith-based and other community-based organizations; conduct outreach to inform potential partners of HUD opportunities; expand technical assistance resources deployed to grass-roots faith-based and other community-based organizations; and encourage partnerships between grass-roots faith-based and other community-based organizations and HUD's traditional grantees.

HUD, through its Secretarial Policy Priorities, also encourages applicants to undertake specific activities that will assist the Department in implementing its policy priorities and which will help the Department achieve its Strategic Goals for FY 2004, when the majority of funding recipients will be reporting programmatic results and achievements. Applicants who include research work that address these policy priorities will receive higher rating scores than applicants who do not address these policy priorities. HUD's Secretarial Policy Priorities are:

(1) Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency. Too often these individuals are shut out of the housing market through no fault of their own. Many of these families are anxious to have a home of their own or better or more affordable rental housing, but are not aware of programs and assistance available.

(2) Improving Our Nation's Communities. HUD wants to improve the quality of life for those living in distressed communities by bringing capital to these areas to finance business investments to grow new businesses; maintain and expand existing businesses; create a pool of funds for new small or minority-owned businesses; improve the environmental health and safety of families living in public and privately owned housing; and make communities more livable by providing public and social services and

improving infrastructure and community facilities.

(3) Encouraging Accessible Design Features. These design features are intended to promote visitability and incorporate features of universal design in new construction and rehabilitation projects. For more information on visitability visit *http://www.concretechange.org.* For more information on universal design, visit the Center for Universal Design at *http://www.design.ncsu.edu:8120/cud/* or the Resource Center on Accessible Housing and Universal Design at *http://www.abledata.com/Site_2/accessib.htm.*

(4) Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organizations in HUD Program Implementation. HUD encourages non-profit organizations, including grass-roots faith-based and other community-based organizations, to participate in the vast array of programs HUD funds. HUD also encourages states and units of local government, universities and colleges, and other organizations to partner with grass-roots organizations *e.g.* civic organizations, faith-communities, and grass-roots faith-based and other community-based organizations that have not been effectively utilized. HUD considers an organization to be a grass-roots organization if the organization is headquartered in the local community to which it provides services and has a social services budget of $300,000 or less, or has six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered grass-roots. National organizations are encouraged to partner with grass-roots organizations.

(5) Colonias. HUD is seeking to improve housing conditions for families living in Colonias. Colonias means any identifiable, rural community that: is located within 150 miles of the border between the United States and Mexico; is determined to be a Colonia on the basis of objective need criteria including lack of potable water supply, lack of adequate sewerage systems, and lack of decent, safe, sanitary, and accessible housing.

(6) Participation of Minority-Serving Institutions in HUD Programs. Pursuant to Executive Orders 13256 President's Board of Advisors on Historically Black Colleges and Universities, 13230 President's Advisory Commission on Educational Excellence for Hispanic Americans, 13216 Increasing Participation of Asian Americans and Pacific Islanders in Federal Programs, and 13270 Tribal Colleges and Universities, HUD is strongly committed to broadening the participation of Minority-Serving Institutions (MSI) in its programs to advance the development of human potential, strengthen the nation's capacity to provide high-quality education, and increase opportunities for MSI to participate and benefit from federal financial assistance programs. A listing of MSI can be found on the Department of Education website at *http://www.ed.gov/offices/OCR/minorityinst.html.*

(7) Participation in Energy Star. HUD has adopted a wide-ranging energy action plan for improving energy efficiency in all programs. The purpose of HUD's Energy Star Partnership with Environmental Protection Agency (EPA) and the Department of Energy (DoE) is to promote energy efficiency of the affordable housing stock and to help protect the environment. HUD also urges the purchase and use of Energy Star products and providing Energy Star promotional materials. For more information about Energy Star visit *http://www.energystar.gov.*

(8) Ending Chronic Homelessness Within Ten Years. President Bush has set a national goal to end chronic homelessness within ten years, and this has been embraced by Secretary Martinez. A person experiencing chronic homelessness is defined as an individual with a disabling condition who has been continuously homeless for a year or more or has experienced four or more episodes of homelessness over the last three years.

(C) *Research Topics.* Examples of research topics that will further HUD's Strategic Goals and Policy Priorities related to these goals are:

(1) Increasing Homeownership.

(a) Increasing minority homeownership.

(b) Simplifying the home buying process (RESPA reform) and reducing settlement costs.

(c) Setting appropriate housing goals for the Government Sponsored Enterprises (GSE).

(d) Countering Predatory Lending.

(e) Helping low-income homeowners avoid default and foreclosure.

(f) Evaluating housing counseling.

(2) Improving Our Nation's Communities.

(a) Strengthening the economic viability of communities.

(b) Improving the environmental health and safety of families living in public and privately owned housing.

(c ) Making communities more livable.

(d) Providing increased public and social services.

(e) Improving infrastructure and community facilities.

(3) Encouraging Accessible Design Features and Promoting Decent Affordable Housing.

(a) Reducing regulatory barriers to the development of affordable housing, as well as all forms of multifamily housing.

(b) Meeting the housing-related needs of the elderly.

(c) Meeting the housing-related needs of persons with disabilities.

(d) Meeting the housing-related needs of families with limited English proficiency.

(e) Improving housing quality and affordability through technology and design.

(f) Ensuring visitability in new construction and substantial rehabilitation.

(g) Increasing use of universal design in construction and rehabilitation projects.

(4) Providing full and equal access and participation to Grass-Roots Faith-Based and other Community-Based Organizations and Strengthening the Capacity of Grass-Roots Faith-Based and Other Community-Based Organizations to conduct community, housing, and economic development programs.

(5) Meeting and Improving the Housing and Community and Economic Development Needs of Residents of High-Needs areas such as Colonias, Appalachia, the Mississippi Delta, and Tribal Areas.

(6) Increasing Participation of Minority-Serving Institutions in HUD Programs.

(7) Increasing Participation in Energy Star.

(8) Ending Chronic Homelessness in Less than Ten Years.

(a) Preventing homelessness.

(b) Developing creative strategies for expanding the availability of affordable housing.

(c) Strengthening the delivery of HUD-funded rental assistance and assistance provided through the low-income housing tax credit

(d) Promoting Self-Sufficiency among residents of public and assisted housing.

(9) Ensuring Equal Opportunity in Housing.

(a) Reducing housing discrimination.

(b) Improving housing accessibility for persons with disabilities.

(10) Embracing High Standards of Ethics, Management, and Accountability.

(a) Reducing fraud, waste, and abuse in HUD-funded programs.

(b) Improving the effectiveness of HUD programs through program evaluations.

(D) *Eligible Applicants.* You must meet the following conditions:

(1) Have an academic appointment at an institution of higher education and

be on a tenure track or term (teaching or research) appointment that will extend beyond the 15-month duration of this fellowship;

(2) Have been awarded a Ph.D. received no earlier than January 1, 1998;

(3) Proposed a research project that can be completed within the 15-month fellowship period;

(4) Received support from your institution as attested to in the letter described below in Section V(C)(2)(c); and

(5) Be a U.S. citizen or legally admitted permanent resident (green card recipient).

(E) *Eligible Activities.* Your grant must support costs related to completion of your research project. Eligible costs include, but are not limited to, your salary for two summers; graduate assistants to work on the project; up to $2,500 per course for the purchasing of your release time from teaching; computer software; survey development and administration; the purchase of data; travel expenses to collect data or to make presentations at meetings on your findings; transcription services; compensation for interviews; and no more than eight percent of the university's indirect costs.

**IV. Application Selection Process**

The National Research Council (NRC) will administer the competition and selection process for this program on HUD's behalf. The NRC will conduct two types of reviews: A threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

(A) *Threshold Factors for Funding Consideration.* Under the threshold review, your application can only be rated if the following standards are met:

(1) You are eligible to apply for this program, as defined in Section III (D) above, and have provided a letter from your department chair confirming your eligibility;

(2) You have obtained a mentor and have included a letter from this person confirming this fact and describing his or her role in your research; and

(3) Your institution has agreed to provide some support to you, beyond that provided by this funding, as part of this grant and has provided a letter outlining that support.

(B) *Ineligible Activities.* Your grant may not be used to pay for tuition, computer hardware, meals and relocation costs, or other costs not directly related to your research project. Fellowship funding cannot be used to substitute for university funding. HUD must approve receipt of additional external grant awards and will do so on a case-by-case basis.

(C) *Other Requirements.*

(1) *Support from your university.* Support from your university is required. Institutions will be required at a minimum, to:

(a) Designate a faculty adviser to monitor your progress on your research project;

(b) Provide office space, computer usage, etc.; and

(c) Waive indirect costs above the eight percent allowed to be covered by this fellowship.

In addition, your application will be viewed more favorably if your institution agrees to reduce your course load by at least one course per term or semester, but continues to pay your full salary.

(2) *Progress reporting.* Award recipients must submit two copies of a progress report halfway through the fellowship tenure that details the progress made to date toward completion of the research project. At the completion of the research project, applicants must furnish three copies of a final paper documenting the research findings, as well as three copies of any publication or presentation based on the research.

(3) *Mentors.* You will be required to work with a mentor on your research project. The mentor can be someone in your institution or elsewhere and should be a well-respected scholar in the area of your research topic. The mentor will be expected to provide you with advice and direction on substantive research issues. The mentor and the faculty monitor described above can be, but do not have to be, the same person.

(4) *Compliance with Fair Housing and Civil Rights Laws.* All applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). In addition, the applicant and any subrecipients must comply with Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 *et seq.*).

NRC will not rate and rank your application under this NOFA if the charge, lawsuit or letter of findings has not been resolved to the satisfaction of the Department before the application deadline. if you, the applicant,

(a) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(b) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(c) Have received a letter of noncompliance findings under Title VI, Section 504 or Section 109.

HUD's decision whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(5) *Delinquent Federal Debts.* Consistent with the purpose and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), no award of federal funds shall be made to an applicant who has an outstanding delinquent federal debt until: (a) The delinquent account is paid in full; (b) a negotiated repayment schedule is established and at least one payment is received; or (c) other arrangements satisfactory to the Department of Housing and Urban Development are made prior to the deadline submission date.

(D) *Conflicts of Interest.* All individuals involved in rating and ranking this NOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information, if applicable: (a) How the selection or non-selection of any applicant under this NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208; or, (b) how the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this NOFA. If you have questions regarding these provisions, or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202–708–3815.

(E) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants and maximum points for each factor are provided below. The maximum number of points for this program is 100.

*Rating Factor 1: Capacity to do the Research (15 points).* In reviewing this factor, NRC will determine the extent to which your training, past employment, and past written work, such as your dissertation, teaching, coursework, and previously completed research papers that were accepted for presentation or publication, lay a foundation for this proposed work.

*Rating Factor 2: Need for the Research (20 points).* In reviewing this factor, NRC will determine the extent to which

your proposed project undertakes research in an area not covered by previous research or proposes to look at a previously studied research topic in a new and different way. Reviewers will look at the clarity and compelling nature of the case you make for this project in the context of the existing literature and knowledge base for that topic.

*Rating Factor 3: Approach (40 total points).* (a) *Appropriateness of your Methodology and Approach to the Research Topic (25 points).* In reviewing this factor, NRC will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypothesis. NRC will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already completed or existing publications in the field related to your research questions. Applicants that focus on one of the HUD policy priorities listed above for this year will receive higher points.

(b) *Plan for Timely Completion of Your Research Project (10 points).* In reviewing this factor, NRC will determine the extent to which your research design and methodology and plan for completion of your research project can feasibly be completed within the 15-month fellowship period. Applications that propose extremely complex and time-consuming data collection efforts (*e.g.*, major longitudinal studies or a very large number of site visits within the grant period) will be determined to be less feasible for completion within the allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the grant period (*e.g.*, census information), or a data collection plan that will take longer than the time you have allowed for it, you will get a lower score than if you have presented a time line and methodology that show evidence that the research project can be completed within the grant period.

(c) *Quality of the Mentoring Plan (5 points).* In reviewing this factor, NRC will determine the appropriateness of the person chosen to be your mentor in terms of his/her previous work, (*e.g.*, research, publications, presentations, standing in the research community, and availability) and the role the mentor has agreed to play in your project. The more time the mentor commits to you, the greater the number of points you will receive.

*Rating Factor 4: Leveraging/ Commitment of the University (10 points).* In reviewing this factor, NRC will determine the extent of the commitment of your university, beyond that required in Section IV (C)(1). The quality of your institution's commitment, in terms of its furthering your research project, will also be evaluated under this factor. For example, your university could propose to cover the cost of a graduate assistant to work on your research project in order to demonstrate its commitment beyond what is minimally required. The larger the commitment, translated into dollar terms, the higher the points. Full points may only be received if your institution designates a faculty adviser and agrees to reduce your course load by one course per semester or term while it continues paying your full salary.

*Rating Factor 5: Relevance of Your Research to HUD's Strategic Goals (15 points).* In reviewing this factor, NRC will determine the extent to which your proposed research project will produce policy-relevant information that is directly related to one or more of the strategic goals listed above (*i.e.*, the research could improve the effectiveness of HUD's programs and policies and the ability to achieve the stated goals). The less directly related to one of these goals your research project is, the fewer points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance. In addition, this factor reflects HUD's goal to embrace high standards of ethics, management, and accountability and measures your commitment to assess your performance to achieve your proposed research agenda's outcome and/or objective. NRC will evaluate the extent to which you identify activities, outcomes, benchmarks, and performance indicators that will describe how performance will be measured. This information should be provided in a Logic Model format. This form number can be found under the ''Additional Required Assurance and Certification'' section of this NOFA.

(F) *Selections.* HUD will fund applications in rank order, until it has awarded all available funds. However, as noted in Section II, HUD reserves the right to make awards for less than the amount requested in your application. After all application selections have been made, HUD may require that you participate in negotiations to determine the specific terms of the fellowship and the grant budget. In cases where HUD cannot successfully complete negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest-ranking applicant, and proceed with negotiations with that applicant.

## V. Application Submission Requirements

Your application should include an original and one copy of the items in the order listed below. All pages should be numbered. All applications must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, and printed in a standard 12-point font. Please do not exceed the page limits described below. Submitting pages in excess of the page limit will not disqualify your application but the information will not be considered, which may result in a lower score.

(A) *Evidence of your eligibility.* A letter must be submitted from your faculty chairperson containing the following: (1) Confirmation that you received a doctoral degree no earlier than January 1998; (2) verification of your appointment to a tenure-track or teaching or research position extending beyond the 15-month duration of this fellowship; (3) verification of your U.S. citizenship or evidence of your resident alien status; and (4) the university's name, department, mailing address, telephone, facsimile number, and e-mail address.

(B) *Abstract* (one page). You must include a summary that describes your proposed research project.

(C) *Response to Rating Factors.*

(*1*) *Rating Factor 1—Capacity to do the Research*

(a) A curriculum vita that contains the following:

(*1*) Your graduate and post-graduate educational background.

(*2*) A list of your publications: books, refereed journal articles, chapters contributed to books, articles in published proceedings, and any other articles.

(*3*) A list of text and poster presentations made during the last five years.

(*4*) Grants and awards received during the last five years.

(*5*) Teaching load during the last five years.

(b) A one-page abstract of your dissertation.

(c) Two letters of reference.

(*2*) Narrative Statement (addresses Factors 2 through 5 listed below): The application narrative must not exceed 15 pages in length (excluding letters, forms, and assurances) double spaced, on one side of the paper, and printed in a standard 12-point front.

(a) *Rating Factor 2—Need for the Research*

A succinct description of your proposed research and how your proposal is non-duplicative of previously published research.

(b) *Rating Factor 3—Approach*

Identify your proposed research, methodologies, and the extent to which it will produce data and information to successfully answer your research hypotheses. Include a letter from your mentor that contains his/her address, telephone and facsimile number and email address, states his/her qualifications and availability to be your mentor, and describes his/her proposed role in your research project (excluded from narrative page limit).

(c) *Rating Factor 4—Leveraging/Commitment of the University*

Provide evidence of your university's support and commitment to you furthering your research and a description of the type of support the institution will provide. Include a firm letter of commitment that outlines the University's total proposed level of support.

(d) *Response to Rating Factor 5—Relevance of Research*

Address the extent to which your proposed research will further and support HUD's research agenda and reflects HUD's goal to embrace high standards of ethics, management, and accountability and measures your commitment to assess your performance to achieve your proposed research outcome and/or objective. This information should be provided in a Logic Model format. Additional required Assurances and Certifications:

1. Application for Federal Assistance (HUD–424)
2. Application Assurances and Certifications (HUD–424–B)
3. Sample Budget (See Appendix A)
4. Disclosure of Lobbying Activities, (SF Form LLL)
5. Race and Ethnic Data Reporting Form (HUD–27061) (if applicable)
6. Applicant/Recipient Disclosure/Update Report (HUD–2880)
7. Logic Model (HUD–96010)

All forms must be signed by the applicant and can be downloaded from the HUD website at *www.hud.gov.*

**VI. Corrections to Deficient Applications**

After the application due date, NRC may not, consistent with HUD regulations in 24 CFR part 4, subpart B, consider any unsolicited information the applicant may want to provide. NRC may contact you to clarify an item in your application or to correct technical deficiencies. NRC may not seek clarification of items or responses that improve the substantive quality of your response to any rating factors. In order not to unreasonably exclude applications from being rated and ranked, NRC may contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. Examples of curable (correctable) technical deficiencies include failure to submit the proper certifications or failure to submit an application that contains an original signature by an authorized official. In each case, NRC will notify you in writing by describing the clarification or technical deficiency.

**VII. Environmental Requirements**

This NOFA does not direct, provide for assistance or loan and mortgage insurance for, or otherwise govern or regulate, real property acquisition, disposition, leasing, rehabilitation, alteration, demolition, or new construction, or establish, revise or provide for standards for construction or construction materials, manufactured housing, or occupancy. Accordingly, under 24 CFR 50.19(c)(1), this NOFA is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

**VIII. Other Matters**

*(A) Federalism, Executive Order 13132*

This notice does not have federalism implication and does not impose substantial direct compliance costs on state and local governments or preempt state law within the meaning of Executive Order 13132 (entitled ''Federalism'').

*(B) Intergovernmental Review of Federal Program, Executive Order 12372*

This notice is excluded from the intergovernmental review process and therefore should be sent directly to NRC.

*(C) Conducting Business in Accordance With Core Values and Ethical Standards*

Entities subject to 24 CFR parts 84 and 85 (most non-profit organizations and state, local, and tribal governments or government agencies or instrumentalities who receive federal awards of financial assistance) are required to develop and maintain a written code of conduct (see §§ 84.42 and 85.36(b)(3)). Consistent with regulations governing specific programs, your university's code of conduct must: prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by your officers, employees, and agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions available to remedy violations of such standards. If awarded assistance under this NOFA, you will be required, prior to entering into a grant agreement with HUD, to submit a copy of your university's code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your code of conduct. Failure to meet the requirement for a code of conduct will prohibit you from receiving an award document.

*(D) Prohibition Against Lobbying Activities*

You, the applicant, are subject to the provisions of Section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991(31 U.S.C. 1352) (the Byrd Amendment), which prohibits recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the federal government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that you will not and have not used appropriated funds for any prohibited lobbying activities. In addition, you must disclose, using Standard Form LLL ''Disclosure of Lobbying Activities,'' any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Federally recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established under state law must comply with this requirement.

*(E) Section 102 of the HUD Reform Act, Documentation and Public Access Requirements*

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992, HUD published a notice that also provides information on the implementation of Section 102 (57 FR 1942). The documentation, public access, and disclosure requirements of Section 102 apply to assistance awarded under this NOFA as follows:

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

(2) *Debriefing.* Beginning 30 days after the awards for assistance are publicly announced and for at least 120 days after awards for assistance are announced, HUD will provide a debriefing to any applicant requesting one on his or her application. All debriefing requests must be made in writing or by email by the authorized official whose signature appears on the HUD–424 or his or her successor in office, and submitted to the person or organization identified as the Contact under the section entitled ''For Further Information and Technical Assistance.'' Information provided during a debriefing will include, at a minimum, the final score you received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

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

(4) *Publication of Recipients of HUD Funding.* HUD's regulations at 24 CFR part 4 provide that HUD will publish a notice in the **Federal Register** to notify the public of all decisions made by the Department to provide:

(i) Assistance subject to Section 102(a) of the HUD Reform Act; and/or

(ii) Assistance provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

(F) *Section 103 of the HUD Reform Act.* HUD's regulations implementing Section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, subpart B, 4.26(2)(c) *et seq.* and 4.28 apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at 202–708–3815. (This is not a toll-free number.) HUD employees who have specific program questions should contact the appropriate field office counsel or Headquarters counsel for the program to which the question pertains.

(G) *Accessible Technology.* The Rehabilitation Act Amendments of 1998 (the Act) apply to all electronic information technology (EIT) used by a recipient for transmitting, receiving, using, or storing information to carry out the responsibilities of any federal funds awarded. The Act's coverage includes, but is not limited to, computers (hardware, software, word-processing, email, and web pages), facsimile machines, copiers, and telephones. When developing, procuring, maintaining, or using EIT, funding recipients must ensure that the EIT allows employees with disabilities and members of the public with disabilities to have access to and use of information and data that is comparable to the access and use of information and data by employees and members of the public who do not have disabilities. If these standards impose a hardship on a funding recipient, a recipient may provide an alternative means to allow the individual to use the information and data. However, no recipient will be required to provide information services to a person with disabilities at any location other than the location at which the information services is generally provided.

(H) *Name Check Review.* Applicants are subject to a name check review process. Name checks are intended to reveal matters that significantly reflect on the applicant's management and financial integrity, or if any key individuals have been convicted or are presently facing criminal charges. If the name check reveals significant adverse findings that reflect on the business integrity or responsibility of the recipient and/or key individual, HUD reserves the right to: (a) Deny funding or consider suspension/termination of an award immediately for cause; (b) require removal of any key individual from association with management of and/or implementation of the award; and (c) make appropriate provisions or revisions with respect to the method of payment and/or financial reporting requirements.

(I) *False Statements.* A false statement in an application is grounds for denial or termination of an award and grounds for possible punishment as provided in 18 U.S.C. 1001.

(J) *Catalog of Federal Domestic Assistance.* The Catalog of Federal Domestic Assistance number is: 14.518.

(K) *Paperwork Reduction Act Statement.* The information collection requirements contained in this NOFA 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 2528–0175. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

## IX. Authority

The authority for this program is found in Title V of the Housing and Urban Development Act of 1970 (Public Law 91–609).

Dated: August 11, 2003.

**Darlene L. Williams,**

*General Deputy Assistant Secretary for Policy Development and Research.*

BILLING CODE 4210–62–P

**Application for Federal Assistance**

**U.S. Department of Housing and Urban Development**

OMB Approval No.2501-0017 (exp. 03/31/2005)

1. Type of Submission
☐ Application ☐ Preapplication

| 2. Date Submitted | 4. HUD Application Number |
|---|---|
| 3. Date and Time Received by HUD | 5. Existing Grant Number |
| | 6. Applicant Identification Number |

| | |
|---|---|
| 7. Applicant's Legal Name | 8. Organizational Unit |
| 9. Address (give city, county, State, and zip code)<br>A. Address:<br>B. City:<br>C. County:<br>D. State:<br>E. Zip Code: | 10. Name,title,telephone number,fax number, and e-mail of the person to be contacted on matters involving this application (including area codes)<br>A. Name:<br>B. Title:<br>C. Phone:<br>D. Fax:<br>E. E-mail: |
| 11. Employer Identification Number (EIN) or SSN | 12. Type of Applicant (enter appropriate letter in box)<br>A. State — I. University or College<br>B. County — J. Indian Tribe<br>C. Municipal — K. Tribally Designated Housing Entity (TDHE)<br>D. Township — L. Individual<br>E. Interstate — M. Profit Organization<br>F. Intermunicipal — N. Non-profit<br>G. Special District — O. Public Housing Authority<br>H. Independent School District — P. Other (Specify) |
| 13. Type of Application<br>☐ New ☐ Continuation ☐ Renewal ☐ Revision<br>If Revision, enter appropriate letters in box(es) ☐ ☐<br>A. Increase Amount B. Decrease Amount C. Increase Duration<br>D. Decrease Duration E. Other (Specify) | 14. Name of Federal Agency<br>**U.S. Department of Housing and Urban Development** |
| 15. Catalog of Federal Domestic Assistance (CFDA) Number<br>**1 4 ---**<br>Title:<br>Component Title: | 16. Descriptive Title of Applicant's Program |
| 17. Areas affected by Program (boroughs, cities, counties, States, Indian Reservation, etc.) | |
| 18a. Proposed Program start date / 18b. Proposed Program end date | 19a. Congressional Districts of Applicant / 19b. Congressional Districts of Program |

20. Estimated Funding: **Applicant must complete the Funding Matrix on Page 2.**

21. Is Application subject to review by State Executive Order 12372 Process?
A. Yes ☐ This preapplication/application was made available to the State Executive Order 12372 Process for review on: Date_____
B. No ☐ Program is not covered by E.O. 12372
☐ Program has not been selected by State for review.

22. Is the Applicant delinquent on any Federal debt? ☐ No
☐ Yes If "Yes," explain below or attach an explanation.

Previous versions of HUD-424 and 424-M are obsolete



form **HUD-424** (01/2003)
ref. OMB Circular A-102

## Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which HUD funding is being requested, and complete the certifications.

| Grant Program* | HUD Share | Applicant Match | Other HUD Funds | Other Federal Share | State Share | Local/Tribal Share | Other | Program Income | Total |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | 0.00 |
| | | | | | | | | | 0.00 |
| | | | | | | | | | 0.00 |
| | | | | | | | | | 0.00 |
| | | | | | | | | | 0.00 |
| **Grand Totals** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

* For FHIPs, show both initiative and component

## Certifications

I certify, to the best of my knowledge and belief, that no Federal appropriated funds have been paid, or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with the awarding of this Federal grant or its extension, renewal, amendment or modification. If funds other than Federal appropriated funds have or will be paid for influencing or attempting to influence the persons listed above, I shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying. I certify that I shall require all sub awards at all tiers (including sub-grants and contracts) to similarly certify and disclose accordingly.

Federally recognized Indian Tribes and tribally designated housing entities (TDHEs) established by Federally-recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but State-recognized Indian tribes and TDHEs established under State law are not excluded from the statute's coverage.

This application incorporates the Assurances and Certifications (HUD-424B) attached to this application or renews and incorporates for the funding you are seeking the Assurances and Certifications currently on file with HUD. To the best of my knowledge and belief, all information in this application is true and correct and constitutes material representation of fact upon which HUD may rely in awarding the agreement.

| 23. Signature of Authorized Official | Name (printed) |
|---|---|
| Title | Date (mm/dd/yyyy) |

## Instructions for the HUD-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form must be used by applicants requesting funding from the Department of Housing and Urban Development. This application form HUD-424 incorporates the Assurances and Certifications (HUD-424-B). You may either (1) attach the Assurances and Certifications to the application or (2) renew the certifications that you previously made on behalf of your organization and submitted to HUD if the legal name of your organization has not changed and you were the authorized representative who signed the Assurances and Certifications.

### Item Number Instructions

1. Please indicate whether your application is for a formal application submission or a preliminary application (pre-application). HUD does not accept pre-applications for programs funded through the SuperNOFA.
2. Enter the date you are submitting your application to HUD.
3. This box will be completed by HUD. When received by HUD, your application will be stamped:
   (a) with a date; and
   (b) with the time received.
4. Leave Blank. This will be completed by the HUD program office receiving your application. When HUD accepts electronic applications for the grant program you are applying for, this number will be computer generated.
5. If your application is to renew or continue an existing grant, provide the existing grant number. If a new award, please leave blank.
6. Leave blank if you have not been provided a HUD ID number or user number. If you are a Public Housing Authority, enter your HUD issued Public Housing Authority ID number.
7. Enter the legal name of your organization applying for HUD funding.
8. Enter the name of the primary unit in your organization, if applicable, which will be responsible for the program.
9. Enter the complete address of your organization.
10. Enter the name, title, telephone number, fax number, and E-mail of the person to contact on matters related to your application.
11. Enter your organization's Employer Identification Number (EIN) as assigned by the Internal Revenue Service or if you are applying as an individual, your Social Security Number.
12. Choose from the list and enter the appropriate letter in the space provided. You must be an eligible applicant to apply for assistance. You must read the program information requirements to determine if you are a type of applicant that is eligible to apply for assistance under the program.
13. Enter the type of application you are submitting for funding consideration.

Check the appropriate box.

"New" means you are applying for a new grant award.

"Continuation" means you are requesting an extension of an existing award.

"Renewal" means you are requesting funding for renewal of an existing grant. e.g. Supportive Housing Program (SHP) or Shelter + Care grant.

"Revision" means you are submitting a revision prior to the application due date in response to HUD's request for clarification or modification to your initial submission.

14. Pre-filled.
15. Enter the Catalog of Federal Domestic Assistance (CFDA) number and title and, if applicable, component title of the program.
16. Enter a brief description of your program and key activities.
17. Identify the location(s) where your activities will take place. If this is the entire state, enter "Entire State".

18a. Enter the proposed start date.

18b. Enter the proposed end date.

19a. List the Congressional District(s) where your organization is located.

19b. List any Congressional District(s) where your program of activities or project sites will be located.

20. You must complete the funding matrix on page 2 of this form. Enter the following information:

**Grant Program**: The HUD funding program under which you are applying.

**HUD Share**: Please check the program requirements. Enter the amount of HUD funds you are requesting in your application.

**Applicant Match**: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

**Other Federal Share**: Enter the amount of other Federal funds for your program of activities.

## Instructions for the HUD-424 (Continued)

**State Share**: Enter the amount of funds or cash equivalent of in-kind services the State is providing to your project or program of activities.
**Local/Tribal Share**: Enter the amount of funds or cash equivalent of in-kind services your local/tribal government is providing to your project or program of activities.
**Other**: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being provided to your project or program of activities.
**Program Income**: Enter the amount of program income you expect to generate over the life of your award.
**Total**: Please total all columns and fill in the amounts.

21. You should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 or check your application kit to determine whether the State Intergovernmental Review Process is required.

22. This question applies to your applicant organization, not the person signing as your organization's authorized representative. Categories of debt include disallowed costs that requires repayment to HUD.

23. To be signed by the authorized representative of your organization. A copy of your governing body's authorization for you to sign this application must be available in your organization's office.

| Applicant Assurances and Certifications | U.S. Department of Housing and Urban Development | OMB Approval No. 2501-0017 (exp. 03/31/2005) |
|---|---|---|

## Instructions for the HUD-424-B Assurances and Certifications

As part of your application for HUD funding, you, as the official authorized to sign on behalf of your organization or an an individual must provide the following assurances and certifications. By signing this form, you are stating that to the best of your knowledge and belief, all assertions are true and correct.

As the duly authorized representative of the applicant, I certify that the applicant [Insert below the Name and title of the Authorized Representative, name of Organization and the date of signature]:

Name:_____, Title:_____.

Organization:_____, Date:_____.

1. Has the legal authority to apply for Federal assistance, has the institutional, managerial and financial capability (including funds to pay the non-Federal share of program costs) to plan, manage and complete the program as described in the application and the governing body has duly authorized the submission of the application, including these assurances and certifications, and authorized me as the official representative of the applicant to act in connection with the application and to provide any additional information as may be required.

2. Will administer the grant in compliance with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000(d)) and implementing regulations (24 CFR Part 1), which provide that no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance **OR** if the applicant is a Federally recognized Indian tribe or its tribally designated housing entity, is subject to the Indian Civil Rights Act (25 U.S.C. 1301-1303).

3. Will administer the grant in compliance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended, and implementing regulations at 24 CFR Part 8, and the Age Discrimination Act of 1975 (42 U.S.C. 6101-07), as amended, and implementing regulations at 24 CFR Part 146 which together provide that no person in the United States shall, on the grounds of disability or age, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance; except if the grant program authorizes or limits participation to designated populations, then the applicant will comply with the nondiscrimination requirements within the designated population.

4. Will comply with the Fair Housing Act (42 U.S.C. 3601-19), as amended, and the implementing regulations at 24 CFR Part 100, which prohibit discrimination in housing on the basis of race, color, religion, sex, disability, familial status, or national origin; except an applicant which is an Indian tribe or its instrumentality which is excluded by statute from coverage does not make this certification and further except if the grant program authorizes or limits participation to designated populations, then the applicant will comply with the nondiscrimination requirements within the designated population.

5. Will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (42 U.S.C. 4601) and implementing regulations at 49 CFR Part 24 and 24 CFR 42, Subpart A.

6. Will comply with the environmental requirements of the National Environmental Policy Act (42 U.S.C. 4321 *et seq.*) and related Federal authorities prior to the commitment or expenditure of funds for property acquisition and physical development activities subject to implementing regulations at 24 CFR parts 50 or 58.

7. Will or will continue to provide a drug-free workplace by:

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

(b) Establishing an on-going drug-free awareness program to inform employees about --

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

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

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

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

( c ) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required in Paragraph (a);

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

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

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

| Applicant Assurances and Certifications (Continued) | U.S. Department of Housing and Urban Development | OMB Approval No. 2501-0017 (exp. 03/31/2005) |
|---|---|---|

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

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

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

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

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), ( c), (d), (e), and (f).

(h). The applicant may insert in the space provided below the site(s) for the performance of work or may provide this information in connection with each application.

(i). Place of Performance (street address, city, county, state, zip code)

8. In accordance with 24 CFR Part 24, and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this proposal, been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

( c) Are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in the preceding paragraph of this certification; and

(d) Where the applicant is unable to certify to any of the statements in this certification, an explanation shall be attached.

(e) Will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transaction, " provided by the HUD without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

These certifications and assurances are material representations of the fact upon which HUD can rely when awarding a grant. If it is later determined that I, the applicant, knowingly made an erroneous certifications or assurance, I may be subject to criminal prosecution. HUD may also terminate the grant and take other available remedies.

**U.S. Department of Housing and Urban Development (HUD)**
**Urban Scholars Postdoctoral Fellowship Program –**
**Administered by the National Research Council**

## Budget Instructions

On a separate sheet of paper entitled Project Budget, place your name, project title, and project dates at the top of the page. Provide a moderately detailed (usually one page) project budget, giving individual totals for each type of proposed cost.

A sample budget is shown below. The categories of expenses shown do not necessarily apply to all applications, and some applications may have expense categories not shown. The sample is representative, not binding.

---

## Sample Budget

Name:
Project Title:
Project Dates:

| Personnel | Request From Sponsor | In-kind Contributions | Totals |
|---|---|---|---|
| Principal Investigator (name) | | | |
| 16.67% effort AY (cost-shared) | $2,500 | $7,980 | $10,480 |
| 100% effort summer (3 months) | $20,956 | $0 | $20,956 |
| Graduate student project assistant | | | |
| 10 hours/week @$20/hour | $12,600 | $0 | $12,600 |
| Total salaries | $36,056 | $7,890 | $44,036 |
| Fringe benefits @24.5% of salaries | $8,834 | $1,955 | $10,789 |
| Total Salaries and Benefits | $44,890 | $9,935 | $54,825 |
| **Other than personnel services (OTPS)** | | | |
| Software/documentation | $1,500 | $0 | $1,500 |
| Travel: 3 2-day trips @$1,500/trip | $4,500 | $0 | $4,500 |
| Total, OTPS | $6,000 | $0 | $6,000 |
| Total Direct Costs (TDC) | $50,890 | $9,935 | $60,825 |
| Indirect Costs @ 8% of TDC* | $4,071 | $27,558 | $31,629 |
| Total Project Costs | $54,961 | $37,493 | $92,454 |

***Budget Note:**

_____ (institution) negotiated indirect cost rate is 52% of Modified Total Direct Costs. The _____ (institution) in-kind contribution represents the difference between the 52% and 8% rate allowed (for request from sponsor), plus the full 52% rate applied to in-kind total direct costs.

## DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

| 1. Type of Federal Action: | 2. Status of Federal Action: | 3. Report Type: |
|---|---|---|
| ☐ a. contract<br>b. grant<br>c. cooperative agreement<br>d. loan<br>e. loan guarantee<br>f. loan insurance | ☐ a. bid/offer/application<br>b. initial award<br>c. post-award | ☐ a. initial filing<br>b. material change<br>**For Material Change Only:**<br>year _____ quarter _____<br>date of last report _____ |

| 4. Name and Address of Reporting Entity: | 5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: |
|---|---|
| ☐ Prime ☐ Subawardee<br>Tier _____, *if known*:<br><br>**Congressional District**, *if known*: | <br><br><br><br>**Congressional District**, *if known*: |
| **6. Federal Department/Agency:** | **7. Federal Program Name/Description:**<br><br>CFDA Number, *if applicable*: _____ |
| **8. Federal Action Number**, *if known*: | **9. Award Amount**, *if known*:<br>$ |
| **10. a. Name and Address of Lobbying Registrant** (*if individual, last name, first name, MI*): | **b. Individuals Performing Services** (*including address if different from No. 10a*) (*last name, first name, MI*): |
| **11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less that $10,000 and not more than $100,000 for each such failure. | Signature: _____<br>Print Name: _____<br>Title: _____<br>Telephone No.: _____ Date: _____ |
| **Federal Use Only:** | Authorized for Local Reproduction<br>Standard Form LLL (Rev. 7-97) |

**Race and Ethnic Data Reporting Form**

**U.S. Department of Housing and Urban Development**
Office of Administration

OMB Approval No. 2535-0113
(exp. 08/31/2003)

**Program Title:**

**Grantee/Recipient Name:**

**Grantee Reporting Organization:**

**Reporting Period From** (mm/dd/yyyy): _____ **To** (mm/dd/yyyy): _____

| **Racial Categories** | **Total Number of Racial Categories Reported** | **Total Number of Ethnic Category Responses** (Hispanic or Latino) |
|---|---|---|
| American Indian or Alaska Native | | |
| Asian | | |
| Black or African American | | |
| Native Hawaiian or Other Pacific Islander | | |
| White | | |
| American Indian or Alaska Native *and* White | | |
| Asian *and* White | | |
| Black or African American *and* White | | |
| American Indian or Alaska Native *and* Black or African American | | |
| * Other multi-racial categories: [Per the form instructions, write in a description using the box on the right] | | |
| Balance of individuals reporting more than one race | | |
| **Total:** | | |

* If the aggregate count of any reported multi-racial category that is not listed above exceeds 1% of the total population being reported, you should separately indicate each such category here. Also indicate the total number of such other multi-racial categories reported, the population percentage, and the total number of positive ethic category responses.

Public reporting burden for this collection is estimated to average 1.15 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the information collection instrument. HUD may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.



form **HUD-27061** (2/2003)

## Instructions for the Race and Ethnic Data Reporting form (HUD-27061)

### A. General Instructions:

This form is intended to be used by two categories of respondents: (1) applicants requesting funding from the Department of Housing and Urban Development (HUD); and (2) organizations who receive HUD Federal financial assistance that are required to report race and ethnic information.

In compliance with OMB direction to revise the standards for collection of racial data, HUD has revised its standards as depicted on this form. The revised standards are designed to acknowledge the growing diversity of the U.S. population. Using the revised standards, HUD offers organizations that are responding to HUD data requests for racial information, the option of selecting one or more of nine racial categories to identify the racial demographics of the individuals and/or the communities they serve, or are proposing to serve. HUD's collection of racial data treats ethnicity as a separate category from race and has changed the terminology for certain racial and ethnic groups from the way it has been requested in the past using two distinct ethnic categories. The revised definitions of ethnicity and race have been standardized across the Federal government and are provided below.

1. The two ethnic categories as revised by the Office of Management and Budget (OMB) are defined below.

   **Hispanic or Latino.** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic" or "Latino."

   **Not Hispanic or Latino.** A person not of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

2. The five racial categories as revised by the Office of Management and Budget are defined below:

   **American Indian or Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

   **Asian.** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

   **Black or African American.** A person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black" or "African American."

   **Native Hawaiian or Other Pacific Islander.** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

   **White.** A person having origins in any of the original peoples of Europe, the Middle East or North Africa.

   **Note:** The information required to be reported may be collected and submitted to HUD via the use of this form or by other means, such as summary reports or via electronic reporting mechanisms. The primary goal to be achieved is the provision of the summary racial and ethic data of the population(s) proposed to be served or that is being served by your organization in a consistent manner across all HUD programs.

**B. Specific Instructions for Completing the Form:**

Organizations using this form should collect the individual responses from the community of individuals you intend to serve or those that you are serving, as applicable. After the individual collections are gathered, you should report (via this form or by the use of other means such as electronic reports that provide the summary data required by this form) the aggregate totals of the racial and ethnic data that you collect via the applicable categories as described below:

**Total Number of Racial Categories Reported:** Under this column you should indicate the total number of responses collected in the blocks next to the applicable categories.

**Total Number of Ethnic Category Responses (Hispanic or Latino):** Under this column you should indicate the total number of responses collected in the blocks next to the applicable racial categories (e.g., you would enter the total number of Asian respondents that indicated they are Hispanic or Latino). When collecting this information from beneficiaries of the Federal financial assistance all respondents should be required to indicate their ethnic category, which requires either a "yes" or "no" response.

**Other multi-racial categories:** Next to this racial category, indicate all racial categories (if any) identified by respondents that do not fit the nine racial categories above, and which have a total count that exceeds one percent of the total population being reported. You must identify each such racial category, including the actual count, the percentage of the total population (in parenthesis), and the actual count for the ethnic categories.

For example, if you obtain data that indicates that the total population being served is 200 and includes 10 Cajun Americans and 12 Creole Americans, and those numbers of Cajun and Creole Americans each equates to more than one percent of the total population being served, and 2 of the Cajun Americans indicate they belong to the Hispanic/Latino ethic category and 3 of the Creole Americans indicate they belong to the Hispanic/Latino ethnic category, you should complete the form as follows:

| Racial Categories | Total Number of Racial Categories Reported | Total Number of Ethnic Category Responses (Hispanic or Latino) |
|---|---|---|
| * Other multi-racial categories: [Per the form instruction, write in a description using the box on the right] | Cajun American 10 (5%)<br>Creole American 12 (6%) | 2<br>3 |

How the percentage should be applied will vary by program depending on whether the program is required to provide data on the total community, or on the beneficiaries/individuals that are being served or that are proposed to be served.

**Balance of individuals reporting more than one race**: This block is intended to capture the balance of any racial categories that are not included in the list of nine above, and are not included under **"Other multi-racial categories."** Indicate the total number of all racial categories reported that do not fit the nine racial categories above, and do not equate to one percent of the total population being reported. Be sure to also indicate the total number of all such ethnic categories.

**Total:** On the last row of the form you should indicate the aggregate totals of all the information you have gathered including the total of all racial categories and the total of all the ethic categories.

# Applicant/Recipient Disclosure/Update Report

**U.S. Department of Housing and Urban Development**

OMB Approval No. 2510-0011 (exp. 06/30/2003)

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

## Applicant/Recipient Information

**Indicate whether this is an Initial Report** ☐ **or an Update Report** ☐

| 1. Applicant/Recipient Name, Address, and Phone (include area code): ( ) - | 2. Social Security Number or Employer ID Number: - - |
|---|---|
| 3. HUD Program Name | 4. Amount of HUD Assistance Requested/Received |

5. State the name and location (street address, City and State) of the project or activity:

## Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).
☐ **Yes** ☐ **No**

2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of $200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9
☐ **Yes** ☐ **No.**

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

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

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

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

(**Note**: Use Additional pages if necessary.)

## Part III Interested Parties. You must disclose:

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

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

(**Note**: Use Additional pages if necessary.)

## Certification

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

I certify that this information is true and complete.

| Signature: X | Date: (mm/dd/yyyy) |
|---|---|

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

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

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

## Instructions

### Overview.

**A**. Coverage. You must complete this report if:

(1) You are applying for assistance from HUD for a specific project or activity **and** you have received, or expect to receive, assistance from HUD in excess of $200,000 during the during the fiscal year;

(2) You are updating a prior report as discussed below; or

(3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

**B. Update reports (filed by "Recipients" of HUD Assistance): General**. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

### Line-by-Line Instructions.

**Applicant/Recipient Information.**

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

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

**Part I. Threshold Determinations - Applicants Only**

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

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

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

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

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

The following information must be provided:

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

B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD ***and any other source*** - that have been or are to be, made available for the project or activity. Non-government sources of

funds typically include (but are not limited to) foundations and private contributors.

**Part III. Interested Parties.**

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

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).
   **Note:** A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

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

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

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

**Notes:**

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

# Logic Model

## U.S. Department of Housing and Urban Development
## Office of Departmental Grants Management and Oversight

OMB Approval No. 2535-0114
(exp. 9/30/2003)

**Program Name:**_____

**Component Name:**_____

| Strategic Goals | Policy Priorities | Problem, Need, Situation | Service or Activity | Benchmarks | | Outcomes | | Measurement Reporting Tools | Evaluation Process |
|---|---|---|---|---|---|---|---|---|---|
| | | | | Output Goal | Output Result | Achievement Outcome Goals | End Results | | |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Policy | | Planning | | Intervention | | Impact | | Accountability | |
| | | | | Short Term | | | | a.<br>b.<br>c.<br>d.<br>e. | |
| | | | | Intermediate Term | | | | a.<br>b.<br>c.<br>d.<br>e. | |
| | | | | Long Term | | | | a.<br>b.<br>c.<br>d.<br>e. | |

***HUD's Strategic Goals***

1. Increase homeownership opportunities.
2. Promote decent affordable housing.
3. Strengthen communities.
4. Ensure equal opportunity in housing.
5. Embrace high standards of ethics, management, and accountability.
6. Promote participation of grass-roots faith-based and other community-based organizations.

***Policy Priorities***

1. Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency.
2. Improving the Quality of Life in our Nation's Communities.
3. Encouraging Accessible Design Features.
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organizations in HUD Program Implementation.
5. Improving Housing Conditions in Colonias.
6. Increasing Participation of Minority Serving Institutions in HUD Programs.
7. Increasing Participation in Energy Star.
8. Ending Chronic Homelessness in Ten Years.

form **HUD-96010** (04/2003)

**Logic Model Instructions** U.S. Department of Housing And Urban Development Office of Departmental Grants Management and Oversight

OMB Approval No. 2535-0114 (exp. 9/30/2003)

The public reporting burden for this collection of information for the Logic Model is estimated to average 2 hours per response for applicants, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information and preparing the application package for submission to HUD. HUD may not conduct, and a person is not required to respond to, a collection of information unless the collection displays a valid control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reduce this burden, to the Reports Management Officer, Paperwork Reduction Project, in the Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments, please refer to OMB Approval No. 2535-0114.

The information submitted in response to the Notice of Funding Availability for the Logic Model is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Public Law 101-235, approved December 15, 1989, 42 U.S.C. 3545).

Instructions:

Responses to rating factor five should be in this format. Your response should be in bullet format rather than narrative. Please read each NOFA carefully to ensure the performance measures requested for this factor are reflected on the logic model form.

Program Name: The HUD funding program under which you are applying. If you are applying for a component of a program please include the Program Name as well as the Component Name.

Component Name: The HUD funding program under which you are applying.

Column 1: ***HUD's Strategic Goals***: Indicate in this column **the number** of the goal(s) that your proposed service or activity is designed to achieve. HUD's strategic goals are:

1. Increase homeownership opportunities.
2. Promote decent affordable housing.
3. Strengthen communities.
4. Ensure equal opportunity in housing.
5. Embrace high standards of ethics, management, and accountability.
6. Promote participation of grass-roots faith-based and other community-based organizations.

***Policy Priority*:** Indicate in this column **the number** of the HUD Policy Priority(ies), if any, your proposed service or activity promotes. Applicants are encouraged to undertake specific activities that will assist the Department in implementing its Policy Priorities. HUD's Policy Priorities are:

form **HUD-96010-I** (04/2003)

1. Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency.
2. Improving the Quality of Life in our Nation's Communities.
3. Encouraging Accessible Design Features.
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organizations in HUD Program Implementation.
5. Improving Housing Conditions in Colonias.
6. Increasing Participation of Minority Serving Institutions in HUD Programs.
7. Increasing Participation in Energy Star.
8. Ending Chronic Homelessness in Ten Years

Column 2: **Problem, Need, or Situation**: Provide a general statement of need that provides the rationale for the proposed service or activity.

Column 3: **Service or Activity:** Identify the activities or services that you are undertaking in your work plan, which are crucial to the success of your program. Not every activity or service yields a direct outcome.

Column 4 and Column 5: **Benchmarks:** These columns ask you to identify benchmarks that will be used in measuring the progress of your services or activities. Column 4 asks for specific interim or final products (called outputs) that you establish for your program's services or activities. Column 5 should identify the results associated with the product or output. These may be numerical measures characterizing the results of a program activity, service or intervention and are used to measure performance. These outputs should lead to targets for achievement of outcomes. Results should be represented by both the actual # and % of the goal achieved.

> Column 4: **Benchmarks/Output Goal:** Set quantifiable output goals, including timeframes. These should be products or interim products, which will allow you and HUD to monitor and assess your progress in achieving your program workplan.
>
> Column 5: **Benchmark/ Output Result:** Report actual result of your benchmarks. The actual result could be number of housing units developed or rehabilitated, jobs created, or number of persons assisted. Outputs may be short, intermediate or long-term.

Column 6 and Column 7: **Outcomes:** Column 6 and Column 7 ask you to report on your expected and actual outcomes – the ultimate impact you hope to achieve. Column 6 asks you to identify outcomes in terms of the impact on the community, people's lives, changes in economic or social status, etc. Column 7 asks for the actual result of the outcome measure listed in Column 6, which should be updated as applicable.

Column 6: **Outcomes/ Goals:** Identify the outcomes that resulted in broader impacts for individuals, families/households, and/or the community. For example, the program may seek to improve the environmental conditions in a neighborhood, increase affordable housing, increase the assets of a low-income family, or improve self-sufficiency.

Proxy Outcome(s): Often direct measurement of the intended outcome is difficult or even impossible -- to measure. In these cases, applicants/grantees should use a proxy or surrogate measure that corresponds with the desired outcome. For example, improving quality of life in a neighborhood could be measured by a proxy indicator such as increases in home prices or decreases in crime. Training programs could be measured by the participant's increased wages or reading skills. The person receiving the service must meet eligibility requirements of the program.

Column 7: **Outcomes/Actual Result:** Identify specific achievements of outcomes listed in Column 6.

Column 8: **Measurement Reporting Tools:** (a) List the tools used to track output or outcome information (e.g., survey instrument; attendance log; case report; pre-post test; waiting list; etc); (b) Identify the place where data is maintained, e.g. central database; individual case records; specialized access database, tax assessor database; local precinct; other; (c) Identify the location, e.g. on-site; subcontractor; other; (d) Indicate how often data is required to be collected, who will collect it and how often data is reported to HUD; and (e) Describe methods for retrieving data, e.g. data from case records is retrieved manually, data is maintained in an automated database. This tool will be available for HUD review and monitoring and should be used in submitting reporting information.

Column 9: **Evaluation Process:** Identify the methodology you will periodically use to assess your success in meeting your benchmark output goals and output results, outcomes associated to the achievement of the purposes of the program, as well as the impact that the work has made on the individuals assisted, the community, and the strategic goals of the Department. If you are not meeting the goals and results projected for your performance period, the evaluation process should be used as a tool to ensure that you can adjust schedules, timing, or business practices to ensure that goals are met within your performance period.

form **HUD-96010** (04/2003)



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