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Department of Housing and Urban Development

Notice of Funding Availability for Fiscal Year (FY) 2004 HOPE VI Main Street Grants; Notices

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR–4962–N–01]

Notice of Funding Availability for Fiscal Year (FY) 2004 HOPE VI Main Street Grants

AGENCY: Office of the Assistant Secretary for Public and Indian Housing, HUD.

ACTION: Notice of Funding Availability (NOFA).

Overview Information

A. *Federal Agency Name.* Department of Housing and Urban Development, Office of Public and Indian Housing.

B. *Funding Opportunity Title.* HOPE VI Main Street Grants.

C. *Announcement Type.* Initial announcement.

D. *Funding Opportunity Number.* The **Federal Register** number for this NOFA is: FR–4962–N–01. The Office of Management and Budget (OMB) paperwork approval number for this program is 2577–0208.

E. *Catalog of Federal Domestic Assistance (CFDA) Number.* The CFDA number for this NOFA is 14–866, ''Demolition and Revitalization of Severely Distressed Affordable Housing (HOPE VI).''

F. *Dates.*

1. *Application Submission Date.* The application submission date is September 2, 2005. See the General Section for application submission and timely receipt requirements.

2. *Estimated Grant Award Date.* The estimated award date will be September 30, 2005.

G. *Electronic Application Submission.* Applications for this NOFA must be submitted electronically through *http://www.grants.gov.* The applicant must register with grants.gov's Central Contractor Registry and must register its Authorized Organization Representative with grants.gov in order to submit an application. Registration may take up to two weeks and must be completed at least 48 hours before the submission date. See ''Other Submission Requirements,'' Section IV.F. of this NOFA and *http://www.grants.gov/GetStarted.*

Full Text of Announcement

I. Funding Opportunity Description

A. *Available Funds.* This NOFA announces the availability of approximately $5 million in Fiscal Year (FY) 2004 funds to produce affordable housing in HUD-defined Main Street rejuvenations.

B. *Purpose of the Program.* The purpose of the HOPE VI Main Street program is to provide grants to small communities to assist in the rehabilitation and new construction of affordable housing in conjunction with an existing program to revitalize an historic or traditional central business district or ''Main Street Area.'' The objectives of the program are to:

1. Redevelop Main Street Areas;

2. Preserve historic or traditional architecture or design features in Main Street Areas;

3. Enhance economic development efforts in Main Street Areas; and

4. Provide affordable housing in Main Street Areas.

C. *Statutory Authority.*

1. The program authority for the HOPE VI Main Street program is Section 24 of the United States Housing Act of 1937 (42 U.S.C. 1437v), as amended by Section 535 of the Quality Housing and Work Responsibility Act of 1998 (Pub. L. 105–276, 112 Stat. 2461, approved October 21, 1998), as amended, and the HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003 (Pub. L. 108–186, 117 Stat. 2685, approved December 16, 2003).

2. The funding authority for the HOPE VI Main Street program is provided by the Consolidated Appropriations Act, 2004 (Pub. L 108–199, approved January 23, 2004), under Division G, Title II, Public and Indian Housing.

3. The HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003 states that, of the amount appropriated for the overall HOPE VI program for any fiscal year, the Secretary shall provide up to five percent for use only for the Main Street initiative. For FY 2004, the Secretary has set aside approximately $5 million for Main Street activities authorized in Section 24(n) of the Act, which provides for grant amounts that shall be used by smaller communities only to provide assistance to carry out eligible affordable housing activities.

D. *Definition of Terms.*

1. *Affordable Housing* means rental or homeownership dwelling units that:

a. Are made available for initial occupancy to low-income families, with a subset of units made available to very low- and extremely low-income families; and

b. Are subject to the same rules regarding occupant contribution toward rent or purchase, and terms of rental or purchase, as are public housing units.

2. *Applicant Team (''Team'')* means the group of entities that will develop the Project. The Team includes the unit of local government that submits the application and, where applicable, the procured developer, the procured property manager, architects, construction contractors, attorneys, partners that comprise the owner entity, and other parties that may be involved in the development and management of the Project.

3. *Community and Supportive Services (''CSS'')* means services to residents of the Project that may include, but are not limited to:

a. Educational activities that promote learning and serve as the foundation for young people from infancy through high school graduation, helping them to succeed in academia and the professional world. Such activities, which include after school programs, mentoring, and tutoring, must be created with strong partnerships with public and private educational institutions;

b. Adult educational activities, including remedial education, literacy training, tutoring for completion of secondary or post-secondary education, assistance in the attainment of certificates of high school equivalency, and courses in English as a Second Language, as needed;

c. Job readiness and job retention activities, which frequently are key to securing private sector commitments to the provision of jobs;

d. Employment training activities that include results-based job training, preparation, counseling, development, placement, and follow-up assistance after job placement;

e. Programs that provide entry-level, registered apprenticeships in construction, construction-related, maintenance, or other related activities. A registered apprenticeship program is a program which has been registered with either a State Apprenticeship Agency recognized by the Department of Labor's (DOL) Office of Apprenticeship Training, Employer and Labor Services (OATELS) or, if there is no recognized state agency, by OATELS. See also DOL regulations at 29 CFR part 29;

f. Life skills training on topics such as parenting, consumer education, and family budgeting;

g. Creation and operation of credit unions to serve residents, including capitalization and technical assistance to foster new credit unions on-site and to encourage existing community credit unions to expand their coverage to include on-site coverage;

h. Homeownership counseling that is scheduled to begin promptly after grant award so that, to the maximum extent possible, qualified residents will be ready to purchase new homeownership

units when they are completed. The Family Self-Sufficiency Program can also be used to promote homeownership, providing assistance with escrow accounts and counseling;

i. Coordinating with health care services providers or providing on-site space for a health clinic, doctors, a wellness center, dentists, etc., that will primarily serve the affordable housing residents. HOPE VI funds may not be used to provide direct medical care to residents;

j. Substance/alcohol abuse treatment and counseling;

k. Activities that address domestic violence treatment and prevention;

l. Child care services that provide sufficient hours of operation to facilitate parental access to education and job opportunities, serve appropriate age groups, and stimulate children to learn;

m. Transportation, as necessary, to enable all family members to participate in available CSS activities and/or to commute to their places of employment;

n. Entrepreneurship training and mentoring, with the goal of establishing resident-owned businesses; and

o. Coordinating with fair housing groups to educate the Main Street Affordable Housing Project's targeted population on its fair housing rights.

4. *Firmly Committed* means that the amount of Match resources and their dedication to HOPE VI Main Street activities must be explicit, in writing, and signed by a person authorized to make the commitment.

5. *General Section* means the Notice of HUD's Fiscal Year 2005 Notice of Funding Availability Policy Requirements and General Section to the SuperNOFA for HUD's Discretionary Programs; Notice, Docket No. FR–4950-N–01, published in the **Federal Register** on March 21, 2005.

6. *Homeownership Unit* means a housing unit that the Local Government makes available for purchase by low-income families for use as their principal residence;

7. *Initial Occupancy Period* means the period of time that a rental unit is occupied by the initial low-income resident or the period of time that a homeownership unit is owned by the initial third-party, low-income purchaser.

8. *Jurisdiction* means the physical area under the supervision of the Local Government.

9. *Local Government* means any city, county/parish, town, township, parish, village, or other general purpose political subdivision of a state; Guam, the Northern Mariana Islands, the Virgin Islands, American Samoa, the District of Columbia and the Trust Territory of the Pacific Islands, or a general purpose political subdivision thereof; a combination of such political subdivisions that is recognized by the Secretary.

10. *Low-Income* means a family (resident) with an income equal to or less than 80 percent of median income for the local area, adjusted for family size, in accordance with Section 3(b)(2) of the United States Housing Act of 1937, as amended. HUD may establish a level higher or lower than 80 percent because of prevailing construction costs or unusually high or low family incomes in the area. HUD prescribed income limits are stated at *http://www.huduser.org/datasets/il/IL05/Section8_IncomeLimits_2005.doc.* Local area is defined as the Primary Metropolitan Statistical Area/Metropolitan Statistical Area (PMSA/MSA) or county/parish, as prescribed by HUD, in which the low-income family resides.

11. *Main Street Area* means an area specifically designated by the applicant, within the jurisdiction of the applicant that is or was;

a. Traditionally the central business district and center for socio-economic interaction;

b. Characterized by a cohesive core of historic and/or older commercial and mixed-use buildings, often interspersed with civic, religious, and residential buildings, which represent the community's architectural heritage;

c. Typically arranged along a main street with intersecting side streets and public space; and

d. Pedestrian-oriented.

12. *Main Street Affordable Housing Project (''Project'')* is defined in Section III.C.2.b. of this NOFA, ''Program Requirements.''

13. *Main Street Rejuvenation Master Plan (''Master Plan'')* is a document, or group of documents, that:

a. Serves to guide the rejuvenation of a Main Street Area;

b. Is actively administered and implemented by the applicant, an agency of the local government, or a developer entity recognized by the applicant;

c. Addresses major components such as design, organization, promotion, and economic impact;

d. Has broad community support;

e. Involves investment by the public and private sectors;

f. Has a strong preservation element for historic or traditional architecture;

g. Shows long-term planning and commitment; and

h. Complies with the minimum requirements stated in the Program Requirements in Section III.C.2. of this NOFA.

14. *Match* is cash or in-kind donations that:

a. Total at least five percent of the requested HOPE VI Main Street grant amount; and

b. Are from government or private-sector sources other than HOPE VI funding.

15. *Owner entity* is the legal entity that holds title to the real property that contains any affordable housing units developed through this NOFA.

16. *Person with disabilities* means a person who:

a. Has a condition defined as a disability in Section 223 of the Social Security Act;

b. Has a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance Bill of Rights Act; or

c. Is determined to have a physical, mental, or emotional impairment which:

(1) Is expected to be of long-continued and indefinite duration;

(2) Substantially impedes his or her ability to live independently; and

(3) Is of such a nature that such ability could be improved by more suitable housing conditions.

d. The term ''person with disabilities'' may include persons who have acquired immunodeficiency syndrome (AIDS) or any conditions arising from the etiologic agent for AIDS. In addition, no individual shall be considered a person with disabilities, for purposes of eligibility for low-income housing, solely on the basis of any drug or alcohol dependence.

e. The definition provided above for persons with disabilities is the proper definition for determining program qualifications. However, the definition of a person with disabilities contained in Section 504 of the Rehabilitation Act of 1973 and its implementing regulations must be used for purposes of reasonable accommodations.

17. *Program* means the HOPE VI Main Street Program.

18. *Recognized Developer* is:

a. A procured developer that is a legal entity and that has a contract or ''Developer Agreement'' with a Local Government to finance, rehabilitate and/or construct housing units, and to provide Community and Supportive Services (if required), for a HOPE VI Main Street grantee; or

b. The Local Government applicant itself.

19. *Unit of Local Government:* See ''Local Government'' under this section.

20. *Very Low-Income Family* means a family (resident) with an income equal to or less than 50 percent of median income for the local area, adjusted for family size, in accordance with Section

3(b)(2) of the United States Housing Act of 1937, as amended. HUD may establish a level higher or lower than 50 percent because of prevailing construction costs or unusually high or low family incomes in the area. HUD prescribed income limits are stated at *http://www.huduser.org/datasets/il/IL05/Section8_IncomeLimits_2005.doc.* Local area is defined as the PMSA/MSA or nonmetropolitan county/parish, as prescribed by HUD, in which the low-income family resides.

E. *Eligible Uses of Grant Funds.*

1. Main Street grant funds may be expended on the following activities:

a. New construction and rehabilitation of Main Street-related affordable rental and homeownership housing;

b. Architectural and Engineering activities, surveys, permits, and other planning and implementation costs related to the construction and rehabilitation of Main Street-related affordable housing;

c. Tax credit syndication;

d. Funding of moving expenses for low-income residents displaced as a result of construction or rehabilitation of the Project, in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA);

e. Economic development activities that promote the economic self-sufficiency of low-income residents of the Project;

f. Management improvements necessary for the proper development and management of Main Street-related affordable housing, including, but not limited to:

(1) Staff training (including travel) related to affordable housing development and management and public housing property management;

(2) Staff time and materials or contractor services to revise or develop:

(a) Procedure manuals;

(b) Accounting systems, excluding accounting services;

(c) Lease documents;

(d) Resident screening procedures; and

(e) Data processing systems.

g. *Leveraging non-HOPE VI funds and in-kind services;*

h. *Community and Supportive Services.* See Funding Restrictions in Section IV.E. of this NOFA.

F. *General Section Reference.* The subsection entitled ''Funding Opportunity Description'' in Section I. of the General Section is hereby incorporated by reference.

II. Award Information

A. *Available Funds.* A total of $5 million is available for funding, which must be obligated on or before September 30, 2005.

B. *Number of Awards.* This NOFA will result in approximately 10 to 15 awards.

C. *Range of Amounts of Each Award.* Each applicant may request up to $500,000.

D. *Start Date, Period of Performance.* The term of the grants that result from this NOFA will start on the date that the grant award document is signed by HUD and will continue for 30 months.

E. *Type of Instrument.* Grant Agreement.

F. *Supplementation.* Grants resulting from this NOFA do not supplement other HOPE VI grants.

III. Eligibility Information

A. *Eligible Applicants.* Eligible applicants include, and are limited to, Local Governments, as defined in Section I.D. of this NOFA and Section 102 of the Housing and Community Development Act of 1974 (42 U.S.C. 5302). The Local Government must:

1. Have a Main Street rejuvenation effort within its jurisdiction;

2. Have a population of 50,000 or less; and

3. Not be served by a public housing agency that administers more than 100 public housing units. For this NOFA, HUD does not consider agencies of the State government to be public housing agencies.

B. *Cost Sharing or Match.*

1. *Match.* HUD is required by the Quality Housing and Work Responsibility Act (42 U.S.C. 1437v(c)(1)(A)) to include the requirement for matching funds for all HOPE VI-related grants. Applicants must provide matching funds in the amount of five percent of the requested grant amount from sources other than HUD HOPE VI funds. Match sources may include other federal sources, any state or local government sources, any private contributions, the value of any donated material or building, the value of any lease on a building, the value of the time and services contributed by volunteers, and the value of any other in-kind services provided. The match may include funds already spent on, or funds committed to, the project, provided that they were or shall be used only for carrying out eligible affordable housing activities.

a. Match donations must be firmly committed. ''Firmly committed'' means that the amount of match resources and their dedication to Main Street-related affordable housing activities must be explicit, in writing, and signed by a person authorized to make the commitment. The commitment must be in place at the time of award. See Section IV.F. of this NOFA for detailed instructions on the procedures related to the submission of third-party documents.

b. The applicant may propose to use the applicant's own funds to meet the match requirement.

c. The applicant's staff time is not an eligible cash or in-kind match.

d. See Section IV.B. of this NOFA for the requirements for documentation of match resources.

C. *Other.*

1. *Thresholds.*

a. *Main Street Area.* The applicant must have within its jurisdiction a Main Street Area. See Section I.D. of this NOFA for the definition of a Main Street Area. If the applicant's jurisdiction does not have a Main Street Area, the application will not be eligible for funding through this NOFA.

b. *Master Plan.* A Main Street Rejuvenation Master Plan for the Main Street Area must have been in existence for three years prior to the application submission date, and, if one exists, be included in the applicant's Consolidated Plan. See Section I.D. of this NOFA for the definition of a Main Street Rejuvenation Master Plan. If the applicant's Main Street Rejuvenation Master Plan has not been in existence for three years prior to the application submission date, the application will not be eligible for funding through this NOFA.

c. *Main Street Affordable Housing Project (''Project'').* The targeted affordable housing project must conform to this NOFA's requirements for a Main Street Affordable Housing Project, as defined in Section III.C.2.b. of this NOFA. If the targeted affordable housing project does not conform to this NOFA's requirements of a project, the application will not be eligible for funding through this NOFA.

d. *Inclusion of Affordable Housing.* The project must have been included in the applicant's master plan on or before the date of publication of this NOFA. If the project was not included in the applicant's master plan on or before the date of publication of this NOFA, the application will not be eligible for funding through this NOFA.

e. *Zoning.* Zoning for residential housing, or mixed-use zoning that includes residential housing, must be in place on all project sites on or before the application submission date. If zoning for residential housing, or mixed-use zoning that includes residential housing, is not in place on all project sites on or before the application submission date, the application will

not be eligible for funding through this NOFA.

f. *Site Control.* The applicant, or recognized developer entity of the project, must have site control of all properties where affordable housing will be developed on or before the application submission date. If the applicant, or recognized developer entity of the Main Street project, does not have site control of all properties where affordable housing will be developed on or before the application submission date, the application will not be eligible for funding through this NOFA.

g. *Program Schedule.* The applicant must include a program schedule, developed in accordance with Section VI.B.4.c. of this NOFA, ''Reasonable Timeframe,'' as part of the application. If such a program schedule is not included in the application, the application will not be eligible for funding through this NOFA.

h. *Main Street Area Leverage.* The applicant must provide leverage funds and/or in-kind services in excess of 100 percent of the requested grant amount from sources other than HUD HOPE VI funds. Note that this threshold is for leverage that is related to the entire Main Street Area effort. Leverage that is specifically related to the Main Street Affordable Housing Project is measured in Section V.A.4. of this NOFA.

(1) Types of resources that may be counted include:

(a) Private mortgage-secured loans and other debt;

(i) The application must include each loan's expected term of maturity;

(ii) Where there is both a construction loan and a permanent take-out loan, only the value of the permanent loan amount will be counted; and

(iii) If the applicant has obtained a construction loan but not a permanent loan, the value of the construction loan will be counted;

(b) Insured loans;

(c) Housing trust funds;

(d) Net sales proceeds from a homeownership project that exceed the amount of HOPE VI funds used to develop the homeownership unit;

(e) Tax Increment Funding (TIF);

(f) Tax Exempt Bonds;

(g) Low-Income Housing Tax Credits (LIHTC);

(h) Historic Preservation Tax Credits;

(i) Other Public Housing Funds. Capital Fund Program funds may be included provided that public housing exists in the Main Street Area. HOPE VI funds may not be counted as leverage;

(j) Other Federal Funds. Other federal sources may include non-public housing funds provided by HUD;

(k) Land Sale Proceeds. The value of land may be included as a development resource only if this value is a sales proceed. Absent a sales transaction, the value of land may not be counted;

(l) Donations of Land. Donations of land may be counted as leverage only if the donating entity owns the land to be donated;

(m) In-kind services, such as those pertaining to:

(i) Homeownership counseling that is scheduled to begin promptly after grant award so that, to the maximum extent possible, qualified residents will be ready to purchase new homeownership units when they are completed. The Family Self-Sufficiency Program can also be used to promote homeownership, such as by providing assistance with escrow accounts and counseling, including fair housing counseling;

(ii) Coordinating with health care services providers or providing on-site space for a health clinic, doctors, a wellness center, dentists, etc., that will primarily serve the affordable housing residents. HOPE VI funds may not be used to provide direct medical care to residents;

(iii) Substance/alcohol abuse treatment and counseling;

(iv) Transportation, as necessary, to enable all family members to participate in available CSS activities and/or to commute to their places of employment;

(v) Entrepreneurship training and mentoring, with the goal of establishing resident-owned businesses;

(vi) Materials;

(vii) A building;

(viii) A lease on a building;

(ix) Other infrastructure;

(x) Time and services contributed by volunteers;

(xi) Supplies; and

(xii) Other CSS and FSS resources.

(2) Note that wages projected to be paid to residents through jobs, or projected benefits (*e.g.*, health, insurance, and retirement benefits) related to those projected jobs that are provided by CSS Partners, will not be counted as leverage.

(3) Leverage funds may include cash or in-kind services. However, in-kind services of staff time of either the Local Government applicant or the recognized developer entity will not be counted by HUD as leverage.

(4) Leverage funds may include funds already spent, or funds and/or in-kind services firmly committed to the Main Street Area as a whole, not just the targeted affordable housing project related to this NOFA.

(5) Leverage funds/in-kind services may include match funds.

(6) If the applicant provides leverage funds/in-kind services of an amount less than 100 percent of the requested grant amount, the application will not be eligible for funding through this NOFA.

i. *One Main Street Area.* The applicant may only include one Main Street Area in the application. However, the applicant's project may consist of several scattered sites within that one Main Street Area. If the applicant includes more than one Main Street Area in the application, the application will not be eligible for funding through this NOFA.

j. *One application.* The applicant may submit only one HOPE VI Main Street application as described in this NOFA. If more than one application is submitted by a single applicant, all applications will be disqualified and no application will be eligible for funding.

k. *Appropriateness of the Application.* The application demonstrates the appropriateness of the proposal in the context of the local housing market relative to other alternatives.

l. The following sub-sections of Section III of the General Section are hereby incorporated by reference. The applicant must comply with each of the incorporated threshold requirements in order to be eligible for funding, including:

(1) Ineligible Applicants;

(2) Dun and Bradstreet Data Universal Numbering System (DUNS) Number Requirement;

(3) Compliance with Fair Housing and Civil Rights Laws;

(4) Conducting Business In Accordance with Core Values and Ethical Standards;

(5) Delinquent Federal Debts;

(6) Pre-Award Accounting System Surveys;

(7) Name Check Review;

(8) False Statements;

(9) Prohibition Against Lobbying Activities; and

(10) Debarment and Suspension.

2. *Program Requirements.*

a. *Main Street Project Requirements.* The applicant must have, within the applicant's jurisdiction, a HUD-recognized Main Street project that includes affordable housing. In order to be recognized by HUD as a Main Street project, the rejuvenation effort must:

(1) Be located within a definable Main Street Area (See Section I.D. of this NOFA);

(2) Have as its purpose the rejuvenation or redevelopment of a historic or traditional commercial area;

(3) Involve investment or other participation by the local government and locally located private entities;

(4) Comply with historic preservation requirements as directed by the

cognizant State Historic Preservation Officer (''SHPO'') or, if such historic preservation requirements are not applicable, to preserve significant traditional, architectural, and design features in the project structures or Main Street area; and

(5) Have been described in a Main Street Rejuvenation Master Plan that was acknowledged by the applicant at least three years prior to the application submission date.

b. *Main Street Affordable Housing Project.* HUD refers to the rejuvenation or development of affordable housing in the Main Street Area as a ''Main Street Affordable Housing Project'' (''project''). The project must:

(1) Include the construction or substantial rehabilitation of affordable housing units. The number of units that will be developed through this NOFA must equal the number of units stated in form HUD–52861, ''HOPE VI Main Street Application Data Sheet,'' on the ''Unit Mix and Accessibility Summary, Post-Revitalization'' page.

(2) Involve the rehabilitation or development of affordable housing;

(3) Be located within the boundaries of the applicant's Main Street Area;

(4) Be located within the jurisdiction of the applicant; and

(5) Have been included as part of a Main Street Rejuvenation Master Plan before the publication date of this NOFA.

c. *Master Plan.* The Main Street Rejuvenation Master Plan must, at a minimum:

(1) Have been prepared, in whole or in part, by an architect, land planner, or qualified planning professional for the applicant or the developer entity recognized by the applicant;

(2) Describe the proposed Main Street project redevelopment strategies;

(3) Include a map indicating the Main Street Area;

(4) Include a narrative that refers to the map and describes the various planned redevelopment actions;

(5) Include the development of affordable housing; and

(6) Include a list of properties where affordable housing will be rehabilitated or developed. The list of properties must have been included in the master plan on or before the application submission date.

d. *Applicable Initial Resident Rental Contribution and Protections.* The initial resident of a project unit is subject to the same rules regarding occupant contribution toward rent or purchase, and terms of rental or purchase, as residents in HOPE VI Revitalization development public housing units.

e. *Requirements During the Initial Occupancy Period for Rentals.*

(1) Initial residents of affordable rental units and initial resident purchasers of affordable homeownership units must be subject to the same rules regarding occupant contribution toward rent or purchase, and terms of rental or purchase, as residents of public housing units in a HOPE VI development.

(2) The project owner entity is not required to develop most mandatory PHA documentation, *e.g.*, the PHA Plans as described in 24 CFR part 903, etc. However, before the project is initially rented, the ownership entity must develop a written statement of its rent determination and resident grievance policies.

(3) Public housing rental and grievance requirements that are contained in 24 CFR 903.7(d) and 24 CFR 903.7(f) may be used as examples for (1) and (2) above.

f. *Requirements for Initial Homeownership Sale.* The initial sale of an affordable homeownership unit must take place in accordance with Section 24 of the U.S. Housing Act of 1937 (1937 Act), as amended.

g. *Use Restrictions.* Project units must be maintained as affordable housing for only the period of initial occupancy or the initial resident's ownership. Use restrictions beyond the initial occupancy period may or may not be applied to the unit at the discretion of the applicant.

h. *Leveraging Other Resources.* This NOFA states that each applicant must obtain non-HOPE VI leverage resources for use in the Main Street Affordable Housing Project (see Sections III.B. and V.A.4.a. of this NOFA) and, separately, for use in the general Main Street Area effort (see also Section III.C.1.h. of this NOFA).

Main Street grant funds may be used to maximize the amount of leverage, i.e., leveraged funds and in-kind services, that the applicant can obtain from sources other than the HOPE VI program. In this capacity, grant funds may be used: (1) To collateralize municipal bonds or private-sector loans for affordable housing uses; and (2) As affordable housing ''key money'' to attract Main Street Affordable Housing Project or Main Street Area leverage.

(1) Uses of Leverage. Leverage funds and in-kind services may be used for eligible activities listed in Section I.E. of this NOFA and for related activities, including, but not limited to:

(a) For Main Street Affordable Housing Project Leverage:

(i) The acquisition of Main Street Affordable Housing Project-related affordable housing, including associated costs, such as appraisals, surveys, tax settlements, broker fees, and other closing costs;

(ii) Site improvements related to the construction and rehabilitation of Main Street Affordable Housing Project-related affordable housing;

(iii) Clearing of interior space that is necessary to facilitate rehabilitation of affordable housing units within a building;

(iv) Funding of Reserves, *e.g.*, Initial Operating Reserve necessary for financial viability during the initial affordable housing occupancy period, Replacement Reserves, etc.;

(v) Homeownership financial assistance, *e.g.*, write-down of homeownership unit development costs and down payment assistance;

(vi) Other uses that relate directly to the Main Street Affordable Housing Project;

(b) For Main Street Area Leverage:

(i) Rehabilitation of retail space;

(ii) Site improvements, *e.g.*, repaving streets or upgrading streets or sidewalks with brick or cobblestone, adding ''boulevard'' islands, etc.;

(iii) Legal and administrative fees and costs; and

(iv) Other uses that do not relate directly to the Main Street Affordable Housing Project, but do relate to the general Main Street Area effort.

i. *Transfer of Title for Tax Credits.* The original owner entity of Main Street Affordable Housing Project properties may transfer title to, or commit to a long-term lease with, an owner entity partnership that includes the original owner, the applicant, an equity partner and, when appropriate, other partners, for the purpose of obtaining Low Income or Historic Tax Credit equity as a leverage resource. See Section IV.E. of this NOFA for limits on sale of real property.

j. *Section 106 Historic Preservation Requirements.* Grantees may not commit HUD funds until HUD has completed the historic preservation review and consultation process under Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. 470f) and its implementing regulation, 36 CFR part 800, as applicable, in accordance with environmental review requirements under 24 CFR part 50. See *http://www.achp.gov/* for details on the Section 106 review process.

k. *Environmental Requirements.*

(1) HUD's notification of award to a selected applicant constitutes a preliminary approval by HUD, subject to HUD's completion of an environmental review, of proposed sites in accordance with 24 CFR part 50. Selection for

participation (preliminary approval) does not constitute approval of the proposed site(s).

(2) Your application constitutes a certification that you, the applicant, will supply HUD with all available, relevant information necessary for HUD to perform any environmental review required by 24 CFR part 50 for each property; will carry out mitigating measures required by HUD or, if mitigation is not feasible, select alternate eligible property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property, nor commit or expend HOPE VI, other HUD or other non-HUD funds for these program activities with respect to any eligible property, until you receive written HUD approval of the property.

(3) Each proposal will be subject to a HUD environmental review, in accordance with 24 CFR part 50, and the proposal may be modified or the proposed sites rejected as a result of that review.

(4) Phase I and Phase II Environmental Site Assessments. If you are selected for funding, you must have a Phase I environmental site assessment completed in accordance with the ASTM Standards E 1527–00, as amended, for each affected site. The results of the Phase I assessment must be included in the documents that must be provided to HUD for the environmental review. If the Phase I assessment recognizes environmental concerns or if the results are inconclusive, a Phase II environmental site assessment will be required.

(5) Mitigating and remedial measures. You must carry out any mitigating/remedial measures required by HUD. If a remediation plan, where required, is not approved by HUD and a fully-funded contract with a qualified contractor licensed to perform the required type of remediation is not executed, HUD reserves the right to determine that the grant is in default.

(6) Your application constitutes a certification that there are not any environmental or public policy factors such as sewer moratoriums that would preclude development in the requested Main Street Area.

(7) Note that environmental requirements for this NOFA are found in 24 CFR part 50, which requires HUD environmental approval. Please note that 24 CFR part 58, which allows State and local governments to assume Federal environmental responsibilities, is not applicable.

(8) HUD's Environmental Web site is located at *http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm*.

l. *Building Standards.*

(1) Building Codes. All activities that include construction, rehabilitation, lead-based paint removal, and related activities must meet or exceed local building codes. The applicant is encouraged to read the policy statement and Final Report of the HUD Review of Model Building Codes that identifies the variances between the design and construction requirements of the Fair Housing Act and several model building codes. That report can be found on the HUD Web site at *http://www.hud.gov/fhe/modelcodes*.

(2) Deconstruction. HUD encourages the applicant to design programs that incorporate sustainable construction and demolition practices, such as the dismantling or ''deconstruction'' of housing units, recycling of demolition debris, and reusing salvage materials in new construction. ''A Guide to Deconstruction'' can be found at *http://www.hud.gov/deconstr.pdf*.

(3) Partnership for Advancing Technology in Housing (''PATH''). HUD encourages the applicant to use PATH technologies in the construction and delivery of affordable housing. PATH is a voluntary initiative that seeks to accelerate the creation and widespread use of advanced technologies to radically improve the quality, durability, environmental performance, energy efficiency, and affordability of our nation's housing.

(a) The goal of PATH is to achieve dramatic improvement in the quality of American housing by the year 2010. PATH encourages leaders from the home building, product manufacturing, insurance, and financial industries, and representatives from federal agencies dealing with housing issues to work together to spur housing design and construction innovations. PATH will provide technical support in design and cost analysis of advanced technologies to be incorporated in project construction.

(b) Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices by:

(i) Reducing costs;

(ii) Improving durability;

(iii) Increasing energy efficiency;

(iv) Improving disaster resistance; and

(v) Reducing environmental impact.

(c) More information, including a list of technologies, the latest PATH Newsletter, results from field demonstrations, and descriptions of PATH projects can be found at *www.pathnet.org*.

(4) Energy Efficiency.

(a) New construction must comply with the latest HUD-adopted Model Energy Code issued by the Council of American Building Officials.

(b) In HOPE VI new construction, HUD encourages the applicant to set higher energy and water efficiency standards than the Model Energy Code contains. Such higher standards can achieve utility savings of 30 to 50 percent with minimal extra cost.

(c) The applicant is encouraged to negotiate with its local utility company to obtain lower utility rates. Utility rates and tax laws vary widely throughout the country. In some areas, local governments are exempt or partially exempt from utility rate taxes. Some local governments have paid unnecessarily high utility rates because they were billed using an incorrect rate classification.

(d) Local utility companies may be able to provide grant funds to assist in energy efficiency activities. States may also have programs that will assist in energy efficient building techniques.

(e) The applicant must use new technologies that will conserve energy and decrease operating costs where cost effective. Examples of such technologies include:

(i) Geothermal heating and cooling;

(ii) Placement of buildings and size of eaves that take advantage of the directions of the sun throughout the year;

(iii) Photovoltaics (technologies that convert light into electrical power);

(iv) Extra insulation;

(v) Smart windows; and

(vi) Energy Star appliances.

(5) Universal Design. HUD encourages the applicant to incorporate the principles of universal design in the construction or rehabilitation of housing, retail establishments, and community facilities, and when communicating with community residents at public meetings or events. Universal Design is the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design. The intent of Universal Design is to simplify life for everyone by making products, communications, and the built environment more usable by as many people as possible at little or no extra cost. Universal Design benefits people of all ages and abilities. Examples include designing wider doorways, installing levers instead of doorknobs, and putting bathtub/shower grab bars in all units. Computers and telephones can also be set up in ways that enable as many residents as possible to use them. The Department has a publication that contains a number of ideas about how the principles of Universal Design can

benefit persons with disabilities. To order a copy of *Strategies for Providing Accessibility and Visitability for HOPE VI and Mixed Finance Homeownership*, go to the publications and resource page of the HOPE VI Web site at *http://www.huduser.org/publications/pubasst/strategies.html*.

(6) Energy Star. The Department of Housing and Urban Development has adopted a wide-ranging energy action plan for improving energy efficiency in all program areas. As a first step in implementing the energy plan, HUD, the Environmental Protection Agency (EPA) and the Department of Energy (DoE) have signed a partnership to promote energy efficiency in HUD's affordable housing efforts and programs. The purpose of the Energy Star partnership is to promote energy efficiency of the affordable housing stock, but also to help protect the environment. Applicants constructing, rehabilitating, or maintaining housing or community facilities are encouraged to promote energy efficiency in design and operations. They are urged especially to purchase and use Energy Star-labeled products. Applicants providing housing assistance or counseling services are encouraged to promote Energy Star building to homebuyers and renters. Program activities can include developing Energy Star promotional and information materials, outreach to low- and moderate-income renters and buyers on the benefits and savings when using Energy Star products and appliances, and promoting the designation of community buildings and homes as Energy Star compliant. For further information about Energy Star, see *http://www.energystar.gov* or call 1–888-STAR-YES (1–888–782–7937) or for the hearing-impaired, 1–888–588–9920 TTY.

(7) All buildings must be in compliance with design and construction requirements of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and Section 109 of the Housing and Community Development Act of 1974.

m. *Lead-Based Paint.* The applicant must comply with lead-based paint evaluation and reduction requirements as provided for under the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821, *et seq.*). The applicant must also comply with regulations at 24 CFR part 35, as they may be amended or revised from time to time. Unless otherwise provided, the applicant will be responsible for lead-based paint evaluation and reduction activities for housing constructed prior to 1978. The National Lead Information Hotline is 1–800–424–5323.

n. *Labor Standards.*

(1) If other federal programs are used in connection with the applicant's HOPE VI Main Street activities, Davis-Bacon requirements apply to the extent required by the other federal programs.

(2) If an applicant provides Main Street grant funds to a PHA to construct, rehabilitate, or otherwise assist affordable housing under this NOFA, Davis-Bacon wage rates will apply to laborers and mechanics (other than volunteers under 24 CFR part 70) employed in the development of such units, and HUD-determined wage rates will apply to laborers and mechanics (other than volunteers) employed in the operation of such units.

o. *Relocation Requirements.* The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1979 (42 U.S.C. 4601–4655) and implementing regulations at 49 CFR part 24 apply to anyone who is displaced as a result of acquisition, rehabilitation, or demolition due to a HUD-assisted activity.

p. *Fair Housing and Equal Opportunity Requirements.*

Fair Housing and Equal Opportunity requirements stated in Section III.c.2.(c) of the General Section apply as referenced in this NOFA. In addition, the following requirement applies:

(1) Accessibility Requirements.

(a) All ''multifamily'' HOPE VI developments, defined as projects with more than five units, are subject to the accessibility requirements contained in several federal laws, as implemented in 24 CFR part 8. PIH Notice 2003–31, available at *http://www.hud.gov/offices/pih/publications/notices/*, and subsequent updates, provides an overview of all pertinent laws and implementing regulations pertaining to HOPE VI.

(b) Generally, for substantial rehabilitation of projects with more than 15 housing units, or new construction of a multifamily project, at least 5 percent of the units, or one unit, whichever is greater, must be accessible to persons with mobility impairments. An additional 2 percent, but not less than one unit, must be made accessible for persons with hearing or vision impairment. See, in particular, 24 CFR parts 8.20 through 8.32.

(c) In addition, under the Fair Housing Act, all new construction of covered multifamily buildings must contain certain features of accessible and adaptable design. The relevant accessibility requirements are provided in HUD's FHEO Web site at *http://www.hud.gov/groups/fairhousing.cfm*. Units covered are all those in elevator buildings with four or more units and all ground floor units in buildings without elevators. See also ''program accessibility'' at *http://www.hud.gov/offices/fheo/disabilities/sect504faq.cfm#anchor263905*. This section is in addition to, and does not replace, other non-HUD accessibility requirements that the applicant local government may be subject to.

(2) Compliance with Fair Housing and Civil Rights Laws.

(a) Applicants must comply with all applicable fair housing and civil rights requirements in 24 CFR 5.105(a).

(b) If you, the applicant:

(i) Have been charged with an ongoing systemic violation of the Fair Housing Act; or

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

(iii) Have received a letter of noncompliance findings, identifying ongoing systemic noncompliance, under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, or Section 109 of the Housing and Community Development Act of 1974; and

(iv) The charge, lawsuit or letter of findings referenced in subpart (a), (b), or (c) above has not been resolved to HUD's satisfaction before the application deadline, then you are ineligible and HUD will not rate and rank your application. HUD will determine if actions to resolve the charge, lawsuit, or letter of findings taken prior to the application deadline are sufficient to resolve the matter.

Examples of actions that would normally be considered sufficient to resolve the matter include, but are not limited to:

(A) A voluntary compliance agreement signed by all parties in response to a letter of findings;

(B) A HUD-approved conciliation agreement signed by all parties;

(C) A consent order or consent decree; or

(D) An issuance of a judicial ruling or a HUD Administrative Law Judge's decision.

3. *General Section References.* The following subsections of Section III of the General Section are hereby incorporated by reference:

a. Additional Nondiscrimination and Other Requirements;

(1) Civil Rights Laws, including the Americans with Disabilities Act of 1990 (42 U.S.C. 1201 *et seq.*);

(2) The Age Discrimination Act of 1974 (42 U.S.C. 6101 *et seq.*); and

(3) Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 *et seq.*)

b. Affirmatively Furthering Fair Housing;

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

d. Ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Women-Owned Businesses;

e. Relocation;

f. Executive Order 13166, Improving Access to Services for Persons With Limited English Proficiency (LEP);

g. Executive Order 13279, Equal Protection of the Laws for Faith-Based and Community Organizations;

h. Accessible Technology;

i. Procurement of Recovered Materials;

j. Participation in HUD-Sponsored Program Evaluation;

k. Executive Order 13202, Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects;

l. Salary Limitation for Consultants;

m. OMB Circulars and Government-wide Regulations Applicable to Financial Assistance Programs;

n. Drug-Free Workplace; and

o. Safeguarding Resident/Client Files.

IV. Application and Submission Information

A. Addresses To Request Application Package

This section describes how you may obtain application forms, additional information about the General Section of this NOFA, and technical assistance.

1. Copies of this published NOFA and related application forms may be downloaded from the grants.gov Web site at *http://www.grants.gov/FIND.* If you have difficulty accessing the information, you may receive customer support from grants.gov by calling the help line at (800) 518–GRANTS or by sending an email to *support@grants.gov.* The operators will assist you in accessing the information. If you do not have Internet access and need to obtain a copy of this NOFA, you can contact HUD's NOFA Information Center toll-free at (800) HUD–8929. Persons with hearing or speech impairments may call toll-free at (800) HUD–22091.

2. *Application Kits.* There are no application kits for HUD programs. All the information you need to apply will be in the NOFA and available on *http://www.grants.gov.*

3. The published **Federal Register** document is the official document that HUD uses to evaluate applications. Therefore, if there is a discrepancy between any materials published by HUD in its **Federal Register** publications and other information provided in paper copy, electronic copy, or at *http://www.grants.gov*, the **Federal Register** publication prevails. Please be sure to review the application submission against the requirements in the **Federal Register** file of this NOFA.

B. Content and Form of Application Submission

1. *Number of Applications Permitted.* Each applicant may submit only one application.

2. *Joint Applications.* Joint applications are not permitted. However, the applicant may enter into subgrant agreements with procured developers, other partners, nonprofit organizations, state governments, or other local governments to perform the activities proposed under the application.

3. *General Format and Length of Application.*

a. *Applicant Name.* The applicant's name must include the name of the Local Government that is applying and the state in which the Local Government is located.

b. *Electronic Format.*

(1) Narrative. Narrative sections of the application are as listed in Section IV.B.3.c. of this NOFA. Each section should be contained in a separate file. Each file should contain one title page.

(a) Narrative Title Pages. HUD will use title pages as tabs when it downloads and prints the application. Provided the information on the title page is limited to the list in Section (i) below, the title pages will not be counted when HUD determines the length of each section or the overall length of the narrative.

(i) Each title page should contain only:

(A) The name of the section, as described in Section IV.B.3.c. of this NOFA, *e.g.*, ''Section D: Rating Factor 1, Capacity, Narrative Response';

(B) The name of the applicant; and

(C) The name of the file that contains the narrative section.

(b) Narrative File Names and Types.

(i) No narrative section file in the application may contain more than five files. ZIP file folders may be used to combine several narrative files. Each file and ZIP file folder must be entered into the grants.gov ''Attachment Form'' in the ''Grant Application Package'' for submission.

(ii) Each file, or file within the ZIP file folder, must be formatted so it can be read by MS Word 2000 (.doc) or Adobe Acrobat as a searchable PDF file.

(iii) The name of each file, or file within the ZIP file folder, must include the information below, in the order stated:

(A) Short version of applicant's name, *e.g.*, town, city, county/parish, etc., and state; and

(B) The word ''Narrative'' and the narrative section letter (A through J), as listed in Section IV.B.3.c. of this NOFA;

(C) An example of a narrative section file name is, ''Atlanta GA Narrative A.''

(2) Attachments. Attachments are as listed in Section IV.B.3.c. of this NOFA. Each attachment should be contained in a separate file and section of the application. Each attachment that is not a HUD form should contain one title page.

(a) Attachment Title Pages. HUD will use title pages as tabs if it prints the application. Provided the information on the title page is limited to the list in Section (i) below, the title pages will not be counted when HUD determines the length of each attachment, or the overall length of the attachments. HUD forms do not require title pages.

(i) Each title page should contain only:

(A) The name of the attachment, as described in Section IV.B.3.c. of this NOFA, *e.g.*, ''Section M: Main Street Area Drawing'';

(B) The name of the applicant; and

(C) The name of the file that contains the attachment.

(b) Attachment file names and types.

(i) In the grants.gov application package, some forms are completed online and some are downloaded and completed offline. A maximum of ten attachments/ZIP file folders should be used to contain and submit the various forms and other attachments that are completed offline. Each file and ZIP file folder must be entered into the grants.gov ''Attachment Form'' in the ''Grant Application Package'' for submission.

(ii) Each file, and file within a ZIP file folder, must be formatted so it can be read by MS Word (.doc), MS Excel (.xls) or Adobe Acrobat (.pdf), preferably searchable.

(A) Third-party documents, *e.g.*, leverage commitment letters, pictures, etc., should be submitted in Adobe Acrobat (PDF) format.

(iii) Each file name must include the information below, in the order stated:

(A) Short version of applicant's name, *e.g.*, town, city, county/parish, etc., and state; and

(B) The word ''Attachment'' and the Attachment section letter (K through U), as listed in Section IV.B.3.c. of this NOFA;

(C) An example of an attachment file name is, ''Atlanta GA Attachment L''

(3) Maximum Length of Application.

(i) Page Definition and Format.

(A) For the narrative, a ''page'' contains a maximum of 23 double-spaced lines. The length of each line must be a maximum of 6½ inches. This is the equivalent of formatting to be printed on 8½″ x 11″ paper, with one inch top, bottom, left and right margins. The font must be 12-point Times New Roman. Each page must be numbered. The page numbers may be within the bottom one inch of the page, beyond the 23 lines, *e.g.*, in the footer area.

(B) For attachments, text pages should be formatted as defined as in (A) above. Third-party documents converted into PDF format must not be shrunk to fit more than one original page on each application page. Pages of HUD forms and certification formats furnished by HUD must remain as numbered by HUD.

(ii) The maximum total length of all narrative sections, including the Executive Summary and the Rating Factor responses, is 15 pages.

(iii) The maximum length of attachments is as follows:

(A) HUD forms will not be counted toward the attachment page total;

(B) For the Program Schedule, a maximum of one page;

(C) For the Map of the Main Street Area, one page. The map must be scalable and may be shrunk to fit one page from a standard size blueprint. The map must be legible when viewed in Adobe Acrobat (.pdf), which has the ability to zoom to over 1600%;

(D) Main Street Rejuvenation Master Plan (Master Plan), a maximum of 20 pages. Master Plan documents should be scanned and converted into one or more PDF files. In order to meet the size limitation, the applicant may submit only the portions of the Master Plan that pertain to subjects that are listed in Section III of this NOFA, under ''Thresholds'' and ''Program Requirements,'' and Section V of this NOFA. If those portions of the Master Plan exceed 20 pages, the applicant may summarize information that is included in those portions of the Master Plan. *By applying for this NOFA, the applicant is certifying that submitted summaries of the Master Plan accurately represent the original Master Plan;*

(E) Text submitted at the request of HUD to correct technical deficiencies will not be counted in the page limit.

c. *List of Mandatory Application Sections and Related Documents.*

(1) Summary Information:

(a) Section A: Application for Federal Assistance, form SF–424;

(b) Section B: Application Table of Contents;

(c) Section C: Executive Summary;

(2) Rating Factor Responses:

(a) Section D: Rating Factor 1, Capacity, Narrative Response;

(b) Section E: Rating Factor 2, Need for Affordable Housing, Narrative Response;

(c) Section F: Rating Factor 3, Appropriateness of Main Street Master Plan;

(d) Section G: Rating Factor 4, Appropriateness of the Main Street Affordable Housing Project;

(e) Section H: Rating Factor 5, Program Administration and Fiscal Management;

(f) Section I: Rating Factor 6, Incentive Criteria on Regulatory Barrier Removal; and

(g) Section J: Rating Factor 7, RC/EZ/EC–IIs.

(3) Attachments:

(a) Section K: HOPE VI Main Street Application Data Sheet, form HUD–52861;

(b) Section L: Program Schedule;

(c) Section M: Map of Main Street Area;

(d) Section N: Main Street Rejuvenation Master Plan;

(e) Section O: HOPE VI Budget, form HUD–52825A;

(f) Section P: 5-Year Cash Flow Proforma;

(g) Section Q: America's Affordable Communities Initiative, form HUD–27300, and related documentation;

(h) Section R: Logic Model, form HUD–96010;

(i) Section S: Race and Ethnic Data Reporting, form HUD–27061;

(j) Section T: Applicant/Recipient Disclosure/Update Report, form HUD–2880, if applicable;

(k) Section U: Certification of Consistency with the RC/EZ/EC-IIs Strategic Plan, form HUD–2990, if applicable; and

(l) Section V: Disclosure of Lobbying Activities, Standard Form LLL, if applicable.

4. *Documentation Information.*

a. *Executive Summary.*

(1) Provide an Executive Summary, not to exceed two pages. Describe your affordable housing plan. State whether you have procured a developer or whether you will act as your own developer. Briefly describe:

(a) The type of housing, *e.g.*, walk-up above retail space, detached house, etc.;

(b) The number of units and buildings;

(c) The specific plans for the Main Street Area that surrounds the Main Street Affordable Housing Project. Include income mix, basic features (such as restoration of streets), and a general description of mixed-use and non-housing Main Street rejuvenation components.

(d) The number of homeownership units in your proposal, if any;

(e) The amount of HOPE VI funds you are requesting. See Section IV.E. of this NOFA for funding limits; and

(f) A list of major non-HOPE VI funding sources for the Main Street Affordable Housing Project, if any.

b. *HOPE VI Main Street Application Data Sheet, form HUD–52861, in MS Excel format (.xls).*

(1) This form consists of several Excel worksheets. Instructions for filling in the data worksheets are located on the left-hand worksheet, with the tab name, ''Instructions.'' The worksheets should be filled out from the left-most tab toward the right. In this way, the information that the applicant provides will automatically be inserted to the right into other worksheets as needed.

(2) List of Match and Leverage Resources. To meet the leverage resources threshold stated in Section III.C.1 of this NOFA, the applicant must provide a leverage amount equal to or greater than the applicant's requested grant amount. Allowable resources may be cash contributions or contributions of in-kind services. For each of the applicant's leverage resources, the applicant's list of leverage resources must include:

(a) The name of the entity providing the resource;

(b) The name of a contact for the entity providing the resource that is familiar with the contribution toward this application;

(c) The telephone number of a contact for the resource who is familiar with the contribution toward this application;

(d) The leverage amount;

(e) Whether the leverage amount is cash or in-kind services; and

(f) The period in which the leverage resource was expended or will be received, *e.g.*, expended during 2003, or, for a future leverage resource, the period in which it will be furnished, *e.g.*, over the next two years.

c. *Program Schedule.* The application must include a program schedule for the applicant's Project.

(1) The schedule must include, at a minimum:

(a) Grant Agreement Execution Date. Assume that the Grant Agreement Execution Date will be within 90 days of the grant award notification date;

(b) Date of closing of financing of the first phase, in months after the grant award date;

(c) Date of the start of construction of the first housing unit, in months after the grant award date; and

(d) Date of the completion of construction of the last housing unit, in months after the grant award date.

(2) The Program Schedule must reflect the Reasonable Time-Frame and Development Proposal time requirements stated in Section VI.B.1. of this NOFA. The Program Schedule must also state that grant activities will be completed within the 30-month term of the grant.

d. *Map of Main Street Area.* The drawing must show the boundaries of a Main Street Area and denote each housing site that is included in the applicant's project. The boundaries may include streets, highways, railroad tracks, etc., and natural boundaries such as streams, hills, and ravines, etc.

e. *Main Street Rejuvenation Master Plan.* The applicant's Main Street Rejuvenation Master Plan must address, at a minimum, the eight subjects listed in ''Main Street Rejuvenation Master Plan,'' in Section I.D.13. of this NOFA. The Master Plan must be as it existed on or before the application submission date of this NOFA. It is not necessary to include a market analysis for affordable housing that is needed in the Main Street Area or applications to the Historic Registry or list of Historic Districts. The applicant may submit only the portions of the Master Plan that pertain to subjects that are listed in Section III of this NOFA, under ''Thresholds,'' ''Program Requirements,'' and Section V of this NOFA. If those portions of the Master Plan exceed 20 pages, the applicant may summarize information that is included in those portions of the Master Plan. By applying for this NOFA, the applicant is certifying that submitted summaries of the Master Plan accurately represent the original Master Plan. See Section IV.B.5. of this NOFA for certifications that the applicant is making when the applicant applies for funds from this NOFA.

f. *Cash Flow Proforma.* The applicant must include a five-year estimate of project income, expenses, and cash flow (''proforma'') that shows that the project will be financially viable over the long term. In the proforma, the applicant should assume that the initial occupancy period is a minimum of two years. Note that initial funding of reserves with grant funds is NOT an allowable use of funds from this NOFA. Reserves may be funded through leverage resources. Viability must be shown for the entire project, i.e., all buildings that include affordable housing units that are partially or wholly funded with HOPE VI funds. The applicant may include one proforma for the entire project, or several proformas, broken out for the various portions of the project, as fits the circumstances best. For example, separate proformas may include viability documentation for:

(1) All buildings together;

(2) Separately for each building in the project; or

(3) Separately for each owner entity in the project.

g. *HOPE VI Budget.* Enter the amount you are requesting through this NOFA. In ''Part I: Summary,'' it is not necessary to fill in the columns entitled, ''Previous Authorized Amounts of Funds in LOCCS,'' ''Changes Requested in this Revision,'' and ''HUD-Approved Total Authorized Amount of Funds in LOCCS.'' In ''Part II: Supporting Pages,'' it is necessary only to fill in columns 2 and 3.

h. *Logic Model.* It is not necessary to fill in columns 6, 7, 8 and 9. This information will be collected at the end of the grant term. See Section VI.C.3. of this NOFA.

i. Appropriateness of Application. Section 24(e)(1) of the 1937 Act requires that the application demonstrate the appropriateness of the proposal in the context of the local housing market relative to other alternatives. An example of an alternative proposal would be proposing a range of resident incomes, housing types (rental, homeownership, market-rate, townhouse, detached house, etc.), or costs which cannot be supported by the existing neighborhood demographics. Briefly, contrast your proposal and an alternative, and include the discussion in the executive summary.

5. *Certifications:* By manually or electronically signing the SF–424, the applicant certifies to the following:

a. The Main Street Rejuvenation Master Plan that is included as part of this application existed for three years prior to the application submission date, and is mentioned in the applicant's Consolidated Plan, if one exists;

b. Prior to the publication date of this NOFA, the Main Street Affordable Housing Project was, and continues to be, included in the Main Street Rejuvenation Master Plan;

c. Submitted summaries of the Master Plan accurately represent the original Master Plan;

d. The applicant or its developer entity recognized by the applicant has site control of all properties where affordable housing will be developed;

e. All project sites have zoning that allows for residential development;

f. All Match resources included in the application are ''firmly committed.'' See the definition of ''firmly committed'' in Section I.D. of this NOFA;

g. All leverage resources included in the application are ''firmly committed.'' See the definition of ''firmly committed'' in Section I.D. of this NOFA;

h. Historic preservation requirements in Section 106 of the *National Historic Preservation Act of 1966 (NHPA)* will be fulfilled, where applicable.

i. Environmental requirements stated in the NOFA will be fulfilled;

j. Building standards stated in the NOFA will be fulfilled;

k. Relocation requirements under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) will be fulfilled;

l. Fair Housing requirements will be followed and fulfilled; and

m. The ''Certification of Consistency with RC/EZ/EC Strategic Plan'' (form HUD–2990), if included in the application, applies.

6. *Rating Factor Format.* The narrative portion of the application is the executive summary and the applicant's response to the rating factors. To ensure proper credit for information applicable to each rating factor, the applicant should include application Section references, as listed in Section IV.B.3.c. of this NOFA, with key words or phrases searchable to supporting documentation and language, as appropriate for rating factor responses. The applicant's rating factor responses should be as descriptive as possible, ensuring that every requested item is addressed. The applicant should make sure to include all information requested in the instructions of this NOFA. Although information from all parts of the application will be taken into account in rating the various factors, if supporting information cannot be found by the reviewer, it cannot be used to support a factor's rating.

7. *Rating Factor Documentation.*

a. *References to the Main Street Rejuvenation Master Plan.* (1) The purpose of referencing the Main Street Rejuvenation Master Plan is to decrease the amount of rating factor narrative that the applicant finds necessary to achieve its maximum rating. It is NOT necessary to repeat in the rating factor narratives the information that the applicant included in its Master Plan.

(2) Each reference to the Master Plan should be specific, including the page number of the Master Plan where the information can be found and a reference to identify its location on the page. More than one specific reference to the Master Plan may be included for any one subject or rating factor narrative.

b. *Team Experience and Key Personnel Knowledge.* Documentation that demonstrates knowledge and experience may include, but is not limited to:

(1) A list and short description of affordable housing projects that the members of the applicant's team have completed;

(2) A list and short description of contracts or grants completed by the members of the applicant's team for similar housing development or services;

(3) Third-party evaluation reports;

(4) Résumés of key personnel; and

(5) Other documentation showing knowledge and experience of affordable housing development or construction.

c. *Need for Affordable Housing.* Documentation of need for affordable housing is based on a comparison of HUD's Fair Market Rent (FMR) for the applicant's Primary Metropolitan Statistical Area/Metropolitan Statistical Area (''PMSA/MSA'') or nonmetropolitan county/parish and the maximum amount of rent that a low-income family living in that PMSA/MSA or nonmetropolitan county/parish can afford to pay.

(1) PMSA/MSAs and nonmetropolitan counties are as listed in HUD's document titled ''FY 2004 State List of Counties (and New England Towns) Identified by Metropolitan and Nonmetropolitan Status' at *http://www.huduser.org/datasets/il/IL04/Definitions04.doc.*

(2) The FMRs are listed at *http://www.huduser.org/intercept.asp?loc=/Datasets/FMR/FMR2005F/Final_FY2005_SCHEDULEB1.pdf*

(3) The maximum, affordable low-income rent is based on HUD's Income Limits, as listed at *http://www.huduser.org/datasets/il/IL04/Section8_IncomeLimits_2004.doc* for low-income families. The maximum, affordable low-income rent is equal to the Median Family Income for low-income families, divided by 12, divided further by 0.3 (30 percent).

(4) In performing the comparison, the applicant must use the 4-person family size and the 3-bedroom unit size. The application must include the income limit and maximum, affordable low-income rent for a 4-person family, and the Fair Market Rent for a 3-bedroom unit.

d. *Program Administration and Fiscal Management.* Documentation that demonstrates program administration and fiscal management MUST include:

(1) A description of the procurement system structure that the applicant has in place, including internal controls;

(2) A description of the fiscal management structure that the applicant has in place, including fiscal controls and internal controls;

(3) A summary of the results of the last available annual external, independent audit, including findings, if any;

(4) A list of any findings issued or material weaknesses found by HUD or other federal or state agencies. A description of how the applicant addressed the findings and/or weaknesses. If no findings or material weaknesses were exposed or existed on or before the publication date of this NOFA, include a statement to that effect in the narrative; and

(5) A description of the applicant's management control structure, including management roles and responsibilities and evidence that the applicant's management is results-oriented, e.g., existing production, rental, and maintenance goals.

e. *Incentive Criteria on Regulatory Barrier Removal.*

(1) The applicant must include the completed form HUD–27300 in the application, along with background documentation where required by the form.

f. *RC/EZ/EC–IIs.*

(1) To receive the two bonus points for performing the NOFA activities in a RC/EZ/EC–II area, the applicant must include the ''Certification of Consistency with RC/EZ/EC Strategic Plan'' (form HUD–2990) in the application. The form HUD–2990 needs to be filled out, but does not need to be signed. See Section IV.B.5. of this NOFA, ''Certifications.''

C. Submission Dates and Times

1. *Application submission date.* The application submission date is September 6, 2005.

2. *No Facsimiles or Videos.* HUD will not accept for review, evaluation, or funding, any entire application sent by facsimile (fax). However, third-party documents or other materials sent by facsimile in compliance with the instructions under Section IV. F., ''Other Submission Requirements,'' and received by the application submission date will be accepted. Facsimile corrections to technical deficiencies will be accepted. Also, videos submitted as part of an application will not be viewed.

D. Intergovernmental Review

1. *Executive Order 12372, Intergovernmental Review of Federal Programs.* Executive Order 12372 was issued to foster intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of federal financial assistance and direct federal development. HUD implementing regulations are published in 24 CFR part 52. The executive order allows each state to designate an entity to perform a state review function. The official listing of State Points of Contact (SPOCs) for this review process can be found at *http://www.whitehouse.gov/omb/grants/spoc.html.* States not listed on the Web site have chosen not to participate in the intergovernmental review process and, therefore, do not have a SPOC. If the applicant's state has a SPOC, the applicant should contact it to see if it is interested in reviewing the application prior to submission to HUD. The applicant should allow ample time for this review process when developing and submitting the applications. If the applicant's state does not have a SPOC, the applicant may send applications directly to HUD.

E. Funding Restrictions

1. Grant funds shall be used only to provide assistance to carry out eligible affordable housing activities, as stated in Section I.E. of this NOFA.

2. *Non-allowable Costs and Activities.* Although leverage resources may be used to fund the following activities or expenses, grant funds from this NOFA CANNOT be used for:

a. Total demolition of a building (including where a building foundation is retained);

b. Sale or lease of the Main Street Affordable Housing Project site (excluding lease or transfer of title for the purposes of obtaining tax credits, provided that the recipient owner entity of the title or lease includes the applicant);

c. Funding of reserves;

d. Payment of administrative costs of the applicant;

e. Payment of legal fees;

f. Development of public housing replacement units (defined as units that replace disposed of or demolished public housing) or use as Housing Choice Vouchers;

g. Transitional security activities;

h. Main Street technical assistance consultants or contracts; and

i. Costs incurred prior to grant award, including the cost of application preparation.

3. *Cost Controls.*

a. The total amount of HOPE VI funds expended shall not exceed the Total Development Cost (''TDC''), as published by HUD in NOTICE PIH 2003–8 (HA), ''Public Housing Development Cost Limits,'' for the number of affordable housing units that will be developed through this NOFA. The TDC limits can be found at *http://www.hudclips.org/sub_nonhud/cgi/nph-brs.cgi?d=PIHN&s1=2003–8&op1=AND&l=100&SECT1=TXT_*

HITS&SECT5=HEHB&u=./hudclips.cgi& p=1&r=2&f=G.

b. Cost Control Safe Harbors apply. Safe Harbors may be found at *http://www.hud.gov/utilities/intercept.cfm?/offices/pih/programs/ph/hope6/grants/admin/safe_harbor.pdf.*

4. *Community and Supportive Services (''CSS'').* Furnishing CSS to residents is voluntary, except for homeownership counseling when the application includes development of homeownership units. If the applicant chooses to furnish CSS, expenditures are limited to 15 percent of the grant amount.

5. Statutory time limit for award, obligation, and expenditure.

a. The estimated award date will be September 30, 2005.

b. Funds available through this NOFA must be obligated on or before September 30, 2005.

c. In accordance with 31 U.S.C. 1552 (Pub. L. 97–258, Sept. 13, 1982, 96 Stat. 935; Pub. L. 101–510, div. A, title XIV, Sec. 1405(a)(1), Nov. 5, 1990, 104 Stat. 1676.), all HOPE VI funds that were appropriated in FY 2004 must be expended by September 30, 2010. Any funds that are not expended by that date will be cancelled and recaptured by the Treasury, and thereafter will not be available for obligation or expenditure for any purpose.

6. *Withdrawal of Funding.* If a grantee under this NOFA does not proceed within a reasonable time frame, HUD shall withdraw any grant amounts that have not been obligated. HUD shall redistribute any withdrawn amounts to one or more other applicants eligible for assistance.

7. *Transfer of Funds.* HUD has the discretion to transfer funds available through this NOFA to any other HOPE VI program.

8. *Limitation on Eligible Expenditures.* Expenditures on services, equipment, and physical improvements must directly relate to project activities allowed under this NOFA.

9. *Pre-Award Activities.* Award funds may not be used to reimburse pre-award expenses.

F. Other Submission Requirements

Application Submission and Receipt Procedures. This section provides the application submission and receipt instructions for HUD program applications. Please read the following instructions carefully and completely, as failure to comply with these procedures may disqualify your application.

1. *Electronic Delivery.* HUD requires applicants to submit their applications electronically through *http://www.grants.gov. HUD will not accept or consider any applications that have been submitted through any other method, unless a waiver is granted.* See Section IV of the General Section.

2. *What to Expect on grants.gov.* The following describes what to expect when you go to apply online using grants.gov/Apply:

a. *Getting Started.* Once on the site, you will find easy-to-follow, step-by-step instructions that will enable you to apply for HUD funds. The *http://www.grants.gov* feature includes a simple, unified application process to enable applicants to apply for grants online. There are six ''Get Started'' steps to complete at grants.gov. The information applicants need to understand and execute the steps is at *http://www.grants.gov/GetStarted.* Applicants should read the Get Started steps carefully. The site also contains registration checklists to help you walk through the process. HUD recommends that you download the checklists and prepare the information requested before beginning the registration process. Reviewing information required and assembling it before beginning the registration process will save you time and make the process faster and smoother.

b. *DUNS Requirement.* All applicants applying for funding, including renewal funding, must have a Dun and Bradstreet Universal Data Numbering System (DUNS) number. The DUNS number must be included in the data entry field labeled ''Organizational Duns'' on the form SF–424. Instructions for obtaining a DUNS number can be found at either of the following Web sites: *http://www.hud.gov/offices/adm/grants/duns.cfm* or *http://www.grants.gov/GetStarted.*

c. *Faulty Registration Warning.* HUD has found that the primary reason for application submission problems through grants.gov is faulty or incomplete registration by the applicant. The applicant must register as an entity/organization with the Federal Central Contractor Registry. The applicant must also register its Authorized Organization Representative (AOR), who is the electronic signatory.

d. *Central Contractor Registry and Credential Provider Registration.* In addition to having a DUNS number, applicants applying electronically through grants.gov must register with the Federal Central Contractor Registry and with a Credential Provider. The *http://www.grants.gov* Web site at *http://www.grants.gov/GetStarted* provides step-by-step instructions for registering in the Central Contractor Registry and registering with a credential provider. All applicants filing electronically must register with the Central Contractor Registry and receive credentials from the grants.gov credential provider in order to apply online. Failure to register with the Central Contractor Registry and credential provider will result in your application being rejected by the grants.gov portal.

The registration process is a separate process from submitting an application. Applicants are, therefore, encouraged to register early. The registration process can take approximately two weeks to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. You will be able to submit your application online anytime after you receive your e-authentication credentials.

e. *Authorized Organization Representative (AOR) Electronic Signature.* Applications submitted through grants.gov constitute submission as electronically signed applications. The registration and e-authentication process establishes the AOR. When you submit the application through grants.gov, the name of your authorized organization representative on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR.

3. *Instructions.* Instructions on how to submit an electronic application to HUD via grants.gov:

a. *Applying using grants.gov.* Grants.gov has a full set of instructions on how to apply for funds on its Web site at *http://www.grants.gov/CompleteApplication.* The following provides simple guidance on what you will find on the *http://www.grants.gov/Apply* site. Applicants are encouraged to read through the page entitled, ''Complete Application Package'' before getting started. Grants.gov allows applicants to download the application package, instructions, and forms that are incorporated in the instructions, and work offline. In addition to forms that are part of the application instructions, there will be a series of electronic forms that are provided utilizing a PureEdge reader. The PureEdge Reader is available free for download from the grants.gov/Get Started site. The PureEdge Reader allows applicants to read the electronic files in a format identical to any other Standard or HUD form. The PureEdge forms have content-sensitive help. To use this feature you will need to click on the icon at the top

of the page that features an arrow with a question mark. This engages the content-sensitive help for each field you will need to complete on the electronic form. The PureEdge forms can be downloaded and saved on your hard drive, network drive(s), or compact disks (CDs). Because of the size of the application, HUD recommends downloading the application to your computer hard drive. The instructions include this NOFA and any required forms that have not been converted into PureEdge forms. The instructions will also include a checklist to ensure that you are provided all the required information for submitting your application. Please review the checklist to ensure that your application contains all the required materials.

b. *Mandatory Fields on PureEdge Forms.* In the PureEdge forms you will note fields that will appear with a yellow background color on the data fields to be completed. These fields are mandatory fields and must be completed to successfully submit your application.

c. *Completion of SF–424 Fields First.* The PureEdge forms are designed to fill in common required fields such as the applicant name and address, DUNS number, etc., on all PureEdge electronic forms. To trigger this feature, an applicant must first complete the SF–424 information. Once it is completed the information will transfer to the other forms. This is an important feature to remember, particularly if you plan on submitting documents using the electronic facsimile feature discussed below. HUD will rely on the name, address, CFDA, and DUNS number fields on the electronic facsimile cover page populated from the completed SF–424, to route documents received by facsimile to the proper application. To ensure that your materials are properly routed, first complete the SF–424 cover page. After the SF–424 is complete, download the Facsimile Transmittal cover page to use the electronic facsimile feature described below if you need to use this feature. If you are relying on third parties to transmit matching fund letters or certifications, you can complete the SF–424, then download the Facsimile Transmittal cover page and provide a hard copy or electronic copy to the third party. Third parties can then directly submit the information to HUD using the pre-filled Facsimile Transmittal cover page, provided they use the correct fax number provided for the program.

d. *Submission of Third Party Letters, Certifications, or Narrative Statements.* In addition to forms, the NOFA may require the submission of other documentation such as third-party letters, certifications, or program narrative statements. This section discusses how you should submit this additional information electronically as part of your application:

(1) Narrative Statements to the Factors for Award. If you are required to submit narrative statements, you should submit them as an electronic file. Each response to a Factor for Award should be developed as a separate file labeled with the appropriate factor name, *e.g.*, Factor 1 Capacity and submitted as part of your electronic application.

(2) Third-Party Letters, Certifications Requiring Signatures, and Other Documentation. The following two options, (a) and (b), apply to applicants who are required to submit documentation from organizations providing matching or leveraging funds; documentation of 501(c)(3) status or incorporation papers; documents that support the need for the program; Memoranda of Understanding (MOUs); or documentation to support your organization's claims regarding work that has been done to remove regulatory barriers to affordable housing:

(a) Scanning Documents to Create Electronic Files. Of the two third-party document submission options, scanning of documents into PDF format and including them as attachment files is HUD's preferred method for this NOFA. Electronic files must be labeled so the reader will know what the file contains. Match or leveraging letters can be scanned into a single folder or the applicant can create a separate file for each scanned letter and label them accordingly. All scanned files should be placed together in a zipped folder and then attached to the application package submitted to grants.gov as part of the application submission; or

(b) Electronic Facsimile Required Documentation. Applicants without available scanning equipment may submit the required documentation to HUD via facsimile (fax). The electronic facsimile method may only be used to submit attachments that are part of your electronic application. HUD will not accept entire applications via fax. Applications submitted entirely via fax will be disqualified.

To submit documents using the electronic facsimile method, applicants MUST USE form HUD–96011, Facsimile Transmittal, as the cover page for each faxed document. The HUD–96011 MUST NOT be covered by the applicant's own fax cover sheet. If the HUD–96011 is not the first page faxed, the document may not be able to be identified and may not be made part of the electronically submitted application. The form HUD–96011 is an electronic form and is part of the applicant's downloaded electronic application obtained from *http://www.grants.gov/Apply.* Applicants must fax their information to the following fax number: 800–HUD–1010. Each document must be faxed as a separate submission to avoid fax transmission problems. When faxing several documents, applicants must use the form HUD–96011 as the cover sheet for each document (e.g., Letter of Matching or Leveraging Funds, Memorandum of Understanding, Certification of Consistency with the Consolidated Plan, etc.). Your facsimile machine should provide you with a record of whether your transmission was received by HUD. If you get a negative response or a transmission error, you should resubmit the document until you confirm that HUD has received your transmission. HUD will not acknowledge that a fax was received successfully. HUD will electronically receive the fax, read it with an optical character reader, and attach it to the application submitted via grants.gov. Electronic facsimile transmissions may be sent at any time before the application submission date. HUD will store the information and attach it to the electronic application when HUD receives it from grants.gov.

e. *Customer Support.* The grants.gov Web site provides customer support via (800) 518–GRANTS (this is a toll-free number) or through e-mail at support@grants.gov. The customer support center is open from 7 a.m. to 9 p.m. eastern time, Monday through Friday, except federal holidays, to address grants.gov technology issues. For technical assistance on program-related questions, contact the number listed in Section VII.B. of this NOFA.

f. *Internet Connections, Time-outs and Submission Errors.*

(1) HUD highly suggests that the applicant use broadband Internet connections to submit the application, as opposed to dial-up service. Broadband connections may be ISDN, DSL, Cable, T1, etc. Submission problems are likely to decrease as the speed of the applicant's broadband connection increases. If the applicant organization does not have a broadband connection, the PureEdge program and the application may be copied to a CD, transferred to a computer that has such a connection, and submitted from that computer. Libraries and office support stores (Kinko's, etc.) are likely to have broadband connections.

(2) If the actual submission of your application, i.e., uploading to grants.gov, exceeds one hour, the

applicant should request ''second-level'' help at the above grants.gov support line. On a dial-up connection, after an hour has gone by, it is likely that the applicant's Internet Service Provider (ISP) has timed out and cut the applicant's Internet connection.

(3) If the applicant's browser states that an MEC error has occurred, the applicant should request second-level help from grants.gov.

g. *Grants.gov Tips and Tools.* Tips on applying through grants.gov and Frequently Asked Questions concerning grants.gov may be found at HUD's HOPE VI Web site, *http://www.hud.gov/offices/pih/programs/ph/hope6/,* and HUD's Grants Administration Web sites, *http://www.hud.gov/offices/adm/grants/egrants/grantsgovfaqs.pdf* and *http://www.hud.gov/offices/adm/grants/egrants/faqs52305.pdf.* Applicants also may consult the FAQ link at the top of the Grants.gov Web page. Additionally, on the ''Apply for Grants'' section of the Grants.gov Web site (*http://www.grants.gov/Apply*), links to tips on application submission (''Application Submission Tips'') and error messages (''Application Error Tips'') are posted on the left-hand side of the webpage under the header ''Tips and Tools.'' Please note the additional helpful information posted here such as ''Convert Documents to PDF'' and ''Download PureEdge Viewer.'' Applicants should also review any alerts posted under the ''Alerts'' header, which is also found on the left-hand side of the page.

4. *Waiver of Electronic Submission Requirement.* During FY2005, HUD will require electronic applications to be submitted through *www.grants.gov* unless the applicant has received a waiver from the Department. HUD regulations at 24 CFR 5.110 permit waivers of regulatory requirements to be granted for cause. If you are unable to submit your application electronically, you may, in writing, request a waiver from this requirement. Your waiver request must state the basis for the request and explain why electronic submission is not possible. The basis for waivers for cause may include but are not limited to: (a) Lack of available Internet access in the geographic location in which the applicant is located or, (b) a physical disability of the applicant prevents the applicant from accessing or responding to the electronic application.

The waiver request should also include an e-mail and/or name and mailing address where responses can be directed. Applicants must submit waiver requests to the Assistant Secretary for Public and Indian Housing, who is responsible for the program under which you are seeking funding. To ensure time for processing, the waiver request must be submitted to HUD in writing at least 5 days prior to the application submission date.

To avoid a delay in the process, waiver requests should be sent by United States Postal Service Express Mail. You, the applicant, should retain a receipt for the mailing showing the date submitted to the Postal Service. Via e-mail, HUD will acknowledge receipt of the waiver request, if an e-mail address is provided, or will do so via United States Postal Service Express Mail or other means available. HUD will not make determinations or respond to waiver requests via the telephone. Each waiver request will be reviewed and a determination made to the applicant that indicates whether or not the waiver has been granted. In the event a waiver is granted, the due date for the mailed application delivery shall not be later than the due date for electronic applications. Applicants receiving a waiver will be expected to follow the submission instructions immediately below.

a. *Submission Instructions for Applicants Receiving Waiver of Electronic Submission.* Applicants receiving a waiver of the electronic submission requirements must submit their complete applications in paper copy as follows:

(1) *Submission Using the United States Postal Service.* Beginning in FY 2005, HUD will no longer accept hand deliveries of applications. Applicants who receive a waiver and are therefore allowed to submit paper applications must submit them via the United States Postal Service using Express Mail.

5. *Timely Receipt Requirements and Proof of Timely Submission.*

a. *Electronic Submission.* All applications must be fully received by *http://www.grants.gov* by 11:59:59 p.m. eastern time on the due date established for each program NOFA.

Proof of timely submission is automatically recorded by grants.gov. An electronic time stamp is generated within the system when the application is successfully received by grants.gov. The applicant will receive an acknowledgement of receipt and a tracking number from grants.gov with the successful transmission of the application. Applicants should print this receipt and save it, along with facsimile receipts for information provided by fax, as proof of timely submission. When HUD successfully retrieves the application from grants.gov, HUD will provide an electronic acknowledgment of receipt to the e-mail address provided on the SF–424. Proof of Timely Submission shall be the date and time that grants.gov receives your application submittal and the date HUD receives those portions of your application submitted by fax. All fax transmissions must be received by the application submission date and time.

Applications received by grants.gov, after the established due date for the program, will be considered late and will not be considered for funding by HUD. Similarly, applications will be considered late if information submitted by facsimile as part of the application is not received by HUD by the established due date. Please take into account the transmission time required for submitting your application via the Internet and the time required to submit any related documents via electronic facsimile. HUD suggests that applicants submit their applications during the operating hours of the grants.gov Support Desk, so that if there are questions concerning transmission, operators will be available to walk you through the process. Submitting your application during the Support Desk hours will also ensure that you have sufficient time for the application to complete its transmission prior to the application deadline.

Applicants using dial-up connections should be aware that transmission should take some time before grants.gov receives it. Grants.gov will provide either an error or a successfully received transmission message. The grants.gov Support Desk reports that some applicants abort the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application. Uploading and transmitting many files, particularly electronic forms with associated XML schemas, will take some time to be processed.

b. *Applications Receiving Waivers to Submit a Paper Copy Application.*

Applicants granted a wavier to the electronic submission requirement must use the United States Postal Service (USPS) Express Mail to submit their applications to HUD. Applicants must take their application to a Post Office to get a receipt of mailing that provides the date and time the package was submitted to the USPS. The due date and time is the same for paper copies as for electronic copies. The USPS no longer allows large packages to be dropped in a mailbox. USPS rules now require that large packages be brought to the postal facility for mailing. The USPS, in many areas, has made a practice of returning large packages to the sender that have been dropped in a

mail collection box. Packages submitted by due date and time and received by HUD no later than five days from the established due date will receive funding consideration. If the USPS does not have a digital time stamp to record the submission time, HUD will accept a receipt that has been obtained from the USPS with a postmark or dates receipt showing receipt by the Postal Service no later than the application submission date. Applicants will not receive funding consideration if their applications are determined to be late, and who cannot furnish HUD with a receipt from the USPS that verifies the package was submitted to the USPS prior to the deadline date and time.

c. *Late applications.* Late applications, whether received electronically or in hard copy, will not receive funding consideration. HUD will not be responsible for directing or forwarding applications to the appropriate location. Applicants should pay close attention to these submission and timely receipt instructions as they can make a difference in whether HUD will accept your application for funding consideration.

d. *No Facsimiles of Entire Application.* HUD will not accept fax transmissions from applicants who receive a waiver to submit a paper copy application. Paper applications must be complete and submitted in their entirety, via USPS Express Mail.

6. *General Section References.* The following sub-sections of Section IV of the General Section are hereby incorporated by reference:

a. Addresses to Request Application Package;

b. Application Kits;

c. Guidebook and Further Information

d. Forms. The following HUD standard forms are not required as part of the application for this NOFA:

(1) Grant Application Detailed Budget (HUD–424–CB);

(2) Grant Application Detailed Budget Worksheet (HUD–424–CBW);

e. Certifications and Assurances;

f. Submission Dates and Times;

V. Application Review Information

A. Selection Criteria (Rating Factors)

1. *Rating Factor 1: Capacity (up to 30 points).*

This factor addresses whether the Applicant Team has the capacity and organizational resources necessary to successfully implement the proposed activities within the grant period.

a. *Past Experience (up to 15 points).*

(1) The applicant will earn a maximum of 15 points if the applicant demonstrates that the applicant's team has extensive experience of affordable housing development and historic preservation requirements, and is on schedule in implementing the Main Street Master Plan. That is, the applicant's team has developed or rehabilitated more than 5 affordable housing projects and 3 Historic Register or traditional architecture projects over the past three years.

(2) The applicant will earn a maximum of 10 points if the applicant demonstrates that the applicant's team has adequate experience of affordable housing development and historic preservation requirements, and is on schedule in implementing the Main Street Master Plan. That is, the applicant's team has developed or rehabilitated more than 2 affordable housing projects and 1 Historic Register or traditional architecture projects over the past three years.

(3) The applicant will earn a maximum of 6 points if the applicant demonstrates that the applicant team has extensive experience, gained over the past three years, of affordable housing development and historic preservation requirements, but is behind schedule in implementing the Main Street Master Plan.

(4) The applicant will earn a maximum of 3 points if the applicant demonstrates that the applicant team has adequate experience, gained over the past three years, of housing development and historic preservation requirements, but is behind schedule in implementing the Main Street Master Plan.

(5) The applicant will earn a maximum of 0 points if the applicant cannot demonstrate that its team has at least adequate experience of housing development and historic preservation requirements, whether implementation of the Main Street Master Plan is on schedule or not.

b. *Knowledge of Key Personnel (up to 10 points).*

(1) The applicant will earn a maximum of 10 points if the applicant demonstrates that its key personnel have extensive knowledge, gained over the past three years, of affordable housing development and historic preservation requirements.

(2) The applicant will earn a maximum of 5 points if the applicant demonstrates that the applicant team's key personnel have adequate knowledge, gained over the past three years, of affordable housing development and historic preservation requirements.

(3) The applicant will earn a maximum of 0 points if the applicant cannot demonstrate that its key personnel have at least adequate knowledge, gained over the past three years, of housing development and historic preservation requirements.

c. *Tracking and Reporting System for Production Milestones (up to 5 points).*

(1) The applicant will earn a maximum of 5 points if the applicant demonstrates that a tracking and reporting system for key production milestones has existed and has been in use continuously for the Main Street Area rejuvenation effort, and the applicant demonstrates how the tracking and reporting system will be used to implement a grant awarded through this NOFA.

(2) The applicant will earn a maximum of 3 points if a tracking and reporting system exists as of the application submission date (*i.e.*, was developed as a result of this NOFA), but has not been used on the Main Street Area rejuvenation effort, provided that the applicant demonstrates how it will be used to implement a grant awarded through this NOFA.

(3) The applicant will earn a maximum of 1 point if a tracking and reporting system does not exist, and has not existed in the past, as of the application submission date, but the applicant demonstrates how such a system will be used to implement a grant awarded through this NOFA.

(4) The applicant will receive 0 points if:

(a) A tracking and reporting system does not exist; or

(b) The applicant does not demonstrate how one will be used to implement a grant awarded through this NOFA.

2. *Rating Factor 2: Need for Affordable Housing (up to 10 points).*

a. For the applicant's PMSA/MSA or nonmetropolitan county/parish, if the ratio of the maximum affordable rent for a 4-person family to the FMR of a 3-bedroom size unit (affordable rent divided by FMR) is equal to or less than 0.4, the applicant will receive 10 points.

b. For the applicant's PMSA/MSA or nonmetropolitan county/parish, if the ratio of the maximum affordable rent for a 4-person family to the FMR of a 3-bedroom unit (affordable rent divided by FMR) is greater than 0.4, and is equal to or less than 0.6, the applicant will receive 7 points.

c. For the applicant's PMSA/MSA or nonmetropolitan county/parish, if the ratio of the maximum affordable rent for a 4-person family to the FMR of a 3-bedroom size unit (affordable rent divided by FMR) is greater than 0.6, but is equal to or less than 0.8, the applicant will receive 4 points.

d. For the applicant's PMSA/MSA or nonmetropolitan county/parish, if the ratio of the maximum affordable rent for a 4-person family to the FMR of a 3-bedroom size unit (affordable rent divided by FMR) is greater than 0.8, the applicant will receive 0 points.

3. *Rating Factor 3: Appropriateness of the Main Street Master Plan (up to 20 points).*

a. *Master Plan Requirements (up to 6 points).*

(1) The applicant will receive 6 points if the application demonstrates that the Master Plan includes all 6 elements required, as listed below. One point will be deducted from the maximum of 6 points for each element that is not included in the Master Plan. The applicant should evidence this by making specific references to pages in the Master Plan. The Master Plan must at a minimum:

(a) Have been prepared by an architect, land planner, or qualified planning professional for the applicant or its recognized developer entity.

(b) Describe the proposed Main Street Rejuvenation redevelopment strategies;

(c) Include a map indicating the Main Street Area;

(d) Include a narrative that refers to the map and describes the various planned redevelopment actions;

(e) Include the development of affordable housing; and

(f) Include a list of properties where affordable housing will be rehabilitated or developed. The list of properties must have been included in the Main Street Master Plan on or before the application submission date. The properties must be described by lot/block number, street address, legal description, or other exact description.

b. *Master Plan Qualities (up to 14 points).*

(1) Commitment to Historic or Traditional Architecture.

(a) The applicant will receive 5 points if the applicant's Master Plan demonstrates a strong commitment to the preservation of historic or traditional architecture.

(b) The applicant will receive 3 points if the applicant's Master Plan addresses the preservation of historic or traditional architecture but does not convey a strong commitment to it.

(c) The applicant will receive 0 points if the applicant Master Plan does not address the preservation of historic or traditional architecture.

(2) Design Guidelines.

(a) The applicant will receive 2 points if the applicant's Master Plan contains specific design guidelines that relate to historic or traditional architecture, and that promote universal design, as described in Section III.C.2. of this NOFA.

(b) The applicant will receive 1 point if the Master Plan contains general design guidelines.

(c) The applicant will receive 0 points if the Master Plan does not contain design guidelines.

(3) Mission Statement.

(a) The applicant will receive up to 1 point if the applicant's Master Plan contains a well-defined mission statement that addresses the needs of the Main Street Area and includes, and is relevant to, local community conditions. The applicant should evidence this by making specific references to pages in the Master Plan.

(b) The applicant will receive 0 points if the applicant's Master Plan does not include a well-defined mission statement.

(4) Public and Private Support.

(a) The applicant will receive 3 points if the applicant's Master Plan has received strong local public and private sector support demonstrated by long-term (at least two years of) financial and in-kind service leverage commitments to the Main Street Area equal to or greater than 200 percent of the applicant's requested grant amount.

(b) The applicant will receive 2 points if the applicant's Master Plan has received strong local public and private sector support demonstrated by long-term (at least two years of) financial and in-kind service leverage commitments to the Main Street Area equal to or greater than 150 percent, but less than 200 percent of the applicant's requested grant amount.

(c) The applicant will receive 1 point if the applicant's Master Plan has received strong local public and private sector support demonstrated by long-term (at least two years of) financial and in-kind service leverage commitments to the Main Street Area equal to or greater than 100 percent, but less than 150 percent of the applicant's requested grant amount.

(5) Promotion and Marketing.

(a) The applicant will receive 3 points if the applicant's Master Plan sets forth a plan to promote and market the Main Street Area rejuvenation effort to parties that may be involved in the rejuvenation effort and to possible future residents of the Main Street Affordable Housing Project, including (in accordance with affirmative fair housing marketing requirements) the population that is least likely to apply.

(b) The applicant will receive 2 points if the applicant's Master Plan includes a discussion of both promotion and marketing of the Main Street Area rejuvenation effort to parties that may be involved in the rejuvenation effort and to possible future residents of the Main Street Affordable Housing Project, including (in accordance with affirmative fair housing marketing requirements) the population that is least likely to apply.

(c) The applicant will receive 1 point if the applicant's Master Plan includes a discussion of either promotion or marketing of the Main Street Area rejuvenation effort to parties that may be involved in the rejuvenation effort and to possible future residents of the Main Street Affordable Housing Project, including (in accordance with affirmative fair housing marketing requirements) the population that is least likely to apply.

(d) The applicant will receive 0 points if the applicant's Master Plan does not includes a discussion of promotion or marketing of the Main Street Area rejuvenation effort.

4. *Rating Factor 4: Appropriateness of the Main Street Affordable Housing Project (up to 20 points).*

a. *Main Street Affordable Housing Project Leverage (up to 10 points).*

(1) In this NOFA, there are three categories of cash and in-kind contributions (''leverage''), Main Street Area Leverage, Main Street Housing Project Leverage, and match:

(a) Main Street Area Leverage includes all types of leverage as described in Section III.C. of this NOFA, entitled, ''Main Street Area Leverage,'' and is used for activities related to the Main Street Area rejuvenation effort. Note that long-term Main Street Area Leverage is rated above in Section V.A.3.b.4. of this NOFA, entitled ''Public and Private Support.''

(b) Main Street Affordable Housing Project Leverage includes all types of leverage as described in Section III.C. of this NOFA, but is specifically used only for development of the Main Street Affordable Housing Project.

(c) Match is a separate, statutorily required sub-group of Main Street Affordable Housing Project Leverage. Match requirements are described in Section III.B. of this NOFA.

(2) This rating factor measures Main Street Affordable Housing Project Leverage only. The amount of Main Street Affordable Housing Project Leverage includes the match amount. Points will be assigned based on the following scale:

Leverage as percent of grant amount	Points awarded (points)
Less than 20 percent	0
Greater than or equal to 20 percent but less than 40 percent	2

Leverage as percent of grant amount	Points awarded (points)
Greater than or equal to 40 percent but less than 60 percent ...	4
Greater than or equal to 60 percent but less than 80 percent ...	6
Greater than or equal to 80 percent but less than 100 percent	8
100 percent or more	10

b. *Retention of historic or traditional architecture (up to 5 points).*

(1) The applicant will receive 5 points if the application demonstrates that the buildings in the project will maintain all of the historic or traditional architecture and design features on all floors of the buildings.

(2) The applicant will receive 2 points if the application demonstrates that the buildings in the project will retain some of the historic or traditional architecture and design features on some or all of the floors of the buildings.

(3) The applicant will receive 0 points if the application does not demonstrate that the buildings in the project will retain historic or traditional architecture and design features.

c. *Reservation for Very Low-Income Families (up to 4 points).*

(1) The applicant will receive 5 points if the number of units reserved for very low-income initial residents is greater than 20 percent of the total affordable housing units in the project.

(2) The applicant will receive 3 points if the number of units reserved for very low-income initial residents is greater than 10 percent, but less than or equal to 20 percent of the total affordable housing units in the project.

(3) The applicant will receive 0 points if the number of units reserved for very low-income initial residents is 10 percent or less of the total affordable housing units in the project.

d. *Energy Star (up to 1 point).*

(1) Promotion of Energy Star compliance is a HOPE VI Main Street program requirement. See Section III.C.4.g. of this NOFA.

(2) You will receive 1 point if your application demonstrates that you will:

(a) Use Energy Star-labeled products;

(b) Promote Energy Star design of affordable units; and

(c) If you elect to include Community and Supportive Services in your grant activities, include Energy Star in homeownership counseling.

(2) You will receive 0 points if your application does not demonstrate that you will perform (a) and (b) above, and, if applicable, (c) above.

5. *Rating Factor 5: Program Administration and Fiscal Management (up to 18 points).*

a. *Program Schedule (up to 5 points).*

(1) The applicant may receive a maximum of 5 points if the program schedule reflects that each of the milestone activities will take place within the stipulated time frames required under Section VI.B.1. of this NOFA and the applicant demonstrates that the planned time frames are realistic and achievable, *i.e.*, there are no known impediments to unit development, *e.g.*, litigation, and the applicant's team has prepared a chart that states estimated production milestones, their relative time frames, and each milestone's time to completion, *e.g.*, Gantt Chart. One point will be deducted from the 5 points for each milestone activity listed in Section VI.B.1. and IV.B.4.c. that is:

(a) Omitted from the program schedule;

(b) Not indicated to occur within the time frame required in this NOFA, or

(c) Is not demonstrated to be realistic and achievable.

b. *Fiscal Management (up to 13 points).*

(1) If the applicant shows fiscal management controls, a procurement system, and a results-oriented management structure that are adequate to manage a grant from this NOFA, and the applicant demonstrates that their management structure and controls are results-oriented, the applicant will receive 13 points;

(2) If the applicant shows fiscal management controls, a procurement system, and management structure and controls that are adequate to manage a grant from this NOFA, but the applicant does not demonstrate that the applicant's management structure and controls are results-oriented, the applicant will receive 8 points;

(3) If the applicant shows fiscal management controls, but the applicant does not demonstrate that the applicant has a procurement system and it does not demonstrate that its management structure and controls are results-oriented, the applicant will receive 4 points;

(4) If the applicant does not describe its program management structure and fiscal management controls and does not show that they are adequate, the applicant will receive 0 points.

6. *Rating Factor 6: Incentive Criteria on Regulatory Barrier Removal—(up to 2 points).*

a. *Description.*

(1) HUD's Notice, ''America's Affordable Communities Initiative, HUD's Initiative on Removal of Regulatory Barriers: Announcement of Incentive Criteria on Barrier Removal in HUD's FY 2004 Competitive Funding Allocations,'' **Federal Register** Docket Number FR–4882–N–03, published on March 22, 2004, provides that most HUD competitive NOFAs will include an incentive for local and state governments to decrease their regulatory barriers to the development of affordable housing.

(2) Form HUD–27300 contains questions that explore the applicant's efforts to decrease regulatory barriers.

b. *Scoring.*

(1) If the applicant is considered a local unit of government with land use and building regulatory authority, an agency or department of a local unit of government, a nonprofit organization, or other qualified applicant applying for funding for a project located in the jurisdiction of the local unit of government, the applicant is invited to answer the 20 questions in Part A of form HUD–27300. For those applications in which regulatory authority is split between jurisdictions (*e.g.*, county/parish and town), the applicant should answer the question for that jurisdiction that has regulatory authority over the issue at question.

(a) If the applicant checked Column 2 for five to ten questions from Part A, the applicant will receive 1 point in the NOFA evaluation.

(b) If the applicant checked Column 2 for 11 or more questions from Part A , the applicant will receive 2 points in the NOFA evaluation.

(2) Part B of the form is for an applicant that is considered to be a state government or an agency or department of a state government. State governments are not eligible to apply for this NOFA and, as such, Part B of the form is not applicable.

(3) In no case will an applicant receive greater than two points for barrier removal activities. An applicant must submit the documentation requested in the questionnaire or provide a Web site address (URL) where the documentation can be readily found, to receive the bonus points for this policy priority.

7. *Rating Factor 7: RC/EZ/EC–IIs—(up to 2 points).*

a. *RC/EZ/EC–IIs.* This NOFA provides for the award of two bonus points for eligible activities/projects that the applicant proposes to locate in federally designated Empowerment Zones (EZs), Renewal Communities (RCs), or Enterprise Communities, designated by the United States Department of Agriculture in round II (EC–IIs), that are intended to serve the residents of these areas, and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan (TIUP). (For ease of reference in this

notice, all of the federally designated areas are collectively referred to as ''RC/EZ/EC–IIs'' and residents of any of these federally designated areas as ''RC/EZ/EC–II residents.'') This NOFA contains a certification, ''Certification of Consistency with RC/EZ/EC Strategic Plan'' (form HUD–2990), that must be completed for the applicant to be considered for RC/EZ/EC–II bonus points. A list of RC/EZ/EC–-IIs can be obtained from HUD's Web page at *http://www.hud.gov/cr.* Applicants can determine if their program/project activities are located in one of these designated areas by using the locator on HUD's Web site at *http://www.hud.gov/crlocator*.

B. Review and Selection Process

1. HUD's selection process is designed to ensure that grants are awarded to eligible local governments with the most meritorious applications.

2. *Application Screening.*

a. HUD will screen each application to determine if:

(1) It meets the threshold criteria listed in Section III.C of this NOFA; and

(2) It is deficient, *i.e.*, contains any technical deficiencies.

b. *Corrections to Deficient Applications.* The subsection entitled, ''Corrections to Deficient Applications,'' in Section V.B of the General Section applies, except that clarifications or corrections of technical deficiencies in accordance with the information provided by HUD must be submitted within 5 calendar days of the date of receipt of the HUD notification, not 14 days.

c. *Applications that will not be rated or ranked.*

(1) HUD will not rate or rank applications that are deficient at the end of a 5 calendar day cure period, as described in Section V.B.2.b. of this NOFA.

(2) HUD will not rate or rank applications that have not met the thresholds described in Section III.C. of this NOFA. Such applications will not be eligible for funding.

3. *Preliminary Rating and Ranking.*

a. *Rating.*

(1) HUD staff will preliminarily rate each eligible application, SOLELY on the basis of the rating factors described in Section V.A of this NOFA.

(2) When rating applications, HUD reviewers will not use any information included in any application submitted for another NOFA.

(3) HUD will assign a preliminary score for each rating factor and a preliminary total score for each eligible application.

(4) The maximum number of points for each application is 102.

(5) *Minimum Score.* Applications that do not have a preliminary score of at least 50 will not be eligible for funding.

b. Ranking.

(1) After preliminary review, applications with a minimum score of 50 or above will be ranked in score order.

4. *Final Panel Review.*

a. A Final Review Panel made up of HUD staff will:

(1) Review the Preliminary Rating and Ranking documentation to:

(a) Ensure that any inconsistencies between preliminary reviewers have been identified and rectified; and

(b) Ensure that the Preliminary Rating and Ranking documentation accurately reflects the contents of the application.

(2) Assign a final score to each application; and

(3) Recommend for selection the most highly rated applications, subject to the amount of available funding, in accordance with the allocation of funds described in Section II of this NOFA.

5. HUD reserves the right to make reductions in funding for any ineligible items included in an applicant's proposed budget.

6. In accordance with the FY 2004 HOPE VI appropriation, HUD may not use HOPE VI funds to grant competitive advantage in awards to settle litigation or pay judgments.

7. *Tie Scores.* If two or more applications have the same score and there are insufficient funds to select all of them, HUD will select for funding the application(s) with the highest score for the Master Plan Qualities Rating Factor. If a tie remains, HUD will select for funding the application(s) with the highest score for the Capacity Rating Factor. HUD will select further tied applications with the highest score for the Need Rating Factor.

8. *Remaining Funds.*

a. HUD reserves the right to reallocate remaining funds from this NOFA to other eligible activities under Section 24 of the Act.

(1) If the total amount of funds requested by all applications found eligible for funding under Section V.B. of this NOFA is less than the amount of funds available from this NOFA, all eligible applications will be funded and those funds in excess of the total requested amount will be considered remaining funds.

(2) If the total amount of funds requested by all applications found eligible for funding under Section V.B. of this NOFA is greater than the amount of funds available from this NOFA, eligible applications will be funded until the amount of non-awarded funds is less than the amount required to feasibly fund the next eligible application. In this case, the funds that have not been awarded will be considered remaining funds.

9. The following sub-sections of Section V. of the General Section are hereby incorporated by reference:

a. HUD's Strategic Goals;

b. Policy Priorities;

c. Threshold Compliance;

d. Corrections to Deficient Applications;

e. Rating; and

f. Ranking.

VI. Award Administration Information

A. Award Notices

1. *Initial Announcement.* The HUD Reform Act prohibits HUD from notifying the applicant as to whether or not the applicant has been selected to receive a grant until HUD has announced all grant recipients. If the application has been found to be ineligible or if it did not receive enough points to be funded, the applicant will not be notified until the successful applicants have been notified. HUD will provide written notification to all applicants, whether or not they have been selected for funding.

2. *Authorizing Document.* The notice of award signed by the Assistant Secretary for Public and Indian Housing (grants officer) is the authorizing document. This notice will be delivered via the United States Postal Service.

3. *Applicant Debriefing.* For a period of at least 120 days, beginning 30 days after the awards for assistance are publicly announced, HUD will provide a debriefing to an application that requests one. All debriefing requests must be made in writing by the authorized official whose signature appears on the SF–424 or his/her successor in office, and submitted to the person or organization identified for ''Technical Assistance'' in Section VII.B. of this NOFA. Information provided during a debriefing will include, at a minimum, the final score you received for each rating factor.

4. *General Section References.* The following sub-sections of Section VI.A. of the General Section are hereby incorporated by reference:

a. Adjustments to Funding.

B. Administrative and National Policy Requirements

1. *Administrative Requirements:*

a. *Grant Agreement Execution.* The grantee must execute the Grant Agreement within 90 days after HUD mails the Grant Agreement to the grantee.

b. *Grant term.* The time period for completion shall not exceed 30 months

from the date the NOFA award is executed.

c. *Sub-Grants and Contracts.* Grant funds may be expended directly by the applicant or they may be granted or loaned by the applicant to a third party who is undertaking the development of the project. Loans may be amortized or forgiven.

d. *Reasonable Time Frame.* Grantees must proceed within a reasonable time frame to complete several milestone activities, as indicated below. In determining reasonableness of such time frame, HUD will take into consideration those delays caused by factors beyond the applicant's control. These time frames must be stated in a program schedule, in accordance with the threshold requirement documentation at Section IV.B.4.c. of this NOFA.

e. *Development Proposal.* Grantees must submit a development proposal for the project within 6 months after the grant award date or, if State Historic Preservation Officer approval is necessary, 9 months after the grant award date.

(1) Development proposals must include the following information:

(a) Identification of parties to the project development;

(b) Activities and relationships of parties, *e.g.*, Party A will loan $50,000 to Party C via a hard loan with an interest rate of 6 percent, with a 30-year amortization and a 15-year term.

(c) Financing, *i.e.*, Sources and Uses in the form HUD–52861 format;

(d) Unit description, *i.e.*, unit number and sizes.

(e) Site locations, *i.e.*, lot and block, street address, or legal description;

(f) Development construction cost estimate; and

(g) Certification that open competition will be used by the grantee to select a development partner and/or owner entity, if applicable.

f. *Preliminary Environmental Approval Only.* HUD's notification of award to a selected applicant constitutes a preliminary approval by HUD subject to the completion of an environmental review of the proposed sites in accordance with 24 CFR part 50. See Section III.C.2.k. of this NOFA for information about environmental requirements.

g. *First Construction Start.* Grantees must start housing unit construction within 12 months after the grant award date or, if SHPO approval is necessary, 15 months after grant award date.

h. *Last Construction Completion.* Grantees must complete construction within 30 months from the grant award date.

i. *Flood Insurance.* In accordance with the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128), the application may not propose to provide financial assistance for acquisition or construction (including rehabilitation) of properties located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, unless:

(1) The community in which the area is situated is participating in the National Flood Insurance program (see 44 CFR parts 59 through 79), or less than one year has passed since FEMA notification regarding such hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance is obtained as a condition of execution of a Grant Agreement.

j. *Coastal Barrier Resources Act.* In accordance with the Coastal Barrier Resources Act (16 U.S.C. 3501), the application may not target properties in the Coastal Barrier Resources System.

2. *National Policy Requirements.*

a. See references to the General Section in Section III of this NOFA.

3. *Reporting.*

a. *Quarterly Administrative and Compliance Checkpoints Report (Quarterly Report).*

(1) If the applicant is selected for funding, the applicant must submit a Main Street Quarterly Report to HUD. The report will be filled out on-line and will consist of administrative and production milestones, called ''Locked Checkpoints,'' and a short status narrative.

(2) HUD will provide training and technical assistance on the filing and submitting of Main Street Quarterly Reports.

(3) Filing of Quarterly Reports is mandatory for all grantees, and failure to do so within the required quarterly time frame will result in suspension of grant funds until the report is filed and approved by HUD.

(4) Grantees will be held to the milestones that are reported on the Quarterly Report, as approved by HUD.

4. *LOCCS.* Grantees must report all obligations and expenditures in HUD's Line of Credit Control System (LOCCS), or its successor system, on a quarterly basis.

5. *Logic Model Reporting.*

a. The reporting shall include submission of a completed logic model indicating results achieved against the proposed output goal(s) for output and proposed outcome(s) which the applicant stated in the applicant's approved application and agreed upon with HUD. The submission of the logic model and required information should be in accordance with the Program Schedule time frames as identified in the application and Grant Agreement.

6. *Information for Research and Evaluation Studies.* As a condition of the receipt of financial assistance under a HUD Program NOFA, all successful applicants will be required to cooperate with all HUD staff or contractors performing HUD-funded research and evaluation studies.

7. *Final Audit.* Grantees are required to obtain a complete final closeout audit of the grantee financial statements for the grant funds. The audit must be completed by a certified public accountant (CPA) in accordance with generally accepted government audit standards, and a written report of the audit must be forwarded to HUD within 60 days of issuance. Grant recipients must comply with the requirements of 24 CFR part 84 or 24 CFR part 85 as stated in OMB Circulars A–110, A–87, and A–122, as applicable.

8. *Final Report.*

a. The grantees shall submit a final report, which will include a financial report and a narrative evaluating overall performance against its HOPE VI Main Street application and Main Street Quarterly Progress Report. Grantees shall use quantifiable data to measure performance against goals and objectives outlined in its application. The financial report shall contain a summary of all expenditures made from the beginning of the grant agreement to the end of the grant agreement and shall include any unexpended balances.

b. Racial and Ethnic Data. HUD requires that funded recipients collect racial and ethnic beneficiary data. It has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, you should use form HUD–27061, Racial and Ethnic Data Reporting Form (instructions for its use), found on *www.HUDclips.org;* a comparable program form; or a comparable electronic data system.

c. The final narrative and financial report shall be due to HUD 90 days after either the full expenditure of funds, or when the grant term expires, whichever comes first.

VII. Agency Contacts

A. Technical Corrections to the NOFA

1. Technical corrections to this NOFA will be posted to the grants.gov Web site.

2. Any technical corrections will also be published in the **Federal Register**.

3. The applicant is responsible for monitoring these sites during the application preparation period.

B. *Technical Assistance.* Before the application submission date, HUD staff will be available to provide the applicant with general guidance and technical assistance on this NOFA. However, HUD staff is not permitted to assist in preparing the application. If the applicant has a question or needs clarification, the applicant may call Lar Gnessin at (202) 708–0614, ext. 2676, send an e-mail to *lawrence_gnessin@hud.gov*, or the applicant may contact Mr. Milan Ozdinec, Deputy Assistant Secretary for Public Housing Investments, Department of Housing and Urban Development, 451 Seventh Street, SW., Room 4130, Washington, DC 20410–5000; telephone (202) 401–8812; fax (202) 401–2370 (these are not toll-free numbers). Persons with hearing and/or speech impairments may access these telephone numbers via text telephone (TTY) by calling the toll-free Federal Information Relay Service at (800) 877–8339. For technical support for downloading an application or submitting an application, please call grants.gov Customer Support at 800–518–GRANTS (This is a toll-free number).

C. *General Information.* General information about HUD's HOPE VI programs can be found on the Internet at *http://www.hud.gov/offices/pih/programs/ph/hope6/*.

VIII. Other Information

A. *General Section References.* The following sub-sections of Section VIII. of the General Section are hereby incorporated by reference:

1. Executive Order 13132, Federalism;
2. Public Access, Documentation and Disclosure;
3. Section 103 of the HUD Reform Act; and
4. The FY 2005 HUD NOFA Process and Future HUD Funding Processes.

B. *Environmental Impact.* A ''Finding of No Significant Impact'' (FONSI) with respect to the environment has been made for this notice in accordance with HUD regulations at 24 CFR part 50 that implement Section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332). The FONSI is available for public inspection between 8 a.m. and 5 p.m. in the Office of the General Counsel, Regulations Division, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW., Room 10276, Washington, DC 20410–0500.

C. *Paperwork Reduction Act Statement.* The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB), under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520) and assigned OMB Control Number 2577–0208. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 68 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly reports, and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

D. *Sense of Congress.* It is the sense of Congress, as published in Section 410 of the Consolidated Appropriations Act of 2004, that, to the greatest extent practicable, all equipment and products purchased with funds made available in this NOFA should be American-made.

Dated: July 15, 2005.

Paula O. Blunt,

General Deputy Assistant Secretary for Public and Indian Housing.

BILLING CODE 4210–33–P

APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

1. TYPE OF SUBMISSION: Application ☐ Construction ☐ Non-Construction	Pre-application ☐ Construction ☐ Non-Construction	**2. DATE SUBMITTED**	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	**Organizational Unit:** Department:
Organizational DUNS:	Division:
Address: Street:	**Name and telephone number of person to be contacted on matters involving this application (give area code)** Prefix: First Name:
City:	Middle Name
County:	Last Name
State: Zip Code	Suffix:
Country:	Email:
6. EMPLOYER IDENTIFICATION NUMBER *(EIN):* ☐☐-☐☐☐☐☐☐☐	Phone Number (give area code) Fax Number (give area code)
8. TYPE OF APPLICATION: ☐ New ☐ Continuation ☐ Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) ☐ ☐ Other (specify)	**7. TYPE OF APPLICANT:** (See back of form for Application Types) Other (specify)
	9. NAME OF FEDERAL AGENCY:
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐ TITLE (Name of Program):	**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**
12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*	
13. PROPOSED PROJECT Start Date: Ending Date:	**14. CONGRESSIONAL DISTRICTS OF:** a. Applicant b. Project

15. ESTIMATED FUNDING:		**16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?**
a. Federal	$ .00	a. Yes. ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:
b. Applicant	$ .00	
c. State	$ .00	
d. Local	$ .00	b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
e. Other	$ .00	☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
f. Program Income	$ .00	**17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?**
g. TOTAL	$ .00	☐ Yes If "Yes" attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Authorized Representative Prefix	First Name	Middle Name
Last Name		Suffix
b. Title		c. Telephone Number (give area code)
d. Signature of Authorized Representative		e. Date Signed

Previous Edition Usable
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Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

HOPE VI Main Street
Application Data Sheet

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Office of Urban Revitalization

OMB Approval No. 2577-0208
(exp. 3/31/2007)

Public Reporting Burden for this collection of information is estimated to average 5 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. HUD may not conduct or sponsor, and an applicant is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Response to this collection of information is mandatory to obtain a benefit. The information requested does not lend itself to confidentiality. The information submitted in response to the Notice of Funding Availability for the HOPE VI Main Street Program 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), as amended.

Warning: HUD will prosecute false claims and statements. Conviction may result in the imposition of criminal and civil penalties. (18 U.S.C. 1001, 1010, 1012, 31 U.S.C. 3729, 3802)

Instructions: HOPE VI Main Street Application Data Sheet

Tips: Enter information only in cells with blue borders, text or numbers on screen.
All other cells are locked, and all calculations are automated.
Print these Instructions for easy reference, then begin at **Step 1**.

Step 1. On the "Unit Mix" Page, Enter Your Applicant Local Government Name and the Name of the Main Street Area.

Step 2. On the "Unit Mix" Page, Enter the Number of Each Type and Size of the Affordable Units that are Going to be Developed as part of the Main Street Affordable Housing Project Funded through this NOFA.

> Select the appropriate column(s) for the proposed units based on structure type, size and development method.
- Rent-to-Own units are to be counted as Rental Units.
- Possible development methods are Rehabilitation (of housing already owned by the applicant or partner owner entity only) or New Construction (which includes acquisition of housing with or without rehabilitation).

> Enter the number of units proposed, by Structure Type, in the appropriate row based on the Number of Bedrooms.
- TDC limit applies to all Main Street affordable housing project units where HOPE VI Main Street grant funds will be used for development.
- The TDC limit for rehabilitation of existing housing units is 90% of the published TDC limit for a given structure and unit type.
  - The "TDC Limit calculations" worksheet reflects all such applicability as described above.

- Definitions of the structure types specified on the Unit Mix worksheet:
  - Detached: A structure that consists of a single living unit surrounded by permanent open space on all sides.
  - Semi-detached: A structure containing two living units separated by a common vertical wall.
  - Elevator: Any structure of four or more stories above ground in which an elevator is provided.
  - Row House: A structure containing three or more living units separated only by vertical walls.
  - Walk-up: A multi-level low-rise structure containing one or more living units, in which housing units are separated by a ceiling/floor from other housing units or mixed-use

Step 3. On the three "Construction S&U" Pages, Fill in All Proposed Main Street Affordable Housing Project Costs that Will Be Incurred During Construction and All Sources of Funding that Will Be Used During the Construction Period

> Entry areas for costs that are not allowable under the HOPE VI Main Street Program are grayed out.

form HUD-52861 (9/20/2004)

Step 4. At the top of the "Construction S&U p3" page, enter the name of the contact person concering information about the Sources and Uses.
> Also enter the name of the organization that the person is from and the listed contact information.
-If there is a recognized developer, this person probably represents that developer.

Step 5. On the three "Permanent S&U" Pages, Fill in All Proposed Main Street Affordable Housing Project Costs that Will Have Been Incurred by the End of Development and All Sources of Funding that Paid for Those Costs.
> Do not include construction financing that will be paid off when development is finished. Instead, include any permanent loans, grants or equity that are used to pay off the construction financing.
> Entry areas for costs that are not allowable under the HOPE VI Main Street Program are grayed out.

Step 6. On the "Select City and State" Page, Choose the Applicant's City and State
> Click on the down arrow for City
> Click on the name of your city or your Metropolitan/Micropolitan Statistical Area
- You can look up your MSA at OMB's website, http://www.census.gov/population/www/estimates/metrodef.html or call your local HUD office.
> Click "OK"
> Click on the down arrow for State
> Click on the name of your State
> Click "OK"

Step 7. Confirm that Sources are Equal to Uses
> Confirm that the HOPE VI Main Street grant funds and any other sources of Public Housing Capital Assistance funds are included.
> Confirm that sources of HOPE VI/Public Housing funds are equal to uses of HOPE VI/Public Housing funds.

Step 8. Enter any Extraordinary Site Cost (a component of Additional Project Costs -- not subject to TDC limit)
> Enter any Extraordinary Site Cost in the cell provided. This may be some or all of the funds entered in BLI 1450.
- Extraordinary Site Costs must be verified by an independent registered engineer, and must be approved by HUD in accordance with 24 CFR 941.103.

Step 9. Review TDC Limit Calculation Results (note that HCC does not apply to the HOPE VI Main Street program)
> Review the results of the TDC limit calculations.
- The TDC limit analysis results are shown on the lower left "TDC Limit calculations" worksheet.

Step 10. Enter All Leverage Resources
> The total value of the Match must be greater than 5 percent of the requested grant amount.
> The total value of Main Street Affordable Housing Project leverage is measured in a Rating Factor.
> The total value of all leverage resources must equal or be greater than the requested grant amount.

Step 11. Save and Submit this Form With Your Application
> To save this form so that it cannot be changed without your permission:
- Click on the button to the right;
- Choose and enter a password in the space provided;
- Click "OK";
- Re-enter the password to verify;
- Click "OK";
- Click "Save";
- If prompted, click "Yes" to replace the existing form with the form you just finished filling out.

> To submit this form as part of your application, follow the instructions in Section IV.F. of the HOPE VI Main Street NOFA.:

Unit Mix and Accessibility Summary, Post-Revitalization

Step 2. Enter the Local Government Name, the Main Street Area Name

Applicant (Local Govt.) Name: _____

Main Street Area Name: _____

Step 3. Enter the Number of Units of Each Type and Size that are to be Developed in the Main Street Affordable Housing Project Funded Through this NOFA.

		Rental Units		Homeownership Units	
Structure Type	**Number of Bedrooms**	**Rehabilitation** of Existing Applicant / Partnership Owned Housing	**New Construction or Acquisition** (with or without Rehabilitation)	**Rehabilitation** of Existing Applicant / Partnership Owned Housing	**New Construction or Acquisition** (with or without Rehabilitation)
Detached and Semi-Detached	0	-	-	-	-
	1	-	-	-	-
	2	-	-	-	-
	3	-	-	-	-
	4	-	-	-	-
Row House	0	-	-	-	-
	1	-	-	-	-
	2	-	-	-	-
	3	-	-	-	-
	4	-	-	-	-
Walk-Up	0	-	-	-	-
	1	-	-	-	-
	2	-	-	-	-
	3	-	-	-	-
	4	-	-	-	-
Elevator	0	-	-	-	-
	1	-	-	-	-
	2	-	-	-	-
	3	-	-	-	-
	4	-	-	-	-
	Totals:	-	-	-	-

Construction Sources and Uses
For the HOPE VI Main Street Affordable Housing Project

Local Government:
Main Street Area:

Uses ($)*	HOPE VI Main Street	Other Govt	Tax Credit Equity	Other Private Sector	Total
Administration					
Administration					$ -
Management Improvements					
Management Improvements - Dev					$ -
Management Improvements - CSS					$ -
Acquisition					
Site Acquisition					$ -
Building Acquisition					$ -
Building Acquisition, Non-Dwelling					$ -
Building Remediation/Demolition					
Remediation, Dwelling Units/Site					$ -
Demolition, Interior					$ -
Remediation, Non-Dwelling Units					$ -
Demolition, Non-Dwelling Units					$ -
Demolition, Other					$ -
Site Improvements					
Site Remediation					$ -
Site Infrastructure (Utilities & Roads)					$ -
Site Improvements (Other)					$ -
Construction					
Dwelling Structures - Hard Costs					$ -
Non-Dwelling - Hard Costs					$ -
General Requirements					$ -
Builder's Profit					$ -
Builder's Overhead					$ -
Bond Premium					$ -
Hard Cost Contingency					$ -
Equipment					
Dwelling Equipment					$ -
Non-Dwelling Equipment					$ -
Professional Fees/Consultant Services					
Program Management Services					$ -
Architectural					$ -
Engineering					$ -
Construction Management Services					$ -
Appraisal					$ -
Environmental					$ -
Market Study					$ -
Historic Preservation Documentation					$ -
Other					$ -
Legal					
Organizational					$ -
Syndication					$ -
Main Street Outside Counsel					$ -
Other					$ -
Tax Credits					
Accounting					$ -
Tax Credit Application					$ -
Tax Credit Monitoring Fee					$ -
Syndication					$ -
Other					$ -
Page 1 Total	$ -	$ -	$ -	$ -	$ -

Construction Sources and Uses
For the HOPE VI Main Street Affordable Housing Project

Local Government:

Main Street Area:

Uses ($)*	HOPE VI Main Street	Other Govt	Tax Credit Equity	Other Private Sector	Total
Other Development Costs (Soft Costs)					
Accounting Fees					$ -
Financing Fees					$ -
Permit Fees					$ -
Title/Recording/Settlement Fees					$ -
Real Estate Taxes During Construction					$ -
Insurance During Construction					$ -
Interest During Construction					$ -
Bridge Loan Interest					$ -
Marking/Rent-up Expenses					$ -
Reserves					$ -
Soft Cost Contingency					$ -
Other					$ -
Relocation					
Relocation Costs					$ -
Developer Fee					
Developer Fee					$ -
Reserves					
Operating Reserve					$ -
Other Reserves					$ -
Page 2 Total	$ -	$ -	$ -	$ -	$ -
GRAND TOTAL USES:	$ -	$ -	$ -	$ -	$ -

Construction Sources and Uses
For the HOPE VI Main Street Affordable Housing Project

Local Government:

Main Street Area:

Name of Person that Completed S&U:	
Organization Name :	
Email:	
Phone:	

Sources ($)	HOPE VI Main Street	Other Govt	Tax Credit Equity	Other Private Sector	Total
Public Housing Funds					
HOPE VI Main Street					$ -
Public Housing					$ -
Sub-Total	$ -	$ -	$ -	$ -	$ -
Other HUD Funds					
HOME					$ -
CDBG					$ -
Other Funds					$ -
Sub-Total	$ -	$ -	$ -	$ -	$ -
Total HUD Funds	$ -	$ -	$ -	$ -	$ -
Non-HUD Public Funds					
State Funds					$ -
Local Funds					$ -
Other Funds					$ -
Other Funds					$ -
Other Funds					$ -
Sub-Total	$ -	$ -	$ -	$ -	$ -
Total Public Funds	$ -	$ -	$ -	$ -	$ -
Private Funds					
Tax Exempt Bonds					$ -
Taxable Bonds					$ -
Private LIHTC					$ -
Other Equity					$ -
Homebuyer Down Payment					$ -
Donations/Grants					$ -
Private Lender					$ -
Other					$ -
Other:					$ -
Other					$ -
Other:					$ -
Total Private Funds	$ -	$ -	$ -	$ -	$ -
Total Sources	$ -	$ -	$ -	$ -	$ -

Permanent Sources and Uses
For the HOPE VI Main Street Affordable Housing Project

Local Government:
Main Street Area:

Uses ($)*	HOPE VI Main Street	Other Govt	Tax Credit Equity	Other Private Sector	Total
Administration					
Administration					$ -
Management Improvements					
Management Improvements - Dev					$ -
Management Improvements - CSS					$ -
Acquisition					
Site Acquisition					$ -
Building Acquisition					$ -
Building Acquisition, Non-Dwelling					$ -
Building Remediation/Demolition					
Remediation, Dwelling Units/Site					$ -
Demolition, Interior					$ -
Remediation, Non-Dwelling Units					$ -
Demolition, Non-Dwelling Units					$ -
Demolition, Other					$ -
Site Improvements					
Site Remediation					$ -
Site Infrastructure (Utilities & Roads)					$ -
Site Improvements (Other)					$ -
Construction					
Dwelling Structures - Hard Costs					$ -
Non-Dwelling - Hard Costs					$ -
General Requirements					$ -
Builder's Profit					$ -
Builder's Overhead					$ -
Bond Premium					$ -
Hard Cost Contingency					$ -
Equipment					
Dwelling Equipment					$ -
Non-Dwelling Equipment					$ -
Professional Fees/Consultant Services					
Program Management Services					$ -
Architectural					$ -
Engineering					$ -
Construction Management Services					$ -
Appraisal					$ -
Environmental					$ -
Market Study					$ -
Historic Preservation Documentation					$ -
Other					$ -
Legal					
Organizational					$ -
Syndication					$ -
Main Street Outside Counsel					$ -
Other					$ -
Tax Credits					
Accounting					$ -
Tax Credit Application					$ -
Tax Credit Monitoring Fee					$ -
Syndication					$ -
Other					$ -
Page 1 Total	$ -	$ -	$ -	$ -	$ -

Construction Sources and Uses
For the HOPE VI Main Street Affordable Housing Project

Local Government:

Main Street Area:

Uses ($)*	HOPE VI Main Street	Other Govt	Tax Credit Equity	Other Private Sector	Total
Other Development Costs (Soft Costs)					
Accounting Fees					$ -
Financing Fees					$ -
Permit Fees					$ -
Title/Recording/Settlement Fees					$ -
Real Estate Taxes During Construction					$ -
Insurance During Construction					$ -
Interest During Construction					$ -
Bridge Loan Interest					$ -
Marking/Rent-up Expenses					$ -
Reserves					$ -
Soft Cost Contingency					$ -
Other					$ -
Relocation					
Relocation Costs					$ -
Developer Fee					
Developer Fee					$ -
Reserves					
Operating Reserve					$ -
Other Reserves					$ -
Page 2 Total	$ -	$ -	$ -	$ -	$ -
GRAND TOTAL USES:	$ -	$ -	$ -	$ -	$ -

Construction Sources and Uses
For the HOPE VI Main Street Affordable Housing Project

Local Government:

Main Street Area:

Name of Person that Completed S&U:

Organization Name:

Email:

Phone:

Sources ($)	HOPE VI Main Street	Other Govt	Tax Credit Equity	Other Private Sector	Total
Public Housing Funds					
HOPE VI Main Street					$ -
Public Housing					$ -
Sub-Total	$ -	$ -	$ -	$ -	$ -
Other HUD Funds					
HOME					$ -
CDBG					$ -
Other Funds					$ -
Sub-Total	$ -	$ -	$ -	$ -	$ -
Total HUD Funds	$ -	$ -	$ -	$ -	$ -
Non-HUD Public Funds					
State Funds					$ -
Local Funds					$ -
Other Funds					$ -
Other Funds					$ -
Other Funds					$ -
Sub-Total	$ -	$ -	$ -	$ -	$ -
Total Public Funds	$ -	$ -	$ -	$ -	$ -
Private Funds					
Tax Exempt Bonds					$ -
Taxable Bonds					$ -
Private LIHTC					$ -
Other Equity					$ -
Homebuyer Down Payment					$ -
Donations/Grants					$ -
Private Lender					$ -
Other					$ -
Other:					$ -
Other					$ -
Other:					$ -
Total Private Funds	$ -	$ -	$ -	$ -	$ -
Total Sources	$ -	$ -	$ -	$ -	$ -

Using the Drop-down Lists Provided, Select the City (or Region) and State in which the Project is Located

City	(All)	<-- Select City, PMSA/MSA, County or Parish from list here
StateName	(All)	<-- Select State from list here

Type	Data	Total
Detached/Semi-Detached	0 Bedrooms TDC	36,069,471
	1 Bedrooms TDC	47,645,617
	2 Bedrooms TDC	62,182,902
	3 Bedrooms TDC	75,018,658
	4 BedroomsTDC	88,640,855
	5 Bedrooms TDC	97,131,096
	6 Bedrooms TDC	105,269,890
	0 Bedrooms HCC	20,611,126
	1 Bedrooms HCC	27,226,067
	2 Bedrooms HCC	35,533,087
	3 Bedrooms HCC	42,867,805
	4 Bedrooms HCC	50,651,917
	5 Bedrooms HCC	55,503,483
	6 Bedrooms HCC	60,154,223
Elevator	0 Bedrooms TDC	27,102,156
	1 Bedrooms TDC	37,943,019
	2 Bedrooms TDC	48,783,882
	3 Bedrooms TDC	65,045,175
	4 BedroomsTDC	81,306,469
	5 Bedrooms TDC	92,147,332
	6 Bedrooms TDC	102,988,194
	0 Bedrooms HCC	16,938,848
	1 Bedrooms HCC	23,714,387
	2 Bedrooms HCC	30,489,926
	3 Bedrooms HCC	40,653,235
	4 Bedrooms HCC	50,816,543
	5 Bedrooms HCC	57,592,082
	6 Bedrooms HCC	64,367,622
Row House	0 Bedrooms TDC	32,266,407
	1 Bedrooms TDC	42,377,194
	2 Bedrooms TDC	54,964,417
	3 Bedrooms TDC	66,130,920
	4 BedroomsTDC	77,849,269
	5 Bedrooms TDC	85,295,434
	6 Bedrooms TDC	92,152,163
	0 Bedrooms HCC	18,437,947
	1 Bedrooms HCC	24,215,539
	2 Bedrooms HCC	31,408,239
	3 Bedrooms HCC	37,789,097
	4 Bedrooms HCC	44,485,296
	5 Bedrooms HCC	48,740,248
	6 Bedrooms HCC	52,658,379
Walkup	0 Bedrooms TDC	27,349,151
	1 Bedrooms TDC	36,713,564
	2 Bedrooms TDC	46,713,996
	3 Bedrooms TDC	62,041,836
	4 BedroomsTDC	76,791,383
	5 Bedrooms TDC	86,599,050
	6 Bedrooms TDC	95,837,120
	0 Bedrooms HCC	15,628,086
	1 Bedrooms HCC	20,979,180
	2 Bedrooms HCC	26,693,712
	3 Bedrooms HCC	35,452,478
	4 Bedrooms HCC	43,880,790
	5 Bedrooms HCC	49,485,172
	6 Bedrooms HCC	54,764,069

Total Development Cost (TDC) Limit Calculations

(NOTE: Housing Cost Cap does not apply to the HOPE VI Main Street program)

Applicant Name:

Main Street Area Name:

Using TDC Limits published in Notice PIH 2003-8 (extended as PIH 2004-6) for: (All), (All)

Step 3. Unit Mix (Note: enter this information on the "Unit Mix" worksheet)				TDC Limits	
Structure Type	BRs	Rehab of Owned Housing	New Const.	Per Unit	Total for All Units
Detached/Semi-Detached	0	-	-	$ 36,069,471	$ -
	1	-	-	$ 47,645,617	$ -
	2	-	-	$ 62,182,902	$ -
	3	-	-	$ 75,018,658	$ -
	4	-	-	$ 88,640,855	$ -
Row House	0	-	-	$ 97,131,096	$ -
	1	-	-	$ 105,269,890	$ -
	2	-	-	$ 20,611,126	$ -
	3	-	-	$ 27,226,067	$ -
	4	-	-	$ 35,533,087	$ -
Walkup	0	-	-	$ 42,867,805	$ -
	1	-	-	$ 50,651,917	$ -
	2	-	-	$ 55,503,483	$ -
	3	-	-	$ 60,154,223	$ -
	4	-	-	$ 27,102,156	$ -
Elevator	0	-	-	$ 37,943,019	$ -
	1	-	-	$ 48,783,882	$ -
	2	-	-	$ 65,045,175	$ -
	3	-	-	$ 81,306,469	$ -
	4	-	-	$ 92,147,332	$ -
		-	-		$ - TDC Limit

Total Public Housing Sources, Including Requested HOPE VI Main Street Grant and All Other Public Housing Sources (from the Permanent Sources and Uses Pages)	$ -	$ -
Total Uses, All Uses of the HOPE VI Main Street Grant Funds (from the Permanent Sources and Uses pages)		
1408 Community and Supportive Services ("CSS")	$ -	Not in TDC
1408 Management Improvements	$ -	
1430 Fees and Costs (planning, program mgmt, insurance, Reserves, etc.)	$ -	
1440 Site Acquisition (cost of acquiring sites without structures to be retained as housing)	$ -	
1450 Site Improvement (streets, site improvements and public improvements)	$ -	
1460 Dwelling Structures, **New Construction and Rehab of Acquisitions**	$ -	
1465 Dwelling Equipment	$ -	
1485 Demolition (including associated environmental remediation costs)	$ -	
1495 Relocation (moving expenses, and direct Local Government cost of full-time relocation staff)	$ -	
Total HOPE VI Main Street Uses		$ -

Total PH Sources must equal Total PH Uses.

Community & Supportive Services ("CSS")	$ -	
(Minus) CSS (Not subject to TDC limit)		$ -
Total Uses of Public Housing Capital Assistance Subject to TDC Limit		$ -

TDC Calculation Results

HOPE VI Main Street TDC Limit Analysis:

Total Development Cost as Percentage of TDC Limit.
If TDC is greater than 100%, the Project violates TDC limit(s) for this NOFA.

#DIV/0!

List all funds and in-kind services that you are including as Match, leverage that has been or will be used to develop the Main Street Affordable Housing Project. By signing the form SF-424, you are certifying that each of the listed resources for Match and leverage has been, or will be, firmly commited to use on your Main Street Affordable Housing Project By signing the form SF-424, you are also certifying that each of the listed resources for leverage has been, or will be, firmly commited to use on your Main Street Affordable Housing Project. The amounts listed on these two lists must be consistent with the amounts listed on the Sources & Uses portions of this form.

Match Resources

	Source of Leverage	Resource Contact	Resource Phone	Dollar Value	Cash or In-Kind Svc.	Leverage Period 2 Years or More? (Y/N)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
				$ -		

Main Street Affordable Housing Project Leverage Resources

1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
				$ -		

form **HUD-52861** (09/20/2004)

List all funds and in-kind services that you are including as resources that have been, or will be, applied to your Main Street Area rejuvenation effort, other than those listed for application to Match or the development of your Main Street Affordable Housing Project. By signing the form SF-424, you are certifying that each of the listed resources for as applying to your Main Street Area rejuvenation effort have been, or will be, firmly commited to use on your Main Street Area rejuvenation effort.

Main Street Area Rejuvenation Effort Leverage Resources

	Source of Leverage	Resource Contact	Resource Phone	Dollar Value	Cash or In-Kind Svc.	Leverage Period More than 2 Years (Y/N)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						
27						
28						
29						
30						
				$ -		

form **HUD-52861** (09/20/2004)

HOPE VI BUDGET GUIDANCE

I. GENERAL BUDGET GUIDANCE

A. Introduction

This document provides detailed information for HOPE VI Grantees to use when developing and revising their program budgets. All guidance is applicable to Revitalization, Demolition, Neighborhood Networks and Main Street HOPE VI grants unless specific other instructions are provided. Included are examples of costs and where they should be placed in the budget; however, none of the lists of activities are meant to be exclusive. Also, some of the examples may be allowable only under the Revitalization grant and not under Demolition, Neighborhood Networks, or Main Street grants. If a particular activity cost is not listed, if an expense is unclear, or the there is a question as to whether the activity cost is allowable for a specific type of grant, Grantees should request assistance from their HOPE VI Grant Manager.

B. HOPE VI Budget Form

HOPE VI program budgets are submitted on Form HUD-52825-A, Parts I and II. The blank form, and an Excel workbook that will assist in filling out the form, can be obtained over the Internet from HUDClips at http://www.hudclips.org/cgi/index_cliphome.com

The HOPE VI grant amount is divided into Budget Line Items (BLIs), as provided on Part I of the Budget Form. On Part II, those BLIs are broken down into specific costs or work items, in accordance with these guidelines and the Chart of Accounts, as detailed below.

C. HOPE VI Program Area

The original name of the HOPE VI Program, as created in FY 1993, was the Urban Revitalization Demonstration, aka URD. Grantees will find the initials URD in their HOPE VI grant numbers. However, the Program Area in LOCCS is URP, for Urban Revitalization Program.

D. Chart of Accounts

This Budget Guidance supplements the HOPE VI Budget Guidance chapter in the HOPE VI Guidebook, dated October 2000, and the Public and Indian Housing Low-Rent Technical Accounting Guide, HUD Guidebook Number 7510.1, issued on May 7, 1996. Where this guidance is inconsistent with the Accounting Guide, use the HOPE VI guidance when preparing your budget. The Accounting Guide explains financial management standards, identifies the types of financial information Grantees must maintain, and provides a **Chart of**

Accounts that describes the eligible expenses for each BLI. Pages IV-28 through IV-50 of the Accounting Guide are posted to the HOPE VI Website for the convenience of Grantees. Each grantee is encouraged to obtain a copy of the Accounting Guide, as it provides assistance in preparing all HUD public housing program budgets.

E. Community and Supportive Services (CSS) in HOPE VI Revitalization Grants

Although funds budgeted and expended under most BLIs may be moved to another BLI as the need arises, CSS funds may only be used for CSS purposes. In order to differentiate between capital cost, including PHA administration, and CSS budgeting and expenditures, all CSS services budget information should be included in BLI 1408, Management Improvements. Physical improvement costs necessary to provide facilities primarily intended for the delivery of CSS programs and economic development opportunities for residents of the targeted development are NOT included in the CSS cost cap and not included in BLI 1408. CSS cost limits are:

1. FY 1993 - 1996 Grantees may use not more than 20 percent of their grant for CSS programs and related administrative expenses.

2. FY 1997 Grantees are limited to no more than $5,000 per unit for CSS programs and related administrative expenses, based on the higher of:

   a. the number of currently occupied units in the project to be revitalized, or

   b. the number of Replacement Units after revitalization, as defined in Section II.K.3 of the FY 1997 NOFA.

3. FY 1998 Grantees are limited to no more than $5,000 per unit for CSS programs, based on:

   a. the number of households in occupied units in the project to be revitalized at the time of application submission, and

   b. the estimated number of new households that are expected to occupy replacement units after revitalization.

   c. For Elderly grants, $5,000 per household for human services programs to address quality of life and other social needs, particularly as related to aging in place and assisted living.

4. FY 1999 to the present Grantees may budget up to 15 percent of the total HOPE VI grant amount to pay the costs of CSS programs.

This means that CSS costs must be allocated between two Budget Line Items on the budget form, as follows:

Budget Line Item		
1408	Management Improvements/ Community and Supportive Services	All "soft" CSS costs, regardless of whether activities will be carried out by Grantee staff or by a partner or contractor. All costs related to Management Improvements
1470	Non-Dwelling Structures	Construction or rehabilitation of structures to be used for CSS programs

II. STEPS IN THE BUDGET PROCESS

A. Revitalization Budget

Each selected Revitalization application included a budget, submitted on Form HUD-52825-A, for the full amount requested. To reflect changes resulting from TDC calculations, grant reductions, and other changes in the project during post-award review, each Grantee must provide a revised budget in its Supplemental Submissions.

B. Demolition Budget

Demolition Grantees are sent approved budgets when they are first notified of selection. In most cases, all grant funds are made available to the Grantee as soon as the Grant Agreement is executed. Exceptions include:

1. If the application was funded for an amount less than the amount requested, the budget may indicate the HUD-approved total amount only. The Grantee must submit a revised budget to its Field Office reflecting the revised amount.

2. If an application was approved based on a Section 202 Conversion Plan that was submitted to HUD but not yet approved, funds will not be made available to the Grantee until the Conversion Plan is approved.

C. Main Street Budget

Each selected Main Street application included a budget, submitted on Form HUD-52825-A, for the full amount requested. To reflect changes resulting from TDC calculations, grant reductions, and other changes in the project during post-award review, each Grantee must provide a revised budget when it submits its signed Grant Agreement, shortly after award.

1. The Grantee should use the HOPE VI Budget Revision Workbook version of the form HUD-52825-A, which can be obtained from HUDClips at http://www.hudclips.org/sub_nonhud/html/forms.htm.

D. Neighborhood Networks and CSS

The Neighborhood Networks grants do not include a CSS cap. The amount spent on CSS related services and hardware the other BLIs is determined by the Grantee, with HUD's Budget approval.

E. BLI 2000 and Requests for Funds

Although each HOPE VI Revitalization grant has a budget that shows the entire amount of the grant by BLI, those individual amounts are not automatically made available to the Grantee. Instead, when a HOPE VI Grant Agreement is first executed, the entire amount of the grant is placed into BLI 2000, which is a special "holding" account where funds remain unavailable to

the Grantee until HUD authorizes their expenditure and distributes, or "spreads", them into the applicable BLIs. Grant funds are placed into BLI 2000 so that HUD can control the amount of funds that Grantees have access to and to ensure that major expenditures have been approved before they are disbursed.

BLI 2000 is rarely used for Demolition grants, but HUD may place grant funds into BLI 2000 to restrict drawdowns pending resolution of particular issues.

F. Predevelopment Budget

By definition, Predevelopment costs are incurred by the Grantee before the first phase's financial closing. Once this closing occurs, development has started. For this reason, Predevelopment Budgets apply only to Revitalization grants. There are no pre-development budgets.

The Revitalization Grant Agreement provides that a Grantee may submit a predevelopment budget to request grant funds for specific eligible predevelopment costs before the grantee has completed its first phase financial closing. The predevelopment budget, also submitted on Form HUD-52825-A and clearly marked as a Predevelopment Budget, will include the Grantees request to HUD to spread ONLY the predevelopment costs requested, not the total amount of the grant. The eligible predevelopment costs are listed in the Grant Agreement. HUD will generally approve predevelopment budgets that request funds for expenses anticipated over the next six months.

In accordance with the Grant Agreement, predevelopment funds may be requested for costs incurred after the notification of grant award and before Grant Agreement execution. Changes or corrections may be negotiated between the Grantee and HUD. The CEO of the Grantee must sign and date the predevelopment budget. When approvable, HUD will sign the approved predevelopment budget and return a copy to the Grantee. HUD will spread the amounts on the predevelopment budget into the appropriate BLIs from BLI 2000, thus making them available for the Grantee to draw down. No further HUD approval will be required unless a particular drawdown triggers an edit (see Grantee Financial Instructions) or the grant is put on manual review.

G. Neighborhood Networks and Main Street Allowable Expenditures from Award Notice

In accordance with the Grant Agreement, predevelopment funds may be requested for costs incurred after the notification of grant award and before Grant Agreement execution. The grant award date is stated in HUD's notification to the Grantee that it has received an award. The date is also stated in the Grant Agreement. Although allowable expenses may be charged to the grant from the date of award, HUD will not spread funds until after the Grant Agreement is fully executed. After Grant Agreement execution, the Grantee may submit a detailed budget on the HOPE VI Budget form (HUD-52825A) asking HUD to spread the total amount of the grant funds.

H. Revitalization Grant Mixed-Finance Release of Funds

Grant funds needed for a project or phase of a project are detailed in Exhibit F of the ACC Amendment for that project or phase. When the proposal is approved and the ACC Amendment is executed at the time of phase closing, HUD will spread the funds detailed in Exhibit F into LOCCS and make them available to the Grantee for the activities specified in the approved proposal. This process is repeated for each phase of the project. Grantees may submit interim spread requests at times other than phase closing for costs that are not directly associated with phase development, e.g., Administration, Demolition, Relocation, etc.

I. Budget and Grant Term

Costs may be included in the HOPE VI Budget for the active period of the grant only. That is, if it will take two years for the Grantee to accomplish its proposed demolition, rehabilitation/new construction, and full lease-up, funds may be budgeted to provide staff salaries, supportive services, etc. for only a two year period, even if the term of the grant as stated in the Grant Agreement is for longer than that amount of time. This is consistent with the general rule that any funds drawn from the Federal Treasury must be disbursed by the Grantee to the payee within three working days.

The only exception is in the case of a CSS Endowment Trust. Section 24 of the U.S. Housing Act authorized Grantees awarded Revitalization grants in FY 2000 and beyond to use CSS funds to set up Endowment Trust funds. The Trust is a mechanism that allows Grantees to use HOPE VI funds for CSS activities after the physical development stage is completed. Details of the Trust are included in the Grant Agreement.

Grant funds that are in reserve accounts that are allowable under the grant are considered expended when they are deposited into the reserve account.

III. SPECIFIC BUDGET LINE ITEM GUIDANCE

BLI 1408 - MANAGEMENT IMPROVEMENTS / COMMUNITY AND SUPPORTIVE SERVICES

Costs applicable to BLI 1408 are those related to management improvement activities and community and supportive services programs. Although this section discusses costs for management improvements and CSS programs separately, both types of costs must be included in 1408. Please note that a hard edit has been placed on BLI 1408 in LOCCS. This means that Grantees may only request funds up to 100 percent of the amount entered in LOCCS for BLI 1408 instead of the 110 percent established for other BLIs.

A. Management Improvements

Management improvements are the costs of improvements to PHA management systems that are made in conjunction with HOPE VI grant-related revitalization efforts. All management improvements costs must be placed in the "Capital Costs" column. Note that regardless of whether costs for management improvements are to be incurred by PHA staff or contractors, all such costs must be included in BLI 1408. On Part II of the budget form, differentiate between those costs incurred by the PHA and those by contractors.

Specific Eligible Management Improvements Costs

- PHA staff training (including travel) related to management improvements
- PHA staff time, contractors, and materials used to revise:
- procedures manuals
- accounting systems (including project-based budgeting)
- occupancy policy (including establishment of community based waiting list)
- administrative plan
- lease documents
- maintenance policy and procedures
- resident screening procedures
- PHA staff time and materials used to develop performance measures to monitor success of management improvements

- development or purchase of ADP/computer systems

Resident Management:

- technical assistance to a resident council or resident management corporation (RMC)
- feasibility study of resident management
- resident management training of RMC members
- establishment of a community management association to manage common area, provide policy direction, oversee property management
- resident training on: (may include an amount for travel)

  housing management
  maintenance
  Section 3 compliance

Heightened Security Costs:

- security guards
- tenant patrols
- resident security training

B. Community and Supportive Services Programs / Neighborhood Networks

All "soft" costs for CSS programs, regardless of whether activities will be carried out by Grantee staff or by a partner or contractor, must be placed under BLI 1408.

All staff costs for Neighborhood Networks grants, regardless of whether activities will be carried out by Grantee staff or by a partner or contractor, must also be placed under BLI 1408.

On Part II of the budget, differentiate between costs that will be incurred by PHA staff and costs incurred by contractors.

Specific Eligible CSS Program Costs

- PHA staff training (including travel) related to CSS programs
- PHA staff time and materials used to develop performance measures to monitor success of CSS programs.
- cost of a contractor to facilitate the organization of a community task force that performs needs assessment and other planning of the CSS program.
- transportation: bus fare, leasing or purchase of vehicles for supportive services, salaries of drivers, gas and maintenance
- counseling: family, substance abuse, homeownership, etc.
- resident employment and stipends
- latchkey, daycare
- employment training
- senior citizens services
- needs assessment
- computer training
- computers for computer lab, lending library, or rental units
- upgrade personal computers in local schools
- case management
- health care
- maintenance equipment associated with management improvements
- signeage
- tables, chairs, easels, portable blackboards, coffee pots, etc. for

community and resident meeting rooms; including light refreshments served at meetings

- recreation programs, including playground equipment, sports equipment, uniforms

Economic Development Costs:

- revolving loan fund. HOPE VI funds may not be deposited into an interest-bearing account to establish a revolving loan fund. However, program income and the interest it collects can be used to establish either a revolving loan fund or endowment fund.
- establishment of credit union
- contract with community development bank to manage special financial and economic development services
- establishment of a component of a local CDC to provide leadership in community organizing
- planning for development of small business on site, including resident-owned enterprises
- wage subsidies for retail employment

Supportive Services Endowment Funds:

In accordance with Section 24(d)(2) of the Housing Act of 1937, FY 2000 and beyond Grantees only may deposit up to 15 percent of the HOPE VI grant amount (the maximum amount of the grant allowable for CSS programs) in an endowment trust to provide community and supportive services over such period of time as the Grantee determines. The amount requested will be provided by HUD in a lump sum. Funds must be invested in a wise and prudent manner, i.e., funds may be invested in deposits, certificates of deposit, and other types of securities that are deposited in an account insured by the United States of America. Endowment funds (together with any interest earned) may only be used for eligible and necessary CSS program costs. Endowment funds may be used in conjunction with other amounts donated or otherwise made available to the fund for similar purposes.

Specific Eligible Neighborhood Networks Program Costs

- PHA staff training (including travel) related to Neighborhood Networks programs
- PHA staff time and materials used to develop performance measures to monitor success of Neighborhood Networks programs.
- cost of a contractor to facilitate the organization and implementation of a Neighborhood Networks Center, e.g., NNC Coordinator
- counseling: family, substance abuse, homeownership, etc.

- resident employment and stipends related to Neighborhood Networks
- computer training

Note that for Neighborhood Networks grants, several items listed above, under Specific Eligible CSS Program Costs, are not counted in BLI 1408. Those items, along with all other non-CSS costs, are counted in other BLIs, as described below.

BLI 1410 - ADMINISTRATION

BLI 1410 is intended for costs associated with the general, overall administration of the HOPE VI grant by the Grantee. Any administrative expenses on the part of the Grantee that are charged to the HOPE VI budget must be prorated in accordance with the time spent on HOPE VI grant-related activities. The Grantee must itemize its personnel that will be working on the project, the percentage of time for each person, and the amount of salary billed to HOPE VI. This proration should be consistent with the Staffing and Time Allocation information submitted by the Grantee and approved by HUD.

A hard edit has been placed on BLI 1410 in LOCCS. This means that Grantees may only request funds up to 100 percent of the amount entered in LOCCS for BLI 1410, instead of the 110 percent established for other BLIs.

Note that all costs related to management improvements or CSS programs, and staff costs related to Neighborhood Networks, must be included in BLI 1408 (Management Improvements), and NOT under 1410.

Specific Eligible Costs

- staff salaries and benefits, including resident employment, not directly related to CSS or Neighborhood Networks programs
- staff attorney (not including fees and expenses directly related to site acquisition)
- staff training, related travel, not related to CSS or Neighborhood Networks
- copies
- postage
- telephone
- expendable equipment
- operation of motor vehicle
- advertisements to support solicitations for bids
- marketing and advertising of new units
- publications
- office space
- utilities for office
- rental of office equipment
- janitorial supplies
- accounting and auditing expenses not already paid by the PHA
- PHA's insurance: workman's comp, vehicle, fire, fidelity bonds, public liability

BLI 1430 - FEES AND COSTS

Fees and Costs generally are expenditures made to entities that are contracted by the Grantee to perform specific services. They do not include the salaries of employees of the Grantee. Exceptions to this rule are as follows:

- CSS, Neighborhood Networks staffing, and management improvement costs must be charged to BLI 1408, regardless of whether those activities will be carried out by Grantee staff or contractors.
- Fees and costs associated with acquisition of real estate should be charged to BLI 1440 (Site Acquisition), including appraisals, broker fees, closing costs, recording fees, surveys, etc.
- A&E or other fees and costs associated with hazard abatement/remediation and demolition must be charged to BLI 1485.
- Relocation contractors must be charged to BLI 1495.

On Part II of the Budget form, Fees and Costs must be described in adequate detail to determine costs for associated BLIs. For example, if a Grantee is using HOPE VI funds to build a self-sufficiency or Neighborhood Networks service center, the costs to physically build the center belong in BLI 1470 (Non-Dwelling space) and the soft costs, such as A&E, belong in BLI 1430. Part II of the budget must be itemized in enough detail to determine the entire cost of the activity, including both the hard and soft costs.

Specific Eligible Costs

- consultant fees:
  - program management: Note that if the Grantee is relying on a Program Manager, the HUD Grant Manager will be closely reviewing costs under Administration (BLI 1410)
  - environmental
  - marketing
  - financial
  - legal - negotiate partnership, related documents specific to the HOPE VI development
  - construction management or supervision services
  - A&E fees paid to architectural or engineering firms for planning, design, or construction administration services
- accounting services for modeling of equity returns, tax credit compliance certifications
- permit fees: city/county/state processing reviews
- impact fees
- soil testing

- housing surveys and market studies
- blueprints and document copies not provided under A&E contract
- printing of construction documents and RFPs for developers
- tap and utility fees
- fees for escrow and disbursing services during construction

BLI 1440 - SITE ACQUISITION

Costs associated with the actual purchase or other acquisition of land, with or without improvements, by the Grantee are appropriate for BLI 1440. All site acquisition, whether the site is intended for dwelling structures, nondwelling structures, recreation areas, or other uses, are applicable under BLI 1440. Activities such as demolition, site preparation, or construction that takes place after a site is acquired should be itemized under the appropriate BLIs, NOT under 1440.

Specific Eligible Costs

- land and improvements
- raw land
- condemnation costs
- surveys and maps
- appraisal
- closing costs
- broker fees
- title information
- legal costs for site
- option negotiations
- current tax settlement
- recording fees, transfer taxes
- market study for acquisition
- funds used to collateralize, or pay interest on, bonds or loans, where the proceeds will be used for acquisition in Main Street grants

BLI 1450 - SITE IMPROVEMENTS

Site Improvements are those activities performed on a site that prepare it for its intended use. If subsequent construction will be performed on the site, site improvements are those that make it a buildable site and include the cost of site infrastructure required to support the development of housing units. If the site will be used as a park or recreation area with no construction, site improvements may include such activities as grading, landscaping, and lighting. Any kind of construction or rehabilitation does NOT constitute site improvements. Costs for any site improvements made strictly for the purposes of heightened security should be placed under 1408 (Management Improvements).

Specific Eligible Costs

- site clearance, except that demolition activities should be placed under BLI 1985
- drainage
- grading
- sewers and utilities, including utility transformers, distribution cables, and meters, and the provision of these services to individual housing units
- parking lots
- sidewalks
- landscaping
- streets and alleys, including curbs and gutters
- fencing
- surfacing of outdoor play areas, including structural playground facilities (playground equipment should be included in BLI 1475)
- exterior lighting (lighting of recreation facilities should be included in 1475)
- escrowed funds used to collateralize, or pay interest on, bonds or loans, where the proceeds will be used for site improvements in Main Street grants

BLI 1460 - DWELLING STRUCTURES

All costs of construction or rehabilitation of dwelling structures should be listed under this BLI.

Specific Eligible Costs

- excavation and backfill, foundations
- renovation and reconfiguration of remaining buildings
- construction of replacement housing
- loans to development partners for the development of public housing
- rehabilitation of acquired scattered sites
- construction of homeownership units
- soft second mortgages/construction writedowns for homeownership
- initial operating deficit
- contractor profit, overhead, contingency, and general conditions
- collateralization of bonds
- utilities from the street
- finished landscaping
- escrowed funds used to collateralize, or pay interest on, bonds or loans, where the proceeds will be used for dwelling structures in Main Street grants

BLI 1465 - DWELLING EQUIPMENT - NONEXPENDABLE

Nonexpendable Dwelling Equipment includes, among other things, equipment installed in or directly related to dwellings, as opposed to Community Space.

- appliances installed in individual dwelling units
- laundry appliances installed in common space located within dwelling buildings
- security equipment

BLI 1470 - NONDWELLING STRUCTURES

The hard cost of construction of nondwelling structures, including any kind of building that contains facilities other than living space. They may include community centers, daycare facilities, recreation centers, standalone laundry facilities, security offices, separate rental or maintenance offices, or parking structures.

Specific Eligible Costs

- renovation or new construction of Community Building or Neighborhood Networks Center
- construction/conversion of center for leasing, property management, and/or maintenance
- construction of laundry room
- costs associated with negotiations, appraisal, legal fees for non-dwelling structures development and/or rehab
- construction of parking garage
- construction of resident enterprise facility

BLI 1475 - NONDWELLING EQUIPMENT

Nondwelling equipment includes the costs of furniture and equipment that will not be associated with living spaces. Nonexpendable equipment to be purchased under the grant for community and supportive services should be included in BLI 1408.

Specific Eligible Costs

- laundry appliances installed in non-dwelling areas
- office furniture equipment for leasing/management/maintenance building (fax machines, copiers, computers, telephones)
- furnishings for non-dwelling facilities
- computer and internet hardware for Neighborhood Networks grants.

BLI 1485 - DEMOLITION COSTS

All costs associated with the demolition and remediation of dwelling and non-dwelling structures must be placed under BLI 1485. Grantees should budget no more than $10,000 per unit for abatement and demolition, and in most cases the cost per unit should be less than $10,000. Any budget amount over $10,000 per unit must be justified in detail. The description on Part II of the budget must distinguish between costs related to existing public housing property and costs related to acquisition of a new public housing site. Demolition costs include:

- planning and professional services related to abatement/remediation of hazardous materials and demolition of buildings
- abatement/remediation of hazardous materials prior to demolition
- lead based paint insurance while work is in progress
- removal of structures, existing paving, foundations, utilities, and related infrastructure
- fencing and security during abatement and demolition, if necessary
- gutting dwelling units for permanent use as non-dwelling space, if the work is done pursuant to a HUD-approved demolition application
- escrowed funds used to collateralize, or pay interest on, bonds or loans, where the proceeds will be used for demolition or remediation in Main Street grants

BLI 1495 - RELOCATION COSTS

Relocation payments may include costs to permanently relocate residents of units approved for demolition, temporarily relocate residents of units to be reconfigured or rehabilitated, temporarily relocate residents until replacement housing is completed, or the costs associated with returning residents to HOPE VI housing. The description on Part II of the budget must distinguish between costs related to relocation from existing public housing property and costs related to relocation from an acquired public housing site.

Relocation costs should be limited to a maximum of $3,000 per family, including the cost of two moves for families who return to replacement housing from temporary relocation. Any budget amount over $3,000 per family must be justified in detail.

Replacement housing payments for the purchase of private housing should be placed in 1460.

Specific Eligible Costs

- moving costs
- reconnection of utilities, including telephone and cable
- security deposits
- relocation counseling
- assistance in locating housing
- salaries of PHA relocation staff and/or relocation contractors managing the relocation process
- costs of temporary relocation offices
- settlement costs for occupants displaced by acquisition of property

HOPE VI Budget

Part I: Summary

U. S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0208 (exp. 3/31/2007)

Public Reporting Burden for this collection of information is estimated to average 3 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 information is necessary to provide details on the funds requested by Housing Authorities. The form displays the amount requested, broken down by budget line item, with each use explained on Part II. The requested information will be reviewed by HUD to determine if the amount requested is reasonable and whether the required percentages of capital and supportive services funds are met.
Responses to the collection are required by the appropriation under which the HOPE VI grant was funded. The information collected does not lend itself to confidentiality.
HUD may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number.

PHA Name: _____ HOPE VI Grant Number: _____
Devel. Name: _____ Budget Revision Number: _____

Line No.		Summary by Budget Line Item	Revised Overall HOPE VI Budget for All Project Phases	Previous Authorized Amount of Funds in LOCCS	Changes Requested in this Revision	HUD-Approved Total Authorized Amount of Funds in LOCCS
1	1408	Management Improvements/ Community and Supportive Services				
2	1410	Administration				
3	1430	Fees and Costs				
4	1440	Site Acquisition				
5	1450	Site Improvement				
6	1460	Dwelling Structures				
7	1465	Dwelling Equipment-Nonexpendable				
8	1470	Nondwelling Structures				
9	1475	Nondwelling Equipment				
10	1485	Demolition				
11	1495	Relocation Costs				
12		**Total Funds Authorization** (Sum Of Lines 1-11)				
13	U2000	Funds held in Reserve				
14		**Amount of HOPE VI Grant** (Sum Of Lines 1-13)				

Signature of PHA Executive Director

X Date

HUD Certification: In approving this budget and providing assistance to a specific housing development(s), I hereby certify that the assistance will not be more than is necessary to make the assisted activity feasible after taking into account assistance from other government sources (24 CFR 12.50).

Signature of Authorized HUD Official

X Date

form **HUD-52825-A** (12/2003)

HOPE VI Budget: **Part II: Supporting Pages for Revision to Overall Budget, Expenditure Allocation and/or Authorized Spending Amount**

Prior Bdgt Date	PHA:	Budget Revision Number	Grant Number
	Development Name:		

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1	2	3	4	5	6	7	8
1408	MANAGEMENT IMPROVEMENTS / COMMUNITY AND SUPPORTIVE SERVICES						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						
1410	ADMINISTRATION						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						

form **HUD-52825-A**

HOPE VI Budget: **Part II: Supporting Pages for Revision to Overall Budget, Expenditure Allocation and/or Authorized Spending Amount**

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1	2	3	4	5	6	7	8
1430	FEES AND COSTS						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						
1440	SITE ACQUISITION						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						

form **HUD-52825-A**

HOPE VI Budget: **Part II: Supporting Pages for Revision to Overall Budget, Expenditure Allocation and/or Authorized Spending Amount**

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1	2	3	4	5	6	7	8
1450	SITE IMPROVEMENTS						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						
1460	DWELLING STRUCTURES						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						

form HUD-52825-A

HOPE VI Budget: **Part II: Supporting Pages for Revision to Overall Budget, Expenditure Allocation and/or Authorized Spending Amount**

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1	2	3	4	5	6	7	8
1465	DWELLING EQUIPMENT - NONEXPENDABLE						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1470	NONDWELLING STRUCTURES						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						

form **HUD-52825-A**

HOPE VI Budget: **Part II: Supporting Pages for Revision to Overall Budget, Expenditure Allocation and/or Authorized Spending Amount**

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1	2	3	4	5	6	7	8
1475	NONDWELLING EQUIPMENT						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						
1485	DEMOLITION						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals						
	NEW TOTALS FOR HUD APPROVAL	$ -					
	Percentage of BLI Budget						

form **HUD-52825-A**

HOPE VI Budget: **Part II: Supporting Pages for Revision to Overall Budget, Expenditure Allocation and/or Authorized Spending Amount**

Budget Line Item Number	Description of Proposed/Approved Action Use of Additional Authorized Funds	Current Overall HOPE VI Budget (All phases)	Requested Change in Overall HOPE VI Budget (All phases)	Requested Change in Disbursed Funds (Realignment)	Current Authorized Amount (Current Spread)	Requested Change in Amount Authorized for Expenditure (Change in Spread)	Total Funds to be Authorized for Expenditure (New Spread)
1	2	3	4	5	6	7	8
1495	RELOCATION COSTS						
Prior Bdgt Date	**Total Changes**						
	Previous Approved Budget Totals	$ -					
	NEW TOTALS FOR HUD APPROVAL						
	Percentage of BLI Budget						

Total Changes					
Previous Approved Budget Totals					
NEW BLI TOTAL $ -					

form **HUD-52825-A**

America's Affordable Communities Initiative	U.S. Department of Housing and Urban Development	OMB approval no. 2510-0013 (exp. 03/31/2007)

Public reporting burden for this collection of information is estimated to average 3 hours. This includes the time for collecting, reviewing, and reporting the data. The information will be used for encourage applicants to pursue and promote efforts to remove regulatory barriers to affordable housing. Response to this request for information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

Questionnaire for HUD's Initiative on Removal of Regulatory Barriers

Part A. Local Jurisdictions. Counties Exercising Land Use and Building Regulatory Authority and Other Applicants Applying for Projects Located in such Jurisdictions or Counties [Collectively, Jurisdiction]

	1	2
1. Does your jurisdiction's comprehensive plan (or in the case of a tribe or TDHE, a local Indian Housing Plan) include a "housing element? A local comprehensive plan means the adopted official statement of a legislative body of a local government that sets forth (in words, maps, illustrations, and/or tables) goals, policies, and guidelines intended to direct the present and future physical, social, and economic development that occurs within its planning jurisdiction and that includes a unified physical plan for the public development of land and water. If your jurisdiction does not have a local comprehensive plan with a "housing element," please enter no. If no, skip to question # 4.	☐ No	☐ Yes
2. If your jurisdiction has a comprehensive plan with a housing element, does the plan provide estimates of current and anticipated housing needs, taking into account the anticipated growth of the region, for existing and future residents, including low, moderate and middle income families, for at least the next five years?	☐ No	☐ Yes
3. Does your zoning ordinance and map, development and subdivision regulations or other land use controls conform to the jurisdiction's comprehensive plan regarding housing needs by providing: a) sufficient land use and density categories (multifamily housing, duplexes, small lot homes and other similar elements); and, b) sufficient land zoned or mapped "as of right" in these categories, that can permit the building of affordable housing addressing the needs identified in the plan? (For purposes of this notice, "as-of-right," as applied to zoning, means uses and development standards that are determined in advance and specifically authorized by the zoning ordinance. The ordinance is largely self-enforcing because little or no discretion occurs in its administration.). If the jurisdiction has chosen not to have either zoning, or other development controls that have varying standards based upon districts or zones, the applicant may also enter yes.	☐ No	☐ Yes
4. Does your jurisdiction's zoning ordinance set minimum building size requirements that exceed the local housing or health code or is otherwise not based upon explicit health standards?	☐ Yes	☐ No

5. If your jurisdiction has development impact fees, are the fees specified and calculated under local or state statutory criteria? If no, skip to question #7. Alternatively, if your jurisdiction does not have impact fees, you may enter yes.	☐ No	☐ Yes
6. If yes to question #5, does the statute provide criteria that sets standards for the allowable type of capital investments that have a direct relationship between the fee and the development (nexus), and a method for fee calculation?	☐ No	☐ Yes
7. If your jurisdiction has impact or other significant fees, does the jurisdiction provide waivers of these fees for affordable housing?	☐ No	☐ Yes
8. Has your jurisdiction adopted specific building code language regarding housing rehabilitation that encourages such rehabilitation through gradated regulatory requirements applicable as different levels of work are performed in existing buildings? Such code language increases regulatory requirements (the additional improvements required as a matter of regulatory policy) in proportion to the extent of rehabilitation that an owner/developer chooses to do on a voluntary basis. For further information see HUD publication: "*Smart Codes in Your Community: A Guide to Building Rehabilitation Codes*" (www.huduser.org/publications/destech/smartcodes.html)	☐ No	☐ Yes
9. Does your jurisdiction use a recent version (i.e. published within the last 5 years or, if no recent version has been published, the last version published) of one of the nationally recognized model building codes (i.e. the International Code Council (ICC), the Building Officials and Code Administrators International (BOCA), the Southern Building Code Congress International (SBCI), the International Conference of Building Officials (ICBO), the National Fire Protection Association (NFPA)) without significant technical amendment or modification. In the case of a tribe or TDHE, has a recent version of one of the model building codes as described above been adopted or, alternatively, has the tribe or TDHE adopted a building code that is substantially equivalent to one or more of the recognized model building codes? Alternatively, if a significant technical amendment has been made to the above model codes, can the jurisdiction supply supporting data that the amendments do not negatively impact affordability.	☐ No	☐ Yes
10. Does your jurisdiction's zoning ordinance or land use regulations permit manufactured (HUD-Code) housing "as of right" in all residential districts and zoning classifications in which similar site-built housing is permitted, subject to design, density, building size, foundation requirements, and other similar requirements applicable to other housing that will be deemed realty, irrespective of the method of production?	☐ No	☐ Yes

11. Within the past five years, has a jurisdiction official (i.e., chief executive, mayor, county chairman, city manager, administrator, or a tribally recognized official, etc.), the local legislative body, or planning commission, directly, or in partnership with major private or public stakeholders, convened or funded comprehensive studies, commissions, or hearings, or has the jurisdiction established a formal ongoing process, to review the rules, regulations, development standards, and processes of the jurisdiction to assess their impact on the supply of affordable housing?	☐ No	☐ Yes
12. Within the past five years, has the jurisdiction initiated major regulatory reforms either as a result of the above study or as a result of information identified in the barrier component of the jurisdiction's "HUD Consolidated Plan?" If yes, attach a brief list of these major regulatory reforms.	☐ No	☐ Yes
13. Within the past five years has your jurisdiction modified infrastructure standards and/or authorized the use of new infrastructure technologies (*e.g.* water, sewer, street width) to significantly reduce the cost of housing?	☐ No	☐ Yes
14. Does your jurisdiction give "as-of-right" density bonuses sufficient to offset the cost of building below market units as an incentive for any market rate residential development that includes a portion of affordable housing? (As applied to density bonuses, "as of right" means a density bonus granted for a fixed percentage or number of additional market rate dwelling units in exchange for the provision of a fixed number or percentage of affordable dwelling units and without the use of discretion in determining the number of additional market rate units.)	☐ No	☐ Yes
15. Has your jurisdiction established a single, consolidated permit application process for housing development that includes building, zoning, engineering, environmental, and related permits? Alternatively, does your jurisdiction conduct concurrent, not sequential, reviews for all required permits and approvals?	☐ No	☐ Yes
16. Does your jurisdiction provide for expedited or "fast track" permitting and approvals for all affordable housing projects in your community?	☐ No	☐ Yes
17. Has your jurisdiction established time limits for government review and approval or disapproval of development permits in which failure to act, after the application is deemed complete, by the government within the designated time period, results in automatic approval?	☐ No	☐ Yes
18. Does your jurisdiction allow "accessory apartments" either as: a) a special exception or conditional use in all single-family residential zones or, b) "as of right" in a majority of residential districts otherwise zoned for single-family housing?	☐ No	☐ Yes
19. Does your jurisdiction have an explicit policy that adjusts or waives existing parking requirements for all affordable housing developments?	☐ No	☐ Yes
20. Does your jurisdiction require affordable housing projects to undergo public review or special hearings when the project is otherwise in full compliance with the zoning ordinance and other development regulations?	☐ Yes	☐ No
Total Points:		

Part B. State Agencies and Departments or Other Applicants for Projects Located in Unincorporated Areas or Areas Otherwise Not Covered in Part A

	1	2
1 Does your state, either in its planning and zoning enabling legislation or in any other legislation, require localities regulating development have a comprehensive plan with a "housing element?" If no, skip to question # 4	☐ No	☐ Yes
2. Does you state require that a local jurisdiction's comprehensive plan estimate current and anticipated housing needs, taking into account the anticipated growth of the region, for existing and future residents, including low, moderate, and middle income families, for at least the next five years?	☐ No	☐ Yes
3. Does your state's zoning enabling legislation require that a local jurisdiction's zoning ordinance have a) sufficient land use and density categories (multifamily housing, duplexes, small lot homes and other similar elements); and, b) sufficient land zoned or mapped in these categories, that can permit the building of affordable housing that addresses the needs identified in the comprehensive plan?	☐ No	☐ Yes
4. Does your state have an agency or office that includes a specific mission to determine whether local governments have policies or procedures that are raising costs or otherwise discouraging affordable housing?	☐ No	☐ Yes
5. Does your state have a legal or administrative requirement that local governments undertake periodic self-evaluation of regulations and processes to assess their impact upon housing affordability address these barriers to affordability?	☐ No	☐ Yes
6. Does your state have a technical assistance or education program for local jurisdictions that includes assisting them in identifying regulatory barriers and in recommending strategies to local governments for their removal?	☐ No	☐ Yes
7. Does your state have specific enabling legislation for local impact fees? If no skip to question #9.	☐ No	☐ Yes
8. If yes to the question #7, does the state statute provide criteria that sets standards for the allowable type of capital investments that have a direct relationship between the fee and the development (*nexus*) and a method for fee calculation?	☐ No	☐ Yes
9. Does your state provide significant financial assistance to local governments for housing, community development and/or transportation that includes funding prioritization or linking funding on the basis of local regulatory barrier removal activities?	☐ No	☐ Yes

10. Does your state have a mandatory state-wide building code that a) does not permit local technical amendments and b) uses a recent version (i.e. published within the last five years or, if no recent version has been published, the last version published) of one of the nationally recognized model building codes (i.e. the International Code Council (ICC), the Building Officials and Code Administrators International (BOCA), the Southern Building Code Congress International (SBCI), the International Conference of Building Officials (ICBO), the National Fire Protection Association (NFPA)) without significant technical amendment or modification? Alternatively, if the state has made significant technical amendment to the model code, can the state supply supporting data that the amendments do not negatively impact affordability?	☐ No	☐ Yes
11. Has your jurisdiction adopted specific building code language regarding housing rehabilitation that encourages such rehabilitation through gradated regulatory requirements applicable as different levels of work are performed in existing buildings? Such code language increases regulatory requirements (the additional improvements required as a matter of regulatory policy) in proportion to the extent of rehabilitation that an owner/developer chooses to do on a voluntary basis. For further information see HUD publication: "*Smart Codes in Your Community: A Guide to Building Rehabilitation Codes*" (www.huduser.org/publications/destech/smartcodes.html)	☐ No	☐ Yes
12. Within the past five years has your state made any changes to its own processes or requirements to streamline or consolidate the state's own approval processes involving permits for water or wastewater, environmental review, or other State-administered permits or programs involving housing development. If yes, briefly list these changes.	☐ No	☐ Yes
13. Within the past five years, has your state (i.e., Governor, legislature, planning department) directly or in partnership with major private or public stakeholders, convened or funded comprehensive studies, commissions, or panels to review state or local rules, regulations, development standards, and processes to assess their impact on the supply of affordable housing?	☐ No	☐ Yes
14. Within the past five years, has the state initiated major regulatory reforms either as a result of the above study or as a result of information identified in the barrier component of the states' "Consolidated Plan submitted to HUD?" If yes, briefly list these major regulatory reforms.	☐ No	☐ Yes
15. Has the state undertaken any other actions regarding local jurisdiction's regulation of housing development including permitting, land use, building or subdivision regulations, or other related administrative procedures? If yes, briefly list these actions.	☐ No	☐ Yes
Total Points:		

Certification of Consistency with the RC/EZ/EC-IIs Strategic Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in this application are consistent with the strategic plan of a federally-designated empowerment zone (EZs), renewal community (RCs), or enterprise community (ECs); designated by the United States Department of Agriculture (USDA) in round II (EC-IIs).

(Type or clearly print the following information)

Applicant Name _____

Name of the Federal Program to which the applicant is applying _____

Name of RC/EZ/EC _____

I further certify that the proposed activities/projects will be located within theRC/EZ/EC-IIs or strategic planning communities that are intended to serve the RC/EZ/EC-IIs strategic planning community residents, or renewal community. (2 points)

Name of the Official Authorized to Certify the RC/EZ/EC _____

Title _____

Signature _____

Date (mm/dd/yyyy) _____

form **HUD-2990** (2/2005)

Third Party Documentation Facsimile Transmittal

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

OMB Approval No. 2535-0118 (exp. 04/30/2005)

1. Applicant Information		3. Facsimile Contact Information	
a. Legal Name:		a. Department:	
		b. Division	
b. Address:		4. Name and telephone number of person to be contacted on matters involving this facsimile.	
Street:			
City:	County:	Prefix:	First Name:
State:	Zip Code	Middle Initial:	Last Name:
c. Country		5. Email:	
d. DUNS Number:			

2. a. Catalog of Federal Domestic Assistance Number: CFDA No. ___ ___.___ ___ ___	Phone number (include area code)	Fax number (include area code)
b. Title (Name of Program)	6. What is your transmittal? (Check one box per fax)	

c. Program Component	b. Certification	c. Document	d. Match/Leverage Letter	e. Other
	☐	☐	☐	☐
	7. How many pages (including cover) are being faxed?			

form **HUD-96011** (12/2004)

Third Party Documentation Facsimile Transmittal

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

OMB Approval No. 2535-0118 (exp. 04/30/2005)

Public reporting burden for this collection of information is estimated to average 6 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.
This form is used for third party applicants as required for applications submissions and other materials that are not normally available as electronic files, e.g. leverage letters, documentation from books, reports or other such items. This information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

Instructions

IMPORTANT NOTE: If you have completed the SF 424 Request for Federal Assistance form, data fields will be pre-populated within this form.

Item	Entry
1. a-d Applicant Information	a. Enter legal name of applicant, name of primary organization unit (including division, if applicable), which will undertake the assistance activity. b. Enter the complete address, Street, City, County, State and Zip Code. c. Enter the country, i.e. USA. d. Enter the DUNS number (received from DUN and Bradstreet).
2. a-c. Catalog of Federal Domestic Assistance number and title of the program and program component.	a. Enter the Catalog of Federal Domestic Assistance number of the program you are apply for federal assistance. b. Enter the title of the program which assistance is requested. c. Enter program component under which assistance is requested. If there are no sub categories within a program you may leave ***"program component"*** blank. (For example: CFDA: 14.123)
3. a-b. Facsimile Contact Information	**a.** Enter the name of the Department and/or **b.** Division in which this facsimile is being transmitted.
4. Name and telephone number	Enter name, email and telephone number *(remember to include area code)* of person to be contacted on matters involving the transmitting fax.
5. Email	Enter email address of person to contacted regarding facsimile.
6. b-d What are you transmitting/number of pages?	**a.** What are you transmitting? Check the appropriate box indicating what type of document you are transmitting, **b.** certification, **c.** document, **d.** letter, or **e.** other. For example, if you are transmitting a Memorandum of Understanding (MOU) this would be considered a document so you would check ☐ ***document.***. *Please note: for each document you are transmitting a separate cover page is needed.*
7. How many pages are being faxed?	Indicate how many pages including the cover are being faxed.

form **HUD-96011** (12/2004)

Logic Model

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

OMB Approval No. 2535-0114
(exp. 12/31/2006)

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. b. c. d. e.	
				Intermediate Term				a. b. c. d. e.	
				Long Term				a. b. c. d. e.	

form **HUD-96010** (02/2005)

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

OMB Approval No. 2535-0114 (exp. 12/31/2006)

The public reporting burden for this collection of information for the Logic Model is estimated to average 18 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:

1. Provide 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 our Nation's Communities.
3. Encouraging Accessible Design Features.
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organization in HUD Program Implementation.
5. Participation of Minority-Serving Institutions in HUD Programs
6. Ending Chronic Homelessness.
7. Removal of Barriers to Affordable Housing.
8. Participation in Energy Star.

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. ***(Do not fill out this section with the application)***

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. ***(Do not fill out this section with the application)***

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.

Race and Ethnic Data Reporting Form

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

OMB Approval No. 2535-0113
(exp. 10/31/2006)

Program Title:

Grantee/Recipient Name:

Grantee Reporting Organization:

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

Racial Categories	Total Number of Race Responses	Total Number of Hispanic or Latino Responses
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 multiple race combinations greater than one percent: [Per the form instructions, write in a description using the box on the right]		
Balance of individuals reporting more than one race		
Total:	0	0

* If the aggregate count of any reported multiple race combination that is not listed above exceeds 1% of the total population being reported, you should separately indicate the combination. See detailed instructions under "Other multiple race combinations."

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** (10/2003)

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 Responses: Under this column you should indicate the total number of responses collected in the blocks next to the applicable categories.

Total Number of Hispanic or Latino Responses: 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 Multiple Race Combinations: Next to this racial category, indicate all racial categories (if any) identified by respondents that do not fit one of the five single race categories or four double race combinations above, and which have a total count that exceeds one percent of the total population being reported. You must identify each such racial combination, including the actual count, the percentage of the total population (in parenthesis), and the actual Hispanic or Latino count.

For example, if you obtain data that indicates that the total population being served is 200 and includes 10 Native Hawaiian or Other Pacific Islander *and* White and 12 Native Hawaiian or Other Pacific Islander *and* Asian, and those numbers (of Native Hawaiian or Other Pacific Islander *and* White and Native Hawaiian or Other Pacific Islander *and* Asian) each equates to more than one percent of the total population being served, and 2 of the Native Hawaiian or Other Pacific Islander *and* White indicate they belong to the Hispanic/Latino ethic category and 3 of the Native Hawaiian or Other Pacific Islander *and* Asian indicate they belong to the Hispanic/Latino ethnic category, you should complete the form as follows:

Racial Categories	Total Number of Race Responses	Total Number of Hispanic or Latino Responses
* Other multiple race combinations: [Per the form instruction, write in a description using the box on the right]	Native Hawaiian or Other Pacific Islander AND White 10 (5%)	2
	Native Hawaiian or Other Pacific Islander AND Asian 12 (6%)	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 multiple race combinations greater than on percent."** 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 related Hispanic or Latino responses.

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 Hispanic or Latino categories.

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 08/31/2006)

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.

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 b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year _____ quarter _____ 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 Tier _____, *if known*: **Congressional District**, *if known*: 4c	**Congressional District**, *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known*:	**9. Award Amount**, *if known*: $
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 available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

[FR Doc. 05–14299 Filed 7–15–05; 4:17 pm]

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