

## ALCP APPLICANTS FORM

II. I currently have a Service Coordinator working at the site, \_\_\_\_\_,  
included in my ALCP application. (Development Name)

The Service Coordinator currently works \_\_\_\_\_  
hours per week and serves \_\_\_\_\_  
residents.

I would like to augment the Service Coordinator's time or hire another full or part-time Service Coordinator or aide to work with ALCP residents.

My request is to add \_\_\_\_\_  
hours a week to the Service Coordinator's time.

I expect to serve \_\_\_\_\_  
residents in my ALCP.

My first year annual cost is estimated at \$\_\_\_\_\_.

and my 3-year grant request is for \$\_\_\_\_\_.

**Please remember to include in your ALCP application an explanation of why you are seeking incremental hours for your Service Coordinator Program.** What additional responsibilities will the Service Coordinator have in working with ALCP residents. Why are additional hours needed to make your ALCP a success?

If my ALCP application IS NOT selected for an award, I understand that HUD will not fund the incremental hours requested.



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**Instructions for the SF-424**


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Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. 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 .**

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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.   | Self-explanatory.  | 12.  | List only the largest political entities affected (e.g., State, counties, cities).  |
| 2.   | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).  | 13.  | Self-explanatory.   |
| 3.   | State use only (if applicable).  | 14.  | List the applicant's Congressional District and any District(s) affected by the program or project.   |
| 4.   | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 15.  | <b>Use form HUD-4243-M, Funding Matrix.</b> 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. |
| 5.   | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 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  |
| 6.   | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 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.   |
| 7.   | Enter the appropriate letter in the space provided.  | 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.)   |
| 8.   | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><ul style="list-style-type: none"> <li>- "New" means a new assistance award.</li> <li>- "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.</li> <li>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</li> </ul> |      |   |
| 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.  |      |   |
| 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 pre-applications, use a separate sheet to provide a summary description of this project.   |      |   |

**Federal Assistance Funding Matrix**

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

Program*	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
<b>Grand Totals</b>							

\* For FHIPs, show both initiative and component

**Instructions for the HUD-424-M**

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

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance.

Enter the following information:

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

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

**Federal Share:** Enter the amount of HUD funds you are requesting with your application.

**State Share:** Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

**Local Share:** Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

**Other:** Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

**Program Income:** Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

**Total:** Please total all columns and fill in the amounts.

**Assurances—Non-Construction Programs**

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

- 12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	Date Submitted

**Certification for  
a Drug-Free Workplace**

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

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

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

b. Establishing an on-going drug-free awareness program to inform employees ---

- (1) The dangers of drug abuse in the workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

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

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

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

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

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

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

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

**2. Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here  if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

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

Name of Authorized Official		Title	
Signature		Date	
X			

**Certification of Payments  
to Influence Federal Transactions**

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

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

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

Name of Authorized Official	Title
Signature	Date (mm/dd/yyyy)

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB  
0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
<b>Federal Use Only:</b>		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.

**Applicant/Recipient Disclosure/Update Report**

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 3/31/2003)

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

**Applicant/Recipient Information** Indicate whether this is an Initial Report  or an Update Report

1. Applicant/Recipient Name, Address, and Phone (include area code):  ( ) -	2. Social Security Number or Employer ID Number:  - -
3. HUD Program Name	4. Amount of HUD Assistance Requested/Received
5. State the name and location (street address, City and State) of the project or activity:	

**Part I Threshold Determinations**

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

## Certification Regarding Debarment and Suspension

U.S. Department of Housing  
and Urban Development

### Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

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

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

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

**Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Instructions for Certification (B)**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official		Title

**Acknowledgment of  
Application Receipt**

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

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_

**To Be Completed by HUD**

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

- Enclosed
- Being sent under separate cover

Processor's Name \_\_\_\_\_

Date of Receipt \_\_\_\_\_

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HOUSING CHOICE VOUCHER  
FAMILY SELF-SUFFICIENCY (FSS)  
PROGRAM COORDINATORS**

Billing Code 4210-32-C



**FUNDING AVAILABILITY FOR HOUSING CHOICE VOUCHER FAMILY SELF-SUFFICIENCY (FSS) PROGRAM COORDINATORS PROGRAM OVERVIEW**

*Purpose of Program.* The Housing Choice Voucher FSS program (referred to in previous NOFAs as the Section 8 FSS program and as the Rental Certificate/Housing Choice Voucher FSS program) is intended to promote the development of local strategies to coordinate the use of assistance under the Housing Choice Voucher program with public and private resources to enable participating families to achieve economic independence and self-sufficiency. As a result of their participation in the FSS program, many families have achieved stable, well-paid employment, which has made it possible for them to become homeowners. An FSS program coordinator assures that program participants are linked to the supportive services they need to achieve self-sufficiency.

Funding under this NOFA may not be used to pay the salary of an FSS coordinator for a public housing FSS program. Operating subsidy may be used to fund a public housing FSS program coordinator's salary.

*Available Funds.* This NOFA announces the availability of up to \$46.4 million in Fiscal Year (FY) 2002 for Housing Choice Voucher FSS program coordinators. If additional funding becomes available during FY 2002, HUD may increase the amount available for Housing Choice Voucher FSS Program coordinators under this NOFA. Salaries of FSS program coordinators funded under this NOFA must not exceed salaries for comparable positions in the PHA's local area and are subject to a cap of \$62,000 per full time coordinator position funded. Under this NOFA, if PHAs apply jointly, the \$62,000 maximum amount that may be requested per position applies to each full-time coordinator position in the application as a whole, not to each PHA separately. Evidence of salary comparability to similar positions in the local jurisdiction for each position must be kept on file in the PHA office.

*Eligible Applicants:* Public housing agencies (PHAs) eligible to receive funding under this NOFA are those that received funding for one or more FSS program coordinators under the FY 2001 FSS Program Coordinator NOFA and apply under this NOFA and those PHAs with HUD approval to administer a Housing Choice Voucher FSS program of at least 25 slots, or, if they are PHAs with HUD approval to administer

Housing Choice Voucher FSS programs of fewer than 25 slots, they apply jointly with one or more other PHAs so that between or among them they have HUD approval to administer at least 25 Housing Choice Voucher FSS slots. PHAs that were funded under the FY 2001 FSS NOFA that offer homeownership opportunities to FSS program participants may also apply for funding for an additional coordinator position to support homeownership activities for its FSS program participants.

*Application Deadline.* May 21, 2002.  
*Match.* None

**ADDITIONAL INFORMATION**

If you are interested in applying for Housing Choice Voucher FSS Program Coordinator funding under this NOFA, please review carefully the **General Section** of this SuperNOFA and the following additional information.

**I. Application Due Date, Application Kits, and Technical Assistance**

*Application Due Date.* Your completed application (an original and two copies) is due on or before May 21, 2002.

See the **General Section** of this SuperNOFA for specific procedures concerning the form of application submission.

*Address for Submitting Applications.* Your completed application consists of one original and two copies. Submit your original application and one copy with an Acknowledgment of Application Receipt, form HUD-2993, to: Michael E. Diggs, Director, PIH Grants Management Center, Department of Housing and Urban Development, 501 School Street, Suite 800, Washington, DC 20024.

Submit the second copy of your application to your local HUD Field Office Public Housing Hub or Program Center. A listing of HUD Field Offices is attached to the **General Section** of this SuperNOFA. This copy is provided to the local HUD Field Office for informational purposes. Late receipt of the application by the field office will not disqualify the application.

*Application Submission Procedures.* *New Security Procedures.* HUD has implemented new security procedures that impact on application submission procedures. Please read the following instructions carefully and completely. HUD will not accept hand delivered applications. Applications may be mailed using the United States Postal Service (USPS) or may be shipped via the following delivery services: United Parcel Service (UPS), FedEx, DHL, or Falcon Carrier. No other delivery

services are permitted into HUD Headquarters without escort. You must, therefore, use one of the four carriers listed above.

*Mailed Applications.* Your application will be considered timely filed if your application is postmarked on or before 12 midnight on the application due date and received by the PIH Grants Management Center on or within fifteen (15) days of the application due date. All applicants must obtain and save a Certificate of mailing showing the date, when you submitted your application to the United States Postal Service (USPS). The Certificate of Mailing will be your documentary evidence that your application was timely filed.

*Applications Sent by Overnight/Express mail Delivery.* If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date. Due to new security measures, you must use one of four carrier services that do business with HUD Headquarters regularly. These services are UPS, DHL, FedEx and Falcon Carrier. Delivery by these services must be made during HUD's Headquarters business hours, between 8:30 AM and 5:30 PM Eastern time, Monday to Friday. If these companies do not service your area, you should submit your application via the United States Postal Service.

*For Application Kits.* There is no application kit for this NOFA. This announcement contains all the information necessary for the submission of your application for Housing Choice Voucher FSS program coordinator funding.

*For Further Information and Technical Assistance.* For answers to your questions, you may contact the Public and Indian Housing Resource Center at 1-800-955-2232 or the Hub Director of Public Housing or the Program Center Coordinator in the local HUD Field Office or you may contact the Grants Management Center at (202) 358-0221, extension 7675. Persons with hearing or speech impairments may access these numbers via TTY (text telephone) by calling the Federal Information Relay Service at 1-800-877-8339 (this is a toll-free number). Information can be accessed via the Internet at <http://www.hud.gov/grants>.

Prior to the application deadline, staff at the numbers given above will be available to provide general guidance,

but not guidance in actually preparing the application. Following selection, but prior to award, HUD staff will be available to assist in clarifying or confirming information that is a prerequisite to the offer of an award by HUD.

*Satellite Broadcast.* HUD plans to hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of an application. For more information about the date and time of this broadcast, you should consult the HUD Web site at [www.hud.gov](http://www.hud.gov).

## II. Amount Allocated

For FY 2002, up to \$46.4 million is available under the HUD 2002 Appropriations Act for PHA administrative fees for Housing Choice Voucher FSS program coordinators. This amount is from HUD's Congressional justifications that were submitted in support of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 2002 (Pub.L. 107-73, approved November 26, 2001). If additional funds become available in FY 2002, through retention, recapture, or reallocation, HUD may seek to reprogram all or some of these funds to fund additional applications submitted in response to the NOFA. This is the ninth fiscal year of funding for Housing Choice Voucher FSS program coordinators.

### *HUD Corrections to Funding Provided Under the FY 2001 NOFA*

HUD has determined that the funding reserved under the FY 2001 Rental Certificate/Housing Choice Voucher NOFA for eleven PHAs was lower than the PHAs should have received under that NOFA and HUD believes that underfunding should be corrected. Therefore, prior to funding any applications under the FY 2002 NOFA, HUD is making funding, in the amount of \$627,046 in FY 2002 funding, available to correct those errors as follows: Pico Rivera Housing Assistance Agency, CA—\$60,000; New Britain Housing Authority, CT—\$168,000; Cedar Rapids Housing Services, IA—\$87,180; City of Louisville, KY—\$70,824; East Baton Rouge Housing Authority, LA—\$33,537; Salem Housing Authority, MA—\$26,537; Metropolitan Council, MN—\$56,738; Norfolk Housing Authority, NE—\$34,800; Rochester Housing Authority, NY—\$48,041; Economic Improvement Council, Inc., NC—\$28,389; Municipality of Yabucoa, PR—\$13,000.

## III. Program Description; Eligible Applicants; Number of Positions for Which Eligible Applicants May Apply; Eligible Activities

(A) *Program Description.* Through annual NOFAs, HUD has provided funding to PHAs that are operating Housing Choice Voucher FSS programs to enable those PHAs to hire Housing Choice Voucher FSS program coordinators.

In the FY 2002 FSS NOFA, HUD is making funding available to renew positions funded under the FY 2001 FSS NOFA to allow PHAs to continue to pay the salaries of Housing Choice Voucher FSS program coordinators funded under the FY 2001 NOFA for another year.

Under this NOFA, for the first time, HUD also invites PHAs that qualify for renewal of positions awarded under the FY 2001 NOFA to apply for an additional coordinator position to support homeownership activities for its FSS program participants. To qualify for this additional position, eligible renewal PHAs must have implemented or participate in homeownership programs, including homeownership voucher programs, that are available to families participating in the FSS program.

Because of the importance of the FSS program in helping families increase earned income and develop assets, HUD will also accept applications from PHAs that were not funded under the FY 2001 NOFA. In addition, under this NOFA eligible new and renewal state and regional PHAs that have HUD approval of their FSS action plans to operate separate FSS programs of at least 25 slots in different parts of their jurisdictions may also apply for up to one new position for any part of the PHA jurisdiction where the state or regional PHA did not receive funding under the FY 2001 NOFA.

Applicants should be aware that in this NOFA, the HUD-approved FSS slots means the total number of mandatory and voluntary housing choice voucher FSS program slots identified in the PHA's HUD-approved FSS action plan. It does not mean the number of families currently enrolled in the FSS program or the number of families the PHA has served including those that have graduated. The FSS action plan can be updated by means of a simple one page addendum which reflects the total number of FSS slots (voluntary and/or mandatory slots) the PHA plans to serve. This addendum must be submitted to the PHA's local HUD office as it is approved by that office.

Both the voluntary Housing Choice Voucher FSS slots and the mandatory Housing Choice Voucher FSS slots, identified in the PHA's HUD-approved FSS Action Plan, are counted in determining the PHA's Housing Choice Voucher FSS program size. Prior to submitting an application, PHAs may wish to confirm the number of HUD-approved slots their local HUD field office has on record for the PHA to assure that it is accurate.

To qualify for consideration for funding with those FSS program coordinator applications submitted by the due date under this NOFA, amendments to change the number of FSS slots in the PHA's FSS Action Plan must be approved by the local HUD field office prior to the application due date. PHAs whose FSS action plans are approved after the due date of applications under this NOFA would be considered for funding only if funding remains after funding of all eligible applications received by the due date.

There are no maximum or minimum Housing Choice Voucher program size requirements for PHAs applying for funding under this NOFA.

(B) *Eligible Applicants.* Public housing agencies (PHAs) eligible to receive funding under this NOFA are: (1) Those PHAs that received funding under the FY 2001 NOFA for Rental Certificate/Housing Choice Voucher FSS Program Coordinators. (To qualify for renewal of positions funded under the FY 2001 FSS NOFA, the number of FSS slots in the PHA's HUD-approved FSS Action Plan must remain at a level that will support the number of positions that were funded in FY 2001 and the PHA must continue to operate an FSS program, have hired an FSS program coordinator or coordinators with funding awarded for that purpose under the FY 2001 FSS NOFA, and executed FSS contracts of participation with program participants.) (2) PHAs that were not funded under the FY 2001 FSS NOFA that are authorized through their HUD-approved FSS Action Plan to administer a Housing Choice Voucher FSS program of at least 25 slots; or, if they are PHAs with HUD approval to administer Housing Choice Voucher FSS programs of fewer than 25 slots, they apply jointly with one or more other PHAs so that between or among them they have HUD approval to administer at least 25 Housing Choice Voucher FSS slots. Joint applicants must specify a lead co-applicant which will receive and administer the FSS program coordinator funding.

PHAs that qualify to apply as renewal PHAs under category (1) above, that have implemented or participate in

homeownership programs, including Housing Choice Voucher homeownership programs as well as other programs such as state or local homeownership programs, that are available to families participating in FSS programs, may apply for an additional coordinator position to support homeownership activities for families participating in the FSS program.

PHAs that are administering Family Self-Sufficiency programs under the Moving to Work (MTW) demonstration may qualify for funding under this NOFA if the PHA administers a Family Self-Sufficiency program that serves Housing Choice Voucher program families. When determining the size of a MTW PHA's HUD-approved FSS program, the PHA may request that the number of FSS slots reflected in the PHA's MTW agreement be used instead of the number in the PHA's FSS Action Plan.

(C) *Number of Positions for which Eligible PHAs may apply:* Eligible PHAs may apply for coordinator positions under this NOFA as follows:

(1) *PHAs funded under the FY 2001 FSS NOFA:* PHAs that received funding under the FY 2001 FSS NOFA that qualify as eligible PHAs under the definition of eligible applicants in Section III.B. of this NOFA, may apply for:

(a) Renewal of the FSS coordinator positions funded under the FY 2001 FSS NOFA that have been filled by the PHA,

(b) If the PHA administers or participates in a homeownership program which gives a selection preference for FSS families or limits eligibility to FSS families, and the PHA currently has FSS families ready to, or already participating in, a homeownership program, the PHA may apply for up to one additional full time FSS coordinator position to support FSS program homeownership activities and;

(c) If the PHA is a state or regional PHA with HUD approval to administer an FSS program in more than one part of its jurisdiction and has filled all positions funded under the FY 2001 FSS NOFA, the PHA may apply for an additional position for any area of its jurisdiction where it has HUD approval to operate a Housing Choice Voucher FSS program of at least 25 slots if the PHA was not funded for a position for that area under the FY 2001 FSS NOFA.

(2) *PHAs not funded under the FY 2001 FSS NOFA:* PHAs that were not funded under the FY 2001 FSS NOFA, including PHAs applying jointly and state and regional PHAs, that qualify as eligible new applicants under the

definition of eligible applicants in Section III.B. of this NOFA may apply for positions as follows:

(a) PHAs with HUD approval to administer an FSS program of 25 or more slots may apply for up to one full time FSS coordinator position and;

(b) Eligible state or regional PHAs with HUD approval to operate FSS program in different parts of their jurisdiction may apply for up to one FSS coordinator in any area where they have HUD approval to administer a Housing Choice Voucher FSS program of at least 25 slots.

(D) *Eligible Activities.* Funds are available to PHAs under this NOFA to employ or otherwise retain the services of Housing Choice Voucher FSS program coordinators for one year. A part-time Housing Choice Voucher FSS program coordinator may be retained where appropriate. In the Housing Choice Voucher FSS program, PHAs are required to use rental assistance under the Housing Choice Voucher program together with public and private resources to provide supportive services to enable participating families to achieve economic independence and self-sufficiency. Effective delivery of supportive services is a critical element in a successful FSS program. PHAs are encouraged to outreach to disabled Housing Choice Voucher program participants who might be interested in participating in the FSS program and to include on their FSS Program Coordinating Committees agencies that work with and provide services for disabled families. The FSS program supports the Department's objective of helping poor and disadvantaged families and individuals increase wages, develop assets and move to homeownership. The program provides critical tools that can be used by communities to support welfare reform and help families develop new skills that will lead to economic self-sufficiency.

#### IV. Program Requirements

(A) *Program Coordinator Role.* PHAs administering the FSS program use program coordinating committees (PCCs) to assist them to secure resources and implement the FSS program. The PCC is made up of representatives of businesses, local government, job training and employment agencies, local welfare agencies, educational institutions, childcare providers, and nonprofit service providers, including faith-based and other community organizations.

An FSS program coordinator works with the PCC and with local service providers to assure that program

participants are linked to the supportive services they need to achieve self-sufficiency. The FSS program coordinator may ensure, through case management, that the services included in participants' contracts of participation are provided on a regular, ongoing and satisfactory basis, that participants are fulfilling their responsibilities under the contracts and that FSS escrow accounts are established and properly maintained for eligible families. FSS coordinators may also perform job development functions for the FSS program.

(B) *Staffing Guidelines.* Under normal circumstances, a full-time FSS program coordinator should be able to serve approximately 50 FSS participants, depending on the coordinator's case management functions.

(C) *Conducting Business in Accordance With HUD Core Values and Ethical Standards.* All applicants shall develop and maintain a written code of conduct that reflects their core values in accordance with the requirements stated in Section II.B.(2) of the **General Section** of this the SuperNOFA.

(D) *Other Requirements.* PHAs must meet the civil rights compliance and nondiscrimination requirements listed in the General Section of this SuperNOFA.

#### V. Application Selection Process

The funds available under this NOFA are not being awarded on a competitive basis. Applications will be reviewed by the Grants Management Center (GMC) to determine whether or not they are technically adequate based on the NOFA requirements. Field offices will provide to the GMC in a timely manner, as requested, information needed by the GMC to make its determination, such as the HUD-approved Housing Choice Voucher FSS program size and information on the PHA's administrative capabilities. Categories of applications that will not be funded are stated in Section VII.(B) of this NOFA.

All technically adequate applications will be funded to the extent funds are available. If HUD receives applications for funding greater than the amount made available under this NOFA, HUD will fund eligible applicants as follows: Applications will be divided into the following categories of funding priority:

**Priority 1**—Applications from PHAs, including state and regional PHAs, for continuation of the position or positions funded under the FY 2001 FSS NOFA where a coordinator has been hired by the PHA.

**Priority 2**—Applications from eligible renewal PHAs, funded under priority 1 of this NOFA, for an additional

coordinator position to support FSS homeownership activities.

**Priority 3**—Priority 3 will consist of: (a) Applications for up to one initial FSS coordinator position from PHAs that were not funded under the FY 2001 FSS NOFA including, for state and regional PHAs with HUD approval to operate FSS programs in different parts of their jurisdictions, up to one FSS coordinator position per area where they are authorized to operate a Housing Choice Voucher FSS program of at least 25 FSS slots.

(b) Applications from Priority 1 (renewal) state and regional PHAs for up to one full time FSS program coordinator position in any area of their jurisdiction where they are authorized to operate a Housing Choice Voucher FSS program of at least 25 FSS slots, but did not receive funding for a full time FSS program coordinator position under the FY 2001 FSS NOFA.

HUD will first fund all eligible Priority 1 applications to continue funding for Housing Choice Voucher FSS program coordinators funded under the FY 2001 FSS NOFA where the PHA has hired an FSS program coordinator. If the amount available is not sufficient to fund all eligible applications, HUD will determine if all applications can be funded if salary increases are limited to three percent of the FY 2001 awards. If monies are still not sufficient to fund all eligible applicants, HUD will begin funding eligible applications by Housing Choice Voucher program size starting with the smallest Housing Choice Voucher programs first. Housing Choice Voucher program size will be determined by HUD using baseline data developed by the Department.

If funding remains after funding all priority 1 applications, HUD will then provide funding to eligible Priority 2 applicants for up to one additional Housing Choice Voucher FSS program coordinator position per eligible PHA to support the homeownership activities of Housing Choice Voucher FSS program participants. If there are not sufficient monies to fund an additional FSS coordinator for each Priority 2 PHA, HUD will begin funding up to one full-time coordinator for each eligible Priority 2 applicant starting with PHAs with the highest percentage of FSS families currently ready for homeownership. The percentage will be computed using the HUD-approved Housing Choice Voucher FSS program size in the PHA's HUD-approved FSS action plan.

If funding remains after funding all Priority 1 and 2 applications, HUD will then provide funding to eligible Priority 3 applicants for up to one Housing

Choice Voucher FSS program coordinator position per PHA, or in the case of state and regional PHAs, up to one full time coordinator for each area where they are authorized to operate a Housing Choice Voucher program of at least 25 slots and did not receive funding for the position under the FY 2001 FSS NOFA. If there is insufficient funding for all Priority 3 applicants, funding will be awarded to applicants in Housing Choice Voucher program size order starting from the PHAs with the smallest Housing Choice Voucher programs first. Housing Choice Voucher program size will be determined by HUD using baseline data developed by the Department. If there are not sufficient monies to fund all applications from Priority 3 PHAs with the same Housing Choice Voucher program size, funding will be provided based on the size of the PHA's Housing Choice Voucher FSS program, reflected in the PHA's HUD-approved Housing Choice Voucher FSS Action Plan, starting with the largest approved Housing Choice Voucher FSS program first.

If funding remains after all eligible applications submitted in response to this NOFA are funded and received by the due date, the Grants Management Center will use any funding still available through the end of FY 2002 to fund applications submitted after the due date of this NOFA that meet all other requirements of this NOFA. These applications will be funded on a first-come, first-serve basis through September 30, 2002, as long as funds are available.

## VI. Application Submission Requirements

(A) *Application Requirement for PHAs that Received FY 2001 FSS Program Coordinator Funding.* Each PHA that received funding for a Rental Certificate/Housing Choice Voucher FSS program coordinator or coordinators under the FY 2001 FSS NOFA that wishes to receive funding under this NOFA must complete a certification in the format shown as "Attachment A" of this NOFA, and must include all information required in "Attachment A." The completed Attachment A certification along with the Fair Housing Certification (Attachment C of this NOFA) and the Certification Regarding Lobbying (Attachment D of this NOFA) constitute the entire PHA application for funding under this section unless the PHA is also applying for an additional position to support FSS homeownership activities. PHAs applying for an additional position to support FSS homeownership activities must also

submit Attachment E. The certifications must be submitted to the GMC by the due date to be eligible for the initial round of funding under this NOFA.

(B) *Request for FSS Program Coordinator Funds by Eligible PHAs that were NOT Funded in FY 2001.* PHAs that did not receive funding under the FY 2001 FSS Program Coordinator NOFA must complete a certification in the format shown as "Attachment B" of this FSS NOFA and must include all information required in Attachment B. The completed Attachment B certification along with the Fair Housing Certification (Attachment C of this NOFA) and the Certification Regarding Lobbying (Attachment D of the NOFA) constitute the entire PHA application for funding under this section. The certifications must be submitted to the GMC by the due date to be considered for funding for the initial round of funding under this NOFA.

(C) *Applicant Debriefing.* Beginning not less than 30 days after the awards for assistance are announced in the **Federal Register** notice, and for no less than 120 days after awards for assistance are announced, HUD will provide a debriefing to any applicant requesting a debriefing on their application. All requests for debriefing must be made in writing and submitted to Michael E. Diggs, Director, PIH Grants Management Center, Department of Housing and Urban Development, 501 School Street, Suite 800, Washington, DC 20024. Materials provided will include the final assessment indicating the basis upon which assistance was provided or denied.

## VII. Corrections to Deficient Applications

(A) *Acceptable Applications.* The General Section of the SuperNOFA provides the procedures for corrections to deficient applications. Examples of correctable technical deficiencies include, but are not limited to, failure to submit the proper attachment C, D or E certifications, submission of an attachment A or B with missing information or submission of an attachment or certification that lacks an original signature by an authorized official.

(B) *Unacceptable Applications.* (1) After the 14-calendar day technical deficiency correction period (as provided in the **General Section**), the GMC will disapprove PHA applications that it determines are not acceptable for processing under the initial round of funding.

(2) Applications from PHAs that fall into any of the following categories are

ineligible for funding under this NOFA and will not be processed:

(a) An application from a PHA that is not an eligible PHA under Section III.B. of this NOFA or an application that does not comply with the requirements of Section VI. of this NOFA.

(b) An application from a PHA that does not meet the requirements of fair housing and civil rights compliance requirements of Section II(B) of the **General Section** of the SuperNOFA.

(c) An application from a PHA that at the end of the 14-calendar day technical correction period has not made progress satisfactory to HUD in resolving serious outstanding Inspector General audit findings, or serious outstanding HUD management review or independent public accountant (IPA) audit findings for one or more of the following programs: Housing Choice Voucher or Moderate Rehabilitation. Serious program management findings are those that would cast doubt on the capacity of the PHA to administer its Housing Choice Voucher program in accordance with applicable HUD regulatory and statutory requirements.

(d) The application was not submitted to the official place of receipt as indicated in the paragraph entitled "Address for Submitting Applications" at the beginning of this announcement.

(e) The applicant has been debarred or otherwise disqualified from providing assistance under the program.

(3) Otherwise eligible applications that are not received by the due date of this NOFA will not be funded unless funds remain available after all eligible applications received by the due date have been funded. If at that time all the funding under this NOFA has not been awarded, then otherwise eligible applications received after the due date will be funded on a first come, first served basis through the end of FY 2002, as long as funding remains available. If more than one such application is received at the same date and time, the application from the PHA with the smallest Housing Choice Voucher program will be funded first.

#### **VIII. Environmental Requirements**

No environmental review is required in connection with the award of assistance under this NOFA, because

the NOFA only provides funds for employing a coordinator that provides public and supportive services, which are categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under 24 CFR 50.19(b)(4) and (12).

#### **IX. Authority**

The Departments of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 2002 (Pub. L. 107-73, approved November 26, 2001) allows funding for program coordinators under the Housing Choice Voucher FSS program. As a result, the Department determined to make a sufficient amount available under this NOFA, under Part 984, in accordance with section 984.302(b), to enable PHAs to employ one or more Housing Choice Voucher FSS program coordinators for one year at a reasonable cost as determined by the PHA and HUD, based on salaries for similar positions in the locality.

**BILLING CODE 4210-32-P**

## ATTACHMENT A

**REQUIRED CERTIFICATION FORMAT FOR FY 2002 HOUSING CHOICE  
VOUCHER FSS PROGRAM COORDINATOR FUNDING FOR PHAs THAT  
RECEIVED FUNDING UNDER THE FY 2001 RENTAL CERTIFICATE/ HOUSING  
CHOICE VOUCHER FSS PROGRAM COORDINATOR NOFA**

Mr. Michael E. Diggs, Director  
Grants Management Center  
501 School Street, Suite 800  
Washington, DC 20024

Dear Mr. Diggs:

In connection with the FY 2002 NOFA for Housing Choice Voucher FSS program coordinators, I hereby certify for the \_\_\_\_\_ (enter PHA name. For joint applications, please indicate the names of all co-applicants and identify the lead PHA that received and administered funds received under the FY 2001 NOFA.) that:

(1) The PHA received funding under the FY 2001 FSS program coordinator NOFA for \_\_\_\_\_ (enter number of positions that were funded) FSS program coordinators.

(2) The PHA's HUD-approved FSS Action Plan continues to reflect a number of FSS slots that support the level of funding received in FY 2001.

(3) The PHA continues to operate an FSS program and has hired \_\_\_\_\_ (enter number of positions filled) FSS program coordinators using HUD funds provided for that purpose under the FY 2001 FSS program coordinator NOFA, and,

(4) The PHA has executed FSS contracts of participation with FSS program participants.

(5) The PHA has/has not (indicate appropriate choice) filled all FSS program coordinator positions funded under the FY 2001 FSS NOFA (If all positions have not been filled, the PHA must state here the number of FSS coordinator positions not yet filled and the salary provided under the FY 2001 NOFA for each position);

(6) Funding requested for renewal positions:

(a) Total number of renewal positions:\_\_\_\_\_. (Enter the total number of positions for which the PHA is requesting funding to continue a position or positions funded under the FY 2001 FSS NOFA. The PHA may receive renewal funding only for those positions where they have hired an FSS coordinator to fill the position.);

(b) Total salary:\_\_\_\_\_ (State the total salary amount, including fringe benefits, for each renewal position or if appropriate, the number of positions at each salary level. Salaries must be comparable to salaries for similar positions in the local jurisdiction and must not exceed the cap of \$62,000 per position.)

(7) The PHA is/is not (indicate appropriate choice) applying for an additional FSS program coordinator in support of FSS homeownership activities. (PHAs applying for an FSS coordinator to support homeownership activities must state total salary requested for the position – base salary plus fringe benefits, and complete Attachment E of this NOFA and submit it with their FSS application.)

(8) The PHA is/is not (indicate appropriate choice) a state or regional PHA operating separate Housing Choice Voucher FSS programs in more than one part of its jurisdiction.

(9) New positions for State or regional agencies. A State or regional PHA applying for coordinator positions for programs operated in different parts of its jurisdiction where they did not receive funding for a coordinator under the FY 2001 NOFA must identify for each new coordinator position requested: the geographic area where the PHA is authorized to operate a separate FSS program, the number of HUD-approved FSS slots for that area and the total salary, including fringe benefits, requested for the coordinator position for that area.

(10) Total Positions Requested Under This NOFA:\_\_\_\_\_ (Enter the total number of Housing Choice Voucher program coordinator positions requested under the FY 2002 Housing Choice Voucher FSS NOFA. Total should include renewal positions, and, if applicable, the new

position to support homeownership activities, if requested, and, for state and regional PHAs, any new positions requested for areas where a coordinator was not funded under the FY 2001 NOFA)

(11) Evidence demonstrating salary comparability to similar positions in the local jurisdiction for each of the above positions is on file at the PHA.

If there are any questions, please contact \_\_\_\_\_ at \_\_\_\_\_

Sincerely,

Executive Director

**ATTACHMENT B****Required Format for Certification from PHAs that Did Not Receive Rental Certificate/Housing Choice Voucher FSS Program Coordinator Funding under the FY 2001 NOFA**

Mr. Michael E. Diggs,  
Director, Grants Management Center  
501 School Street, Suite 800  
Washington, DC 20024

Dear Mr. Diggs:

In connection with the FY 2002 NOFA for FSS program coordinators, this is a request for funds to pay the salary of \_\_\_\_\_ (Enter number of positions.) Housing Choice Voucher FSS program coordinators for one year. (NOTE: Under this NOFA, only state and regional PHAs with HUD approval to operate separate FSS programs of at least 25 slots in different parts of the PHA's jurisdiction may apply for more than one full-time FSS program coordinator.) I hereby certify for the \_\_\_\_\_ (Enter PHA name. For joint applications, indicate the names of all co-applicants and identify the lead PHA that will receive and administer the funding requested under this NOFA.) that:

1. Our HUD-Approved FSS Program Size is: \_\_\_\_\_. (Enter the total number of HUD-approved voluntary and mandatory Housing Choice Voucher FSS program slots identified in the PHAs HUD-Approved FSS Action Plan OR when PHAs are applying jointly, the combined total of Rental Certificate/Housing Choice Voucher FSS program slots in the HUD-approved Action plans of the PHAs.)
2. The PHA is/is not (indicate appropriate choice) a State or regional PHA operating separate Housing Choice Voucher FSS programs in more than one part of its jurisdiction.
3. Positions and Salary Requested: Total Housing Choice Voucher FSS Program

Coordinator salary, INCLUDING, if applicable, amount for fringe benefits: \_\_\_\_\_.

If funding is being requested by a state or regional PHA for positions in more than one location in its jurisdiction, the PHA must provide information in the format below for each location where positions are requested.

Location: \_\_\_\_\_, # of approved FSS slots:\_\_\_\_, Salary, including fringe benefits: \_\_\_\_\_.

4. Evidence demonstrating salary comparability to similar position in the local jurisdiction is on file in the PHA office.

If there are any questions, please contact \_\_\_\_\_at \_\_\_\_\_.

Sincerely,

Executive Director

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**ATTACHMENT C**

**FAIR HOUSING AND EQUAL OPPORTUNITY CERTIFICATIONS**

The housing agency (PHA) certifies that in administering the funding for the Rental Certificate/Housing Choice Voucher Family Self-Sufficiency program coordinators it will comply with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, and will affirmatively further fair housing. CDBG recipients also must certify to compliance with section 109 of the Housing and Community Development Act.

Name of PHA

\_\_\_\_\_

Signature and Title of PHA Representative

Date

\_\_\_\_\_

**ATTACHMENT D**  
**CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite

for making or entering into this transaction imposed by section 1342, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature of PHA Representative

\_\_\_\_\_  
Name of PHA

\_\_\_\_\_  
Name of Signatory (Print or Type)

\_\_\_\_\_  
Date signed

**ATTACHMENT E****HOMEOWNERSHIP PROGRAM CERTIFICATION**

The \_\_\_\_\_(Enter housing agency (PHA) name or names) certifies that:

1) The PHA administers (or participates) in the following homeownership program or programs:

2) The homeownership program or programs above gives a selection preference for families participating in the PHA's FSS program or limits eligibility for the homeownership program to FSS program participants.

3) The PHA currently has \_\_\_\_\_ (enter number) FSS families participating in or ready to participate in the homeownership program identified above.

Name of PHA/PHAs:

Name of Signatory PHA Representative (Type or Print):

Signature of PHA representative:

Date Signed;

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**EARLY DOCTORAL STUDENT  
RESEARCH GRANT PROGRAM**

Billing Code 4210-32-C



## FUNDING AVAILABILITY FOR EARLY DOCTORAL STUDENT RESEARCH GRANT PROGRAM PROGRAM OVERVIEW

*Purpose of the Program.* To help eligible doctoral students cultivate their research skills through the preparation of research manuscripts that focus on housing and urban development issues.

*Available Funds.* Approximately \$150,000 in FY 2002 funds.

*Eligible Applicants:* Only pre-dissertation Ph.D. students whose studies include urban economics as a major or concentration within another field related to housing and urban development.

*Application Deadline.* June 20, 2002.

*Match.* None.

## ADDITIONAL INFORMATION

### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

*Application Due Date.* Your completed application is due on or before June 20, 2002. You should read the **General Section** of the SuperNOFA because it contains more detailed information about the application due date.

*Address for Submitting Applications.* Your completed application consists of an original signed application and an electronic copy of the application. All applications must be submitted via the United States Postal Service to the following address: University Partnerships Clearinghouse, Aspen Systems Corporation, Mail Stop 6P, 2277 Research Blvd., Rockville, MD 20850. You should read the **General Section** of the SuperNOFA because it contains more detailed information on submission deadlines. Please mark on the envelope for your application that it is for the Early Doctoral Student Research Grant Program.

HUD will accept only one application per doctoral student.

*For Application Kits.* The application requirements are contained in this program NOFA. There is no separate application kit for the program.

*For Further Information and Technical Assistance.* You may contact Armand Carrier of HUD's Office of University Partnerships at 202-708-3061 ext 3181. If you have a hearing or speech impairment, you may access this number via TTY by calling the Federal Information Relay Service toll-free at 1-800-877-8339. You may also write to Mr. Carrier via e-mail at Armand\_W\_Carriere@hud.gov.

### II. Amount Allocated

Approximately \$150,000 in FY 2002 funds is being made available under this SuperNOFA for Early Doctoral Student Research Grant Program (EDSRG).

The maximum grant period is 12 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to a doctoral student is \$15,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

### Program Description; Eligible Applicants; Eligible Activities

(A) Program Description. The purpose of the EDSRG is to enable doctoral students to cultivate their research skills through the preparation of research manuscripts that focus on policy-relevant housing and urban development issues. The program will also provide a forum for new scholars to share their research findings through presentation of this research to a scholarly conference and/or publication in a refereed journal. The FY 2002 EDSRG Program seeks to fund research studies that will inform Federal problem solving and policymaking relating to HUD's policy priorities for this year. Examples of topics addressing these priorities include but are not limited to:

#### • Homeownership

1. Homeownership
  - (a) Relative importance of factors in tenure decisions
  - (b) Estimation of private and social benefits and costs of homeownership
  - (c) Role in employment, household savings, and investment decisions
  - (d) Effects of demographics, macro-economic environment and government policies on homeownership
  - (e) Effects of homeownership on low- and moderate-income
2. Housing finance
  - (a) Institutional barriers to efficiency in the housing finance system
  - (b) Enabling the housing finance system to better serve low-income and minority borrowers
3. Home Equity Conversion Mortgages

#### • Housing Market Conditions

1. Housing markets
  - (a) Factors affecting rents, home values, tenure, vacancy rates
  - (b) Market absorption of new units
  - (c) Construction activity
1. Housing Stock
  - (a) Durability of stock
  - (b) Energy efficiency

- (c) Factors determining rehabilitation and remodeling
- (d) Comparisons with stock in other developed countries
3. Availability of Affordable Housing
  - (a) Policy and program options in tight or "soft" markets
  - (b) Preservation of existing stock

#### • Equal Opportunity and Access to Housing

1. Effectiveness of different models (including local initiatives) for promoting Fair Housing Objectives
2. Discrimination in housing and lending
  - (a) Methods to detect discrimination
  - (b) Systemic patterns and practices

#### • Homelessness

1. Strategies to combat homelessness
  - (a) Addressing chronic homelessness
  - (b) Preventing homelessness
  - (c) Helping families move from transitional to permanent housing
  - (d) Issues and responses to youth homelessness
  - (e) Causes of homelessness

#### • Community and Economic Development

1. Create or expand business
  - (a) Meet the needs of underserved inner city, older suburb, or rural areas
  - (b) Expansion of access to capital
  - (c) Joint ventures with faith-based or other community-based grassroots organizations
2. Development of inner cities
  - (a) Studies of reinvestment pressures
  - (b) Theories of capital/land/market failure that help to explain depopulation or disinvestment
  - (c) Government policies or market interventions that would alleviate these patterns
3. Regionalism and growth management
  - (a) The economic interdependence of cities and suburbs
  - (b) Rehabilitation and infill development
  - (c) Regional problem solving and coalition building
  - (d) Reinvestment in the urban core
  - (e) Impact of community economic development policies, programs, and initiatives

#### • Faith-Based and Other Community-Based Partnerships

1. Community development and community building
  - (a) Role of faith-based groups in low-income housing and community development efforts
  - (b) Faith-based and higher education community building efforts
2. Evaluation of college/community partnerships and institutionalizing

these partnerships at colleges and universities

- *Assisted Housing Programs*

1. Affordability of rental housing
  - (a) Innovative partnerships or finance tools
  - (b) Cost-benefit analyses of alternative methods of providing housing assistance
  - (c) Effectiveness of voucher programs
  - (d) Evaluations of existing programs
2. Housing needs of the elderly and persons with disabilities
  - (a) Availability
  - (b) Design and Quality, including Accessibility
  - (c) Affordability
  - (d) Linked Services
3. Strategies for helping families in public and assisted housing make progress toward self-sufficiency and become homeowners.

- *Colonias*

1. How current housing policies determine the kinds of housing available
2. The perception of "community" in colonias
3. Evaluation of existing housing programs in colonias

(B) *Eligible Applicants.* You must meet the following requirements:

- (1) You must be a currently enrolled and full-time student in an accredited doctoral program at an accredited institution of higher education;
- (2) You must have urban economics as your major field or as a concentration within a major in another field related to housing and urban development;
- (3) You must not have taken your preliminary/comprehensive examinations;
- (4) You must have completed at least two semesters or three terms of your doctoral studies program (depending on the course structure of the institution); and
- (5) You must have been assigned a faculty advisor to supervise your research manuscript.

You must provide documentation from the chair of your department that you meet all of these conditions and that in his/her opinion it is realistic to believe that the research manuscript can be completed within the one-year grant period. In addition, you and your institution must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA.

(C) *Eligible Activities.* Your grant must support direct costs incurred in the timely completion of a research manuscript. Eligible costs include stipends, computer software, the

purchase of data, travel expenses to collect data; transcription services, and compensation for interviews. Three thousand dollars of the grant will be held back until you have completed your research manuscript and either it has been accepted for presentation at a conference or for publication in a refereed journal by September 30, 2003, or a committee of three faculty members (including your faculty sponsor, as the principal investigator of the grant) has determined and certified to HUD that the manuscript is of high quality and worthy of submission to conferences or journals.

(D) *Ineligible Activities.* Your grant may not be used to pay for tuition, computer hardware, or meals.

(E) *Other Requirements:*

(1) *Support from your university.* Support from your university is required. Such support might include tuition waivers, office space, equipment, computer time, or similar items you might need in order to complete your dissertation. This support may not replace support or assistance that your institution would otherwise provide you.

(2) *University sponsorship.* The university shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the university and from the university to you, the approved applicant, and that further provides all required certifications and assurances. The university shall agree to provide as the Principal Investigator under the Grant Agreement a dissertation advisor or chair of the applicant's dissertation committee who shall supervise your work under the Grant Agreement.

(3) *Progress reporting.* You will be required to submit a report, halfway through your grant, on the progress you have made towards completion of the research manuscript and the likelihood that you will complete it on time.

#### IV. Application Selection Process

HUD will conduct two types of review: a threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

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

- (1) You are an eligible doctoral student, as defined in Section III(B) above and have provided a letter from your department chair, in the format in Appendix A, confirming this;
- (2) You have requested no more than the grant maximum of \$15,000; and

(3) Your institution has agreed to provide some support to you as part of this grant.

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

#### Rating Factor 1: Capacity To Do the Research (20 Points)

In reviewing this factor, HUD will determine the extent to which:

(1) Your skills and experience are relevant to your proposed research manuscript (e.g., course work, teaching, research projects, presentations);

(2) You have undertaken appropriate preparation (e.g., preliminary design of the survey collection instruments, pre-clearance on interviews) to undertake the dissertation; and

(3) Your proposed research will help to further your research skills (i.e., it is relevant to the kinds of projects you will continue to work on as you earn your Ph.D.).

#### Rating Factor 2: Need for the Research (35 Points)

In reviewing this factor, HUD will determine the extent to which your research manuscript will produce policy-relevant information that is directly related to one of the research priorities listed above (i.e., the research that will be produced could have an effect on HUD's strategic goals and HUD's programs and policies to achieve these goals—see the HUD Web site at <http://www.hud.gov/about/budget/fy02/cjs/fy2002app.pdf> for a discussion of these goals. The less directly related to one of these topics your research is, the fewer points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance.

#### Rating Factor 3: Soundness of Approach (35 Points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypotheses. HUD will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already

completed or existing publications in the field related to your research questions.

In reviewing this factor, HUD will also determine the extent to which your research design and methodology and plan for completion of your research manuscript can feasibly be completed within the one-year grant period. Applications that propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of sites visits within the grant period) will be determined to be less feasible of completion within the allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the grant period (e.g., Census information), or a data collection plan that will take longer than the time you have allowed for it, you will get zero points for this factor.

#### **Rating Factor 4: Issuance of Your Research Manuscript (10 Points)**

One purpose of the EDSRG Program is to fund research studies that will inform Federal problem solving and policymaking relating to HUD's policy priorities for this year. HUD, therefore, will evaluate the likelihood that the manuscript will be ready to present at a conference or be ready for publication in a refereed journal by September 30, 2003. HUD will also evaluate your plans to disseminate your research through other means, e.g., seminars, your university's publications, or relevant internet listserves.

(C) *Selections.* In order to be funded, you must receive a minimum score of 70 points. HUD will fund applications in rank order, until it has awarded all available funds. If two or more applications have the same number of points, the application with the most points for Factor 1, Relevance to HUD's Mission, shall be selected. If there is still a tie, the application with the most points for Factor 2, Quality of the Research Design, shall be selected.

After all application selections have been made, HUD may require that you participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. In cases where HUD cannot successfully complete negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest-ranking applicant, and proceed with negotiations with that applicant.

(D) *Applicant Debriefing.* Beginning not less than 30 days after the awards for assistance are announced in the

**Federal Register**, and for not less than 120 days after awards for assistance are announced, HUD will provide a debriefing to any applicant requesting a debriefing on their application. All requests for debriefings must be made in writing and submitted to Armand Carrier of HUD's Office of University Partnerships, Robert C. Weaver Building, 451 7th St. SW., Room 8106, Washington DC 20410. You may also write to Mr. Carrier via e-mail at [Armand\\_W\\_Carrie@hud.gov](mailto:Armand_W_Carrie@hud.gov).

Information provided to you during your debriefing will include the final scores you received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

#### **V. Application Submission Requirements**

You should include an original and one computer disk (in Word 6.0 or higher) of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please do not use colored paper. Please note the page limits for some of the items listed below and do not exceed them.

Your application must contain the items listed in this section and they must be included in the order shown here. There is no separate application kit for this program. These items include the standard forms, certifications, and assurances listed in the **General Section** of the SuperNOFA that are applicable to this funding (collectively referred to as the "standard forms"). The standard forms can be found in Appendix B to the **General Section** of the SuperNOFA. The remaining application, referred to as the "non-standard forms," can be found as Appendix A to this program section of the SuperNOFA. The Catalog of Federal Domestic Assistance number for this program is 14.517 and is listed in the program chart in the **General Section** of the SuperNOFA. Sample documents are also included in this appendix. The items are as follows:

(A) *SF-424, Application for Federal Assistance.* Include the name and address of the person authorized to execute the grant agreement in Block 5. Include the institution's tax ID number in Block 6. The form should be signed by the appropriate university official.

(B) *Table of contents of the application.*

(C) *Transmittal Letter*, from you, containing the following information:

(1) Title of your research project;

(2) Your name, university and home addresses, university and home telephone numbers, facsimile numbers, and email address;

(3) Your university's name, department, mailing address, telephone and facsimile numbers.

(4) Your faculty advisor's name, address, telephone and facsimile numbers—this person will serve as the Principal Investigator for the grant.

(D) A statement from your department chair that you have met all the eligibility criteria described in Section III(B) (see Appendix A for a sample).

(E) A statement from the appropriate official that describes your university's support, as described in Section III(E) (see Appendix B for a sample).

(F) An abstract of 500 words or less that addresses the following topics:

(1) Specific purpose of the dissertation;

(2) Methodology being used; and

(3) How you meet the eligibility criteria.

(G) A narrative of the proposed research, not to exceed 5 double-spaced typed pages. This narrative must include the following items in the following order:

(1) Statement of the problem;

(2) Your capacity to do the research.

(Include your resume, showing educational background, research experience, background in statistics and empirical research, computer experience, and background in housing and/or urban studies.)

(3) Need for the research;

(4) Approach (research design and methodology);

(5) Your plan for disseminating your research.

(H) A proposed budget (See Appendix C for a sample).

(I) *Certifications.* These forms must be signed by the doctoral candidate and can be downloaded from the HUD web site at [www.hud.gov](http://www.hud.gov).

(1) HUD-2992, Certification regarding debarment and suspension pursuant to 24 CFR part 24.

(2) HUD-50071, Disclosure of lobbying pursuant to 24 CFR part 87.

(3) HUD-50070, Certification of Drug-Free Workplace, pursuant to 24 CFR 24.600 *et seq.*

(J) *Acknowledgment of Receipt of Applications (HUD-2993).* If you wish to confirm that HUD received your application, please complete this form. This form is optional.

#### **VI. Environmental Requirements**

The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of

1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under § 50.19(b)(1) and (b)(9).

**VII. Authority**

This program is being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970.

**Appendices A, B and C**

The non-standard sample forms and letters, which follow, are required for your Early Doctoral Student Research Grant application.

**BILLING CODE 4210-32-P**

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**Appendix A****SAMPLE STATEMENT FROM ADVISOR**

March 10, 2002

To Whom It May Concern:

Jane Jones is a doctoral student at Northern State University. As of the date of this letter her major field of study is (e.g., planning, public policy, urban studies) with a concentration in urban economics. She has completed three terms of her doctoral coursework and has not yet taken her comprehensive examinations. An advisor has been assigned to her for the work she would do under this grant. It is realistic to expect that the proposed research manuscript will be completed within the one-year grant period and either accepted for presentation at a scholarly conference and/or publication in a refereed journal by September 30, 2003, or certified by a faculty committee that it is worthy of being submitted for presentation or publication.

Sincerely,

Dr. Peter Paul  
Professor and Chair  
Department of City Planning

**Appendix B****SAMPLE DESCRIPTION OF UNIVERSITY SUPPORT**

March 9, 2002

To Whom It May Concern:

John Grey is a doctoral student in the Planning Department at Eastern University, working on a research manuscript titled "The Economics of Smart Growth." Office space, computer hardware, software for preparing statistical summaries, a research library, and several bibliographic databases will be available to Mr. Grey without charge to the grant for which he is applying.

Prof. Bradley Street  
Department of Geography  
Dissertation Committee Chair

## Appendix C

## BUDGET INSTRUCTIONS

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

John Jones  
621 Elm Street  
Academia, USA 12345  
March 10, 2002

"The Economics of Smart Growth"

## Services:

## Applicant (J. Jones):

\_\_\_\_\_ days @ \$ \_\_\_\_\_ /day = \$ x,xxx

## Other Professionals:

A. Smith, \_\_\_\_\_ days @ \$ \_\_\_\_\_ /day = \$ xx,xxx

B. Brown, \_\_\_\_\_ days @ \$ \_\_\_\_\_ /day = \$ xxx

## Clerical:

C. Johnson, \_\_\_\_\_ days @ \$ \_\_\_\_\_ /day = \$ xxx

**Subtotal, Service**

= \$ xx,xxx

## Other:

Travel: \_\_\_\_\_ trips @ \$ \_\_\_\_\_ /trip = \$ x,xxx

Computer Usage = \$ xxx

Reproduction Costs = \$ xxx

Phone, Mailing, Misc. Materials = \$ xxx

**Subtotal, Other**

= \$ x,xxx

**Total Estimated Cost**

\$xx,xxx



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**DOCTORAL DISSERTATION  
RESEARCH GRANT PROGRAM**

Billing Code 4210-32-C



**FUNDING AVAILABILITY FOR DOCTORAL DISSERTATION RESEARCH GRANT PROGRAM PROGRAM OVERVIEW**

*Purpose of the Program.* To assist Ph.D. candidates complete their research and dissertations on housing and urban development issues.

*Available Funds.* Approximately \$400,000 in FY 2002 funds.

*Eligible Applicants:* Only Ph.D. candidates who have completed all of their doctoral program requirements except the preparation of the dissertation.

*Application Deadline.* June 20, 2002.  
*Match.* None.

**ADDITIONAL INFORMATION**

**I. Application Due Date, Application Kits, Further Information, and Technical Assistance**

*Application Due Date.* Your completed application is due on or before June 20, 2002. You should read the general section of the SuperNOFA because it contains more detailed information about the application due date.

*Address for Submitting Applications.* Your completed application consists of an original signed application and an electronic copy of the application. All applications must be submitted via the United States Postal Service to the following address: University Partnerships Clearinghouse, Aspen Systems Corporation, Mail Stop 6P, 2277 Research Blvd., Rockville, MD 20850. You should read the General Section of the SuperNOFA because it contains more detailed information on submission deadlines. Please mark on the envelope for your application that it is the Doctoral Dissertation Research Grant Program.

HUD will accept only one application per Ph.D. candidate.

*For Application Kits.* The application requirements are contained in this program NOFA. There is no separate application kit for the program.

*For Further Information and Technical Assistance.* You may contact Armand Carriere of HUD's Office of University Partnerships at 202-708-3061, extension 3181. If you have a hearing or speech impairment, you may access this number via TTY by calling the Federal Information Relay Service toll-free at 1-800-877-8339. You may also write to Mr. Carriere via e-mail at [Armand\\_W\\_Carriere@hud.gov](mailto:Armand_W_Carriere@hud.gov).

**II. Amount Allocated**

Approximately \$400,000 in FY 2002 funds is being made available under this SuperNOFA for the Doctoral

Dissertation Research Grant Program (DDRG).

The maximum grant period is 24 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to a Ph.D. candidate is \$25,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

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

(A) *Program Description.* The purpose of DDRG is to enable Ph.D. candidates enrolled at accredited institutions of higher education to complete their research and dissertations on HUD-related housing and urban development issues. The FY 2002 DDRG program seeks to fund dissertations that will inform Federal problem-solving and policy making relating to policy-relevant issues. Examples of such topics include but are not limited to:

• *Homeownership*

1. Homeownership
  - (a) Relative importance of factors in tenure decisions
  - (b) Estimation of private and social benefits and costs of homeownership
  - (c) Role in employment, household savings, and investment decisions
  - (d) Effects of demographics, macro-economic environment and government policies on homeownership
  - (e) Effects of homeownership on low- and moderate-income households
2. Housing finance
  - (a) Institutional barriers to efficiency in the housing finance system
  - (b) Enabling the housing finance system to better serve low-income and minority borrowers
3. Home Equity Conversion Mortgages

• *Housing Market Conditions*

1. Housing Markets
  - (a) Factors affecting rents, home values, tenure, vacancy rates
  - (b) Market absorption of new units
  - (c) Construction activity
2. Housing Stock
  - (a) Durability of stock
  - (b) Energy efficiency
  - (c) Factors determining rehabilitation and remodeling
  - (a) Comparisons with stock in other developed countries
3. Availability of Affordable Housing
  - (a) Policy and program options in tight or "soft" markets
  - (b) Preservation of existing stock

• *Equal Opportunity and Access to Housing*

1. Effectiveness of different models (including local initiatives) for promoting Fair Housing Objectives
2. Discrimination in housing and lending
  - (a) Methods to detect discrimination
  - (b) Systemic patterns and practices

• *Homelessness*

1. Strategies to combat homelessness
  - (a) Addressing chronic homelessness
  - (b) Preventing homelessness
  - (c) Helping families move from transitional to permanent housing
  - (d) Causes of homelessness
  - (e) Issues and responses to youth homelessness

• *Community and Economic Development*

1. Create or expand business
  - (a) Meet the needs of underserved inner city, older suburb, or rural areas
  - (b) Expansion of access to capital
  - (c) Joint ventures with faith-based or other community-based grassroots organizations
2. Development of inner cities
  - (a) Studies of reinvestment pressures
  - (b) Theories of capital/land/market failure that help to explain depopulation or disinvestment
  - (c) Government policies or market interventions that would alleviate these patterns
3. Regionalism and growth management
  - (a) The economic interdependence of cities and suburbs
  - (b) Rehabilitation and infill development
  - (c) Regional problem solving and coalition building
  - (d) Reinvestment in the urban core
  - (e) Impact of community economic development policies, programs, and initiatives

• *Faith-Based and Other Community-Based Partnerships*

1. Community development and community building
  - (a) Role of faith-based groups in low-income housing and community development efforts
  - (b) Faith-based and higher education community building efforts
2. Evaluation of college/community partnerships and institutionalizing these partnerships at colleges and universities

• *Assisted Housing Programs*

1. Affordability of rental housing
  - (a) Innovative partnerships or finance tools
  - (b) Cost-benefit analyses of alternative

- methods for providing housing assistance
- (c) Effectiveness of voucher programs
- (d) Evaluations of existing programs
- 2. Housing needs of the elderly and persons with disabilities
  - (a) Availability
  - (b) Design and Quality, including Accessibility
  - (c) Affordability
  - (d) Linked Services
- 3. Strategies for helping families in public and assisted housing make progress toward self-sufficiency and become homeowners.

- *Colonias*

1. How current housing policies determine the kinds of housing available
2. The perception of "community" in colonias
3. Evaluation of existing housing programs in colonias

(B) *Eligible Applicants.* You must be a currently enrolled and matriculated student who has been accepted into candidacy in an accredited doctoral program at an accredited institution of higher education and have a fully developed and approved dissertation proposal. You must provide documentation from your dissertation committee chair that:

(1) By the application due date, your dissertation proposal has been accepted by your full dissertation committee and you have been assigned a dissertation advisor;

(2) By September 1, 2002, you will have satisfactorily completed all other written and oral Ph.D. requirements, including all your examinations and defense of your proposal, except the dissertation; and

(3) It is realistic to believe that the dissertation can be completed within the two-year grant period.

In addition, you and your institution must meet all the applicable threshold requirements found in Section II(B) of the **General Section** of the SuperNOFA.

**Note:** Institutions which have had previously awarded Doctoral Dissertation Research Grants terminated for non-performance and have outstanding funds owed to HUD resulting from this determination will be excluded from competition for the Doctoral Dissertation Research Grant program until the outstanding funds are repaid.

(C) *Eligible Activities.* Your grant must support direct costs incurred in the timely completion of a dissertation. Eligible costs include stipends, computer software, the purchase of data, travel expenses to collect data; transcription services, and compensation for interviews. Six

thousand dollars of the grant will be held back until you have completed your dissertation, had it approved by your committee, and submitted it to HUD.

(D) *Ineligible Activities.* Your grant may not be used to pay for tuition, computer hardware, or meals.

(E) *Other Requirements.* (1) *Support from your university.* Support from your university is required. Such support might include tuition waivers, office space, equipment, computer time, or similar items you might need in order to complete your dissertation. This support may not replace support or assistance that your institution would otherwise provide you.

(2) *University sponsorship.* The university shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the university and from the university to you, the approved applicant, and that further provides all required certifications and assurances. The university shall agree to provide as the Principal Investigator under the Grant Agreement a dissertation advisor or chair of the applicant's dissertation committee who shall supervise your work under the Grant Agreement.

(3) *Progress reporting.* You will be required to submit a report, at the end of the first year of your grant, on the progress you have made towards completion of the dissertation and the likelihood that you will complete it on time.

#### IV. Application Selection Process

HUD will conduct two types of review: a threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

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

- (1) You are an eligible Ph.D. candidate, as defined in Section III(B) above and have provided a letter from your dissertation committee chair, in the format in Appendix A, confirming this;
- (2) You have requested no more than the \$25,000 grant maximum; and
- (3) Your institution has agreed to provide some support to you as part of this grant.

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

#### Rating Factor 1: Capacity To Do the Research (20 points)

In reviewing this factor, HUD will determine the extent to which your skills and experience are relevant to your proposed dissertation (e.g., course work, teaching, research projects, presentations). HUD will determine the extent to which you have undertaken appropriate preparation (e.g., selecting sites for data collection, identifying potential interviewees and categories of interviewees, pre-clearance on interviews) to undertake the dissertation. HUD will also determine the extent to which your previous research experience (e.g., graduate-level research projects, presentations at conferences, publications, etc.) is relevant to and supportive of your proposed dissertation.

#### Rating Factor 2: Need for Your Research (35 Points)

In reviewing this factor, HUD will determine the extent to which your dissertation will produce policy-relevant information that is directly related to one of the research priorities listed above (i.e., the research that will be produced could have an effect on HUD's strategic goals and HUD's programs and policies to achieve these goals—see the HUD Web site at <http://www.hud.gov/about/budget/fy02/cjs/fy2002app.pdf> for a discussion of these goals). The less directly related to one of these topics your dissertation is, the fewer points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance.

#### Rating Factor 3: Soundness of Approach (35 Points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypotheses. HUD will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already completed or existing publications in the field related to your research questions.

HUD will also determine the extent to which your research design and methodology and plan for completion of

the dissertation can be completed within the two-year grant period. Applications that propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of sites visits within the two year grant period) will be determined to be less feasible of completion within the allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the two-year grant period (e.g., Census information), or a data collection plan that will take longer than the time you have allowed for it, you will get zero points.

#### **Rating Factor 4: Dissemination of Your Dissertation (10 Points)**

An important purpose of the DDRG Program is to fund research that will inform Federal problem-solving and policy making relating to housing and urban development. In reviewing this factor, HUD will evaluate the likelihood that your research will be ready and suitable for publication or presentation at policy conference by the end of the grant period. HUD will also evaluate your plans to disseminate your research through other means, e.g., seminars, your university's publications, or relevant internet list services.

(C) *Selections*. In order to be funded, you must receive a minimum score of 70 points. HUD will fund applications in rank order, until it has awarded all available funds. If two or more applications have the same number of points, the application with the most points for Factor 1, Relevance to HUD's Mission, shall be selected. If there is still a tie, the application with the most points for Factor 2, Quality of the Research Design, shall be selected.

After all application selections have been made, HUD may require that you participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. In cases where HUD cannot successfully complete negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest-ranking applicant, and proceed with negotiations with that applicant.

(D) *Applicant Debriefing*. Beginning not less than 30 days after the awards for assistance are announced in the **Federal Register**, and for not less than 120 days after awards for assistance are announced, HUD will provide a debriefing to any applicant requesting a debriefing on their application. All requests for debriefings must be made in

writing and submitted to Armand Carriere of HUD's Office of University Partnerships Robert C. Weaver Building, 451 7th St. SW., Room 8106, Washington DC 20410. You may also write to Mr. Carriere via e-mail at *Armand\_W\_Carriere@hud.gov*.

#### **V. Application Submission Requirements**

You should include an original and one computer disk (in Word 6.0 or higher) of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please do not use colored paper. Please note the page limits for some of the items listed below and do not exceed them.

Your application must contain the items listed in this section and they must be included in the order shown here. There is no separate application kit for this program. These items include the standard forms, certifications, and assurances listed in the **General Section** of the SuperNOFA that are applicable to this funding (collectively referred to as the "standard forms"). The standard forms can be found in Appendix B to the **General Section** of the SuperNOFA. The remaining application, referred to as the "non-standard forms," can be found as Appendix A to this program section of the SuperNOFA. The Catalog of Federal Domestic Assistance number for this program is 14.516 and is listed in the program chart in the **General Section** of the SuperNOFA. Sample documents are also included in this appendix. The items are as follows:

(A) *SF-424, Application for Federal Assistance*. Include the name and address of the person authorized to execute the grant agreement in Block 5. Include the institution's tax ID number in Block 6. The form should be signed by the appropriate university official.

(B) *Table of contents of the application*.

(C) *Transmittal Letter*, from you, containing the following information:

- (1) Title of your dissertation;
- (2) Your name, university and home addresses, university and home telephone and facsimile numbers, and email address;
- (3) Your university's name, department, mailing address, telephone and facsimile numbers.

(4) Your dissertation advisor's name, address, telephone and facsimile numbers—this person will serve as the Principal Investigator for the grant.

(D) A statement from your dissertation advisor or chair of the dissertation committee that you have met all the

eligibility criteria described in Section III(B) (see Appendix A for a sample).

(E) A statement from the appropriate official that describes your university's support, as described in Section III(E) (see Appendix B for a sample).

(F) An abstract of 500 words or less that addresses the following topics:

- (1) Specific purpose of the dissertation;
- (2) Methodology being used; and
- (3) How you meet the eligibility criteria.

(G) A narrative of the proposed research, not to exceed 10 double-spaced typed pages. Do not submit your dissertation proposal itself. This narrative must include the following in the following order:

- (1) Statement of the problem;
- (2) Your capacity to do the research. (Include your resume, showing educational background, research experience, background in statistics and empirical research, computer experience, and background in housing and/or urban studies.)
- (3) Need for the research;
- (4) Approach (research design and methodology);
- (5) Your plan for disseminating your research.

(H) A proposed budget (See Appendix C for a sample).

(I) *Certifications*. These forms must be signed by the doctoral candidate and can be downloaded from the HUD web site at [www.hud.gov](http://www.hud.gov).

(1) HUD-2992, Certification regarding debarment and suspension pursuant to 24 CFR part 24.

(2) HUD-50071, Disclosure of lobbying pursuant to 24 CFR part 87.

(3) HUD-50070, Certification of Drug-Free Workplace, pursuant to 24 CFR 24.600 *et seq.*

(J) *Acknowledgment of Receipt of Applications (HUD-2993)*. If you wish to confirm that HUD received your application, please complete this form. This form is optional.

#### **VI. Environmental Requirements**

The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under § 50.19(b)(1) and (b)(9).

#### **VII. Authority**

This program is being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970.

**Appendices A, B and C**

The non-standard sample forms and letters, which follow, are required for your Doctoral Dissertation Research Grant application.

**BILLING CODE 4210-32-P**

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**Appendix A**

**SAMPLE STATEMENT FROM ADVISOR**

March 10, 2002

To Whom It May Concern:

John Jones, a Ph.D. candidate in urban studies at Northern State University, will have defended his dissertation proposal as of the date of this letter. The dissertation committee has formally approved of his dissertation proposal. A dissertation advisor has been assigned to him. In addition, he will have completed all written and oral Ph.D. examination requirements by September 1, 2002. It is realistic to believe that Mr. Jones' dissertation can be completed within a two-year period.

Sincerely,

Dr. Peter Paul  
Professor of Urban Studies and Chairman  
of John Jones' Dissertation Committee

**Appendix B****SAMPLE DESCRIPTION OF UNIVERSITY SUPPORT**

March 9, 2002

To Whom It May Concern:

Sarah Grey is a Ph.D. student in the Geography Department of Eastern University, working on a dissertation titled "Redevelopment Practices in Elm City." Office space, computer hardware, software for preparing statistical summaries, a research library, and several bibliographic databases will be available to Ms. Grey without charge to the grant for which she is applying.

Sincerely,

Prof. Bradley Street  
Department of Geography  
Dissertation Committee Chair

## Appendix C

## BUDGET INSTRUCTIONS

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

John Jones  
621 Elm Street  
Academia, USA 12345  
March 10, 2002

"A Study of Faith-Based  
Organizations' Effectiveness  
in Local Community Development  
Projects"

## Services:

## Applicant (J. Jones):

\_\_\_\_\_ days @ \$ \_\_\_\_\_/day = \$ x,xxx

## Other Professionals:

A. Smith, \_\_\_\_\_ days @ \$ \_\_\_\_\_/day = \$ xx,xxx

B. Brown, \_\_\_\_\_ days @ \$ \_\_\_\_\_/day = \$ xxx

## Clerical:

C. Johnson, \_\_\_\_\_ days @ \$ \_\_\_\_\_/day = \$ xxx

**Subtotal, Service**

= \$xx,xxx

## Other:

Travel: \_\_\_\_\_ trips @ \$ \_\_\_\_\_/trip = \$ x,xxx

Computer Usage = \$ xxx

Reproduction Costs = \$ xxx

Phone, Mailing, Misc. Materials = \$ xxx

**Subtotal, Other**

= \$ x,xxx

**Total Estimated Cost**

\$xx,xxx