

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**UNIVERSITY AND COLLEGE
PROGRAMS**

**TRIBAL COLLEGES AND UNIVERSITIES
(TCUP) PROGRAM**

Billing Code 4210-01-C

Tribal Colleges and Universities Program

Overview Information

A. Federal Agency Name: Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

B. Funding Opportunity Title: Tribal Colleges and Universities Program (TCUP).

C. Announcement Type: Initial announcement.

D. Funding Opportunity Numbers: FR-5200-N-16; OMB Approval Number: 2528-0215.

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

F. Dates: The application deadline date is *July 2, 2008*. Applications must be received and validated by *Grants.gov* by *11:59:59 p.m. eastern time on the deadline date*. Please be sure to read the *General Section*, published March 19, 2008 (73 FR 14882), for electronic application submission and receipt requirements.

G. Additional Overview Content Information

1. Purpose of the Program: To assist Tribal Colleges and Universities (TCU) to build, expand, renovate, and equip their own facilities, and to expand the role of the TCUs into the community through the provision of needed services such as health programs, job training, and economic development activities.

2. Award Information: In Fiscal Year (FY) 2008, approximately \$5 million has been made available for this program by Consolidated Appropriations Act, 2008 (Pub. L. 110-161). An applicant can request up to \$750,000 for a three-year (36 months) grant performance period.

3. Eligible Applicants: Tribal Colleges and Universities that meet the definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244, approved October 7, 1998). Applicants must be a two- or four-year, fully accredited institution or provide a statement in the abstract of the application that states the institution is a candidate for accreditation by a regional institutional accrediting association recognized by the U.S. Department of Education. Institutions that have received three or more grants under this program in the past are not eligible under this NOFA. If an applicant is one of several campuses of the same institution, the applicant may apply separately from the other campuses as long as the campus has a

separate DUNS number, administrative structure and budget, and meets the definition of a TCU outlined above.

Full Text of Announcement

I. Funding Opportunity Description

The purpose of this program is to assist Tribal Colleges and Universities (TCU) to build, expand, renovate, and equip their own facilities, and to expand the role of the TCUs into the community through the provision of needed services such as health programs, job training, and economic development activities.

A. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2008 (Pub. L. 110-161). This program is being implemented through this NOFA and the policies governing its operation are contained herein.

B. Modifications

Listed below are major modifications from the Fiscal Year (FY) 2007 program funding announcement.

1. Institutions that have received three or more grants under this program in the past are not eligible to submit an application for funding under this NOFA.

2. Applicants can now request up to \$750,000 for a three-year (36 months) grant performance period.

3. Abstract and budget narrative must be electronically submitted and formatted to fit an 8½-by-11-inch page. Responses must be double-spaced, with one-inch margins (for the top, bottom, left and right sides of the document), using the standard Times New Roman 12-point font.

4. Project budgets will be evaluated and scored under *Factor 3, Soundness of Approach*. HUD will assess the applicant's budget in relation to its quality, thoroughness, reasonableness, and rationality to the proposed project.

5. Applicants that propose ineligible activities will not be disqualified, but will not receive points under *Factor 3 Soundness of Approach for the ineligible activities*. HUD reserves the right to deduct points under this factor for those activities and/or not fund an application if the majority of the activities are ineligible.

II. Award Information

In FY2008, approximately \$5 million is made available by the Consolidated Appropriations Act, 2008 (Pub. L. 110-161). An applicant can request up to \$750,000 for a three-year (36 months) grant performance period.

III. Eligibility Information

A. Eligible Applicants

Tribal Colleges and Universities that meet the definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Pub. L. 105-244, enacted October 7, 1998). Applicants must be a two- or four-year, fully accredited institution or provide a statement in the abstract of the application that states the institution is a candidate for accreditation by a regional institutional accrediting association recognized by the U.S. Department of Education. Institutions that have received three or more grants under this program in the past are not eligible to submit an application for funding under this NOFA. If an applicant is one of several campuses of the same institution, the applicant may apply separately from the other campuses as long as the campus has a separate DUNS number, administrative structure and budget, and meets the definition of a TCU outlined above.

B. Cost Sharing or Matching. None Required.

C. Other

1. Eligible Activities. Eligible activities include building, expanding, renovating, and equipping facilities owned by the institution (a long-term lease for five years or more in duration is considered an acceptable form of ownership under this program). Buildings for which TCUP funding is used that also serve the community are eligible; however, the facilities must be predominantly (at least 51 percent of the time) for the use of the institution (e.g., students, faculty, and staff). In addition, public services and program delivery activities for the community such as health programs, job training and economic development are eligible activities.

a. Examples of eligible activities include, but are not limited to:

- (1) Building a new facility (e.g., classrooms, administrative offices, health and cultural centers, gymnasium, technology centers, etc.);
- (2) Renovating an existing or acquired facility;
- (3) Expanding an existing or acquired facility;
- (4) Equipping university facilities (e.g., lab equipment, library books, furniture, etc.);
- (5) Property acquisition;
- (6) Health screening;
- (7) Homeownership counseling/training;
- (8) Technical assistance to establish, expand or stabilize micro-enterprises;
- (9) Crime, alcohol and/or drug-abuse prevention activities;

(10) Youth leadership development programs/activities;
 (11) Tutoring/mentoring programs;
 (12) Child care/development programs;
 (13) Cultural activities/programs; and
 (14) Up to 20 percent of the grant may be used for payments of reasonable grant administrative costs related to planning and executing the project (e.g., preparation/submission of HUD reports, etc.). Detailed explanations of these costs is provided in OMB circular A-21, Cost Principles for Educational Institutions that can be accessed at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

b. Each activity proposed for funding must meet at least one of the three Community Development Block Grant (CDBG) program national objectives. The three national objectives of the CDBG program are listed in Rating Factor 3 in Section V.A.3 of this NOFA.

Criteria for determining whether an activity addresses one or more of these national objectives are provided at 24 CFR 570.208.

c. The CDBG publication entitled "Community Development Block Grant Program Guide to National Objectives and Eligible Activities for Entitlement Communities" describes the CDBG regulations, and a copy can be obtained online at: <http://www.hud.gov/offices/cpd/communitydevelopment/library/deskguid.cfm>.

2. Threshold Requirements
Applicable to All Applicants. All applicants must comply with the threshold requirements as defined in the *General Section* and the requirements listed below. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified.

a. The applicant must meet the eligibility requirements as defined in Section III.A.

b. The maximum amount an applicant can request is \$750,000 for a three-year (36 months) grant performance period.

c. An applicant must have a separate DUNS number to receive HUD grant funds (See *General Section*). Only one application can be submitted per campus. If multiple applications are submitted, all will be disqualified. However, different campuses of the same university system are eligible to apply as long as they have a separate DUNS number and an administrative and budgeting structure independent of the other campuses in the system.

d. Institutions that have received three or more grants under this program in the past are not eligible to submit an application under this NOFA.

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

f. Electronic applications must be received and validated by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date.

3. Program Requirements. Applicants must meet the following program requirements:

a. All funds awarded are for a three-year (36 months) grant performance period.

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

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

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

5. Environmental Requirements. Selection for award does not constitute approval of any proposed sites.

Following selection for award, HUD will perform an environmental review of activities proposed for assistance in accordance with 24 CFR part 50. The results of the environmental review may require that proposed activities be modified or proposed sites be rejected. Applicants are particularly cautioned not to undertake or commit funds for acquisition or development of proposed properties prior to HUD approval of specific properties or areas. An application constitutes an assurance that the institution will assist HUD to comply with Part 50; will supply HUD with all available and relevant information to perform an environmental review for each proposed property; will carry out mitigating measures required by HUD or select alternate property; and will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property and not commit or expend HUD or local funds for these program activities with respect to any eligible property until HUD's written approval of the property is received. Applicants should use the protocol at: <http://www.hud.gov/utilities/intercept.cfm?/offices/cpd/environment/review/protocol.pdf> to supply HUD with the information needed for HUD to start and complete the environmental review. Further information and assistance on HUD's environmental requirements is available at <http://www.hud.gov/offices/cpd/environment/index.cfm>.

6. Lead-Based Paint Requirements. Institutions and their sub-grantees, contractors, and subcontractors must comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846), the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4851-4856), and relevant subparts of the implementing regulations at 24 CFR part 35, such as subparts A, B, J, K and R, which apply to activities under this grant program.

7. Site Control. Where grant funds will be used for acquisition, rehabilitation, or new construction, an applicant must demonstrate site control. Funds may be recaptured or deobligated from recipients that cannot demonstrate control of a suitable site within one year after the initial notification of award.

8. Economic Opportunities for Low- and Very Low Income-Persons (Section 3). The provisions of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) apply to this NOFA. One of the purposes of the assistance is to give to the greatest extent feasible and consistent with existing federal, state, and local laws and regulations, job training, employment, contracting, and other

economic opportunities to Section 3 residents and Section 3 business concerns. See the Section 3 Regulations located at 24 CFR 135.36.

9. *Affirmatively Furthering Fair Housing Requirements.* Under Section 808(e)(5) of the Fair Housing Act, HUD has a statutory duty to affirmatively further fair housing. HUD requires the same of its funding recipients. If you are a successful applicant proposing housing-related activities, you will have a duty to affirmatively further fair housing opportunities for classes protected under the Fair Housing Act. Protected classes include race, color, national origin, religion, sex, disability, and familial status. For example: (1) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending; (2) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or (3) Providing housing mobility counseling services.

IV. Application Instruction and Submission Information.

A. Instructions to Download Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at http://www.grants.gov/applicants/apply_for_grants.jsp. If you have difficulty accessing the information you may call the Grants.gov Support Desk toll-free (800) 518-GRANTS or e-mail your questions to Support@Grants.gov. See the *General Section* for information regarding the registration process or ask for registration information from the Grants.gov Support Desk.

B. Application Content and Forms for Submission

1. *Application Content.* Applications must consist of the following elements: abstract, narrative, budget, budget narrative, and forms. Applicants that received a waiver of the electronic application submission requirement must submit their application in the order below. Copies of the instructions and all forms are available online at: http://www.grants.gov/applicants/apply_for_grants.jsp.

a. *SF-424, Application for Federal Assistance.* Please remember the following:

(1) The full grant amount requested from HUD (entire three-years) should be

entered, not the amount for just one year;

(2) Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact. This is the person who will receive all correspondence regarding the contents of the application from HUD; therefore, please ensure the accuracy of the information;

(3) The Employer Identification/Tax ID number;

(4) The DUNS Number;

(5) The Catalog of Federal Domestic Assistance Number for this program is 14.519;

(6) The project's proposed start and completion dates. For the purpose of this application the program start date should be October 1, 2008; and

(7) The signature of the Authorized Organization Representative (AOR) who, by virtue of submitting an application via Grants.gov, has been authenticated by the credential provider to submit applications on behalf of the institution and approved by the eBusiness Point of Contact to submit an application via Grants.gov. The AOR must be able to make a binding legal agreement with HUD.

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

(1) A clear description of each proposed project activity, where it will take place (be located), the target population that will be served, and the impact this project is expected to have on the institution;

(2) A statement that the institution is an eligible applicant because it is a two- or four-year, fully accredited institution, the name of the accrediting agency and an assurance that the accrediting agency is recognized by the U.S. Department of Education; or the applicant is a candidate for accreditation by a regional instructional accrediting association recognized by the U.S. Department of Education, including the name of the accrediting agency;

(3) The designated contact person, including phone number, facsimile number, and e-mail address (this is the person who will receive all correspondence regarding the contents of this application; therefore, please ensure the accuracy of the information); and

(4) The project director, if different from the designated contact person for the project, including phone number, facsimile number, and e-mail address.

c. *Narrative statement addressing the rating factors.* HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank

applications. This NOFA has five rating factors that need to be addressed. The narrative statement is the main source of information. Applicants are advised to review each factor carefully for program-specific requirements. All applicants submitting electronic applications must attach their narrative responses to Rating Factors 1-4 as one attachment. Remember, Factor 5 is addressed by using the HUD-96010, Program Outcome Logic Model form. Please do not repeat material in response to factors 1-3; instead, focus on how well the proposal responds to each of the factors. The response to each factor should be concise and contain only information relevant to the factor, yet detailed enough to address each factor fully. Where there are subfactors, each subfactor must be addressed and presented separately, with the short title/name of the subfactor presented. Make sure to address each subfactor and provide sufficient information about every element of the subfactor. Do not include any individual's Social Security Numbers in your application. The narrative section of an application must be submitted electronically. It must not exceed 50 pages in length (excluding forms, budget narrative, assurances, and abstract) and must be formatted to fit an 8½-by-11-inch page. Responses must be double-spaced (information submitted in chart format does not have to be doubled-spaced) with one inch margins (for the top, bottom, left, and right sides of the document), using the standard Times New Roman 12-point font. Each page of the application must include the applicant's name and be numbered. Note that although submitting pages in excess of the page limit will not disqualify an applicant, HUD will not consider the information on any excess pages. This exclusion may result in a lower score or failure to meet a threshold requirement. Please do not attach your response to each factor separately. Please follow the instructions on use of zip files, file extension, and file names in the General Section. File names should not contain spaces or special characters.

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

(1) *HUD-424-CB, "Grant Application Detailed Budget."* This form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately. Applicants must also budget for travel cost (airfare, lodging, and per diem) for two individuals to attend at least one HUD-sponsored TCUP conference/workshop every year of the three-year grant performance period. To

calculate travel expenses, applicants should use Washington, DC as the site of all conferences/workshops.

Applicants must also submit form HUD-424-CB to reflect the total cost (summary) for the entire grant performance period (Grand Total).

Make sure that the amounts shown on the SF-424, HUD-424-CB, and budget narrative are consistent and the budget totals are correct. Remember to check the addition in totaling the categories on all forms so that all items are included in the total. If there is any inconsistency between any of the required budget forms and/or budget narrative, the amount listed on the HUD-424-CB will be the amount HUD will use to calculate the amount the applicant is requesting for funding. All budget forms must be fully completed. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates for all line items. This information must be electronically submitted and formatted to fit an 8½-by-11-inch page. Responses must be doubled-spaced, with one inch margins (for the top, bottom, left, and right sides of the document), using the standard Times New Roman 12-point font. Project budgets will be evaluated and scored under *Factor 3, Soundness of Approach*. HUD will assess the soundness of an applicant's approach by evaluating the quality, thoroughness, reasonableness, and rationality of the proposed project budget. In addition, please provide the name, if known, hourly or daily rate, and the estimated time that will be devoted to the project for each consultant. For example, an applicant proposes to construct an addition to an existing building using HUD funding that will cost approximately \$200,000. The following cost estimates reflects this total: foundation cost \$75,000, electrical work \$40,000, plumbing work \$40,000, interior finishing work \$35,000, and landscaping \$10,000. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed in the geographical area. When necessary, quotes from various vendors or historical data should be used (please make sure they are kept on file and are available for review by HUD at any time). All direct labor or salaries must be supported with mandated institution and/or city/state pay scales, Davis-Bacon wage rates/tribally designated

wage rate (as appropriate), or other documentation. When an applicant proposes to use a consultant, the applicant must indicate whether there is a formal written agreement. Applicants must use cost estimates based on historical data from the institution and/or from a qualified firm (e.g., architectural or engineering firm), vendor and/or qualified individual (e.g., independent architect or contractor) other than the institution for a project that involves rehabilitation of residential, commercial, and/or industrial structures, and/or acquisition, construction, or installation of public facilities, and improvements. Such an entity must be involved in the business of rehabilitation, construction, and/or management. Equipment and contracts cannot be presented as a total estimated figure. For equipment, applicants must provide a list by type and cost for each item. Applicants using contracts must provide an individual description and cost estimate for each contract. Construction costs must be broken down to indicate how funds will be utilized (e.g., demolition, foundation, exterior walls, roofing, electrical work, plumbing, finishing work, etc.).

(3) *Indirect costs.* Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. Applicants must have on file, and submit to HUD if selected for award, a copy of their approved indirect cost rate agreement. Applicants who are selected for funding that do not have an approved indirect cost rate agreement, established by the cognizant federal agency, will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and assist applicants with the process of establishing a final rate.

e. *Appendix.* The appendix section of an application must not exceed 15 pages in length (excluding forms, budget narrative, and assurances). Each page must include the applicant's name and be numbered. An applicant should not submit resumes, letters of support, commitment letters, memoranda of understanding and/or agreements, or other back-up materials to supplement the application's narrative. If this information is included, it will not be considered during the review process. HUD will not consider the information on any excess pages. The additional items will also slow the transmission of your application.

2. *Forms.* The following forms are required for submission. All required forms are contained in the electronic application package. Applicants receiving a waiver of the electronic submission requirements and

submitting a paper copy of the application must place all required forms in the appendix section of the application.

a. SF-424 Supplement, Survey on Ensuring Equal Opportunities for Applicants ("Faith Based EEO Survey (SF-424 SUPP)" on Grants.gov);

b. SF-LLL, Disclosure of Lobbying Activities, if applicable;

c. HUD-27300, Questionnaire for HUD's Removal of Regulatory Barriers ("HUD Communities Initiative Form" on Grants.gov), if applicable;

d. HUD-2880, Applicant/Recipient Disclosure/Update Report ("HUD Applicant Recipient Disclosure Report" on Grants.gov), if applicable;

e. HUD-2990, Certification of Consistency with RC/EZ/EC-II Strategic Plan, if applicable;

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

g. HUD-2994-A, You Are Our Client! Grant Applicant Survey. Applicants are not required to complete this form;

h. HUD-96010, Program Outcome Logic Model; and

i. HUD-96011, Third Party Documentation Facsimile Transmittal ("Facsimile Transmittal Form" on Grants.gov). This form must be used as the cover page to transmit third party documents and other information. Applicants are advised to download the application package and complete the SF-424, which will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please do not use your own fax cover sheet. HUD will not read any faxes that are sent without the HUD-96011 fax transmittal cover page.

3. *Certifications and Assurances.* Please read the *General Section* for detailed information on all the Certifications and Assurances. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances.

C. Submission Dates and Times

A complete application package must be received and validated electronically by the Grants.gov portal no later than 11:59:59 p.m. eastern time on July 2, 2008, the application deadline date. In an effort to address any issues with transmission of your application, applicants are strongly encouraged to

submit their applications at least 48 to 72 hours prior to the application deadline. This will allow an applicant enough time to make the necessary adjustments to meet the submission deadline in the event Grants.gov rejects the application. Please see the *General Section* for further instructions. Electronic faxes using the Facsimile Transmittal Cover Sheet (Form HUD-96011) contained in the electronic application must be received no later than 11:59:59 p.m. eastern time on the application deadline date.

D. Intergovernmental Review

This program is excluded from the Intergovernmental Review process.

E. Funding Restrictions

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

1. Renovation and/or building of a facility in which the facility is not used at least 51 percent of the time by the institution;
2. Rental space to another entity that operates a small business assistance center;
3. Building of a new facility where the activities are run primarily by an outside entity;
4. Planning and administrative activities that would result in an applicant exceeding the 20-percent cost limitations (e.g., preparation/submission of HUD reports); and
6. Curriculum development and/or expansion on an institution's existing curriculum.

F. Other Submission Requirements

1. *Application Submission and Receipt Procedure.* Please read the *General Section* carefully and completely for the electronic submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. *Waiver of Electronic Submission Requirements.* Applicants should submit their waiver requests in writing using e-mail or fax. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to: Susan Brunson, Office of University Partnerships, E-mail: Susan.S.Brunson@hud.gov, FAX: (202) 708-0309.

Paper applications will not be accepted from applicants that have not been granted a waiver. If an applicant is granted a waiver, the Office of University Partnerships (OUP) will provide instructions for submission. All applicants submitting applications in

paper format must have received a waiver to the electronic application submission requirement and the application must be received by HUD on or before the application deadline date. All paper applications must be submitted on 8½-by-11-inch paper, double-spaced, on one side of the paper, with one inch margins (for the top, bottom, left, and right sides of the document), and printed in standard Times New Roman 12-point font.

V. Application Review Information

A. Criteria

1. *Rating Factor 1: Capacity of the Applicant and Relevant Experience (25 points).* This factor addresses the extent to which the applicant has the resources, experience, and capacity necessary to successfully implement the proposed project by the end of the grant performance period.

a. *Knowledge and Experience.* For *First Time Applicants (25 points)*, For *Previously Funded Applicants (15 points)*. In rating this subfactor, HUD will consider the extent to which the applicant clearly addresses the following:

(1) Identifies key project team members/staff, their title and name (e.g., project manager/coordinator-Sally Sue Smith, etc.), respective roles, and time each will allot to this project;

If key personnel have not been hired, identify the position title, description of duties and responsibilities, and qualifications to be considered in the selection of personnel, including subcontractors and consultants;

(2) Describes the knowledge and relevant experience of the proposed project team members/staff (as outlined above) that will conduct the day-to-day project activities, consultants (including technical assistance providers), and contractors in planning and managing the type of project for which funding is being requested; and

(3) Explains the institution's experience and capacity to administer and monitor the type of project for which funding is being requested.

Applicant's staff experience and the institution's capacity to do the work will be judged in terms of recent and relevant knowledge and skills to undertake eligible program activities. HUD will consider experience within the last five (5) years to be recent and experience pertaining to similar activities to be relevant.

b. *Past Performance (10 points) For Previously Funded Grant Applicants Only.* This subfactor will evaluate how well an applicant has performed successfully under completed and/or

open HUD TCUP grants. Applicants must demonstrate this by addressing the following information for all previously completed and open HUD TCUP grants:

(1) A list of all HUD TCUP grants received, including the dollar amount awarded and the amount expended and obligated as of the date the application is submitted;

(2) A list detailing the date the project(s) was completed; was it completed during the original three-year grant performance period; and if not completed, why (including when it was or will be completed); if the project is still in progress, provide details on the project's current status;

(3) A description of the achieved results (outcomes) consistent with the approved project management plan. If not completed as proposed explain why;

(4) A list comparing the amount of proposed leveraged funds and/or resources (outlined in the original application) to the amount that was actually leveraged as of the date the application is submitted; and

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

HUD will also review an applicant's past performance in managing funds, including but not limited to the ability to account for funding appropriately; timely use of funds received from HUD; meeting performance targets for completion of activities; timely submission of required reports; and compliance with the program's required terms and conditions. In evaluating past performance, HUD reserves the right to deduct up to ten (10) points from this rating score as a result of the information obtained from HUD's records (i.e., progress and financial reports, monitoring reports, Program Outcome Logic Model submission, and amendments).

2. *Rating Factor 2: Need/Extent of the Problem (8 points).*

a. This factor addresses the extent to which there is a need for funding the proposed project and an indication of the importance of meeting the need(s). The need(s) described must be relevant to activities for which funds are being requested. In addressing this factor, applicants should provide, at a minimum, the following and cite statistics and/or analyses contained in at least one or more current, sound, and reliable data sources:

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

b. In rating this factor, HUD will consider only current data that is specific to the area where the proposed project activities will be carried out. Reliable sources of data may include information that describes the need, such as a need to have a building renovated because it is 50 years old and is deteriorating; a new computer lab has been built, but the computers are obsolete; a library has been expanded, but the books are outdated, local/tribal crime statistics, Indian Housing Plans, etc. Applicants must include the source and date of the information presented.

3. *Rating Factor 3: Soundness of Approach (49 points)*. This factor addresses the soundness, quality, and effectiveness of the proposed work plan and the commitment of the applicant to sustain the proposed project activity(s). Points are awarded under this factor for the quality of the activities proposed in relation to the need/problem identified in Factor 2, not for the number of activities proposed. In addition, if the activities proposed are not eligible, HUD reserves the right to deduct points under this factor for those activities and/or not fund an application if the majority of the activities are ineligible.

a. *(40 Points) Quality of Work Plan*. This subfactor will be evaluated on the extent to which an applicant provides a clear detailed description of the proposed project activities, the anticipated results (outcomes), and the impact they will have on the target population at the end of the grant performance period.

(1) *(35 points) Specific Activities*. The work plan must describe all proposed project activities and major tasks (steps to complete the proposed activities) required to successfully implement the proposed project. The work plan must also identify the anticipated measurable outcomes these activities will have on the targeted population. In addressing this subfactor, HUD will consider the following:

(a) Identify the method/planning strategy(s) used during the development of this application. Describe in detail how the proposed project/activities to be undertaken were identified.

(b) Describe each proposed project activity in measurable terms (e.g., 50 or more students will be receiving computer literacy training, the number of new classes that will be taught as a result of building a new structure);

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

(d) Identify the key team members/staff, as identified in Factor 1, who will be responsible and accountable for completing each task;

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

- Benefit low- and moderate-income persons;

- Aid in the prevention or elimination of slums or blight; or

- Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs.

Criteria for determining whether an activity addresses one or more objective are provided at 24 CFR 570.208; and

(f) Describe the measurable impact (outcomes) that implementing each activity will have or is expected to have on the target population by the end of the grant performance period (e.g., number of facilities built, number of classrooms equipped etc.).

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

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

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

b. *(2 points) Involvement of the Faculty and Students*. The applicant must describe in detail how it proposes to integrate the institution's students (this excludes students that are project recipients/participants) and faculty into the proposed project activities.

c. *(2 points) HUD Policy Priorities*. As described in the *General Section*, to earn points under this subfactor, HUD requires applicants to undertake specific activities that will assist the Department in implementing its policy priorities and that help the Department achieve its goals and objectives in FY 2009. In rating this subfactor, HUD will evaluate the extent to which a project will further and support HUD's priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority will be addressed. Applicants that just list a priority will receive no points. Please refer to the *General Section* for additional information about HUD's policy priorities.

The total number of points an applicant can receive under this subfactor is two (2). Each policy priority addressed has a point value of one (1) point with the exception of the policy

priority related to removal of regulatory barriers to affordable housing, which has a value of up to two (2) points. To receive these two (2) points, an applicant must: (1) Submit either Part A or Part B (not both) of the completed questionnaire HUD-27300 "HUD's Initiative on Removal of Regulatory Barriers," found in the *General Section*, (2) include appropriate documentation, (3) identify a point of contact, and (4) indicate how this priority will be addressed. It is up to the applicant to determine which of the policy priorities they will address in order to receive the available two (2) points.

d. *(5 Points) Budget and Budget Narrative*. HUD will assess the soundness of your approach by evaluating the quality, thoroughness, and rationality of the proposed project budget and narrative. The budget narrative must be broken down by line item. Administrative costs must be reflected under the appropriate line items (e.g., salaries, fringe, costs related to planning and executing the project, preparation/submission of HUD reports, etc.).

4. *Rating Factor 4: Leveraging Resources (6 points)*. This factor addresses the ability of the applicant to secure resources that can be combined with HUD's grant funds to achieve the project's purpose.

a. HUD will consider the extent to which the applicant secures additional resources to increase the effectiveness of the proposed program activities. Overhead and other institutional costs that the institution has waived can be counted.

Examples of potential sources for outside assistance include:

- Tribal, federal, state, and local governments;
- Federal, state, and local governments;
- Local or national nonprofit organizations;
- Financial institutions and/or private businesses;
- Foundations; and/or
- Faith-based and other community-based organizations.

b. To address this factor, an applicant must provide an outline in their application that includes the information listed below of all proposed leveraged resources (including any commitment of resources from the applicant's own institution). Applicants must have on file at the time of application submission the original commitment letters, memoranda of understanding, and/or agreements. Commitment letters, memoranda of understanding, and/or agreements must be dated prior to the application

deadline date; if they are dated after the application deadline date they will not be scored.

Each letter, memorandum of understanding, or agreement must include the following information below:

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

(2) The cash amount contributed or dollar value of the in-kind goods and/or services committed (if a dollar amount and its use are not shown, the value of the contribution will not be scored);

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

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

(5) The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. This is only applicable to the original written documentation.

c. Resources will also not be counted for which there is no commitment letter, memorandum of understanding, agreement, or quantified level of commitment, and/or when the letter, memorandum of understanding, or agreement does not address ALL of the requirements outlined above.

Commitment letters, memoranda of understanding and/or agreements are not required at the time of application submission but must be on file at the time of application submission. If commitment letters, memoranda of understanding, and/or agreements are included with the application at time of submission they will not be considered during the review process. However, applicants submitting paper applications must include all letters, memoranda of understanding, and/or agreements in the Appendix of the application. Applicants chosen to proceed to the next step in the selection process will be required to submit the signed and dated commitment letters, memoranda of understanding, and/or agreements outlined in the application within five (5) calendar days after initial contact from OUP. Letters, memoranda of understanding, and/or agreements must be submitted on the provider's letterhead and should be addressed to Sherone Ivey, Associate Deputy Assistant Secretary for University Partnerships. The date of the letter, memorandum of understanding, or agreement from the CEO of the provider organization must be dated no earlier than nine months prior to this

published NOFA and no later than the application deadline date. In addition, no points will be awarded for general support letters endorsing the project from organizations, including elected officials on the local, state, or national levels; therefore, please do not include them. OUP will provide specific instructions on how these documents must be submitted when contact is made with the applicant. HUD will only request and consider documents from the resources/organizations that are listed in the outline in the application. If OUP does not receive those documents with the required information within the allotted timeframe, an applicant will not receive points under this factor.

Note: Submission of a grant award notification from another entity/agency in place of a commitment letter, memorandum of understanding, and/or agreement does not meet the requirement of this factor and will not be accepted.

In scoring this factor, HUD will award:

(1) Six (6) points to an applicant that provides leveraging resources as listed in their application that represent 10 percent or more of the amount requested under this program;

(2) Five (5) points to an applicant that provides leveraging resources as listed in their application that represent 9 percent of the amount requested under this program;

(3) Four (4) points to an applicant that provides leveraging resources as listed in their application that represent 8 percent of the amount requested under this program;

(4) Three (3) points to an applicant that provides leveraging resources as listed in their application that represent 7 percent of the amount requested under this program;

(5) Two (2) points to an applicant that provides leveraging resources as listed in their application that represent 6 percent of the amount requested under this program; and

(6) One (1) point to an applicant that provides leveraging resources as listed in their application that represent 5 percent of the amount requested under this program.

(7) Zero (0) points to an applicant that provides leveraging resources as listed in their application that is less than 4 percent of the amount requested under this program.

5. Rating Factor 5: Achieving Results and Program Evaluation (12 points).

This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the applicant's commitment to assess their

performance to achieve the project's proposed objectives and goals. Applicants are required to develop an effective, quantifiable, outcome-oriented evaluation plan for measuring performance and determining that objectives and goals have been achieved by using the HUD-96010, "Program Outcome Logic Model." The Program Outcome Logic Model is a summary of the narrative statements presented in Factors 1 through 3. Therefore, the information submitted on the Logic Model should be consistent with the information contained in the narrative statements.

In evaluating this factor, HUD will assess the extent to which the applicant demonstrates how results of the project will be measured as outlined in the proposed work plan. To meet this factor requirement, applicants must submit a completed HUD-96010, "Program Outcome Logic Model." Applicants must select from the list of activities and outcomes to determine their specific methods and measures that will be used to assess progress and evaluate program effectiveness. If an item is not found on the list of activities or outcomes, applicants can select "other" and then insert the activity and/or outcome and unit of measurement. Applicants can use the "other" option for up to three activities and three outcomes. See the instructions tab in the Logic Model for further details. HUD will not accept activities or outcomes selected as "other" that do not contain an identified statement of the activities/outcomes or units of measurement. Utilizing this form will help grantees to ensure that performance measures are being met and they are establishing achievable realistic goals.

a. Program Outcome Logic Model instructions (using a Microsoft Excel™ form) are provided in the forms appended to the Instruction Download from http://www.grants.gov/applicants/apply_for_grants.jsp. Applicants that do not have access to Microsoft Excel™ should contact the NOFA Information Center at (800) HUD-8929. Individuals with hearing or speech impairments may access this number via the toll-free Federal Information Relay Service at (800) 877-8339 and/or The Center for Applied Management Practices at (717) 730-3705 (this is not a toll-free number).

A narrative response is not required for this factor as all applicants must use the logic model form to respond to this factor. However, if a narrative is included, these pages will be included in the page count. HUD has developed a new approach to completing this form. Applicants should also review the

Program Outcome Logic Model training, which can be found online at: <http://www.hud.gov/webcasts/index.cfm>.

b. HUD will review the outputs and outcomes in relation to the needs identified. "Outcomes" are benefits accruing to TCUs during or after participation in the TCU. Applicants must clearly identify the outcomes to be measured and achieved. Examples of outcomes include increased number of classroom spaces available, increased student enrollment and graduation rates, etc.

Applicants must also establish outputs that lead to the ultimate achievement of outcomes. "Outputs" are the direct products of the project's activities. Examples of outputs are the number of new facilities renovated or the number of new dormitories built. Outputs should produce outcomes for the project. At a minimum, an applicant must address the following activities in the evaluation plan:

(1) Short- and long-term objectives to be achieved; and

(2) Measurable outcomes the grant will have on the university or the target population.

Applicants must also reference policy priorities, as stated in response to Factor 3, and relate them to the project's goals, as appropriate.

HUD will evaluate the Program Outcome Logic Model in accordance with the matrix provided in Attachment 1 of the *General Section*.

B. Review and Selection Process

1. Application Selection Process

Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Rating Factors" listed in Section V A.

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

2. *Rating Panels*. To review and rate applications, HUD may establish panels that may include experts or consultants not currently employed by HUD to obtain certain expertise.

3. *Ranking*. HUD will fund applications in rank order, until all available program funds are awarded. In order to be considered for funding, an applicant must receive a minimum score of 75 points out of a possible 100 points for Factors 1–5; plus up to two bonus points that may be awarded for activities conducted in the RC/EZ/EC–II

communities, as described in the *General Section*. If two or more applications have the same number of points, the application with the most points for Factor 3 shall be selected. If there is still a tie, the application with the most points for Factor 4 shall be selected. If there is still a tie, the application with the most points for Factors 1, 2, and then 5 shall be selected in that order, until the tie is broken. HUD reserves the right to select out of rank order to provide for geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make an award to the next highest-ranking application. If funds remain after all selections have been made, the remaining funds will be carried over to the next funding cycle's competition.

HUD will not fund any portion of an application that is not eligible for funding under regulatory requirements; does not meet the requirements of the NOFA; or may be duplicative of other funded programs or activities/tasks from prior year awards. Only the eligible portions of an application will be funded. When the majority of the activities are ineligible, HUD will not fund the application.

4. *Corrections to Deficient Applications*. See the *General Section*.

C. *Anticipated Announcement and Award Dates*. Announcements of awards are anticipated on or before September 30, 2008.

VI. Award Administration Information

A. Award Notice

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

B. Administrative and National Policy Requirements

1. *Debriefing*. The *General Section* provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing to: Sherone Ivey, Office of University Partnerships, Department of Housing and Urban Development, 451 Seventh Street, SW., Room 8106; Washington, DC 20410–6000. Applicants may also write to Ms.

Ivey via e-mail at Sherone.Ivey@hud.gov.

2. *Administrative*. Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations), OMB Circular A–21 (Cost Principles for Educational Institutions) and OMB Circular A–133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at <http://www.whitehouse.gov/omb/circulars/index.html>.

3. *OMB Circulars and Governmentwide Regulations Applicable to Financial Assistance Programs*. See the *General Section* for further discussion.

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

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

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

7. *Executive Order 13166, Improving Access to Services For Persons With Limited English Proficiency (LEP)*. Successful applicants may not exclude participants or beneficiaries on the basis of race, color, or national origin under Title VI of the Civil Rights Act. To ensure that program information is accessible to persons with limited English proficiency on the basis of national origin, successful applicants may follow HUD's *Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons*, 72 FR 2732 (Jan. 22, 2007).

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

C. Reporting

1. All grant recipients under this NOFA are required to submit quarterly progress reports. The progress reports shall consist of three components: A narrative that must reflect the activities undertaken during the reporting period; a financial report that reflects costs incurred by budget line item, as well as a cumulative summary report during the reporting period; and a HUD–96010, Program Outcome Logic Model form, which identifies output and outcomes achieved.

2. Applicants selected for funding should also be aware that they will be

required to report sub-award information within 30 days of making a sub-award in an amount of \$25,000 or greater as required by the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109–282). The Federal Funding Accountability and Transparency Act of 2006 calls for the establishment of a central Web site that makes available to the public full disclosure of all entities receiving federal funds. Applicants should be aware that the law requires the information provided on the federal Web site to include the following elements related to all sub-award transactions \$25,000 or greater.

- (a) The name of the entity receiving the award;
- (b) The amount of the award;
- (c) Information on the award, including the transaction type, funding agency, the North American Industry Classification System code or Catalog of Federal Domestic Assistance number (where applicable), program source, and an award title descriptive of the purpose of each funding action;
- (d) The location of the entity receiving the award and primary location of performance under the award, including the city, state, congressional district, and country;
- (e) A unique identifier (DUNS number) of the entity receiving award and of the parent entity of the recipient

(DUNS number of the parent entity) should the entity be owned by another entity;

- (f) Federal parent award number and sub-award grant number;
- (g) The tier level the sub-award was made at; and
- (h) Any other relevant information specified by OMB.

There are exceptions for sub-awards less than \$25,000 made to individuals or to an entity whose annual expenditures are less than \$300,000.

Applicants should also be aware that the sub-award provision carries to all tiers (e.g., a direct award is made by HUD to an organization that in turn makes an award to another organization that then makes another award and so on). Collection of the tier level at which the award is made as well as federal parent award number can help in tracing the sub-award data as it tiers down several levels. Sub-award reporting requirements to meet the Federal Funding Accountability and Transparency Act of 2006 requirements will be finalized through a future **Federal Register** notice.

VII. Agency Contacts

Applicants may contact Sherone Ivey at (202) 402–4200, or Susan Brunson at (202) 402–3852. Persons with speech or hearing impairments may call the Federal Information Relay Service TTY

at (800) 877–8339. Except for the “800” number, these numbers are not toll-free. Applicants may also reach Ms. Ivey via e-mail at Sherone.Ivey@hud.gov, and/or Ms. Brunson at Susan.S.Brunson@hud.gov.

VIII. Other Information: Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520) and assigned OMB control number 2528–0215. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 68 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.