

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4056-N-01]

Office of the Assistant Secretary for Policy Development and Research, NOFA for Community Outreach Partnership Centers (COPC)

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

ACTION: Notice of Funding Availability (NOFA) for Fiscal Year 1996.

SUMMARY: This NOFA announces the availability of approximately \$7.4 million to implement the third year of a demonstration program to make grants to public and private nonprofit institutions of higher education to assist in establishing or carrying out research and outreach activities addressing the problems of urban areas. These funds shall be used to establish and operate Community Outreach Partnership Centers (COPC).

The NOFA contains information concerning:

(1) The principal objectives of the competition, the funding available, eligible applicants and activities and factors for award;

(2) The application process, including how to apply and how selections will be made; and

(3) A checklist of application submission requirements.

DATES: Application kits may be requested on or after May 21, 1996.

Applications must be physically received by the Office of University Partnerships, in care of the Division of Budget, Contracts, and Program Control, in Room 8230 by 4:30 p.m. Eastern Daylight Savings Time on July 25, 1996. The above-stated application deadline is *firm as to date, hour and place*. In the interest of fairness to all competing applicants, the Department will treat as *ineligible for consideration* any application that is received after the deadline. Applicants should take this practice into account and make early submission of their materials to avoid any risk of loss of eligibility brought about by unanticipated delays or other delivery-related problems. Applicants hand-delivering applications are advised that considerable delays may occur in attempting to enter the building because of security procedures.

ADDRESSES: To obtain a copy of the application kit, contact: HUD USER, ATTN: COPC, P.O. Box 6091, Rockville, Maryland 20850. Requests for application kits must be in writing, but requests may be faxed to: 301-251-5747

(this is not a toll-free number). Requests for application kits must include the applicant's name, mailing address (including zip code), telephone number (including area code) and must refer to "Document FR-4056." The application kit is also available on the Internet from the Office of University Partnerships Clearinghouse. The Clearinghouse can be accessed from the World Wide Web at: <http://oup.aspensys.com:89>; or from a Gopher Server at: <gopher://oup.aspensys.com:77>.

FOR FURTHER INFORMATION CONTACT: Jane Karadbil, Office of University Partnerships in the Office of Policy Development and Research, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room 8110 Washington, DC 20410, telephone (202) 708-1537. Hearing or speech-impaired individuals may call HUD's TTY number (202) 708-0770, or 1-800-877-8399 (Federal Information Relay service TTY). Other than the "800" number, these are not toll-free numbers. Ms. Karadbil can also be contacted via the Internet at Jane_R_Karadbil@hud.gov.

SUPPLEMENTARY INFORMATION:

Paperwork Reduction Act Statement

The information collection requirements contained in this notice have been submitted to the Office of Management and Budget (OMB) for review under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number. The OMB control number, when assigned, will be announced by a separate notice in the Federal Register.

I. Purpose and Substantive Description

A. Authority

This competition is authorized under the Community Outreach Partnership Act of 1992 (42 U.S.C. 5307 note; hereafter referred to as the "COPC Act"). The COPC Act is contained in section 851 of the Housing and Community Development Act of 1992 (P.L. 102-550, approved October 28, 1992) (HCD Act of 1992). Section 801(c) of the HCD Act of 1992 authorizes \$7.5 million for each year of the 5-year demonstration to create Community Outreach Partnership Centers as authorized in the COPC Act. The COPC Act also required HUD to establish a national clearinghouse to disseminate information resulting from research and outreach conducted at the centers.

COPC is administered by the Office of University Partnerships (OUP) in the Office of Policy Development and

Research. OUP is responsible for four of the Department's grant programs for institutions of higher education—Community Outreach Partnership Centers program, Joint Community Development program, Community Development Work Study program, and the Doctoral Dissertation Grant program. In addition, OUP is responsible for a variety of new outreach initiatives to involve these institutions in local community development, public housing, and revitalization partnerships.

B. Allocation and Form of Award

The competition in this NOFA is for \$7.4 million to fund the third year of the COPC program authorized as indicated above.

HUD has decided that it is important to ensure the institutionalization of the work of the current COPC grantees as an integral part of the teaching, service, and research missions of their colleges and universities as well as to fund new grantees. Institutionalization was not an emphasis of the program in the last two funding rounds and current COPC grantees did not necessarily focus their programs on it. HUD has decided to set aside part of the FY 1996 allocation to promote institutionalization among current grantees. Therefore, there will be two separate competitions within this year's funding. To institutionalize their COPC functions, \$1.1 million will be set-aside for a competition among the grantees awarded two-year grants in FY 1994. The remaining \$6.3 million will be used to fund new COPC grantees. FY 1994 grantees are only eligible for Institutionalization Grants, not for New Grants. (FY 1995 COPC grantees are not eligible for either kind of grant.) If any funds set-aside for Institutionalization Grants are not awarded, they will be used instead as part of the funding for New Grantees. (Program requirements for Institutionalization Grants are the same as for New Grants, except as noted in Section V. below.) It is estimated that approximately 15 COPC awards to new grantees can be made with the \$6.3 million available.

This year, each New Grant made under the COPC program will be for a maximum three-year period of performance. The grants in previous funding rounds were for two years. However, HUD has decided that a longer grant period is needed to institutionalize local programs and has extended the grant period for one year. The maximum size of any New Grant will be \$400,000, while the minimum will be \$250,000. Applicants must submit an application within this range or they will be disqualified.

C. Description of Competition

The Congress has mandated that the Department carry out "a 5-year demonstration to determine the feasibility of facilitating partnerships between institutions of higher education and communities to solve urban problems through research, outreach and the exchange of information."

The COPC Act stipulates that grants are to go to public and private institutions of higher education to establish and operate COPCs. These COPCs shall: "(A) Conduct competent and qualified research and investigation on theoretical or practical problems in large and small cities; and (B) Facilitate partnerships and outreach activities between institutions of higher education, local communities, and local governments to address urban problems."

Grants under the COPC program must focus on the following specific problems: "problems associated with housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning, community organizing, and other areas deemed appropriate by the Secretary."

Furthermore, the COPC Act states: "The Secretary shall give preference to institutions of higher education that undertake research and outreach activities by bringing together knowledge and expertise in the various social science and technical disciplines that relate to urban problems."

COPC programs must combine research with outreach, work with communities and local governments and address the multi-dimensional problems that beset urban areas. Single purpose applications are not eligible. Applications must be multifaceted and address three or more urban problems, as described in selection factor #1. The scope of applications for Institutionalization Grants is covered elsewhere below.

To be most effective during the term of the demonstration, the funded research must have a clear near-term potential for solving specific, significant urban problems. The selected institutions must have the capacity to apply their research results and to work with communities and local institutions, including neighborhood groups, in applying these results to specific real-life urban problems.

The five key concepts of the COPC program are: (1) the program should provide outreach, technical assistance, applied research, and empowerment to neighborhoods and neighborhood-based organizations based on what the

residents decide is needed, not based on what the institution thinks is appropriate for that neighborhood; (2) community-based organizations should be partners with the institutions throughout the life of the project, from planning to implementation; (3) the applied research should be related to the outreach activities and be usable in these activities within the grant period or shortly after it ends, rather than research without practical application; (4) the assistance to neighborhoods should be provided primarily by the faculty, students, or to a limited extent, by neighborhood residents or community-based organizations funded by the university; and (5) the program should be part of the institution's broader effort to meet its urban mission, and be supported by senior officials, rather than just the work of a few faculty members. Proposed activities should not duplicate those of other entities in the community and should be appropriate for an institution of higher education to undertake in light of its teaching, research, and service missions.

D. Eligible Applicants

Applicants for this competition must be public or private nonprofit institutions of higher education granting two- or four-year degrees and accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. Applicants must submit proposals that address the problems of urban areas.

Different campuses of the same university system are eligible to apply, even if one campus has already received COPC funding. Such campuses are eligible as separate applicants only if they have administrative and budgeting structures independent of other campuses in the system.

In previous funding rounds, the Department decided that community colleges would not be separately eligible but would have to apply as part of a consortium with eligible institutions. The Department now believes that many community colleges not only can implement the kind of comprehensive projects funded under COPC, but also have a growing capacity to conduct applied research. For these reasons, the Department has changed its earlier position and will allow community colleges to apply on their own. However, consortia of institutions are still eligible to apply. The selection criterion on consortia has been deleted because its primary purpose was to encourage community colleges to apply. That selection criterion created a specific definition of a consortium. As long as the consortium is composed of

eligible applicants, its specific composition is now left to the applicant. If the application is submitted on behalf of a consortium of institutions, one institution must be designated as the legal applicant. Each institution may be part of only one consortium or submit only one application. Several institutions were disqualified last year because they were part of more than one application. HUD will hold an institution responsible for ensuring that neither it nor any part of the institution, including specific faculty, participates in more than one application.

Universities awarded Joint Community Development (JCD) grants will not be eligible to apply for New Grants, nor are FY 1994 or FY 1995 COPC grantees.

E. Program Requirements

Grantees must meet the following program requirements:

1. *Responsibilities.* In accordance with section 851(h) of the HCD Act of 1992, each COPC shall:

"(a) Employ the research and outreach resources of its sponsoring institution of higher education to solve specific urban problems identified by communities served by the Center;

(b) Establish outreach activities in areas identified in the grant application as the communities to be served;

(c) Establish a community advisory committee comprised of representatives of local institutions and residents of the communities to be served to assist in identifying local needs and advise on the development and implementation of strategies to address those issues;

(d) Coordinate outreach activities in communities to be served by the Center;

(e) Facilitate public service projects in the communities served by the Center;

(f) Act as a clearinghouse for dissemination of information;

(g) Develop instructional programs, convene conferences, and provide training for local community leaders, when appropriate; and

(h) Exchange information with other Centers."

The clearinghouse function in (f) above refers to a local or regional clearinghouse for dissemination of information and is separate and distinct from the functions in (h) above, which relate to the provision of information to the National Clearinghouse.

2. *Match.* Grantees must meet the following match requirements:

(a) *Research Activities.* 50 percent of the total project costs of establishing and operating research activities.

(b) *Outreach Activities.* 25 percent of the total project costs of establishing and operating outreach activities.

This non-Federal share may include cash or the value of non-cash contributions, equipment and other allowable in-kind contributions as detailed in Attachment E of OMB Circular No. A-110, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit organizations.

In order to avoid confusion about the calculation of the match, an example is provided.

Assume that the total project cost for a COPC was \$500,000, with \$125,000 for research and \$375,000 for outreach. Note that this project meets the requirement that no more than 25 percent of the total project costs be for research. The total amount of the required match would be \$156,250. The research match would be \$62,500 (\$125,000 X 50 percent) and the outreach match would be \$93,750 (\$375,000 X 25 percent). The Federal grant requested would be \$343,750 (\$500,000 minus the match of \$156,250). In calculating the match, administrative costs should be applied to the appropriate attributable outreach or research component.

3. *Administrative.* The grant will be governed by the provision of OMB Circulars A-110 (Grants and Agreements with Institutions of Higher Education, Hospitals and other Nonprofit Organizations), A-122 (Cost Principles for Nonprofit Organizations), and A-133 (Audits of Institutions of Higher Education and other Nonprofit Institutions), as implemented at 24 CFR part 45. No more than 20% of the Federal grant funds may be used for planning and program administrative costs. Overhead costs directly related to carrying out activities under research and outreach need not be considered planning and program administrative costs, since those costs are eligible under that section. Moreover, the 20% limitation imposed under this program applies only to Federal funds received through this grant, not to matching funds.

F. Eligible Activities

Eligible activities include:

1. Research activities which have practical application for solving specific problems in designated communities and neighborhoods, including evaluation of the effectiveness of the outreach activities. Such activities may not total more than one-quarter of the total project costs contained in any grant made under this NOFA (including the required 50 percent match).

2. Outreach, technical assistance and information exchange activities which are designed to address specific

problems in designated communities and neighborhoods. Such activities must total no less than three-quarters of the total project costs contained in any grant made under this NOFA (including the required 25 percent match).

Examples of outreach activities include, but are not limited to:

(a) Job training and other training projects, such as workshops, seminars and one-on-one and on-the-job training;

(b) Design of community strategies to resolve urban problems of communities and neighborhoods;

(c) Innovative use of funds to provide direct technical expertise and assistance to local community groups and residents to assist them resolve local problems such as homelessness, housing discrimination, and impediments to fair housing choice;

(d) Assistance in business start-up activities for low-and moderate-income individuals and organizations, including business start-up training and technical expertise and assistance, mentor programs, assistance in developing small loan funds, business incubators, etc;

(e) Work with local public housing authorities, welfare-to-work initiatives, and physical transformations of public or assisted housing;

(f) Assistance to communities to improve consolidated housing and community development plans and remove impediments to design and implementation of such plans; and

(g) Assistance to communities to improve the fair housing planning process.

3. Funds for faculty development including paying for course time or summer support to enable faculty members to work on the COPC.

4. Funds for stipends for students (which cannot cover tuition and fees) when they are working on the COPC.

5. Activities to carry out the "Responsibilities" listed under Section I.E.1.

G. Ineligible Activities

Ineligible activities are:

1. Research activities which have no clear and immediate practical application for solving urban problems or do not address specific problems in designated communities and neighborhoods.

2. Any type of construction, rehabilitation, or other physical development costs.

3. Costs used for routine operations and day-to-day administration of regular programs of institutions of higher education, local governments or neighborhood groups.

II. Rating Factors/Selection Process for New Grantees

A. Rating Factors

HUD will use the following criteria to rate and rank applications for New Grants received in response to this NOFA. Selection factors for Institutionalization Grants are described below in Section V.

The Department has made several changes to the selection criteria, as described below. The factors and maximum points for each factor are provided below. The maximum number of points is 100.

Rating of the "applicant" or the "applicant's organization and staff", unless otherwise specified, will include any sub-contractors, consultants and sub-recipients which are firmly committed to the project.

(1) (5 points) The demonstrated research and outreach resources available to the applicant for carrying out the purposes of the COPC Act. In rating this factor, HUD will consider the extent to which the applicant's organization and staff have recent, relevant and successful experience in:

(a) Undertaking research activities in specific communities which have clear near-term potential for practical application to significant urban problems associated with affordable housing, fair housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning and community organizing, and

(b) Undertaking outreach activities in specific communities to solve or ameliorate significant urban problems. Under this factor, HUD will also evaluate the capability of the applicant to provide leadership in solving community problems and in making national contributions to solving long-term and immediate urban problems. In the FY 1994 competition, research and outreach resources and local and national prominence were three separate selection factors.

(2) (5 points) The demonstrated commitment of the applicant to supporting research and outreach programs by providing matching contributions for the Federal assistance received. In rating this factor, HUD will provide an increasing number of points for increasing amounts of contributions beyond the statutory 50 percent for research and 25 percent for outreach. Maximum points will be awarded for applications that secure 50 percent more than the amount of match required. Points for this factor have been reduced, with the additional points being added

to Factor 7 on institutionalization. The latter factor is being increased because the test of the institution's commitment is not only how much in-kind contribution it is willing to make, but also the many other ways it chooses to institutionalize community partnerships.

(3) (10 points) The extent of need in the communities to be served by the applicant. The applicant must demonstrate that it is serving areas with substantial low-income populations, low standards of living, and large numbers of empty or abandoned dwellings. HUD will consider the extent to which the proposal clearly delineates a need or needs in the specific communities or neighborhoods, that can be resolved through the activities of a COPC. The applicant must demonstrate how these needs were determined and how the COPC will help resolve these needs. The applicant should demonstrate a strong familiarity (based on sufficient investigation) with the existing and planned efforts of government agencies, community-based organizations, faith-based institutions, for-profit firms and any other entities to address such needs in the communities to be served, and should demonstrate that the applicant can cost-effectively complement any such efforts to attain measurable impacts.

(4) (10 points) The demonstrated ability of the applicant to disseminate results of research and successful strategies developed through outreach activities to other COPCs and communities served through this demonstration program. In rating this factor, HUD will evaluate the past experience of the applicant's staff and the scope and the quality of the applicant's proposal to disseminate information on COPC research results and strategies to: (a) local communities in its area and (b) other communities and COPCs through the OUP Clearinghouse.

(5) (35 points) The projects and activities that the applicant proposes to carry out under the grant. This factor has three sub-factors: (a) effectiveness of the research strategy (10 points); (b) effectiveness of the outreach strategy (15 points); and (c) work on specific HUD priority activities (10 points).

(a) In rating the effectiveness of the research strategy, HUD will consider:

(i) The extent to which the applicant's proposal outlines a clear research agenda, based on a thorough familiarity with existing research on the subject, that can be successfully carried out within the grant period. (The applicant should demonstrate that the proposed research builds on existing research in

the field and does not duplicate research previously completed, or currently underway, by others.); and

(ii) The extent to which the applicant demonstrates how the research to be undertaken will fit into the outreach strategy and activities. Although the proposed outreach activities should be supported by a reasonably strong *existing* knowledge base, an application is strengthened to the extent that the proposed research will further inform—and be strengthened by knowledge gained through—the outreach activities.

(b) In rating the effectiveness of the outreach strategy factor, HUD will consider the extent to which:

(i) The application identifies a clear outreach agenda related to locally-identified needs that can be successfully carried out within the period of this grant;

(ii) The outreach agenda includes design or strengthening and implementation of a community strategy to resolve community and neighborhood problems. Applicants will be expected to have involved the community in designing the strategy and to identify an agenda that they have already worked with the community to design;

(iii) There is a plan for involving the university in the execution of the outreach strategy; and

(iv) The outreach program provides for on-site or a frequent presence in the communities and neighborhoods to be assisted through outreach activities.

(c) If all of the applicant's work is to be in an Empowerment Zone or Enterprise Community, five (5) points will be awarded. If some of an applicant's work is related to public housing transformation, distressed assisting housing, or Campus of Learners/Neighborhood Networks, five (5) points will be awarded.

(6) (10 points) The extent of neighborhood and neighborhood based organization participation in the planning and implementation of the COPC. In rating this factor, HUD will consider whether:

(a) One or more effective community advisory committees comprised of representatives of local institutions and a balance of the race, ethnic, disability status, gender and income of residents of the communities to be served has been or will be formed to participate in identifying local needs to be addressed by the COPC and to form a partnership with the COPC to develop and implement strategies to address those needs. Applicants will be expected to demonstrate that they have already formed such a committee(s) or secured the commitment of the appropriate persons to serve on the committee(s),

rather than just describing generally the types of persons whose involvement they will seek.

(b) There is a plan for involving the community advisory committee(s) in the execution of the research and outreach agenda; and

(c) The outreach agenda includes training projects for local community leaders, when appropriate.

(7) (25 points) The extent to which the proposed COPC will result in the institutionalization of the COPC function and activities as part of the urban mission of the institution. In reviewing this factor, HUD will consider the extent to which the COPC activities are part of, and will enhance, a broader set of existing or planned activities and a climate that rewards faculty and student work on these activities, and the extent to which these activities are supported at the highest levels of institutional leadership. This factor has been substituted for the factor on the interrelatedness of the project's components because HUD believes that only through institutionalization of these activities will institutions be able to truly meet their urban mission. The points related to the eliminated consortium factor have been merged into this factor, to underscore its importance to HUD.

B. Selection Process for New Grantees

Applications for funding under this NOFA will be evaluated competitively and points will be awarded as specified in the Rating Factors section described above. After assigning points based upon the factors all applications will be listed in rank order. Applications will then be funded in rank order until all available funds have been expended. However, in order to be funded, an applicant must receive a minimum score of 70. HUD reserves the right to fund all or portions of the proposed activities identified in each application, based upon the eligibility of the proposed activities.

If two or more applications have the same number of points, the application with the most points for rating factor (7) shall be selected. If there is still a tie, the application with the most points for rating factor (6) shall be selected.

If the amount remaining after funding as many of the highest ranking applications as possible is insufficient for the next highest ranking application, HUD shall determine (based upon the proposed activities) if it is feasible to fund part of the application and offer a smaller grant to the applicant. If HUD determines that given the proposed activities a smaller grant amount would render the activities infeasible, or if the

applicant turns down the reduced grant amount, HUD shall make the same determination for the next highest ranking application until all applications with scores of at least 70 points or available funds have been exhausted.

C. Geographic Distribution

HUD reserves the right to make selections out of rank order to provide for a geographic distribution of funded COPCs. The approach HUD will use, if it decides to implement this option, will be based on combining two adjacent standard HUD regions (e.g., Southwest and Southeast Regions, Great Plains and Midwest Regions, etc.) If the rank order does not yield at least one fundable COPC within each combined region, then HUD may select the highest ranking application from such a combination, as long as the minimum score of 70 is achieved.

It is HUD's intent to fund at least one eligible applicant (see Section I.D.) that serves the colonias, as defined by Section 916(d) of the Cranston-Gonzalez National Affordable Housing Act, as long as the applicant receives a minimum score of 70.

III. Application Process

A. Obtaining Applications

To obtain a copy of the application kit, contact: HUD USER, ATTN: COPC, P.O. Box 6091, Rockville, Maryland 20850. Requests for application kits must be in writing, but requests may be faxed to: 301-251-5747 (this is not a toll-free number). Requests for application kits must include the applicant's name, mailing address (including zip code), telephone number (including area code) and must refer to "Document FR-4056." HUD strongly recommends the use of the fax transmission option to promote accuracy and expedite HUD response time. The application kit is also available on the Internet from the Office of University Partnerships Clearinghouse. The Clearinghouse can be accessed from the World Wide Web at: <http://oup.aspensys.com:89>; or from a Gopher Server at: <gopher://oup.aspensys.com:77>.

B. Application Deadline

To be considered for funding, the application package must be physically received by the Office of University Partnerships, Office of Policy Development and Research, Department of Housing and Urban Development, in care of the Division of Budget, Contracts, and Program Control, Room 8230, 451 Seventh Street, SW.,

Washington, DC 20410 by 4:30 p.m. Eastern Daylight Savings Time on July 25, 1996. The application deadline is firm as to date, hour and place. In the interest of fairness to all competing applicants, the Department will treat as ineligible for consideration any application that is received after the deadline. Applicants should take this practice into account and make early submission of their materials to avoid any risk of loss of eligibility brought about by unanticipated delays or other delivery-related problems. Applicants hand-delivering applications are advised that considerable delays may occur in attempting to enter the building because of security procedures.

IV. Checklist of Application Submission Requirements

A. Application Content

The application kit contains instructions which must be followed in submitting an application. The following is a checklist of the application contents that will be specified in the Request for Grant Applications (the technical term for the application kit).

- (1) Transmittal letter signed by the Chief Executive Officer of the institution;
- (2) OMB Standard Forms 424 (Application for Federal Assistance), Form 424B (Non-Construction Assurances) and Budget;
- (3) One- to two-page executive summary of the proposed COPC;
- (4) Narrative Project Management Work Plan;
- (5) Narrative statement addressing each of the rating factors in Section II of this NOFA;
- (6) Certifications and Exhibits—Applications must also include the following:
 - (a) Drug-Free Workplace Certification.
 - (b) Form SF-LLL, Disclosure of Lobbying Activities, if applicable.
 - (7) Financial management and audit information.

V. Program and Application Requirements for Institutionalization Grants

(a) General Requirements. All requirements of Parts I, III and IV of this NOFA apply also to this part unless otherwise herein noted. The maximum size of any Institutionalization Grant will be \$100,000, and grant requests shall not exceed this amount. The term of the grant will be for one year. If the grantee proposes entirely new activities, it may conduct activities under both grants, until funds from both are fully expended. If the applicant proposes

continuation of current activities, it must expend all the funds under the current grant before expending any new funds under an Institutionalization Grant. Current grantees may request a no-cost extension from HUD if necessary to finish expending all their FY 1994 grant funds.

(b) Eligible Applicants. Only institutions awarded COPC grants in FY 1994 are eligible for Institutionalization Grants. These grantees are not eligible for New Grants. Institutionalization Grants to current grantees will be for a one-year period. Universities that received Joint Community Development Grants (JCD) are not eligible to compete for Institutionalization Grants because they have already demonstrated, through winning a JCD Grant, that they have institutionalized COPC-type activities. Current COPC grantees that received grants as consortia must apply again as consortia, with all current member institutions participating in the proposed Institutionalization Grant, and with the same lead applicant as in their current COPC.

(c) Eligible Activities. Instead of proposing a range of activities to be undertaken, applicants should propose activities that will bring their COPC projects to a successful conclusion or could result in securing continuation funding from other sources.

(d) Rating Factors/Selection Process

(i) Rating Factors. The selection factors contained in Section II.A. have been modified. Applicants will be required to meet three selection factors (which are simply consolidations of the factors used for new grantees), summarized as "Past Performance," "Proposed Activities," and "Potential for Institutionalization." Each factor and the maximum points assigned to it are described below:

((a)) (30 points) The demonstrated past performance of the applicant, as measured by: the research and outreach resources made available to the applicant under the current COPC grant; the ability of the applicant to provide local leadership and disseminate results of the grant; and the effectiveness of the activities undertaken in the grant.

((b)) (30 points) The effectiveness of the proposed research and outreach activities, as measured by: need for the activities; involvement of the community in these activities; demonstrated commitment of the application by providing a matching contribution; and likelihood that these activities can be successfully carried out within the grant period.

((c)) (40 points) The potential of the proposed outreach strategy to ensure institutionalization of the COPC

functions at the college or university, as measured by the extent to which the proposed COPC functions will become an integral part of the teaching, research and urban service mission of the institution and the extent to which the COPC activities are supported by the highest levels of institutional leadership. In reviewing this factor, HUD will consider the extent to which the COPC activities are part of and will enhance a broader set of existing or planned activities and will foster a culture that rewards faculty and student work on these activities.

(ii) Selection Process. An applicant must receive a score of at least 70 points in order to be funded. Applications will be rated but not ranked. There is sufficient funding for all eligible applications. Applications requesting over \$100,000 will be ineligible.

VI. Corrections to Deficient Applications

After the submission deadline date, HUD will screen each application to determine whether it is complete. If an application lacks certain technical items or contains a technical error, such as an incorrect signatory, HUD will notify the applicant in writing that it has 14 calendar days from the date of HUD's written notification to cure the technical deficiency. If the applicant fails to submit the missing material within the 14-day cure period, HUD may disqualify the application.

This 14-day cure period applies only to non-substantive deficiencies or errors. Any deficiency capable of cure will involve only items not necessary for HUD to assess the merits of an application against the factors specified in this NOFA.

VI. Other Matters

Environmental Review

In accordance with 40 CFR 1508.4 of the regulations of the Council on Environmental Quality and 24 CFR 50.20(b) of the HUD regulations, the policies and procedures in this document relate only to the provision of research, training and technical assistance which do not result in physical change and therefore are categorically excluded from the requirements of the National Environmental Policy Act.

Federalism Impact

The General Counsel, as the Designated Official under section 6(a) of Executive Order 12612, Federalism, has determined that the policies and procedures contained in this notice will not have substantial direct effects on States or their political subdivisions, or the relationship between the federal government and the States, or on the distribution of power and responsibilities among the various levels of government. As a result, the notice is not subject to review under the Order. Specifically, the notice solicits participation in an effort to provide assistance to institutions of higher education for establishing and carrying out research and outreach activities addressing the problems of urban areas. The COPCs established under this notice will work with local communities to help resolve urban problems. The notice does not impinge upon the relationships between the Federal government and State or local governments.

Impact on the Family

The General Counsel, as the Designated Official under Executive Order 12606, *The Family*, has determined that this notice will likely have a beneficial impact on family formation, maintenance, and general well-being. The assistance to be provided by the funding under this NOFA is expected to help local residents to become self-sufficient by improving living conditions and standards. Accordingly, since the impact on the family is beneficial, no further review is considered necessary.

Documentation and Public Access Requirements: HUD Reform Act

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

Register notice of all recipients of HUD assistance awarded on a competitive basis. (See 24 CFR 12.14(a) and 12.16(b), and the notice published in the Federal Register on January 16, 1992 (57 FR 1942), for further information on these requirements.)

Prohibition Against Advance Information on Funding Decisions

HUD's regulation implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989, codified as 24 CFR part 4, applies to the funding competition announced today. The requirements of the rule continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by part 4 from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Office of Ethics (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, such as whether particular subject matter can be discussed with persons outside HUD, the employee should contact the appropriate Field Office Counsel, or Headquarters counsel for the program to which the question pertains.

Protection of Human Subjects

45 CFR part 46, Subtitle A on the protection of human subjects does not apply to the COPC program because the research activities to be conducted under the program are only incidentally regulated by the Department solely as part of its broader responsibility to regulate certain types of activities whether research or non-research in nature.

Authority: 42 U.S.C. 5307 note.

Dated: May 8, 1996.

Michael A. Stegman,
Assistant Secretary for Policy Development
and Research.

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