
FY 2003 FHIP SuperNOFA FORMS

Sponsored by the

U.S. Department of Housing and Urban Development
Mel Martinez, Secretary

Office of Fair Housing and Equal Opportunity

Fair Housing Initiatives Program
OMB Approval NO. 2529-0033 (exp.08/31/2003)

The information collection requirements contained in this notice of funding availability will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the **Fair Housing Initiatives Program** is based on the rating factors for this program listed in the SuperNOFA for Housing and Community Development Programs.

Public reporting burden for the collection of information for the Fair Housing Initiatives Program is estimated to average 100 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

The information submitted in response to the notice of funding availability for the Housing Counseling Program and the Fair Housing Initiatives Program is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub. L. 101-235 Dec. 15, 1989, 42 U.S.C. 3545)

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

SuperNOFA 2003 Checklist for Completeness of Application

The use of this checklist is optional. However, it can be used to assist applicants in ensuring that all required documents are included in their application submission.

- Copy of HUD-424 (Place a copy of the HUD-424 on top of application package. See **General Section** for procedures on Consolidated Applications.
- Transmittal Letter
- Checklist for Completion of Applications
- Project Abstract Outlining Project Activities
- Factor No. 1 Narrative
- Factor No. 1 Attachments: Statement of Eligibility, Tester Experience, Letter of Determination from IRS on 501(c)(3), if applicable.
- Factor No. 2 Narrative
- Factor No. 3 Narrative
- Factor No. 3 Attachments: Statement of Work, Budget Form, Budget Narrative
- Factor No. 4 Narrative
- Factor No. 4 Attachments: Letter(s) of Firm Commitment
- Factor No. 5 Narrative
- Responses to Additional Requirements for Specific Initiative/Project

Application Forms and Certifications

- HUD-424 Application for Federal Assistance (General Section)*
- HUD-424B Applicant Assurances and Certifications (General Section)*
- HUD 424C Budget Summary for Competitive Grant Programs (General Section)*
- HUD-424CB Grant Application Detailed Budget (General Section) *
- HUD-424CBW Grant Application Detailed Budget Worksheet(General Section)*
- HUD-2880 (Applicant Recipient Disclosure Update Report (General Section)*
- OMB SF-LLL Disclosure of Lobbying Activities (General Section)*
- FHIP40076F All Current or Pending Grants/ Contracts/Other Financial Agreements
- HUD 2990 Certification of Consistency with the RC/EZ/EC Strategic Plan (General Section)*
- HUD 2991 Certification of Consistency with the Consolidated Plan (General Section)*
- HUD 2993 Acknowledgment of Application Receipt (General Section)*
- HUD-2994 Client Comments and Suggestions (General Section)*

***Forms that reflect an asterisk are in the General Section of the NOFA. This Checklist reflects all forms that must be included in your application submission.**

**STATEMENT OF ELIGIBILITY
PRIVATE ENFORCEMENT INITIATIVE**

The Statement of Eligibility form must be completed and signed by the authorizing representative. If the form is not complete, including signatures and answers to all questions, your application will be deemed ineligible.

1) Is your organization a private, tax-exempt, nonprofit, charitable organization?

YES

NO

If yes, please attach a copy of the “Letter of Determination” from the Internal Revenue Service confirming your status as a 501(c)(3) tax-exempt organization.

2) Are you a Qualified Fair Housing Enforcement Organization (QFHO) with at least two year’s experience in complaint intake, complaint investigation, testing for fair housing violations, and meritorious claims? Or a Fair Housing Enforcement Organization (FHO) with at least one year’s experience in complaint intake, complaint investigation, testing for fair housing violations, and meritorious claims. If you check “no”, you are not eligible under this initiative. If you check “yes”, you must answer the remaining questions.

YES

NO

Please check whether you are a QFHO or a FHO as noted.

QFHO (entity with at least 2 years of enforcement-related experience)

FHO (entity with at least 1 year of enforcement-related experience)

3) Is your project broad-based and full service as defined in the NOFA? If you check “no”, your organization is not eligible to apply under this initiative. If you check “yes”, you must answer the remaining questions.

YES

NO

- 4) Briefly describe your experiences in each of the following fair housing enforcement activities. Your organization must have engaged in each of these activities for at least one year in the two years preceding the filing of this application. It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for at least one year within the past two years. (Do not limit this description to FHIP funded enforcement activities.)

When responding to the following, include dates, so that HUD can readily determine whether you have met the “at least one year” requirement.

- a) Provide data on the following information: (See attached sample)
1. Number of complaints received and processed;
 2. Complaint Status (e.g., investigation, legal, pending complaints);
 3. Summary of complaint outcomes including judicial; and, administrative findings, total amount of awards, and relief to complainants without monetary compensation.
- b) Describe your testing program, number of tests, types of tests (rental, sales, lending, insurance) and testing results. Include basis (e.g. race, color, religion, sex, disability, familial status, and national origin) and indicate whether testing is complaint based or systemic.
- c) Describe intake and investigative procedures apart from testing. Include agency’s investigative experience.
- 5) Has your organization used FHIP funds for the payment of expenses in connection with litigation against the United States?

YES

NO

Signature of Authorized Representative

Date

**STATEMENT OF ELIGIBILITY
EDUCATION AND OUTREACH INITIATIVE
NATIONAL, REGIONAL/LOCAL/COMMUNITY-BASED PROGRAMS**

The Statement of Eligibility form must be completed and signed by the authorizing representative. If the form is not complete, including signatures and answers to all questions, your application will be deemed ineligible.

1) Please check your appropriate organizational status:

State or local government;

Qualified fair housing enforcement organization (QFHO);

Fair housing enforcement organization (FHO);

Public or private non-profit organization or institution and other Public or private entity that is formulating or carrying out programs to prevent or eliminate discriminatory housing practices;

Fair Housing Assistance Program (FHAP) Agency (State and local agency funded by FHAP)

2) Are you a college or university proposing an educational project?

YES

NO

3) If you are applying under EOI National Model Codes Component, are you partnering with a disability advocacy group?

YES

NO

If yes, please include the commitment letter from the partnering organization with this statement of eligibility.

Signature of Authorized Representative

Date

**STATEMENT OF ELIGIBILITY
FAIR HOUSING ORGANIZATIONS INITIATIVE**

*Eligibility forms must be completed and signed by the authorizing representative. If the form is not complete, including signature and answers to all questions, your application will be deemed **ineligible**.*

- 1) **Is your organization a private, tax-exempt, nonprofit, charitable organization?**

YES

NO

If yes, please attach a copy of the Letter of Determination from the Internal Revenue Service confirming your status as a 501(c)(3) tax-exempt Organization?

- 2) **Are you a Qualified Fair Housing Enforcement Organization (QFHO) with at least two year's experience in complaint intake, complaint investigation, testing for fair housing violations, and meritorious claims? If you check "no", you are not eligible under this initiative. If you check "yes", you must answer the remaining questions.**

YES

NO

- 3) **Briefly describe your experiences in each of the following fair housing enforcement activities. Your organization must have engaged in each of these activities for at least one year in the two years preceding the filing of this application. It is not necessary that the activities were conducted simultaneously nor for consecutive/continuous years, as long as each activity has been conducted for at least one year within the past two years. (Do not limit this description to FHIP funded enforcement activities.)**

When responding to the following, include dates, so that HUD can readily determine whether you have met the "at least one year" requirement.

- a) **Provide data on the following information: (See attached sample)**

- 1. Number of complaints received and processed;**
- 2. Complaint Status (e.g., investigation, legal, pending complaints);**
- 3. Summary of complaint outcomes including judicial; and, administrative findings, total amount of awards, and relief to complainants without monetary compensation.**

- b) Describe your testing program, number of tests, types of tests (rental, sales, lending, insurance) and testing results. Include basis (e.g. race, color, religion, sex, disability, familial status, and national origin) and indicate whether testing is complaint based or systemic.
 - c) Describe intake and investigative procedures apart from testing. Include agency's investigative experience.
- 4) Has your organization used FHIP funds for the payment of expenses in connection with litigation against the United States?
- YES NO
- 5) Is your project broad-based and full service as defined in the NOFA?
- YES NO

Note: If you received FHOI awards under the 2001 or 2002 FHIP NOFA, your organization is ineligible to apply for funds under this NOFA.

Signature of Authorized Representative

Date

INCLUDE ALL TASKS SHOWN ON THIS FORM.

STATEMENT OF WORK FOR

The recipient, _____, agrees to undertake the following activities in accordance with its FY 2003 application for funding under the _____ Initiative--Project (if applicable) for a ___ month project commencing, 2003 in the geographic area of _____.

SAMPLE

ADMINISTRATIVE ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
1.			GTR/GTM
2.			GTR/GTM
3.			GTR/GTM
4.			GTR/GTM
5.			GTR/GTM
6. Complete HUD-2880 Disclosure Statements	Submit Disclosure Statement. If no changes occur, submit statement of no change with final report.	When changes occur	GTR/GTM
7. Complete SF-269A Financial Status Report and Written Quarterly Status Reports on All Activities	Submit SF-269A and Copy of Written Report.	Quarterly	GTR/GTM
8. Voucher for Payment	Submit payment request to LOCCS.	Per Payment Schedule	GTR/GTM
9. Complete Listing of Current or Pending Grants/Contracts/Other Financial Agreements	Submit listing for recipient and any contractors.	45 Days and At end of Grant	GTR/GTM
10. Prepare summary of First Year (24 month grants)	Submit summary of first year accomplishments.	395 days	GTR/GTM

SAMPLE

ADMINISTRATIVE ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
11. Prepare and Submit Draft of Final Report	Submit Draft of Report. Report Summary should include objectives, accomplishments, and results. Complaint and testing activities should summarize data on complaints received and tests conducted by basis, issues, and outcomes. This should include number of credible, legitimate complaints filed with HUD, a State or local Fair Housing Agency, Department of Justice, or private litigator; and types of relief sought.	One month before end of grant term.	GTR/GTM
12. Complete Final Report and Provide Copies of All Final Products Not Previously Submitted	Submit copy of the final report and all final products previously submitted to HUD and GTR/GTM.	Within 90 days after end of grant term.	GTR/GTM
13. Submit 2 copies of Final Report and all final program products produced under the Grant (with diskette, where feasible) to HUD.	Submit activities and database entry sheet(s) to HUD. Submit copy of HUD database entry sheet(s) or detailed description of items submitted to GTR and GTM.	Within 90 days after end of grant term.	GTR/GTM/

Title

Name

PROGRAM ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
1. Contact HUD and/or other information sources to obtain any appropriate materials prior to development of new materials	Provide list of materials requested.	90 days	GTR/GTM. Submit one copy of all final products to HUD
2. Review/refine Referral Process to refer potential victims to HUD or a state or local agency.	Submit copy of Referral Process. All audit-based enforcement actions should be referred to HUD.	45 days	GTR/GTM
3. Intake and process complaints, including testing and referral. Refer at least enforcement proposals to HUD. Complete Enforcement Report which details complaints received; dates; the protected basis of these complaints; the issue, test type, and number of tests utilized in the investigation of each allegation; the respondent type and testing results; the time for case processing, including administrative or judicial proceedings; the cost of testing activities and case processing; to whom the case was referred; and resolution/type of relief sought and received. (PEI and FHOI PROJECTS ONLY)	Submit copy of Enforcement Report and a report on enforcement proposals referred to HUD.	Quarterly	GTR/GTM

PROGRAM ACTIVITIES			
ACTIVITIES	TASKS	SUBMITTED BY	SUBMITTED TO
4. Non-rental Testing methodology and tester training must be received/approved by HUD.	Submit testing methodology and tester training to HUD for review and approval.	60 days	GTR/GTM
			GTR/GTM

SAMPLE

*Testers in testing activities funded with FHIP funds must not have prior felony convictions or convictions of crimes involving fraud or perjury, and they must receive training or be experienced in testing procedures and techniques. Testers and the organizations conducting tests, and the employees and agents of these organizations may not:

- (1) Have an economic interest in the outcome of the test, without prejudice to the right of any person or entity to recover damages for any cognizable injury;
- (2) Be a relative of any party in a case;
- (3) Have had any employment or other affiliation, within one year, with the person or organization to be tested; or
- (4) Be a licensed competitor of the person or organization to be tested in the listing, rental, sale, or financing of real estate.

** If you have a Federally negotiated indirect rate, you should use that rate and the appropriate base in this section. In all other instances, you should include your current overhead rate, if any, which has been tailored to your organization's operating budget. The rate and base used here is illustrative only and you must use your organization's rate.