



U.S. Department of Housing and Urban Development

Community Planning and Development

Self-Help Homeownership Opportunity Program (SHOP)

FR-5800-N-14

Cliff Taffer, Acting Assistant Secretary
Office of Community Planning and Development (CPD)

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Date

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U.S. Department of Housing and Urban Development

Program Office: Community Planning and Development
Funding Opportunity Title: Self-Help Homeownership Opportunity Program (SHOP)
Announcement Type: Initial
Funding Opportunity Number: FR-5800-N-14
Primary CFDA Number: 14.247
Due Date for Applications: **September 4, 2014**

This SHOP NOFA announces the availability of \$10,000,000 in FY2014 SHOP Grant funds to be awarded to national and regional non-profit organizations and consortia to facilitate and encourage innovative homeownership opportunities on a national, geographically diverse basis through the provision of self-help homeownership housing programs. Applicants must propose to use a significant amount of SHOP Grant funds in at least two states. Individuals are not eligible to apply for SHOP Grant funds.

SHOP Grant funds must be used for land acquisition, infrastructure improvements, and for reasonable and necessary planning, administration and management costs (not to exceed 20 percent). The construction or rehabilitation costs of each SHOP unit must be funded with other leveraged public and private funds. The average SHOP Grant expenditure for the combined costs of land acquisition and infrastructure improvements must not exceed \$15,000 per SHOP unit.

SHOP units must be decent, safe, and sanitary non-luxury dwellings that comply with state and local codes, ordinances, and zoning requirements, and with all other SHOP requirements, including but not limited to, the requirements for energy-efficiency, water conservation and accessibility). The SHOP units must be sold to homebuyers at prices below the prevailing market price.

Homebuyers must be low-income and must contribute a significant amount of sweat equity towards the development of the SHOP units. A homebuyer's sweat equity contribution must not be mortgaged or otherwise restricted upon future sale of the SHOP unit. Volunteer labor is also required

SHOP Grantees may award SHOP Grant funds to local non-profit affiliate organizations to carry out the Grantee's SHOP program. These affiliate organizations must be located within the Grantee's service area.

Additional Overview Information:

1. Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains *mandatory requirements* for all applicants to HUD's competitive grant programs including this NOFA. Applicants must meet all of the requirements of the General Section in addition to the requirements of this NOFA to be considered and to receive funding. The full title of the General Section is General Section for Fiscal Year 2014 Discretionary Programs. It can be found on Grants.gov and on HUD's Funds Available webpage at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.

2. OMB Approval Number(s): 2506-0157

I. Funding Opportunity Description.

A. Program Description and Requirements.

The information and instructions found in the “General Section to the Department's Fiscal Year 2014 NOFAs for Discretionary Programs” and Technical Correction (the "General Section") also apply to this Fiscal Year (FY) 2014 SHOP NOFA. HUD has not issued SHOP Program regulations. The FY2014 SHOP program is governed by the SHOP statute, the General Section and this NOFA.

HUD awards SHOP Grant funds competitively based on each applicant's response to the application criteria set forth in this NOFA and the applicant’s past program performance.

B. Authority.

SHOP is authorized by Section 11 of the Housing Opportunity Program Extension Act of 1996 (Public Law 104-120, as amended, 42 U.S.C. 12805 note). Funding for this NOFA is provided by the FY2014 Department of Housing and Urban Development Appropriations Act (Public Law 113-76, approved January 17, 2014).

II. Award Information.

A. Available Funds.

HUD is making available through this NOFA **\$10,000,000** for Self-Help Homeownership Opportunity Program (SHOP).

Additional funds may become available for award under this NOFA as a result of HUD's efforts to recapture unused funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds will be subject to statutory constraints. All awards are subject to the applicable funding restrictions described in the General Section and to those contained in this NOFA.

B. Number of Awards.

HUD expects to make approximately 4 awards from the funds available under this NOFA.

C. Maximum Award Information.

Estimated Total Funding: \$10,000,000 is available to fund SHOP Grant awards under the FY2014 SHOP NOFA competition.

Minimum Award Amount: There is no minimum award amount. The Grantee must complete and convey a minimum of 30 SHOP units. The maximum average SHOP Grant expenditure for the combined costs of land acquisition and infrastructure improvements is \$15,000 per dwelling unit.

Maximum Award Amount: \$10,000,000

Estimated Total Funding:	\$10,000,000
Minimum Award Amount:	\$0 Per Project Period
Maximum Award Amount:	\$10,000,000 Per Project Period

D. Period of Performance.

Estimated Project Start Date:	10/15/2014
Estimated Project End Date:	10/14/2017
Other	

Additional Information on Project Periods

1. Grant Term. The Grantee must expend all SHOP Grant funds within 24 months of the date that the SHOP Grant funds are first made available for drawdown in the Grantee’s line of credit established by HUD, except that SHOP Grant funds provided to an affiliate that develops five or more SHOP units (and SHOP Grant funds used by the Grantee for directly related administrative costs) must be expended within 36 months of the date that the SHOP Grant funds are first made available for drawdown in the Grantee’s line of credit.

2. Timely Performance. The Grantee and its affiliates must develop and convey all proposed SHOP units in a timely manner in accordance with the schedule the Grantee submits in response to SHOP NOFA Rating Factor 3, or as subsequently may be amended with HUD approval. HUD anticipates that the Grantee and its affiliates will convey most SHOP units no later than one year after the end of the applicable Grant Term. HUD will require corrective actions when a Grantee substantially exceeds its approved schedule.

E. Type of Funding Instrument.

Funding Instrument Type: Grant

F. Supplementation.

Not Applicable

III. Eligibility Information.

A. Eligible Applicants.

Eligible applicants under this NOFA include:

Others (see text field entitled "Additional Information on Eligibility" for clarification)

Additional Information on Eligibility:

You must be a public or private non-profit organization, or a consortium of public or private non-profit organizations, that has the capacity and experience to provide or facilitate self-help homeownership housing opportunities on a national or regional basis. You must propose to undertake eligible SHOP activities directly and/or to enter into a written agreement with one or more non-profit affiliate organizations to carry out your eligible SHOP activities.

The term “you” as used in this NOFA refers to the SHOP applicant, including all consortium members. The term “consortium” refers to all consortium members. The term “Grantee” refers to a successful SHOP applicant, including all consortium members, who have been awarded SHOP Grant funds under this NOFA. The term “affiliate” refers to an eligible non-profit organization that is an affiliate of a SHOP Grantee.

1. Eligible Applicants

a. National Organization. A national organization is a public or private non-profit organization that carries out self-help homeownership housing activities or funds affiliates that carry out self-help homeownership housing activities on a national scale.

b. Regional Organization. A regional organization is a public or private non-profit organization that

carries out self-help homeownership housing activities or funds affiliates that carry out self-help homeownership housing activities on a regional scale. A regional area is a geographic area such as the Southwest or Northeast that includes at least two states. The states in the region need not be contiguous, and the service area of the organization need not precisely conform to state boundaries.

c. Consortium. A consortium is two or more public or private non-profit organizations located in at least two states that enter into an agreement to submit a single application for SHOP Grant funds to carry out self-help homeownership housing activities on a national or regional basis. Individual consortium members may carry out self-help homeownership housing activities or fund affiliates to carry out self-help homeownership housing activities. The consortium must designate one member as the lead entity to act on behalf of all consortium members. The lead entity must be responsible and accountable for the performance and compliance of all consortium members. If the consortium uses affiliates, each affiliate must be linked to an individual consortium member by a written agreement. The consortium must execute a new written agreement with each affiliate that is participating in the consortium's FY2014 SHOP program. The consortium must not amend a prior written agreement.

2. Affiliate Organization ("Affiliate").

a. Type of Organization. Your affiliate must be a:

(1) Subordinate Organization. A local non-profit self-help homeownership housing organization that is a subordinate organization (i.e., chapter, local, post, or unit) of your central organization and covered by the group exemption issued to the central organization under section 501(c) (3) of the Internal Revenue Code; or

(2) Organization with an Existing Relationship. A local non-profit self-help homeownership housing organization with which you have an existing relationship (e.g., you have provided technical assistance, mentoring or funding to the local self-help homeownership housing organization); or

(3) Organization with a Future Relationship. A local non-profit self-help homeownership housing organization with which you do not have an existing relationship, but to which you will provide technical assistance, mentoring or funding in accordance with your SHOP application.

b. Service Area. Your affiliate must be located within your service area.

c. Written Agreement. You must have a written agreement with each of your affiliates that incorporates the requirements of this NOFA. Your written agreement must describe the SHOP responsibilities of your affiliate. If you are a consortium, each of your affiliates must be linked to an individual consortium member by a written agreement. You must execute a new written agreement with each affiliate that is participating in your FY2014 SHOP program. You cannot amend a prior written agreement.

HUD does not award grants to individuals nor will HUD evaluate an application from an ineligible applicant. Additionally, if for-profit firms are eligible they are not allowed to earn a fee (i.e., make a profit from the project).

In accordance with 2 CFR 25.200, all applicants must have an active Data Universal Numbering System (DUNS) number (www.dnb.com) and have an active registration in the System for Award Management (SAM) (www.sam.gov) **before submitting an application.** Getting your DUNS number and SAM registration can take up to four weeks; therefore, you should start this process or check your status early.

B. Cost Sharing or Matching.

Federal sources are generally not allowed to be used as cost share or match unless otherwise permitted by a program's authorizing statute.

This Program requires an applicant to leverage resources through cost sharing or matching as described below.

There is no matching requirement for SHOP. However, the Grantee is required to leverage resources for the cost of construction and/or rehabilitation of self-help homeownership housing units that are assisted with SHOP Grant funds, and for any other program costs that are not funded with SHOP Grant funds. Refer to SHOP NOFA “Rating Factor 4: Leveraging Resources.”

C. Other.

You must refer to Section III of the General Section for information on the following eligibility requirements. These requirements may, where applicable, determine whether your application is reviewed or make your application ineligible for funding:

- Resolution of civil rights matters;
- Compliance with nondiscrimination and other requirements, including but not limited to:
 - compliance with all applicable fair housing and civil rights laws;
 - affirmatively furthering fair housing;
- Delinquent Federal debts;
- Financial management systems that meet Federal standards;
- Debarment and/or suspension from doing business with the Federal Government;
- False statements;
- Do Not Pay review and compliance with the Improper Payments Elimination and Recovery Improvement Act of 2012;
- Standards of ethical conduct/code of conduct;
- Prohibition against lobbying activities; and
- Conflicts of interest.

1. Homebuyer and Homeownership Definition.

a. Homebuyer. “Homebuyer” means the individual or individuals who will own the completed SHOP unit.

b. Homeownership. “Homeownership,” “ownership,” and “own” mean fee simple title or a 99-year renewable lease, or an equivalent form of ownership approved by HUD. In Guam, the Northern Mariana Islands, the United States Virgin Islands, and American Samoa, the definition includes renewable leases of 40 years or more. For Indian Trust or restricted lands, the definition includes renewable leases of 50 years or more. Ownership may be subject to mortgages, deeds of trust, or other liens or instruments securing the debt on the property as allowable under State law.

2. Application Threshold Requirements

a. Timely Application Receipt. You must submit a timely SHOP application. HUD will not consider an application that does not meet the timely application receipt requirements of this SHOP NOFA and the General Section. Refer to SHOP NOFA Section IV.C. "Application Submission Dates and Times."

b. No Duplicate Submissions. You must not propose to fund any affiliate or consortium member under your SHOP application that is also seeking FY2014 SHOP Grant funds from another SHOP applicant. If an affiliate or consortium member applies for SHOP Grant funds through more than one applicant, HUD will disqualify that affiliate or consortium member from receiving funding.

c. Dun and Bradstreet Data Universal Numbering System (DUNS) and System for Award Management (SAM). You must have a Dun and Bradstreet Universal Numbering System (DUNS)

identifier and maintain active registration in the System for Award Management (SAM). Detailed instructions for registration are located on the [Grants.gov](https://www.grants.gov) web page. You may also go to www.fedgov.dnb.com to apply or search for a DUNS identifier and to www.sam.gov for registration instructions to register for SAM.

d. Certification of Consistency with the Consolidated Plan. This requirement does not apply to the SHOP Program.

3. Applicant Threshold Requirements

a. Eligible Applicant. The SHOP statute requires that SHOP Grants be made available to “national and regional organizations and consortia that have experience in providing or facilitating self-help housing homeownership opportunities.” You must be an eligible organization as defined in this SHOP NOFA under Section III.A. “Eligible Applicants.”

b. Non-profit Status. You and each of your affiliates must be an eligible public non-profit organization or private non-profit organization under federal or state law.

c. Consortium Agreement. If you are a consortium, each consortium member must have entered into and signed a written Consortium Agreement for the purpose of applying for SHOP Grant funds and carrying out SHOP activities in compliance with this NOFA. This Consortium Agreement must designate a lead entity that will be responsible and accountable for the Consortium's SHOP program performance and compliance. Refer to SHOP NOFA Section IV.B.2. “Consortium Application” for additional guidance.

d. Code of Conduct. You must develop and maintain a written code of conduct as required by 24 CFR 84.42. When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. “Standards for Administrative and Financial Control” for more information). Your code of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by applicant's officers, employees, or agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions available to remedy violations of such standards. Your code of conduct must be dated and signed by your Executive Director, or the Chair of the governing body of your organization. Refer to the General Section III.C.4. f. “Conducting Business in Accordance with Ethical Standards/Code of Conduct.”

e. Experience. The SHOP statute requires that an applicant “have experience in providing or facilitating self-help housing homeownership opportunities.” You must have successfully completed at least 30 self-help homeownership housing units within the 24-month period preceding the submission of your SHOP application. This may include self-help homeownership housing units completed by one or more of your affiliates during this time period, provided these units were undertaken in accordance with a written agreement between you and your affiliate(s). For a dwelling to qualify as a self-help homeownership housing unit, a homebuyer must have contributed a significant amount of sweat-equity toward the construction or rehabilitation of the unit as set forth in the SHOP NOFA Section III.C.4.h “Sweat Equity.”

f. Service Area. You must serve a national or regional area consisting of at least two states. You must have completed self-help homeownership housing units in at least two states within the 24-month period preceding the submission of your SHOP application.

g. Additional Requirements. You must meet the additional Threshold requirements set forth in the General Section III.C. “Other Requirements and Procedures Applicable to All Programs,” including but not limited to the resolution of civil rights matters, outstanding delinquent federal debts, and debarment and/or suspension. If you are a consortium, each consortium member must meet these requirements.

4. Program Threshold Requirements

a. Number of SHOP Units. The SHOP statute requires the Grantee to “develop a specific and reasonable number of dwellings using the grant amounts, which number shall be established taking into consideration costs and economic conditions in the areas in which the dwellings will be developed, but in no case shall be less than 30.” You must propose to complete and convey a minimum of 30 SHOP units. A “SHOP unit” means a self-help homeownership housing unit on land acquired with SHOP Grant funds or for which infrastructure costs are paid with SHOP Grant funds. The average SHOP Grant expenditure for the combined costs of land acquisition and infrastructure improvements must not exceed \$15,000 per homeownership unit.

b. Service Area. You must propose to use a significant amount of SHOP Grant funds in a national or regional service area consisting of at least two states.

c. Eligible Activities. The SHOP statute requires that “amounts from grants..., including any recaptured amounts, shall be used only for eligible expenses in connection with developing new decent, safe, and sanitary, non-luxury dwellings.” There are three categories of eligible SHOP activities. You must propose to use SHOP Grant funds only for the cost of eligible SHOP activities. Eligible pre-agreement costs must be incurred on or after the publication date of this NOFA. You may carry out the eligible activities yourself or fund affiliates to carry out your eligible activities. Refer to SHOP NOFA Section IV.E. “Funding Restrictions” for additional guidance on pre-agreement costs, ineligible costs and other restrictions.

(1) Land Acquisition. The acquisition of land (including financing and reasonable and customary closing costs) for the purpose of developing or rehabilitating SHOP units is an eligible activity.

(a) “Land” shall mean real property acquired by the Grantee or its affiliate pursuant to a deed or a lease with a term of 99 years or more; except that for Guam, the Northern Mariana Islands, the United States Virgin Islands, and American Samoa, the lease term shall be 40 years or more, and for Indian trust or restricted lands the lease term shall be 50 years or more. Upon request, HUD may approve other lease terms for good cause on a case by case basis.

(b) If you or your affiliate uses SHOP Grant funds to acquire land with a building or other improvement affixed to it, you or your affiliate shall allocate a portion of the acquisition cost to the land and a portion of the acquisition cost to the building or other improvements for the purpose of determining which costs are eligible costs.

(c) You or your affiliate must own the land that is acquired with SHOP Grant funds.

(d) On or after the date of this NOFA, you and your affiliate may expend non-grant funds to acquire land, including land acquired before completion of the environmental review process. You may use SHOP Grant funds to reimburse these costs after your SHOP Grant Agreement has been executed and the required environmental review process has been successfully completed. However, these costs are reimbursable only when identified as pre-agreement costs in your SHOP application. Refer to SHOP NOFA Section IV.E. “Funding Restrictions.”

(2) Infrastructure Improvements. The installation, extension, construction, rehabilitation, or other improvement of utilities and other infrastructure (including the removal of environmental hazards) in support of the development or rehabilitation of SHOP units are eligible activities. Eligible infrastructure improvement activities include the cost of utility and hook-up fees. Eligible infrastructure improvement activities exclude financing and closing costs.

(a) You or your affiliate must own the land on which infrastructure improvements are undertaken.

(b) You or your affiliate must not incur infrastructure improvement costs before the required environmental review process has been successfully completed.

(3) Planning, Administration, and Management. The reasonable and necessary cost of the planning, administration and management of your SHOP Grant program and activities is an eligible activity. Eligible activity costs include staff and overhead costs of implementing your SHOP Grant program and activities; costs of providing information to the public about your SHOP Grant program and activities; costs of providing civil rights and fair housing training to your local affiliates; and any expenses involved in affirmatively furthering fair housing.

The indirect costs (such as rent and utilities) of you and your affiliates in carrying out your SHOP Grant program and activities are also eligible. You must charge indirect costs in accordance with the methods described in OMB Circular A-122 "Cost Principles for Non-Profit Organizations." When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information).

You must not use SHOP Grant funds for planning, administration or management expenses that are not related to your SHOP Grant program and activities. Eligible planning, administration and management costs must not exceed 20 percent of your SHOP Grant.

d. Property Standards. The SHOP statute requires that funds be used for quality "decent, safe and sanitary non-luxury dwellings" that "comply with local building safety codes and standards." You must ensure that all SHOP units that are developed by you and your affiliates comply with state and local codes, ordinances, and zoning requirements, and with all other SHOP requirements, including but not limited to, requirements for accessibility, energy-efficiency and water conservation.

e. Energy-Efficiency. You must incorporate specific energy-efficiency measures in the construction and/or rehabilitation of the SHOP units that are developed by you and your affiliates.

(1) All SHOP units in newly constructed buildings must be certified as meeting the guidelines for either ENERGY STAR New Homes or ENERGY STAR Multifamily High Rise (MFHR), as determined by the U.S. Environmental Protection Agency and the U.S. Department of Energy.

(2) All SHOP units in gut rehabilitated buildings that qualify for either ENERGY STAR New Homes or ENERGY STAR Multifamily High Rise (MFHR) must be certified as meeting these guidelines, as determined by the U.S. Environmental Protection Agency and the U.S. Department of Energy.

(3) For all other SHOP units, all features, appliances and products that are installed or replaced must have an ENERGY STAR label (when such ENERGY STAR features, appliances and products exist) and be installed in accordance with the ENERGY STAR requirements. ENERGY STAR features, appliances and products must be used that are appropriate for achieving energy-efficiency for the Climate Zone in which the unit is located, in accordance with the ENERGY STAR requirements. For lighting, the Grantee must use ENERGY STAR labeled CFLs, LEDs, or pin-based lighting fixtures or light bulbs.

(4) All SHOP homebuyers must be provided guidance on the proper use and maintenance of the energy-saving features, appliances and products that have been installed in their units.

ENERGY STAR is an energy-conservation program sponsored by the U.S. Environmental Protection Agency and the U.S. Department of Energy. Information about ENERGY STAR guidelines can be found at <http://www.energystar.gov>.

At such time as the ENERGY STAR or HUD's energy-efficiency standards or requirements shall change, HUD shall require compliance with the updated standards or requirements after providing the Grantee with reasonable notice.

f. Water Conservation. You must incorporate specific water conservation measures in the construction and/or rehabilitation of the SHOP units that are developed by you and your affiliates.

- (1) All water-usage products that are installed or replaced in SHOP units, including toilets, showers and faucets, must bear the “WaterSense” label when such WaterSense products exist.
- (2) All SHOP homebuyers must be provided guidance on the proper use and maintenance of the water conservation products that have been installed in their units.

WaterSense is a water conservation program sponsored by the U.S. Environmental Protection Agency (EPA). Information about WaterSense products can be found at <http://www.epa.gov/watersense/>.

g. Homebuyer Income Eligibility. The SHOP statute requires that funds benefit “low-income families and individuals who otherwise would be unable to afford to purchase a dwelling.” Eligible homebuyer households are low-income individuals and families whose annual incomes do not exceed 80 percent of the median income for the area, as established by HUD with adjustments for household size. You must use one of the following definitions of “annual income” to determine whether a homebuyer is income-eligible. You must have procedures to clearly document that assisted homebuyers are income-eligible.

- (1) **Annual Income** as defined at 24 CFR 5.609; or
- (2) **Adjusted Gross Income** as defined for purposes of reporting under the IRS Form 1040 series for individual federal annual income tax purposes; or
- (3) **Grantee Definition.** You may adopt your own definition of “annual income” to determine whether a homebuyer is income-eligible. This definition must be included in your SHOP Program Design and Scope of Work and approved by HUD.

h. Sweat Equity. The SHOP statute requires that self-help homeownership housing opportunities be provided “under which the homeowner contributes a significant amount of sweat equity toward the construction of the new dwelling.”

(1) **Minimum Sweat Equity Contribution.** You must require each SHOP homebuyer to contribute a minimum number of sweat equity hours toward the construction or rehabilitation of the homebuyer’s SHOP unit and/or the homes of other homebuyers participating in the self-help homeownership housing program administered by you or your affiliates. If the homebuyer is one individual, the homebuyer must contribute a minimum of 50 hours of sweat equity. If the homebuyer is more than one individual, the homebuyer must contribute a minimum of 100 hours of sweat equity. Sweat equity includes training on the construction of the dwelling units, but excludes homebuyer counseling and home maintenance training.

You must permit reasonable accommodations for persons with disabilities in order for them to meet these hourly requirements. For example, homebuyers with disabilities may work on less physical tasks or administrative tasks, or use volunteers to provide the required sweat equity. If a homebuyer with disabilities uses volunteers, the homebuyer with disabilities must enter into a written three-party agreement with the affiliate or the Grantee (if the Grantee directly administers the program) and the volunteer working on behalf of the homebuyer. All homebuyers, including homebuyers with disabilities, must meet these minimum sweat equity requirements.

You may not make exceptions to these requirements, except that HUD may approve a request to allow volunteers to provide the required sweat equity for a homebuyer who becomes unable to complete his/her sweat equity requirement due to military deployment.

(2) **Value of Sweat Equity Contribution.** The homebuyer must receive the full value of the homebuyer’s sweat equity contribution as an equity contribution towards the purchase of the homebuyer’s SHOP unit. For example, the unit’s sale price may be reduced by the value of the

sweat equity contribution, or the value of the sweat equity contribution may be treated as a credit towards the unit's contract sale price. You must establish a fair and reasonable method for valuing a homebuyer's sweat equity contribution. The homebuyer's sweat equity contribution must not be mortgaged or otherwise restricted upon the future sale of the homebuyer's SHOP unit. Refer to SHOP NOFA Section III.C.4.k. "Mortgages and Other Loans" for additional guidance.

i. Homebuyer Financial Contribution. The SHOP statute requires that dwellings developed in connection with SHOP assistance be provided to "families and persons who are unable to afford to purchase a dwelling." You and your affiliates must not require the homebuyer to make any financial contribution towards the purchase of the homebuyer's SHOP unit, other than cash contributed for a downpayment, and reasonable and customary closing costs.

j. Sale Price. The SHOP statute requires that dwellings constructed in connection with SHOP assistance be made "available at prices below the prevailing market prices." You must sell each SHOP unit below the appraised value of the property. Lenders may charge reasonable and customary closing costs for the area in which the unit is located. The amount of the SHOP unit mortgage or loan may include these closing costs, but the amount of closing costs must be separately identified and not included in the sale price. Refer to SHOP NOFA Section III.C.4.k. "Mortgages and Other Loans" for additional guidance.

k. Mortgages and Other Loans. The homebuyer's sweat equity contribution must not be mortgaged or otherwise restricted upon the future sale of the SHOP unit. In order to make the cost of homeownership more transparent to individual homebuyers, at or before closing you must provide each homebuyer with unit-specific information on the cost and carrying charges for the homebuyer's SHOP unit that is similar to information required on the HUD-1 "Settlement Charges." The following examples demonstrate compliance with the SHOP restrictions on mortgages:

(1) Sale Price Reduction. The SHOP unit sale price is reduced by the value of the homebuyer's sweat equity contribution. On the date of sale, the total amount of all mortgages and other loans for the purchase of the SHOP unit does not exceed the SHOP unit's reduced sale price plus reasonable and customary closing costs.

(2) Homebuyer Credit. The value of the homebuyer's sweat equity contribution is treated as a credit towards the SHOP unit sale price. On the date of sale, the total amount of all mortgages and other loans for the purchase of the SHOP unit does not exceed the SHOP unit's sale price plus reasonable and customary closing costs minus the credit for the homebuyer's sweat equity contribution.

l. Volunteer Labor. The SHOP statute requires that activities to develop SHOP-assisted self-help homeownership housing "involve community participation in which volunteers assist in the construction or rehabilitation of dwellings." Your SHOP Program Design must include volunteer labor. Volunteer labor is work performed by an individual without promise, expectation, or compensation for the work rendered. Volunteer labor may be professional or non-professional labor performed by community members, other volunteers, or household members who are not homebuyers.

m. Leveraged Resources. The SHOP statute requires that SHOP Grantees use their SHOP Grants to "leverage other sources of funding, including private or other public funds," to complete construction or rehabilitation of their SHOP units. You and your affiliates must obtain commitments of resources (or have the capacity to obtain commitments) necessary to develop the number of SHOP units that you propose.

5. Compliance with Non-Discrimination and Other Requirements

If you are awarded a SHOP Grant, you (the "Grantee") and your affiliates must comply with all statutory and regulatory requirements applicable to SHOP cited in the General Section (Technical Correction)

III.C.3 "Compliance with Non-Discrimination and Other Requirements" including:

a. Affirmatively Furthering Fair Housing (AFFH). You must take steps to affirmatively further fair housing by promoting fair housing rights and fair housing choice in housing programs funded by your SHOP Grant. When you will carry out self-help homeownership housing activities under your SHOP Grant, you must adopt and follow affirmative marketing requirements and procedures. When your affiliates will carry out self-help homeownership housing activities under your SHOP Grant, you must require each affiliate to adopt and follow affirmative marketing requirements in accordance with your established procedures. You and your affiliates must also encourage racial and ethnic diversity in the selection of SHOP unit sites. If you will use a competitive process to select your affiliates, your selection criteria must consider how an affiliate's proposal will enhance racial and ethnic diversity. Refer to the General Section (Technical Correction) III.C.3.b. for more information on affirmatively furthering fair housing.

b. Accessibility for Qualified Individuals with Disabilities. You and your affiliates must comply with Section 504 of the Rehabilitation Act of 1973 and HUD's implementing regulations at 24 CFR part 8 concerning accessibility for qualified individuals with disabilities. Your SHOP units must be newly constructed or rehabilitated to be accessible upon request of the homebuyer in accordance with 24 CFR 8.29.

c. Economic Opportunities for Low- and Very Low-Income Persons (Section 3). You and your affiliates must comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 CFR part 135, including the reporting requirement of Subpart E. Section 3 requires you to ensure, to the greatest extent feasible, that training, employment, contracting and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns that provide economic opportunities to low- and very low-income persons in the area in which the project is located. Refer to the regulations implementing Section 3 at 24 CFR part 135 and to the General Section (Technical Correction) VI.B.2. for more information.

You will be required to submit annual Section 3 data using form HUD-60002 to HUD, Office of Fair Housing and Equal Opportunity, 451 Seventh Street, SW, Room 5232, Washington, DC 20410, Attn: Economic Opportunity Division, or HUD's online system at <http://www.hud.gov/offices/fheo/section3/section3.cfm>.

IV. Application and Submission Information

A. Obtaining an Application Package.

An electronic copy of the Application Package and Application Instructions for this NOFA can be downloaded from Grants.gov at <http://www.grants.gov/applicants/apply-for-grants.html>.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. If you receive a waiver, your paper application must be received by HUD before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Martha Murray
SHOP Program Manager
Office of Affordable Housing Programs
U.S. Department of H.U.D.

451 Seventh Street S.W.
Room 7162
Washington, DC 20410
Phone: (202) 402-4410
Phone 2: (202) 402-2684
Email: martha.w.murray@hud.gov

B. Content and Form of Application Submission.

To assure you have the correct Application Package and Application Instructions, you must check that the CFDA number, the Opportunity Title, and the Funding Opportunity Number on the first page of your Application Package match those listed in the Overview of this NOFA. Your application will only be considered for the competition indicated on your submission.

You must meet all the requirements for application submission and receipt that are described in the General Section IV. "Application and Submission Information" and this NOFA.

1. Application Kit. There is no application kit for this NOFA. All the information needed to apply for a SHOP grant is contained in this NOFA, and the application and instructions download found at [Grants.gov](https://www.grants.gov). If there is a discrepancy between the information posted on Grants.gov and any materials published by HUD on its website or other information provided in paper copy, the information posted on Grants.gov prevails. Be sure to review your SHOP application against the requirements published and posted on Grants.gov.

2. Consortium Application. If you are applying as a consortium, you must submit an integrated application that demonstrates that you are undertaking a single SHOP program. Your lead entity must file your application on behalf of all consortium members. All consortium members must be identified in your application. All consortium members must receive SHOP Grant funds. You must propose to use a significant amount of SHOP Grant funds in each state represented by your consortium members. Individual program designs for separate consortium members or their affiliates will not be considered by HUD in scoring your application.

3. Page Format. You must submit your SHOP application in an 8.5 by 11 inch page size format, using a standard 12 point font. Text in tables must not be less than a 9 point font. HUD will not consider material shown in a smaller font size. Pages for each application section must be numbered sequentially starting with "1." For sections with page limits, HUD will not consider information on pages that exceed the page limit.

4. Application Content. The application consists of six sections: Standard Forms; Applicant Eligibility; SHOP Program Design and Scope of Work; Rating Factors; Appendices; and Forms, Certifications and Assurances.

HUD will not consider any supplemental information that is not required by this NOFA, or information that exceeds the page limits established by this NOFA.

Refer to SHOP NOFA Section VIII. "Other Information" for an Application Checklist that identifies the elements that are required for a complete application submission.

a. Standard Forms (no page limit). You must submit an:

- (1) SF424 "Application for Federal Assistance"
- (2) SF424 "Supplement Survey on Ensuring Equal Opportunity for Applicants" ("Faith Based EEO Survey SF-424-SUPP" on Grants.gov)

These forms must be signed by your Authorized Organization Representative (AOR). The AOR is the

person who is legally authorized to submit the application on your organization's behalf, either through electronic submission or in paper copy submission (for those applicants granted a waiver to submit in paper).

b. Applicant Eligibility (no page limit).

(1) Non-profit Status. You must submit a narrative statement that clearly demonstrates how your organization or consortium qualifies as a national or regional public or private non-profit self-help homeownership housing organization as defined in SHOP NOFA Section III.A.1. "Eligible Applicants" and III.C.3.b. "Non-profit Status."

If you are not a current SHOP Grantee you must submit evidence that you qualify as a national or regional public or private non-profit self-help homeownership housing organization under federal or state law (such as a current Internal Revenue Service (IRS) ruling that your organization is exempt from taxation under section 501(c)(3) or 501(c)(4) of the Internal Revenue Code of 1986).

If you are a consortium, you must also submit evidence of the non-profit status of each consortium member that does not currently receive SHOP Grant funds. This evidence must be provided in an Appendix. This Appendix does not count towards your application page limits.

(2) Consortium Members and Agreement (if applicable). If you are a consortium, you must provide a list of all consortium members including each member's full name, mailing address, service area (i.e., city, county or parish and state), proposed SHOP Grant funds, and the number of SHOP units each member anticipates constructing should you receive SHOP Grant funds. This information must be provided in an Appendix.

You must submit a Consortium Agreement that has been executed and dated by all consortium members. Your Consortium Agreement must designate your lead entity and authorize your lead entity to submit your SHOP application and execute your SHOP Grant Agreement on behalf of all consortium members.

Your lead entity must be responsible and accountable for the performance and compliance of all consortium members. Each consortium member must be responsible and accountable for the performance and compliance of its affiliates.

Upon being funded, the lead entity must enter into a separate written agreement with each consortium member. This agreement must include the requirements of the FY2014 SHOP Grant Agreement between HUD and the consortium, and set forth each consortium member's responsibilities as described in your approved SHOP application. If the consortium uses affiliates, each affiliate must be linked to a consortium member that is responsible for the timely performance and SHOP compliance of that affiliate.

(3) Code of Conduct. You must submit a copy of your written Code of Conduct in an Appendix. This Appendix does not count towards your application page limits. Your Code of Conduct must meet the requirements of the General Section III.C.4.f. "Conducting Business in Accordance with Ethical Standards/Code of Conduct." Your Code of Conduct must be dated and signed by your Executive Director or the Chair of the governing body of your organization. You must describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your organization's Code of Conduct.

(4) Minimum Self-help Homeownership Housing Units. You must submit a narrative statement that clearly demonstrates that your organization has completed at least 30 self-help homeownership housing units within the past 24 months. You must identify the dates for your 24 month reporting period. Your 24 month reporting period should end as close as possible to the submission of your SHOP application. You must provide the specific number of units completed. You must also clearly demonstrate that the units developed during this 24 month

period included a significant contribution of homebuyer sweat equity and volunteer labor towards the construction or rehabilitation of the units. You must include the average number of sweat equity hours contributed by each homebuyer, and the average number of volunteer labor hours contributed for each unit during this 24 month period. Refer to SHOP NOFA Section III.C.1. "Homebuyer and Homeownership Definition"

(5) General Location. You must submit a narrative statement that describes the general location where your completed self-help homeownership housing units are located (county, parish, state or region of the country). You must clearly demonstrate that you have completed self-help homeownership housing units in a national or regional area consisting of at least two states.

c. SHOP Program Design and Scope of Work (25 page limit). You must submit a summary and narrative description of your Program Design and Scope of Work. If you are awarded a SHOP Grant, your approved Program Design and Scope of Work will be incorporated by reference into your SHOP Grant Agreement. Your Program Design and Scope of Work is limited to 25 pages, not including your summary and Appendices. HUD may ask you to amend certain sections that do not affect your compliance with the NOFA threshold requirements or your application's rating score and ranking. Refer to SHOP NOFA Section III.C. for a description of the threshold requirements. HUD will not award funds until all SHOP requirements are met and HUD approves your Program Design and Scope of Work.

Your SHOP Program Design and Scope of Work must address the following:

(1) SHOP Program Summary. You must provide a summary of the key elements of your SHOP Program Design and Scope of Work. This summary does not count towards your 25 page limit. At a minimum, your summary must include:

- (a) SHOP Grantee
- (b) Consortium: Yes _____ No _____
- (c) Lead consortium entity (if applicable): _____
- (d) Consortium members (if applicable): _____
- (e) SHOP Grant request: \$ _____
- (f) Total budget: \$ _____
- (g) Leveraged resources: \$ _____; _____%
- (h) SHOP Grant funds for land acquisition: \$ _____; _____%
- (i) SHOP Grant funds for infrastructure improvements: \$ _____; _____%
- (j) SHOP Grant funds for planning, administration and management \$ _____; _____%
- (k) Indirect cost rate: _____%
- (l) Pre-agreement costs: Yes _____ No _____; if Yes, list type and SHOP Grant fund amount
- (m) Affiliates: Yes _____ No _____; if Yes, Estimated Number _____
- (n) Service area: National _____ Regional (specify, including states): _____
- (o) Total number of SHOP units: _____
- (p) Newly constructed units: _____ or _____%
- (q) Gut rehabilitated units: _____ or _____%
- (r) Other rehabilitated units: _____ or _____%
- (s) Accessible units: _____; _____%

- (t) Visitable units: _____; _____%
- (u) Universal Design units: _____; _____%
- (v) Green units: _____; _____%
- (w) Definition of annual income: _____ (list all definitions)
- (x) Minimum sweat equity hours, one individual: _____ hours
- (y) Minimum sweat equity hours, more than one individual: _____ hours
- (z) Average volunteer labor hours per SHOP unit: _____ hours
- (aa) Maximum monthly housing payment: _____% of income
- (bb) Pre-purchase counseling: _____% of homebuyers
- (cc) Availability of post-purchase counseling: _____% of homebuyers in need of intervention
- (dd) Percent of affiliates monitored on site (if applicable): _____
- (ee) Percent of consortium members monitored on site (if applicable): _____
- (ff) Date of conveyance of all SHOP units: _____
- (gg) Other (optional; specify): _____

(2) SHOP Budget. You must submit a completed form HUD-424-CB “Grant Application Detailed Budget” and form HUD-424-CBW “Grant Application Detailed Budget Worksheet” that identify your total SHOP program budget and the sources and uses of your SHOP Grant and leveraged funds. The budget information on the HUD-424-CB and HUD-424-CBW must be consistent. Refer to SHOP NOFA Section V. A. Rating Factor 3.c. "SHOP Budget” for additional guidance.

(3) Pre-agreement Costs. You must identify any pre-agreement costs by type and amount that you propose to charge after the effective date of your SHOP Grant Agreement, including any pre-agreement costs you have authorized your affiliates to incur. Refer to SHOP NOFA Section IV.E.1. “Pre-agreement Costs” for additional guidance.

(4) SHOP Grant Schedule. You must submit a schedule, including milestones or benchmarks at reasonable intervals (monthly, quarterly, but no greater than every six months), for expending your proposed SHOP Grant funds, completing land acquisition, completing infrastructure improvements, constructing or rehabilitating your SHOP units, and conveying your SHOP units to eligible homebuyers. This schedule must be provided in an Appendix. This Appendix does not count towards the 25 page limit.

Your schedule must demonstrate that you will expend all of your SHOP Grant funds no later than the expiration of your proposed Grant Term (24 months for your organization including all consortium members, and 36 months for each affiliate that develops five or more SHOP units). Your schedule must also demonstrate that you will complete and convey all of your proposed SHOP units within a reasonable timeframe. HUD expects that you will complete and convey most of your SHOP units no later than one year after your Grant Term expiration. Refer to SHOP NOFA Section VI.A.4.a. “Grant Term” and SHOP NOFA Section V.A. Rating Factor 3 "Conveyance of SHOP Units” for additional guidance.

(5) Service Area. You must describe your national or regional service area. You must describe how you will ensure that you will use a significant amount of SHOP Grant funds in at least two states.

If you have selected your target areas or sites, you must identify the general location (county,

parish, state or region of the country). You must also describe how your target areas or sites serve areas with high housing cost burdens, rural areas, or areas that are populated by low-income families who are underserved by homeownership opportunities.

If you have not selected your target areas or sites, you must describe your selection criteria, including how your selection criteria will ensure that your target areas or sites will serve areas with high housing cost burdens, rural areas, or areas that are populated by low-income families who are underserved by homeownership opportunities.

(6) SHOP Units. You must state the total number of SHOP units that you propose to assist with your SHOP Grant. You must describe your proposed form or forms of ownership (e.g., fee simple or 99-year renewable lease). You must provide the estimated number of units or percentage of your total units for each form of ownership. You must describe whether you will undertake new construction, gut rehabilitation and/or other rehabilitation of your SHOP units. You must provide the estimated number of units or percentage of your total units for each type of development.

(7) Property Standards. You must describe how you will ensure that your completed SHOP units are decent, safe and sanitary non-luxury dwellings that comply with the SHOP property standards, including:

(a) State and local codes, ordinances, and zoning requirements. Refer to SHOP NOFA Section III.C.4.d. "Property Standards" for more guidance.

(b) Energy-efficiency requirements, including providing all SHOP homebuyers with guidance on the proper use and maintenance of the energy-saving features, appliances and products that have been installed in their units. Refer to SHOP NOFA Section III.C.4.e. "Energy-efficiency" for more guidance.

(c) Water conservation requirements, including providing all SHOP homebuyers with guidance on the proper use and maintenance of the water conservation products that have been installed in their units. Refer to SHOP NOFA Section III.C.4.f. "Water Conservation" for additional guidance.

(d) Accessibility requirements of Section 504 of the Rehabilitation Act of 1973 and HUD's implementing regulations at 24 CFR Part 8 concerning accessibility for qualified individuals with disabilities. SHOP units must be made accessible upon request of the homebuyer in accordance with 24 CFR 8.29. Refer to SHOP NOFA Section III.C.5.b. "Accessibility for Qualified Individuals with Disabilities" for more guidance.

(e) Any other property standards that will apply to your SHOP units.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(8) Homebuyer Income Eligibility. You must state the definition(s) of annual income you will use in your program. Refer to SHOP NOFA Section III.C.4.g. "Homebuyer Income Eligibility" for additional guidance.

(9) Sweat Equity. You must describe your program's requirements for sweat equity contributions from homebuyers. You must describe the types of tasks and the minimum number of sweat equity hours required from each homebuyer. You must describe any construction training and supervision you will provide to each homebuyer to ensure that the homebuyer is able to complete the assigned tasks in accordance with your standards, including property standards. You must describe your method or methods for valuing each homebuyer's sweat equity contribution, such as a uniform value per hour or value per task. Each method must be fair and reasonable. Each method should take into consideration the type of sweat equity

performed and the number of sweat equity hours contributed. If you will use more than one method, you must describe when each method will apply.

You must describe how you will inform each homebuyer about the sweat equity requirements and how his/her sweat equity contribution will be valued. You must quantify the total estimated minimum or average value of each homebuyer's sweat equity contribution. You must describe how you will provide reasonable accommodations for persons with disabilities. Refer to SHOP NOFA Section III.C.4.h. "Sweat Equity" for additional guidance.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(10) Volunteer Labor. You must describe your program's approach for involving volunteer labor. You must identify the projected sources of volunteer labor contributions and the types of tasks. You must describe any training and supervision you will provide to each volunteer to ensure that the volunteer is able to complete the assigned tasks in accordance with your standards, including property standards. You must provide an estimate of the average number of volunteer labor hours per SHOP unit.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(11) Homebuyer Financial Contribution. You must describe how you will ensure that SHOP homebuyers are not required to make any financial contribution towards the purchase of their SHOP units, other than cash contributed for a downpayment, and reasonable and customary closing costs. You must define "reasonable and customary closing costs."

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(12) Sale Price. You must describe how you will determine the sale price for your SHOP units. You must describe how you will ensure that the homebuyer can afford the SHOP unit or otherwise sustain homeownership for the term of the mortgage. You must describe how you will ensure that each SHOP unit is sold below the appraised value of the property. You must describe how you will account for the value of donated land, material and professional services when determining the sale price. You must describe whether you will account for the value of volunteer labor when determining the sale price. You must describe how you will ensure that each homebuyer receives the full value of the homebuyer's sweat equity as an equity contribution or credit towards the purchase of the homebuyer's SHOP unit. You must describe how you will ensure that the amount of any reasonable and customary closing costs is separately identified and not included in the sale price.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements

(13) Mortgages and Other Loans. You must describe how you will ensure that the homebuyer's sweat equity contribution will not be mortgaged or otherwise restricted upon future sale of the SHOP unit. You must describe how you will provide each homebuyer, at or before closing, unit-specific information on the cost and carrying charges of the homebuyer's SHOP unit that is similar to the information required for the HUD-1 "Settlement Charges."

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(14) Affirmative Furthering Fair Housing. You must describe your affirmative marketing requirements and procedures. You must describe the procedures and materials or services that you will use to reach potential homebuyers in your proposed housing market area, including

persons least likely to apply without special outreach. You must describe the alternative formats you will use to effectively reach persons with disabilities in accordance with the requirements of 24 CFR 8.6. Refer to SHOP NOFA Section III.C.5.a. "Affirmatively Furthering Fair Housing (AFFH)" for more guidance.

In addition, you must describe the reasonable steps you will take to ensure meaningful access to persons with limited English proficiency. Refer to HUD's "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Affecting Limited English Proficient Persons" (72 Fed. Reg. 2732, January 22, 2007) for assistance.

You must describe how you will encourage racial and ethnic diversity in the selection of your SHOP housing sites. If you will use a competitive process to select sites and/or affiliates, you must describe how your competitive selection criteria will consider racial and ethnic diversity.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(15) Economic Opportunities for Low- and Very Low-Income Persons (Section 3). You must describe your plans to train and employ Section 3 residents and contract with Section 3 business concerns. Refer to the General Section (Technical Correction) III.C.3.c. for more information.

(16) Financial Control Procedures. You must describe your financial control procedures, including how you will disburse and control funds that are provided to your consortium members and affiliates. You must describe how your financial control procedures comply with 24 CFR 84.21, "Standards for Financial Management Systems" and OMB Circular A-122 "Cost Principles for Non-Profit Organizations." When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information). You must address how your procedures will ensure:

- (a) Accurate, current, and complete disclosure of financial results of your SHOP program;
- (b) Adequate identification of the sources and application of your funds including information pertaining to federal awards, authorization, obligations, unobligated balances, assets, outlays, income and interest;
- (c) Effective control over and accountability for all of your funds, property and other assets so that all such assets will be adequately safeguarded and used solely for authorized purposes under your SHOP Grant;
- (d) Written procedures to minimize the time elapsing between the transfer of SHOP Grant funds to your organization from the U.S. Treasury and the issuance or redemption of checks, warrants, or payments by other means for program purposes (generally 3 days or as soon as possible thereafter) by your organization, and by your consortium members and affiliates;
- (e) Written procedures for determining the reasonableness, allocability, and allowability of costs in accordance with the requirements of OMB Circular A-122 "Cost Principles for Non-Profit Organizations" and the terms and conditions of your SHOP Grant award; and
- (f) Accounting records including cost accounting records that are supported by source documentation.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with 24 CFR 84.21, "Standards for Financial Management Systems" and your financial control procedures.

(17) Affiliates (if applicable). You must state whether you propose to use affiliates to undertake your SHOP activities. If you propose to use affiliates, you must provide a list of all participating affiliates including each affiliate's full name, service area, location (city, county or parish and state), proposed funding request, and the number of SHOP units that the affiliate anticipates constructing or rehabilitating should you receive FY2014 SHOP Grant funds. If you are a consortium, you must also identify the consortium member to which each affiliate is linked. You must identify whether each affiliate has previously participated in your SHOP or self-help homeownership housing program and whether the performance of these affiliates has been timely and in compliance with your requirements. If you propose to fund an affiliate that has encountered performance or compliance issues, you must explain what has changed that makes you want to include this affiliate in your FY2014 SHOP program. This list must be provided in an Appendix. This Appendix does not count towards your 25 page limit.

If you will select your affiliates after your application submission, you must survey your potential affiliates and describe the specific criteria you will use to select your affiliates. You must provide the full name of the affiliates surveyed, service area, location (city, county or parish and state), proposed funding need, and the number of SHOP units each affiliate anticipates constructing or rehabilitating should you receive FY2014 SHOP Grant funds. This list must be provided in an Appendix. This Appendix does not count towards your 25 page limit.

(18) Mutual Self-help Housing Programs (if applicable). You must describe whether your SHOP program will involve a mutual self-help housing program. You must identify the mutual self-help housing program(s) and provide the estimated number of units or percentage of your total units that will also be assisted by each mutual self-help housing program.

A mutual self-help housing program generally involves four to ten participating families organized in a group who complete construction work on their homeownership housing units by an exchange of labor with one another, such as the U.S. Department of Agriculture's Rural Housing Services/Rural Development program under section 523 of the Housing Act of 1949 (7 CFR part 1944, subpart I). Homebuyers perform labor on their own units and on the units of other participating families. A homebuyer's labor hours may count either towards sweat equity contributions or volunteer labor contributions, but each hour must only count once.

(19) Monitoring Schedule. You must submit a schedule, including milestones or benchmarks at reasonable intervals (monthly, quarterly, but no greater than every six months), for monitoring your SHOP program for compliance with your SHOP Grant Schedule and this NOFA (including compliance with the cross-cutting federal requirements). Your schedule must show how many distance monitoring reviews and on-site monitoring reviews you will conduct each year during your Grant Term. You must describe your criteria for selecting your sites for each type of monitoring review. If you have consortium members or affiliates, you must monitor each consortium member and affiliate at least once during your Grant Term. You must conduct more than 50 percent of these monitoring reviews on-site. Your schedule also must include any additional distance monitoring reviews and on-site monitoring reviews that you will conduct after your SHOP Grant Term has ended but before your SHOP Grant Final Close Out. This schedule must be provided in an Appendix. This Appendix does not count towards the 25 page limit.

(20) Typical SHOP Unit Table. You must use the following table (or a similar table) to demonstrate your approach to valuing sweat equity; valuing donated land, materials and professional services; valuing volunteer labor contributions; establishing your SHOP unit sale price; and determining the mortgage and/or other loan amount for a typical SHOP unit. You must enter your estimated or average cost, value or amount. If your SHOP Program Design involves other local, state or federal subsidies (such as HOME or USDA), you must specify the source and the estimated per-unit subsidy amount. You must indicate whether these estimates

are based on the actual results of your prior SHOP or self-help homeownership housing program, or are based on your proposed SHOP Program Design. This table is not a budget form. HUD will use this table to evaluate your SHOP Program Design and determine that your proposed SHOP program is in compliance with the requirements of this NOFA. This Table must be provided in an Appendix. This Appendix does not count towards the 25 page limit.

TABLE: Typical SHOP Unit

Per Unit	Average Cost, Value or Amount	Value of Donations	Value of Volunteer Labor	Final Cost, Value or Amount*	Comments
Land Acquisition					
Infrastructure Improvements					
Construction or Rehabilitation					
Other (Specify)					
TOTAL COST					
SHOP Investment Subsidy					
Other Subsidy (Specify)					
TOTAL SUBSIDY					
SALE PRICE					
APPRAISED VALUE					
Homebuyer Sweat Equity					
Other Homebuyer Equity (Specify)					
TOTAL HOMEBUYER EQUITY					
Reduced Homebuyer Sale Price; and/or					
Homebuyer Credit towards Sale Price					
Closing Costs (Specify)					
Other Homebuyer Costs (Specify)					
Mortgage					
Other Loans					
Other Restrictions (Specify)					

Other Affordability Savings over the Life of the Mortgage (Specify)					
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* If you will reduce the final SHOP unit cost by the value of donations or volunteer labor, the Final Cost, Value or Amount should reflect this reduction.

d. Rating Factors (30 page limit or 35 page limit for a consortium). The six SHOP NOFA Rating Factors are identified in SHOP NOFA Section V.A. "Review Criteria." You must address the six Rating Factors in your Rating Factor narrative statements, and in the required Appendices.

e. Appendices (no page limit). You must submit the Appendices that are required by this NOFA. Refer to SHOP NOFA Section VIII. "Other Information" for a list of Appendices.

f. Certifications and Assurances (no page limit). By electronically signing the SF-424 cover page, your Authorized Organization Representative (AOR) is certifying that the statements in your application are true, complete and accurate to the best of his/her knowledge, and that you will comply with the requirements of the General Section and this NOFA. If it is later determined that the signatory to the application submission knowingly made a false certification or assurance or did not have the authority to make a legally binding commitment for the applicant, you may be subject to criminal prosecution, and the Department may terminate your award or pursue other available remedies.

The AOR is also certifying that should you receive a SHOP Grant award, you will administer your award in compliance with the requirements of the General Section, this NOFA, and your SHOP Grant Agreement, and that you will implement your SHOP program in accordance with your approved application (including your budget, SHOP Grant schedule and monitoring schedule) as may be modified or amended and approved by HUD.

Refer to the General Section IV.E.2 "Application Certifications and Assurances."

Forms for your package include the HUD standard forms outlined below:

C. Application Submission Dates and Times.

Application Deadline.

Submit your application to Grants.gov unless a waiver has been issued allowing you to submit your application in paper form. Instructions on submitting your application to Grants.gov are contained within the Application Package you downloaded from Grants.gov.

The application deadline is 11:59:59 p.m. Eastern time on 09/04/2014. Applications must be received no later than the deadline. Please refer to the General Section for more information about timely receipt of applications.

Applications must be received no later than the deadline. Please refer to the General Section for more information about timely receipt of applications.

Your application must be **both received and validated** by Grants.gov. Your application is "received" when Grant.gov provides you a confirmation of receipt and an application tracking number. **If you do not see this confirmation and tracking number, your application has not been received.**

After your application has been received, your application still must be validated by Grants.gov. During this process, your application may be "validated" or "rejected with errors." To know whether your application was rejected with errors and the reason(s) why, you must log into Grants.gov, select "Applicants" from the top navigation, and select "Track my application" from the drop-down list. If the

status is “rejected with errors,” you have the option to correct the error(s) and resubmit your application before the Grace Period ends. **If your application was “rejected with errors” and you do not correct these errors, HUD will not review your application.** If your status is “validated” your application will be forwarded to HUD by Grants.gov.

Grace Period for Grant.gov Submissions: If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of one day beyond the application deadline to submit a corrected application that is received and validated by Grants.gov. Any application submitted during the grace period that does not meet the criteria above will not be considered for funding. There is no grace period for paper applications. See the General Section for more information about the grace period.

If you are required to submit supporting documentation you may either scan and attach these documents to your electronic application package or submit them via fax. If supporting documents are submitted by fax, you must use the HUD-96011 Facsimile Transmittal Form as a cover page; this form is located in your Application Package. You must send any faxes to the toll-free number **800-HUD-1010**. If you cannot access the toll-free number or experience problems using that number you may use **215-825-8798** (this is not a toll-free number). If you or any other parties submitting documents for this application do not use the form HUD-96011 that came with your application as the fax cover page, the documents cannot be matched to the application. Consequently, these documents will not be considered when the application is evaluated. Additionally, if your fax machine creates a cover page, you must turn this feature off.

Amending a Validated Application: If you resubmit an application that was previously validated by Grants.gov, all documents faxed in support of the application must be faxed again using the form HUD-96011. You must fax the materials after the resubmitted application has been validated by Grants.gov. All faxed materials must be received by the applicable deadline.

D. Intergovernmental Review.

This program is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

E. Funding Restrictions.

1. Pre-agreement Costs. On or after the publication date of this NOFA, you may incur eligible pre-agreement costs for your SHOP activities. You may charge these costs to your SHOP Grant after the effective date of your SHOP Grant Agreement.

Pre-agreement costs must be incurred for an eligible SHOP activity, be consistent with your approved SHOP application, and be in compliance with the requirements of this NOFA (including relocation and environmental review requirements). Eligible pre-agreement costs are:

- a.** Land acquisition, including eligible financing and closing costs, provided these costs are incurred on or after the publication date of this NOFA.
- b.** Infrastructure improvements, excluding financing or closing costs, provided these costs are incurred on or after:
 - (1)** the publication date of this NOFA, and
 - (2)** the completion of the required environmental review process, including HUD approval of a Request for Release of Funds where applicable.
- c.** Reasonable and necessary planning, administration and management costs for implementing your proposed SHOP program, provided these costs are incurred on or after the publication date of this NOFA.

You incur a pre-agreement cost on the date that you incur the actual activity cost such as when you execute a contract to purchase land or to undertake infrastructure improvements, or take other actions that require payment for an eligible activity.

You may authorize your affiliates to incur eligible pre-agreement costs, provided your authorization is in writing.

You and your affiliates incur pre-agreement costs at your own risk. If you do not receive a SHOP Grant, if your activities do not successfully complete the required environmental review process, or if your activities otherwise fail to meet the SHOP requirements, you and your affiliates must not use your SHOP Grant funds to reimburse your pre-agreement costs.

2. Eligible Costs. You must only use SHOP Grant funds for the cost of eligible activities identified in SHOP NOFA Section III.C.4.c. "Eligible Activities."

3. Allowable costs. You must only use SHOP Grant funds for costs that are allowable in compliance with the requirements of OMB Circular A-122 "Cost Principles for Non-Profit Organizations." When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information).

4. Ineligible Costs. You must not use SHOP Grant funds for costs associated with ineligible activities. Ineligible activities include:

- a. Any activity or cost that is not eligible in accordance with this NOFA.
- b. Pre-agreement costs that do not meet all of the SHOP requirements, including any pre-agreement cost that was:
 - (1) not identified in your SHOP application.
 - (2) incurred prior to the publication date of this NOFA.
 - (3) was incurred by your affiliate and the pre-agreement cost was not approved in writing by you prior to the incurrence of this cost.
- c. Land acquisition costs for land that is owned by the Grantee or the Grantee's affiliate before the date of the SHOP Grant Agreement (except when eligible as a pre-agreement cost).
- d. Land acquisition costs for land banking purposes (i.e. holding land for an indefinite period).
- e. Land acquisition costs for acquisition that does not comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA).
- f. Refinancing costs for land that you or your affiliate acquired before the publication date of this NOFA.
- g. Infrastructure improvement costs that you or your affiliate incurred before the publication date of this NOFA or before the completion date of the required environmental review process and HUD approval of a Request for Release of Funds, where applicable.
- h. Financing and closing costs for loans that you or your affiliate used to finance infrastructure improvement costs.
- i. Land acquisition costs for land that is not owned by you or your affiliate.
- j. Infrastructure improvement costs for land that is not owned by you or your affiliate.
- k. Demolition costs (except that the removal of environmental hazards is an eligible infrastructure improvement cost).
- l. Development costs that are not land acquisition or infrastructure improvement costs, such as building permitting fees, property taxes during the construction period, performance bonds, and

landscaping.

m. Impact fees that do not constitute payment for land acquisition and infrastructure improvements and are not required by a governmental entity authorized to impose such a fee.

n. Construction, rehabilitation, or improvement costs of any dwelling unit.

o. Planning, administration, and management costs that are not related to your SHOP Grant.

p. Planning, administration and management costs that exceed the amount approved by HUD.

q. Unallowable costs in accordance with the requirements of OMB Circular A-122 "Cost Principles for Non-Profit Organizations," such as alcoholic beverages, bad debts, advertising (other than help-wanted advertisements), contributions, entertainment, fines, and penalties. When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information).

r. Indirect costs that are not incurred in accordance with the requirements of OMB Circular A-122 "Cost Principles for Non-Profit Organizations." When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information).

s. Lobbying activity costs.

t. Homebuyer pre-purchase counseling and post-purchase counseling costs.

5. Other Restrictions. The average SHOP expenditure for the combined costs of land acquisition and infrastructure improvements must not exceed \$15,000 per dwelling unit.

F. Other Submission Requirements.

Lead Based Paint Requirements

When providing housing assistance funding for purchase, lease, support services, operation, or work that may disturb painted surfaces, of pre-1978 housing, you must comply with the lead-based paint evaluation and hazard reduction requirements of HUD's lead-based paint rules (Lead Disclosure; and Lead Safe Housing (24 CFR part 35)), and EPA's lead-based paint rules (e.g., Repair, Renovation and Painting; Pre-Renovation Education; and Lead Training and Certification (40 CFR part 745)).

When providing education or counseling on buying or renting housing that may include pre-1978 housing, when required by regulation or policy, inform clients of their rights under the Lead Disclosure Rule (24 CFR part 35, subpart A), and, if the focus of the education or counseling is on rental or purchase of HUD-assisted pre-1978 housing, the Lead Safe Housing Rule (subparts B, R, and, as applicable, F - M).

Submission Requirements. You must meet all submission requirements and instructions described in the **General Section**. Refer to General Section IV. "Application and Submission Information" for detailed submission instructions, including methods and deadlines for submission.

1. Waiver of the Electronic Submission Requirement. You must submit your application electronically via [Grants.gov](https://www.hud.gov/grants) or request a waiver of the electronic application submission requirement from HUD. If HUD grants you a waiver, your paper application must be received at HUD Headquarters by the application deadline date. Refer to the **General Section** IV. A.3. "Waiver of Electronic Submission Requirements." If HUD does not grant you a waiver, you must follow the instructions for electronic application submission. You must submit your waiver request, including your justification, in writing using e-mail or fax. You must submit your waiver request no later than 15 days prior to the application

deadline date. Waiver requests must be submitted to: SHOP Program, Application Waiver Request, Office of Affordable Housing Programs or by e-mail: martha.w.murray@hud.gov or by fax: (202) 708-1744. If HUD grants you a waiver, you must submit your paper application in accordance with the requirements stated in HUD's waiver approval.

2. Paper Applications. A paper application will not be accepted from an applicant that has not been granted a waiver of the electronic application submission requirement. If HUD has granted you a waiver, your paper application must be received by HUD on or before the application deadline date.

3. Facsimiles and Videos. HUD will not accept an entire application sent by facsimile (fax). However, third-party documents or other materials sent by facsimile in compliance with the requirements for facsimile transmission contained in the General Section IV. are permitted. All facsimile transmissions must be received by the deadline date and time. Videos cannot be submitted via the Grants.gov system and will not be accepted as a separate submission. Any video submitted as part of an application will not be viewed.

V. Application Review Information

A. Review Criteria.

A.1. Rating Factors.

Rating Factors (30 page limit or 35 page limit for a consortium)

There are six Rating Factors. You should carefully read each Rating Factor and respond clearly to each requested item. Failure to provide a complete response will result in a reduced rating score.

The maximum rating score is 100 points.

You are limited to a total of 30 pages, unless you are a consortium. A consortium may have an additional 5 pages, for a total limit of 35 pages. You are limited to 4 pages to address Rating Factor 2 "Need/Extent of Problem."

Unless otherwise stated under the applicable Rating Factor, HUD will only review and rate the information that you submit in response to the six Rating Factors, the "SHOP Grant Schedule" required by SHOP NOFA Section IV.B.4.(c)(4), the SHOP Monitoring Schedule required by SHOP NOFA Section IV.B.4.(c)(19), and the "Typical SHOP Unit Table" required by SHOP NOFA Section IV.B.4.(c)(20).

HUD will not review and rate any information that is not required by this NOFA or any information that is contained in pages that exceed the applicable page limits.

Factor 1: Capacity of the Applicant and Relevant Organizational Staff

Maximum Points: 35

This Rating Factor evaluates the extent to which you demonstrate the capacity to carry out your proposed SHOP activities in an effective and timely manner and in compliance with the requirements of this NOFA. HUD will consider your past performance, program management, and financial management. Any applicant that does not receive at least 20 points for this Rating Factor will not be eligible for funding.

Content Requirements for Rating Factor 1

a. Past Performance (up to 15 points).

(1) Applicants that have been awarded SHOP Grants during the previous five year period.

You must summarize your performance in carrying out each SHOP Grant that you were awarded during the previous five year period. HUD will also consider your SHOP Grant performance reports and other data that are available to HUD, including monitoring reports, program vouchers, audit reports, and SHOP Grant Close Out reports.

(a) Five Year Period. You must identify the dates for your five year period. Your five year period should end as close as possible to the submission of your SHOP application.

(b) Grant Performance. You must list each SHOP Grant that you were awarded during the five year period. For each SHOP Grant you must provide the following status information. You may provide this information in a chart format.

(i) Deobligated and Returned Funds. You must state whether HUD deobligated any of your SHOP Grant funds for failure to meet your SHOP Grant Term, and whether you returned any funds because of monitoring findings or other program deficiencies. You must state whether any other funding entity deobligated any funds for failure to meet your drawdown and/or implementation schedules. You must state whether you returned any funds to any other funding entity because of monitoring findings or other program deficiencies.

(ii) Units. You must specify the number of SHOP units that you started, completed and conveyed to eligible homebuyers. You must specify the percent of units completed and conveyed by your Grant Term expiration date. You must specify the percent of units completed and conveyed within 24 months from your SHOP Grant Term expiration date. You must provide the average annual income and family size characteristics of the homebuyers you served. You must provide the racial and ethnic characteristic of these homebuyers. You must provide the average sweat equity value each homebuyer received at the time of purchase. You must also provide the average number of volunteer labor hours per unit. You must describe whether you achieved your goals for assisting underserved groups. You must describe the actions you took or are taking to overcome any gaps.

(iii) Target Dates. You must state whether you missed any performance milestones, benchmarks or other target dates, and the reasons. You must describe the actions you took or are taking to address any delays.

(iv) Affiliates. If you used affiliates, you must identify any affiliates that failed to meet their milestones, benchmarks or other target dates. You must identify any affiliates that had compliance issues. You must describe the actions you took or are taking to address these performance and/or compliance issues.

(v) Consortium. If you are a consortium, you must identify any consortium members that failed to meet their milestones, benchmarks or other target dates. You must identify any consortium members that had compliance issues. You must describe the actions you took or are taking to address these performance and/or compliance issues.

(c) Completion of Old Grants. If you have any SHOP Grants that were awarded before the five year period and have not achieved SHOP Grant Final Close Out, you must identify these SHOP Grants. For each open SHOP Grant you must state the minimum number of units required, the number of units for which you have invested SHOP funds, the number of units that have been conveyed, and the number of units that remain to be conveyed. You must describe the actions you are taking to complete and convey the remaining units and your target date for SHOP Grant Final Close Out. You may provide this information in a chart format.

(d) Audit. You must identify the date of your last audit and when the next audit is due. If your

audit is overdue, you must describe the reasons. You must describe any SHOP related audit findings and the actions you took or are taking to resolve these findings.

(2) Applicants that have not been awarded SHOP Grants during the previous five year period. You must summarize your performance in carrying out your self-help homeownership housing activities during the previous five year period. Your narrative summary must be supported by existing internal or external performance reports, monitoring reports, audits or similar documents that demonstrate your performance and compliance. HUD will consider these documents in evaluating your past performance. These performance documents must be included in an Appendix. This Appendix does not count towards your application page limits.

(a) Five Year Period. You must identify the dates for your five year period. Your five year period should end as close as possible to the submission of your SHOP application.

(b) Program Performance. You must list each self-help homeownership housing program that you undertook during the five year period. For each program you must provide the following status information. You may provide this information in a chart format.

(i) Deobligated and Returned Funds. You must indicate whether any funding entity deobligated any funds for failure to meet your drawdown and/or implementation schedules. You must indicate whether you returned any funds to any funding entity because of monitoring findings or other program deficiencies.

(ii) Units. You must identify the number of self-help homeownership units that you started, completed and conveyed to eligible homebuyers. You must provide the average annual income and family size characteristics of the homebuyers you served. You must provide the racial and ethnic characteristic of these homebuyers. You must provide the average sweat equity value each homebuyer received at the time of purchase. You must also provide the average number of volunteer labor hours per unit. You must describe whether you achieved your goals for assisting underserved groups. You must describe the actions you took or are taking to overcome any gaps.

(iii) Target Dates. You must identify whether you missed any performance milestones, benchmarks or other target dates, and the reasons. You must describe the actions you took or are taking to overcome any delays and obstacles.

(iv) Affiliates. If you used affiliates, you must identify any affiliates that failed to meet their milestones, benchmarks or other target dates. You must identify any affiliates that had compliance issues. You must describe the actions you took or are taking to address these performance and/or compliance issues.

(v) Consortium. If you are a consortium, you must identify any consortium members that failed to meet their milestones, benchmarks or other target dates. You must identify any consortium members that had compliance issues. You must describe the actions you took or are taking to address these performance and/or compliance issues.

(c) Audit. You must identify the date of your last audit and when the next audit is due. If your audit is overdue, you must describe the reasons. You must describe any audit findings and the actions you took or are taking to resolve these findings.

b. Program Management Capacity (up to 10 points).

(1) Procedures. You must describe how you will ensure that you and your affiliates have the capacity to manage your SHOP program in a timely, effective, and compliant manner in accordance with the requirements of this NOFA and your SHOP program design.

(2) Organization. You must describe your organization's program management structure. You must describe the specific roles and responsibilities of your program management staff.

(3) Organizational Chart. You must provide an organizational chart that identifies all key management positions and the names and positions of all staff who will manage your SHOP program. Do not include individual Social Security Numbers in your application. Your organizational chart must be included in an Appendix. This Appendix does not count towards your application page limits.

(4) Capacity. You must briefly describe the skills and capacity of your program management staff. You must indicate whether you have any program management staffing or skills gaps. If you have any gaps you must discuss how you plan to address these gaps. If you are a consortium, you must provide this information for both the lead entity and each consortium member. You must also describe your procedures for coordinating the program management activities of your consortium members.

(5) Affiliates. If you propose to use affiliates, you must identify the staff that will manage and oversee the performance of your affiliates. You must describe the criteria you will use to ensure that each affiliate has adequate program management procedures that comply with your program management standards. You must describe the criteria you will use to ensure that each affiliate has adequate program management capacity. You must describe what corrective actions you will take to address any deficiencies. You must describe any technical assistance you will provide.

If you are a consortium, you must describe how each affiliate will be linked to an individual consortium member that will have oversight responsibility for that affiliate.

c. Financial Management Capacity (up to 10 points).

(1) Procedures. You must describe how you will ensure that you have the capacity to comply with the requirements of 24 CFR 84.21 “Standards for Financial Management Systems.” You may reference your response to NOFA Section IV.B.4.c.(16) “Financial Control Procedures.” When HUD issues updated regulations, you must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information).

(2) Organization. You must describe your organization’s financial management structure. You must describe the specific roles and responsibilities of your financial management staff.

(3) Organizational Chart. You must provide an organizational chart that identifies all key management positions and the names and positions of all staff who will manage the financial compliance of your SHOP program. Do not include individual Social Security Numbers in your application. Your organizational chart must be included in an Appendix. This Appendix does not count towards your application page limits.

(4) Capacity. You must briefly describe the skills and capacity of your financial management staff. You must indicate whether you have any financial management staffing or skills gaps. If you have any gaps you must discuss how you plan to address these gaps.

If you are a consortium, you must provide this information for both the lead entity and each consortium member. You must also describe your procedures for coordinating the financial management activities of your consortium members.

(5) Affiliates. If you propose to use affiliates, you must identify the staff that will manage and oversee the financial compliance of your affiliates. You must describe the criteria you will use to ensure that each affiliate has adequate financial management capacity. You must describe the criteria you will use to ensure that each affiliate has adequate financial procedures and controls that comply with your financial management standards and the requirements of 24 CFR 84.21 “Standards for Financial Management Systems.” When HUD issues updated regulations, your affiliates must comply with these regulations (refer to SHOP NOFA Section VI.B.6. "Standards for Administrative and Financial Control" for more information). You must describe what corrective

actions you will take to address any deficiencies. You must describe any technical assistance you will provide.

Rating Factor 2: Need/Extent of the Problem

Maximum Points: 5

This Rating Factor evaluates the extent to which you demonstrate a need for self-help homeownership housing in your proposed service areas. HUD will consider the housing problems in each of your service areas that will be addressed by your SHOP program and the extent to which you demonstrate the need for SHOP Grant funds.

Content Requirements for Rating Factor 2 (four page limit)

a. Extent of Need for Affordable Homeownership Housing (up to 4 points).

(1) Demonstration of Need. You must demonstrate the need for affordable homeownership housing in your service area by providing reliable statistical data on the lack of affordable homeownership opportunities for households with less than 30 percent of adjusted median income (AMI), over 30 percent to 50 percent AMI, and over 50 percent to 80 percent AMI. You must demonstrate the need for affordable housing for other underserved low-income groups, especially minority households, households with children, and households in rural areas. Statistical data can include low homeownership rates; high foreclosure rates; housing cost burdens; and lack of standard housing including overcrowding, housing age, housing deterioration, inadequate housing infrastructure, inadequate utilities, or other severe physical problems. To the extent information is available, you must describe the need for physically accessible homes.

You must also identify the need to address any evidence of housing discrimination and any need for housing shown in the local Analysis of Impediments to Fair Housing Choice (AI) for jurisdictions located within your service area.

(a) Applicants that have been awarded SHOP Grants during the previous five year period. If your service area remains unchanged, you may resubmit documentation provided in your prior SHOP NOFA application that was based on U.S. Census data and other information issued within the last five years prior to the issuance date of this NOFA.

(b) Applicants that have not been awarded SHOP Grants during the previous five year period or applicants whose service areas have changed. You must submit the documentation required to address this Rating Factor.

(2) Data. National applicants must, at a minimum, use regional-level data to demonstrate the need for affordable homeownership housing. Regional applicants must, at a minimum, use state-level data to demonstrate the need for affordable homeownership housing. If you plan to select some or all of your affiliates after your application submission, you must survey your potential affiliates to gain an understanding of the regional-level or state-level housing problems in the individual affiliate areas and describe those housing problems in your application.

General, national-level data should not be used unless you also use regional-level or state-level data to supplement the national data. Your data must be recent. "Recent" means the most recent updated U.S. Census data, and other information and data issued within the last five years prior to the issuance date of this SHOP NOFA, including data contained in State or local Consolidated Plans and Analysis of Impediments to Fair Housing Choice (AI) for jurisdictions located within your service area. You must cite the sources for your data.

b. Extent of Need for SHOP Grant Funds (1 point). You must describe your need for the amount of SHOP Grant funds you request. You must identify any program funding gap. You must describe why SHOP Grant funds are required to fill this funding gap.

This Rating Factor evaluates the quality and soundness of your approach to carrying out your proposed SHOP activities. HUD will consider the adequacy and effectiveness of your program design for addressing the need for affordable self-help homeownership housing; your schedule for selecting your local affiliates (if applicable), your schedule for conveying your SHOP units; your budget; your procedures for overseeing the performance of your SHOP program; your procedures for overseeing the compliance of your SHOP program; and your employment and job training opportunities for local area residents and businesses.

Content Requirements for Rating Factor 3

a. SHOP Program Design (up to 15 points).

(1) Addressing Need. You must describe how your proposed SHOP Program Design and Scope of Work will address the need for affordable homeownership housing that you identified in Rating Factor 2, including the need for physically accessible homes, and any need for housing shown in local Analyses of Impediments to Fair Housing Choice (AI). You must discuss to what extent your program will target various low-income groups, including households with less than 30 percent of adjusted median income (AMI), over 30 percent to 50 percent AMI, and over 50 percent to 80 percent AMI. You must discuss to what extent your program will target other underserved low-income groups, especially minority households, households with children, and households in rural areas.

(2) Affordability. You must describe the standards or criteria you will use to ensure that each homebuyer can afford their SHOP unit at the time of purchase and how you will help each homebuyer sustain homeownership during the long term. You must describe any standards that you will use to limit the monthly housing cost burden of your homebuyers.

If you will use affiliates, you must describe how you will ensure that you affiliates will comply with your requirements.

(3) Counseling. You must describe whether you will provide pre-purchase homebuyer counseling, and whether this counseling will be optional or required for all SHOP homebuyers. You must identify who will provide the pre-purchase counseling and what general topics or skills will be required. You must identify the percent of homebuyers who will receive each type of pre-purchase counseling.

If you will use affiliates, you must describe how you will ensure that you affiliates will comply with your requirements.

(4) Post-purchase Assistance. You must describe whether you have mechanisms in place to identify homebuyers who are in danger of defaulting on their loans. You must describe whether you will provide post-purchase homebuyer counseling or other types of post-purchase interventions or assistance to help these homebuyers maintain homeownership. You must identify who will provide this post-purchase counseling, interventions or assistance and the type of assistance provided. You must identify the percent of homebuyers who will have access to each type of post-purchase counseling, interventions or assistance.

If you will use affiliates, you must describe how you will ensure that your affiliates will comply with your requirements.

(5) Sweat Equity Value. You must describe the method or methods you will use to ensure that each homebuyer's sweat equity contribution is valued fairly and reasonably, including whether each method will take into consideration the type of sweat equity performed and the number of sweat equity hours contributed. If you will use an hourly method, you must indicate the hourly rate you will use. For each method, you must provide an estimate of the minimum value of each

homebuyer's sweat equity contribution. If you will use more than one method, you must identify when each method will be used. You must describe how you will ensure that each homebuyer understands how his/her sweat equity contribution will be valued and credited towards the purchase of his/her home. You must describe how the sweat equity credit that each homebuyer will earn, will make that homebuyer's home more affordable.

If you will use affiliates, you must describe how you will ensure that you affiliates will comply with your method or methods.

(6) Accessibility. You must provide the estimated number of units or percentage of your total units that will be accessible. You must provide the estimated number of units or percentage of your total units that will be visitable.

(7) Inspection Procedures. You must describe your building inspection procedures for verifying compliance with your property standards; state and local codes, ordinances, and zoning requirements; and the other property standards requirements of this NOFA.

If you will use affiliates, you must describe how you will ensure that you affiliates will comply with your requirements.

b. Schedules for Selection of Affiliates and Conveyance of SHOP units (up to 5 points). HUD will consider your past performance in rating this Factor. You must submit the following schedules.

(1) Selection of Affiliates (if applicable). You must identify your SHOP affiliates or provide a schedule that demonstrates the timely selection of your SHOP affiliates from those listed in your SHOP application Appendix. HUD will deduct points for an incomplete or inadequate submission.

(2) Conveyance of SHOP units. You must provide a schedule for the conveyance of all of your SHOP units. Your schedule must include interim milestones or benchmarks against which HUD can measure your progress. You must describe why your schedule is realistic, given your past performance. You must identify the percentage and number of SHOP units you propose to complete and to convey by your proposed Grant Term expiration (24 months for your organization and 36 months for each affiliate that develops five or more SHOP units). You must identify the percentage and number of SHOP units you propose to complete and to convey one year after your Grant Term expiration. HUD anticipates that you will convey most of your SHOP units no later than one year after your Grant Term expiration.

c. SHOP Budget (up to 5 points).

(1) HUD-424-CB. You must submit a detailed SHOP budget on the form HUD-424-CB "Grant Application Detailed Budget." You must submit a separate HUD-424-CB for Year 1, Year 2, Year 3 and "All Years."

(2) HUD-424-CBW. You must submit a HUD-424-CBW "Grant Application Detailed Budget Worksheet" that supports your HUD-424-CB "All Years" budget total. Budget amounts on the HUD-424-CB and HUD-424-CBW must agree, and must be consistent with amounts stated elsewhere in your SHOP application. Your budget estimates must include the costs of complying with the SHOP program and statutory requirements, including energy-efficiency, water conservation, lead safety, and accessibility.

(a) Leveraged Funds. You must include a separate column or columns for leveraged funds. On the summary "Analysis of Total Estimated Costs," you must enter the total of all Leveraged funds on the "Match" line.

(b) Budget Line Items. You must include a budget line item under the appropriate budget category for each proposed activity funded by both your SHOP funds and your leveraged funds (i.e. land acquisition, infrastructure improvements, construction, rehabilitation, and planning, administration and management). You must include separate budget line items for

distance monitoring and for on-site monitoring of your SHOP activities (including monitoring of your consortium members and affiliates). If you or your affiliates propose pre-purchase homebuyer counseling and/or post-purchase homebuyer interventions, you must also include separate budget line items for providing each type of counseling (Note: pre-purchase and post-purchase interventions must be financed with leveraged funds).

If the values of donations (land, materials and professional services), and/or volunteer labor contributions are included in your total budget, you must include a separate budget column for the value of each type of contribution. If the value of the homebuyer sweat equity contribution is included in your total budget, you must include a separate budget column for this value (note: each homebuyer must receive the full value of the homebuyer's sweat equity contribution as an equity contribution towards the purchase of the homebuyer's SHOP unit).

(3) Indirect Cost Rate. You must also identify your federally approved indirect cost rate, if applicable.

d. SHOP Program Performance Procedures (up to 5 points). You must demonstrate that you have adequate procedures to ensure that you and your affiliates are performing in a timely and effective manner.

(1) Procedures. You must describe your procedures for ensuring that your SHOP program performance and the performance of your affiliates are timely and effective. If you are a consortium, you must describe your procedures for ensuring that the SHOP program performance of each consortium member is timely and effective. You must describe the program performance measures and indicators you will use to determine whether you or your affiliates are at risk of failing to meet your performance goals, schedules and deadlines. You must describe any routine reports you will use to track and evaluate your SHOP program performance, including any reports that must be submitted by your consortium members and your affiliates.

(2) Corrective Actions. You must describe your procedures for addressing any performance failure. You must describe how and when you will shift funds among projects, your consortium members, and your affiliates in order to ensure timely and effective use of your SHOP Grant funds. You must describe any other corrective actions you will take.

e. SHOP Program Compliance Procedures (up to 5 points). You must demonstrate that you have adequate procedures to ensure that you and your affiliates are performing in compliance with the requirements of this NOFA.

(1) Procedures. You must describe your procedures for ensuring that your SHOP program performance and the performance of your affiliates are in compliance with the requirements of this NOFA and your SHOP Program Design. If you are a consortium, you must describe your procedures for ensuring that the SHOP program performance of each consortium member is compliant. You must describe the program compliance measures and indicators you will use to determine whether you or your affiliates are at risk of failing to comply with any requirements, including the eligible use of SHOP Grant funds, other SHOP program requirements, and other applicable federal requirements. You must describe any routine reports you will use to track and evaluate your SHOP program compliance, including any reports that must be submitted by your consortium members and your affiliates.

(2) Corrective Actions. You must describe your procedures for addressing any compliance failure. You must describe the corrective actions you will take.

f. Technical Assistance (if applicable). If you propose to use affiliates, you must identify whether you will fund inexperienced affiliates. You must describe the technical assistance and other efforts you will employ to mentor these affiliates and develop their capacity to complete their SHOP Grant-assisted units in accordance with your SHOP program requirements. HUD will deduct points for an incomplete

or inadequate submission.

g. Employment Opportunities (up to 2 points). You must describe how you and your affiliates will provide employment and job training opportunities for local area residents and businesses. You must describe your outreach to local area residents and businesses. You must describe whether you will provide employment and job training opportunities that exceed the minimum Section 3 requirements (consistent with existing federal, State and local laws and regulations). You must describe whether you will award new contracts for construction projects that exceed the minimum Section 3 requirements. Refer to SHOP NOFA Section III.C.5.c. “Economic Opportunities for Low- and Very- Low-Income Persons” for guidance.

Rating Factor 4: Leveraging Resources

Maximum Points: 10

This Rating Factor evaluates your ability to secure firm commitments of leveraged resources to implement your proposed SHOP activities. HUD will consider your previous success in securing leveraged resources, and your strategy for securing the amount of firm commitments you need in order to develop the number of SHOP units you propose in your SHOP application.

Leveraged resources include grants, loans, in-kind contributions, donated land, donated construction materials, and donated professional services. Leveraged resources do not include the dollar value of homebuyer sweat equity and volunteer labor contributions. Leveraged resources do not include mortgage financing provided to homebuyers, except for financing provided through the U.S. Department of Agriculture’s Section 502 program for direct loans to homebuyers as part of a mutual self-help homeownership housing program.

Firm commitments do not include unsigned, undated, or outdated documents; documents only expressing general support of your organization or your SHOP application; documents that do not state the dollar value of the leveraged resources; or documents that do not link the leveraged resources to your FY2014 SHOP application or specific projects in your application.

Content Requirements for Rating Factor 4

a. Success in Obtaining Leveraged Resources (up to 6 points).

(1) Previous Success. You must describe your previous success in obtaining leveraged resources for your self-help homeownership housing program during the most recent five year period. You must identify the dates for your five year period which should be the same period as stated in response to Rating Factor 1. For each year, you must identify your total program budget, the total dollar value of the leveraged resources required, the total dollar value of the leveraged resources firmly committed, and the total dollar value of the leveraged resources received. If all of your required leveraged resources have not been firmly committed, you must describe the steps you have taken or are taking to secure these funds. If you are a current SHOP Grantee, you must provide this information for each SHOP Grant that was awarded to you during the five year period. You must identify your SHOP Grant award amount. You must also identify your ratio of SHOP Grant funds to the leveraged resources received.

(2) Supplemental Chart. You must submit a supplemental chart “Leveraged Resources Committed and Received Chart” that lists for each year, each leveraged resource that has been firmly committed and received. Leveraged resources of the same resource type that are from the same general funding source may be combined. This chart should be in an EXCEL format. This chart must be provided in an Appendix to your application. This Appendix does not count towards your application page limit.

The first column must list the general funding source for each leveraged resource that has been

firmly committed (applicant, private for-profit, private non-profit, state government, local government, federal government, or other (specify)). For federal funding sources, you must separately list each federal program source by agency (e.g. HUD HOME, HUD CDBG, USDA Sec. 502). The second column must identify the type of leveraged resource as either cash (grants, loans, or cash gifts/contributions) or non-cash gifts (donated land, donated construction tools, equipment or materials, donated products or appliances, donated professional services or other). The third column must provide the total dollar value of the leveraged resource. The fourth column must provide the date that the leveraged resource was firmly committed. The fifth column must provide the total dollar value of the leveraged resource actually received or drawdown. The sixth column must describe the steps you have taken or are taking to secure those leveraged resources that have not been received. You may also add a column to provide a note or explanation.

b. Leveraged Resources Strategy (Up to 4 points).

(1) Strategy. You must describe your strategy for securing the amount of leveraged resources you need in order to develop the number of SHOP units you propose in your SHOP application. The total amount of the leveraged resources must be the same as the total amount shown on the HUD-424-CB and HUD-424-CBW that you submitted in response to Rating Factor 3. You must demonstrate that the leveraged resources you will secure will be sufficient to develop the number of units proposed in your SHOP application. Your leveraged resources must total at least 50 percent of your total SHOP budget.

(2) Supplemental Chart. You must submit a supplemental chart “Leveraged Resources Proposed Chart” that lists the leveraged resources that you have secured or propose to secure. Leveraged resources of the same resource type that are from the same general funding source may be combined. This chart should be in an EXCEL format. This chart must be provided in an Appendix to your application. This Appendix does not count towards your application page limit.

The first column must list the general funding source for each leveraged resource that you have secured or propose to secure (applicant, private for-profit, private non-profit, state government, local government, federal government, or other (specify)). For federal funding sources, you must separately list each federal program source by agency (e.g. HUD HOME, HUD CDBG, USDA Sec. 502). The second column must identify the type of leveraged resource as either cash (grants, loans, or cash gifts/contributions) or non-cash gifts (donated land, donated construction tools, equipment or materials, donated products or appliances, donated professional services or other). The third column must provide the total dollar value of the leveraged resource. The fourth column must provide the date that the leveraged resource was firmly committed (if applicable). The fifth column must provide the date that you estimate the leveraged resource will be firmly committed (if applicable). The sixth column must describe the steps you have taken or are taking to secure those leveraged resources that have not been firmly committed. The seventh column must indicate whether you have previously raised similar amounts of leveraged resources from the identified funding source, and the specific amount. You may also add a column to provide a note or explanation.

Rating Factor 5: Achieving Results and Program Evaluation

Maximum Points: 10

This Rating Factor evaluates whether you have an effective plan for monitoring your SHOP program performance and compliance. This factor also evaluates whether you have an effective plan for evaluating the timeliness, compliance, efficiency and effectiveness of your SHOP program. HUD will consider the quality of your monitoring procedures, the frequency and type of your monitoring reviews, your process for corrective actions, the quality of your evaluation procedures, the relationship of your goals to the needs that you identify, and how you will use your evaluation results. HUD will require

SHOP Grantees to submit periodic progress reports on their SHOP program achievements. HUD will also require Grantees to submit periodic reports on their monitoring results and program evaluation results.

Content Requirements for Rating Factor 5

a. Monitoring Plan (up to 5 points).

(1) Procedures. You must describe your procedures for monitoring your SHOP program, including distance monitoring and on-site monitoring reviews. You must describe how these procedures will ensure that your SHOP program is undertaken in a timely manner and in compliance with the requirements of this SHOP NOFA. You must describe your review protocols for your distance monitoring reviews and for your on-site monitoring reviews, including the number and type of records you will examine (e.g., financial, beneficiary, eligibility, property standards and inspections, fair housing and affirmative marketing, Section 3 employment), the number of visual unit inspections you will conduct, and the number and type of beneficiary satisfaction surveys or interviews you will undertake.

(2) Monitoring Schedule. You must describe your schedule for distance monitoring and on-site monitoring reviews. You must describe how you will meet your obligation to monitor each consortium member and affiliate at least once during your SHOP Grant Term and to conduct more than 50 percent of these monitoring reviews on-site. You must identify the percentage of consortium members and affiliates that you will monitor through distance monitoring and describe your criteria for selecting these entities. You must identify the percentage of consortium members and affiliates that you will monitor on-site and describe your criteria for selecting these entities. For each type of monitoring review, you must identify the number of reviews you will conduct before your SHOP Grant Term has ended and the number of reviews you will conduct after your SHOP Grant Term has ended, but before your SHOP Grant Final Close Out (i.e. completion and conveyance of all of your SHOP units). For each type of monitoring review, you must describe your criteria for making this determination. Refer to SHOP NOFA Section IV.B.4.c.(19) "Monitoring Schedule" for additional guidance.

(3) Additional Reviews. You must describe any additional monitoring reviews you will perform for any affiliates or consortium members that fail to meet their performance benchmarks, or otherwise evidence a program or compliance deficiency.

(4) Corrective Actions. You must describe the corrective actions you will take should a monitoring review reveal a program deficiency or a violation of the requirements of the General Section, this NOFA or your SHOP Grant Agreement, including financial, statutory, civil rights or programmatic requirements.

b. Evaluation Plan (up to 5 points).

(1) Procedures. You must describe your procedures for evaluating your SHOP program. You must identify the quantifiable output and outcome indicators or measures you will use to evaluate whether your SHOP program is achieving your goals and addressing the needs identified in your SHOP application. You must describe how you will collect these data. You must describe how often you will collect these data.

(2) Goals. You must identify your quantifiable SHOP program goals. You must identify both your primary and secondary goals. You must describe how your goals are related to each of the specific needs you identified in Rating Factor 2 "Need/Extent of Problem."

Goals are the results or outcomes you hope to accomplish. For example, the primary goals of your SHOP program may be an increase in homeownership in your target areas by 10 percent, a reduction in the annual housing cost for SHOP homebuyers to no more than 30 percent of monthly income, and/or a decrease in the amount of time it takes to complete an average SHOP unit by

three months. A secondary goal of your SHOP program may be to increase the number of Section 3 businesses receiving SHOP contracts by 10 percent.

(3) Program Improvement. You must describe how you will use your evaluation results to increase the efficiency and effectiveness of your SHOP program, including the achievement of your SHOP goals.

Rating Factor 6: NOFA Priorities

Maximum Points: 3

HUD will award points for this Rating Factor only when the application meets or exceeds the minimum score of 75 points for Rating Factors 1 through 5. This Rating Factor evaluates whether you are undertaking programs or projects that contribute to HUD's NOFA priorities for:

a. Affirmatively Furthering Fair Housing: New Construction (2 points)

b. Increase Energy Efficiency: Green Building or Renewable Energy (1 point)

HUD's NOFA Priorities are described in detail in the General Section "Appendix A".

Refer to SHOP NOFA Section V.A.2. NOFA Priorities for content requirements.

A.2. NOFA Priorities.

HUD encourages applicants for funding to undertake programs and projects that contribute to HUD's NOFA Priorities. Applicants that undertake activities that result in achievement of specific NOFA Priorities listed below are eligible to receive additional points in the rating of their application. These points will be considered only if the application meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.

Affirmatively Furthering Fair Housing (Capital Investment or as specified in Individual Program NOFA)

CRITERIA FOR "AFFIRMATIVELY FURTHERING FAIR HOUSING"

- *Provide Housing for range of incomes/family sizes*
- *Provide Mobility Counseling*
- *Follow Location criteria (build affordable housing in non-minority or non-poverty concentrated areas)*
- *Train Staff*
- *Provide outreach to marginalized populations*
- *Partnerships with Fair Housing Organizations, Allied State and local agencies, or community-based organizations representative of populations affected by HUD projects.*

Applicants may receive one point for demonstrating any one of the following, with a maximum of 2 points awarded for this priority overall.

A. Rehabilitation or Redevelopment: (a) Applicants may earn 1 point for demonstrating that the rehabilitated or redeveloped project will include housing for a range of incomes and a range of family sizes that is proportional to the regional need, based on Census data and other generally accepted data sources. Applicants must include the specific plans for such housing, including the total number of units affordable for each income group, by bedroom size; and,

(a) Applicants may earn 1 point by presenting a plan for providing mobility counseling to each family that will be permanently displaced (i.e., relocation of more than 1 year) by the redevelopment/rehabilitation activities, and, for each such family, identifying at least one option for comparable housing opportunity that is located in an area that is not minority-concentrated or poverty-concentrated and has access to community assets, such as public transportation, employment opportunities, and, education.

B. New Construction: Applicants may earn 2 points for demonstrating that the new affordable housing

construction is located in a high opportunity area that is or will be served by public transportation that is not also in an area of minority concentration or poverty concentration. For the purpose of this requirement, an area of minority concentration is defined as a Census tract or other defined geographic area in which the percentage of residents who are racial or ethnic minorities is at least 20 percentage points higher than the percentage of minority residents in the metropolitan statistical area (MSA) (or jurisdiction not in a MSA) as a whole. In MSAs (or jurisdictions not in MSAs) in which the majority of residents are racial or ethnic minorities, HUD will consider and rely on all relevant information to determine whether the neighborhood proposed for replacement housing will lead to the creation of more inclusive and integrated housing in opportunity-rich neighborhoods. For the purpose of this requirement, an area of poverty concentration is defined as census tract where the poverty rate is greater than 20 percent; and, by demonstrating that the newly-constructed project will include housing in a range of family sizes that is proportional to the regional need, based on Census data and other generally accepted data sources.

SHOP applicants can earn 2 points for meeting the standards for "Affirmatively Furthering Fair Housing: New Construction." Also refer to the General Section Appendix A "Affirmatively Furthering Fair Housing: New Construction."

Affirmatively Furthering Fair Housing (2 points) - New Construction

You must demonstrate that at least twenty percent of your newly constructed SHOP units will be located in a high opportunity area that is or will be served by public transportation, and is not also in an area of minority concentration or poverty concentration. You must also demonstrate that these newly-constructed SHOP units will include housing in a range of family sizes that are proportional to your national or regional service area need, based on U.S. Census data and other generally accepted data sources. For the purpose of this requirement, an area of minority concentration is defined as a Census tract or other defined geographic area in which the percentage of residents who are racial or ethnic minorities is at least 20 percentage points higher than the percentage of minority residents in the metropolitan statistical area (MSA) (or jurisdiction not in a MSA) as a whole. In MSAs (or jurisdictions not in MSAs) in which the majority of residents are racial or ethnic minorities, HUD will consider and rely on all relevant information to determine whether the neighborhood proposed for replacement housing will lead to the creation of more inclusive and integrated housing in opportunity-rich neighborhoods. For the purpose of this requirement, an area of poverty concentration is defined as a census tract where the poverty rate is greater than 20 percent.

Increase Energy Efficiency and the Health and Safety of Homes (Capital Investment and Planning NOFAs or as Specified in Individual Program NOFA)

CRITERIA FOR "Increase Energy Efficiency AND the Health and Safety of Homes"

- *HUD/DOE Better Buildings Challenge*
- *Green Building Standard*
- *Renewable Energy*

Comprehensive assessments of homes for rehab, health and energy deficiencies

Applicants may receive, within the maximum of 2 points awarded for this priority overall, 1 point for meeting criterion A or criterion B, or both, and 1 point for meeting criterion C. Within criterion B, applicants may receive the point by fulfilling either B.1 or B.2, or both.

A. Better Buildings Challenge (1 point): The applicant certifies that it is an existing HUD/DOE Better Buildings Challenge Partner. Participating in the Better Buildings Challenge requires a commitment to reduce portfolio-wide energy consumption by 20 percent over 10 years. To receive the point, the applicant must submit an executed copy of their Partnership Agreement, and must provide a link to their Better Buildings Challenge profile page at www.energy.gov/better-buildings, showing that they have developed

a Showcase Project as well as begun to track annual energy consumption across their portfolio, both requirements of the Better Buildings Challenge.

B. Green Building or Renewable Energy (1 point):

1. Green Building Standard: The applicant commits to pursue a comprehensive, industry-recognized green building standard and certification for green building, such as the Enterprise Green Communities Criteria; the ICC 700 National Green Building Standard; LEED ND, LEED-H, LEED-H Midrise, LEED-NC, or one of a number of regionally-recognized green building standards such as Earthcraft House, Earthcraft Multifamily, Earth Advantage New Homes, Greenpoint Rated New Home, Greenpoint Rated Existing Home (Whole House or Whole building label), or other industry-recognized green building standard in HUD's sole discretion. Additionally, the applicant must later submit a certification of completion, and provide evidence that the green building standard has been achieved.

AND/OR

2. Renewable Energy: The applicant certifies that the proposed project will incorporate renewable energy technologies such as on-site Solar Photovoltaic (PV) or Solar Thermal Electric, as well as Landfill Gas, Wind Energy, Biomass, Geothermal Electric, Combined Heat and Power, Municipal Solid Waste, Small Hydroelectric, Fuel Cells using Renewable Fuels in any federally assisted property receiving funds through this NOFA.

C. Comprehensive assessments of and interventions in homes for rehabilitation, health and energy deficiencies (1 point): The applicant must identify specific projects and activities that will *comprehensively* assess housing units for rehabilitation, health and energy deficiencies and coordinate interventions across multiple disciplines, and address the risks based on the comprehensive assessment. Specific measures of success or performance for this priority include the number of housing units rehabilitated in a comprehensive approach where housing rehabilitation and energy efficiency are coordinated with such intervention measures as lead hazard control, allergen reduction, mold and moisture remediation; or other measures designed to result in decrease in symptom days, emergency treatment or inpatient hospital stays for asthmatic residents; decrease in numbers of safety related injuries taking place in the home; decrease in number of homes with residents who smoke or increase in the number of multifamily properties (privately owned unassisted or HUD-assisted housing, or public housing) where smoking is prohibited on the property; any other measurable outcome that demonstrates the positive health impact of comprehensive housing assessments, home/health focused education, integrated pest management techniques or other health related property improvements and/or property management practices. Applicants must include a description of how outcomes through this process will be measured including resident health, residential energy usage and access to job training/job opportunities for low income residents.

Applicants should demonstrate how their programs will coordinate housing services across the housing, health and energy disciplines including the use of common assessment tools, cross training of staff in multiple competencies, standardization of intake forms and processes. For more information on mitigating housing-related health hazards, applicants should review HUD's Healthy Homes Strategic Plan, www.hud.gov/offices/lead/library/hhi/hh_strategic_plan.pdf, and the CDC-HUD Healthy Housing Reference Manual, www.cdc.gov/nceh/publications/books/housing/housing.htm, or www.hud.gov/offices/lead/library/hhi/HealthyHousingReferenceManual.pdf.

Applicants are encouraged to coordinate the delivery of housing repair/rehabilitation with community, hospital or public health programs that utilize community health workers, Promotores(as), health educators or other similar positions that assesses the indoor quality of home environments for conditions that may impact resident health, for example, in the coordination of rehabilitation activities with programs that assess the home environments of asthmatic children for asthma triggers.

SHOP applicants can earn 1 point for meeting the standards for "Increase Energy Efficiency: Green Building or Renewable Energy." Also refer to the General Section Appendix A "Increase Energy Efficiency: Green Building or Renewable Energy."

Increase Energy Efficiency and Healthy Homes - Green Building Standard (1 point)

You must demonstrate that at least twenty percent of your SHOP units will be built or rehabilitated to a Green building standard by utilizing one of several industry-recognized Green rating programs for new construction or substantial rehabilitation, including such programs as the ENERGY STAR Advanced New Home Construction; Enterprise Green Communities Initiative; the NAHB Green Building Standards; LEED for Homes (for single family); LEED New Construction (for multifamily or commercial development); as well as regionally or locally recognized Green standards such as Earthcraft or Built Green. You must describe how you will verify and maintain evidence that an industry-recognized Green Building Standard has been achieved for at least twenty percent of your SHOP units.

A.3. Bonus Points

This Program chooses not to award bonus points.

B. Reviews and Selection Process.

1. Technical Deficiencies. After the SHOP application deadline date and consistent with regulations in 24 CFR part 4, subpart B and General Section V.C.2. "Corrections to Deficient Applications", HUD will not consider any unsolicited information you may provide. However, HUD may contact you to clarify an item in your application or to correct a curable technical deficiency. In order not to unreasonably exclude applications from being rated and ranked, HUD may also contact applicants to ensure proper completion of the application. HUD will do so on a uniform basis for all applicants. HUD will not seek clarification of items or responses that improve the substantive quality of your response to any Rating Factor.

Examples of curable (correctible) technical deficiencies include inconsistencies in the funding request or a failure to submit certifications.

In each case, HUD will notify you in writing by email and fax in accordance with the instructions found in the General Section V.C.2. HUD will describe the clarification or technical deficiency and provide instructions for submitting corrections. Applicants will have 14 calendar days in which to provide the missing information requested by HUD.

Refer to General Section V.C.2. for more specific guidance and instructions.

2. Rating. HUD will rate all eligible applications that meet the Threshold requirements against the criteria in Rating Factors 1 through 6. HUD will assign a point score for each Rating Factor. Points will be deducted for incomplete or inadequate responses. More points will be awarded to applicants who exceed the minimum Rating Factor requirements.

3. Minimum Rating Score. Applicants must receive at least 20 points under Rating Factor 1 "Capacity of the Applicant and Relevant Organizational Staff." Applicants must receive a total score of 75 points or more for Rating Factors 1 through 5. HUD will reject any application that does not meet these minimum rating score requirements.

4. Ranking and Selection Procedures. HUD will place all eligible applications that meet the minimum scores in ranked order. HUD will consider an application's ranked order and support for HUD's NOFA Priorities. HUD will also consider an applicant's past program performance, based on information contained in the applicant's submission as well as information available from HUD's records, the name

check review, public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or hotline or other complaints that have been proven to have merit. HUD may reduce a SHOP Grant award for inadequate program performance, including unresolved audit or monitoring findings, untimely or incomplete program submissions, significant delays in meeting performance targets, and the deobligation of SHOP Grant or other funds. In general, HUD will consider available information from the prior five federal fiscal years. Also refer to the General Section V.B. "Additional Evaluation Criteria."

5. Award Amount. HUD will not fund any portion of an application that is ineligible for funding. HUD may fund less than the amount requested by a successful applicant based on the total amount of available funds, and/or to ensure the development of housing on a national, geographically diverse basis as required by the SHOP statute. The minimum grant award shall be the amount necessary to fund at least 30 units.

If any funds remain after all grant award selections have been made, the remaining funds may be available for subsequent SHOP competitions.

C. Anticipated Announcement and Award Dates.

1. Announcements. HUD anticipates that all awards will be announced no later than September 30, 2014.

2. Debriefing. Beginning 30 days after the awards for SHOP assistance are publicly announced through a period of at least 120 days, an applicant may request HUD to provide the applicant with a debriefing concerning HUD's application review. The applicant's Authorized Organization Representative (AOR) whose signature appears on the SF-424, (or his/her successor) must submit a debriefing request to HUD in writing or by e-mail. This request must be submitted to Ms. Martha Murray, SHOP Program Manager, Office of Affordable Housing Programs, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7162, Washington, DC 20410-7000 or martha.w.murray@hud.gov. Information that HUD will provide during the debriefing will include the final score the application received for each Rating Factor, HUD's final evaluation comments for each Rating Factor, and HUD's final determination concerning the basis upon which the requested amount of SHOP Grant funds was provided, reduced or denied.

VI. Award Administration Information.

A. Award Notices.

1. Notification. If you are awarded a SHOP Grant, HUD will notify you in writing of the amount of your Grant award. HUD will also execute your SHOP Grant Agreement and transmit it to you. You must execute your SHOP Grant Agreement and return it to HUD. Upon receipt of your fully executed SHOP Grant Agreement, HUD will establish your Line of Credit and notify you that your SHOP Grant funds are available for drawdown. The date of this notification is the date your SHOP Grant Term begins.

2. Financial Instructions. HUD will provide you with SHOP Grant Financial Instructions.

3. Reporting Instructions. HUD will provide you with SHOP Grant Reporting Instructions.

4. Performance and Compliance. HUD will evaluate your performance and compliance with the requirements of this NOFA and your approved application. HUD expects you to fulfill the commitments that you made as part of your application. HUD will require corrective action when you fail to perform adequately.

a. Grant Term. The SHOP statute requires the Secretary "to recapture any grant amounts provided to the organization that are not used within 24 months after the amounts are first disbursed to an organization or consortium except that such period shall be 36 months...in the case of grant amounts provided to a local affiliate...that is developing five or more dwellings." You must expend all SHOP Grant funds within 24 months of the date that the SHOP Grant funds are first made available for

drawdown in your Line of Credit established by HUD, except that SHOP Grant funds provided to an affiliate that develops five or more SHOP units (and SHOP Grant funds used by you for directly related administrative costs) must be expended within 36 months of the date that the SHOP Grant funds are first made available for drawdown in your Line of Credit established by HUD. HUD will deobligate any Grant funds that have not been expended by the Grant Term deadline.

b. Timely Performance. You and your affiliates must develop and convey all proposed SHOP units in a timely manner in accordance with the schedule you submitted in response to SHOP NOFA Rating Factor 3, or as subsequently may be amended with HUD approval. HUD anticipates that you and your affiliates will convey most SHOP units no later than one year after your Grant Term expiration. HUD may require you to repay Grant funds that have been expended for any units that have not been completed and conveyed within a reasonable timeframe in accordance with your HUD-approved schedule.

If you are a consortium, the lead entity is responsible for the timely performance and compliance of all consortium members, and for ensuring that any required corrective actions are undertaken in a timely manner.

B. Administrative and National Policy Requirements.

Certain Administrative and National Policy Requirements apply to all HUD programs, including this NOFA. For a complete list of these requirements, see Section VI.B. of the General Section.

If you are awarded a SHOP Grant, you (the "Grantee") and your affiliates must also comply with the following requirements that are applicable to the SHOP program.

1. Real Property Acquisition and Relocation. SHOP projects are subject to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Act or URA) (42 U.S.C. 4601-4655), and the government-wide implementing regulations issued by the Federal Highway Administration at 49 CFR part 24. The URA is a federal law that prescribes requirements that must be satisfied when real property is acquired for a federally-funded project. The URA also prescribes relocation assistance and payments that must be provided to persons displaced as a result of acquisition, rehabilitation or demolition of real property for a federally-funded project. You and your affiliates must comply with all applicable URA requirements. As required by Section 504 of the Rehabilitation Act (29 U.S.C. 794) and 49 CFR part 24, replacement dwellings must also contain the accessibility features needed by displaced persons with disabilities. Refer to the General Section (Technical Correction) VI.B.7. for more information. Additional resources and guidance pertaining to real property acquisition and relocation for HUD-funded programs and projects are available on HUD's Real Estate Acquisition and Relocation website at <http://www.hud.gov/relocation>. You will find applicable laws and regulations, policy and guidance, publications, training resources, and a listing of HUD contacts if you have questions or need assistance.

2. Environmental Review. You and your affiliates must comply with the SHOP environmental review requirements. The SHOP environmental review requirements supersede the environmental review requirements in the General Section. All SHOP assistance is subject to the National Environmental Policy Act of 1969 and related federal environmental authorities and regulations at 24 CFR part 58, or 24 CFR Part 50 when the unit of general local government within which the project is located declines or is unable to perform the environmental review procedure under 24 CFR Part 58 (as determined by the HUD Field Office CPD Division Director in accordance with HUD's instructions). You and your affiliates must not undertake any project or activity or commit federal or non-federal funds or assistance to a project or activity that could limit reasonable choices or could produce an adverse environmental impact, until all required environmental reviews and notifications have been completed, and HUD approves your request for release of funds under the environmental provisions contained in 24 CFR part 58 or your receive

HUD's approval of the project or activity under 24 CFR part 50, as applicable. Notwithstanding the preceding sentence, in accordance with section 11(d)(2)(A) of the Housing Opportunity Program Extension Act of 1996 and HUD Notice CPD-01-09, you or your affiliate may advance non-grant funds to acquire land before completion of an environmental review and HUD's approval of a request for release of funds and environmental certification. Any advances to acquire land prior to such approval are made at the risk of you and/or your affiliate, and reimbursement from SHOP Grant funds for such advances will depend on the result of the environmental review and award of SHOP Grant funds under this SHOP NOFA. Refer to SHOP NOFA Section IV.E. "Funding Restrictions" for additional guidance.

3. Occupational Safety and Health. You and your affiliates must conduct work under this grant in accordance with the Occupational Safety and Health Administration regulations (29 CFR 1926.62) that apply to the employees of the Grantee and its affiliates.

4. Lead Safe Requirements. You and your affiliates must comply with the Lead-Based Paint Poisoning Prevention Act (42 USC 4821-4846), the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 USC 4851-4856), and relevant subparts of the implementing regulations at 24 CFR part 35. You and your affiliates must also comply with the applicable lead safe work practices requirements of the Environmental Protection Agency's (EPA) Renovation, Repair and Painting Rule (40 CFR part 745, subpart E). Additional guidance is available at: <http://www.epa.gov/lead/pubs/renovation.htm>.

5. Indoor Air Quality. You and your affiliates are encouraged to comply with the Environmental Protection Agency's (EPA) Indoor airPLUS specifications so that your SHOP units provide improved indoor air quality. Additional guidance is available at: (http://www.epa.gov/indoorairplus/construction_specifications.html).

6. Standards for Administrative and Financial Control. You must comply with the following requirements. OMB recently published "Guidance for Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" (2 CFR part, Chapter I and Chapter II). When HUD issues regulations implementing these updated OMB requirements, you must comply with these requirements. Refer to the General Section (Technical Correction) VI.B.8. "OMB Administrative Requirements and Cost Principles" for more information.

a. Financial Management Systems. You and your affiliates must comply with the requirements of 24 CFR 84.21 "Standards for Financial Management Systems."

b. Cost Principles. You and your affiliates must comply with the requirements of OMB Circular A-122 "Cost Principles for Non-Profit Organizations."

c. Uniform Administrative Requirements. You and your affiliates must comply with the requirements of 24 CFR part 84 "Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations," except that the program income requirements found at 24 CFR 84.24 do not apply to the SHOP Grant. The disposition of real property requirements found at 24 CFR 84.32(c) shall apply when a SHOP property is not transferred to an eligible SHOP homebuyer in accordance with the terms of the SHOP Grant Agreement.

d. Audits. You and your affiliates must comply with the requirements of OMB Circular A-133 "Audits of States, Local Governments, and Non-Profit Organizations." You must submit a copy of the required audit report to HUD when you submit this report to the Federal Audit Clearinghouse.

7. Earnings

You must use all Earnings received as of the SHOP Grant Term expiration date for SHOP eligible activities, in accordance with your SHOP Grant Agreement. You must report to HUD on the use of these Earnings in accordance with HUD's instructions.

Any Earnings that are received by you after the SHOP Grant Term expiration date are not subject to the SHOP requirements. These Earnings must be used for affordable housing activity. You may define

affordable housing activity.

“Earnings” means any interest, fees, loan repayments or other income directly generated by the use of SHOP Grant funds that are received by the SHOP Grantee (including consortium members). Earnings also include affiliate repayments to the Grantee of principal and interest on a loan made to the affiliate with SHOP Grant funds. Such loan repayments are Earnings received by the Grantee, even when deposited into a revolving loan fund account. Any income directly generated by the use of Earnings is also Earnings.

C. Reporting.

Please refer to Section VI of the General Section for a description of the general reporting requirements applicable to this NOFA.

If you are awarded a SHOP grant, you must submit periodic status reports and audits to HUD until your SHOP Grant Final Close Out, in accordance with HUD's instructions.

1. Quarterly and Annual SHOP Reports. You must submit quarterly and annual SHOP reports to HUD that provide data on the status of your SHOP program including, SHOP unit characteristics; income, racial and ethnic composition of SHOP homebuyers; SHOP Earnings; goals accomplishments; and other performance indicators. You must submit these reports until you have completed and conveyed all of your SHOP units (SHOP Grant Final Close Out). HUD may also require you to submit reports on your monitoring results and evaluation results, and to provide responses to HUD management questions.

2. Section 3 Reporting. You must submit annual Section 3 data using form HUD-60002 to HUD, Office of Fair Housing and Equal Opportunity, 451 Seventh Street, SW, Room 5232, Washington, DC 20410, Attn: Economic Opportunity Division, or HUD’s online system at <http://www.hud.gov/offices/fheo/section3/section3.cfm>.

3. Recipient Reporting to Meet the Requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109-282), as amended. Refer to General Section (Technical Correction) VI.B.11. for guidance.

4. Recipient Reporting in Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417). Refer to the General Section (Technical Correction) VI.B.12. for guidance.

5. HUD Evaluations. You may be required to participate in HUD program evaluations and research studies.

VII. Agency Contact(s).

HUD staff will be available to provide clarification on the content of this NOFA. Please note that HUD staff cannot assist applicants in preparing their applications.

Questions regarding specific program requirements should be directed to the point of contact listed below.

Before the FY2014 SHOP NOFA application deadline date, HUD staff may provide you with general guidance and technical support. However, HUD staff are not permitted to assist you in preparing your SHOP application.

For general guidance about the requirements of this SHOP NOFA, you may contact Ms. Martha Murray, SHOP Program Manager, Office of Affordable Housing Programs, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7162, Washington, DC 20410-7000, telephone (202) 402-4410 (this is not a toll-free number).

For technical support for downloading an application or electronically submitting an application, please

call the Grants.gov Customer Support Center at 800-518-4726 (this is a toll-free number) or send an e-mail to support@grants.gov.

Questions concerning the General Section should be directed to the Office of Strategic Planning and Management, Grants Management and Oversight Division at 202-708-0667 (this is not a toll-free number).

Persons with hearing or speech impairments may access these numbers via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

VIII. Other Information.

HUD is required to comply with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). This Act governs the collection of information from the public including responses to this NOFA. HUD may not collect this information, and you are not required to complete these forms unless they display current, valid OMB control number(s). The results of this collection will not be published or be used for statistical purposes.

A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR Part 50, which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The FONSI is available for inspection at HUD's Funds Available web page at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.

Applicants may use the checklist below as a guide when preparing your application package.

Application Checklist. In order to receive full consideration for funding, you should use the following checklist to ensure that all requirements are addressed and submitted with your electronic application.

1. Standard Forms (no page limit).

_____ SF424_Application_for_Federal_Assistance (Your organization's nine-digit ZIP code (basic five-digit ZIP code plus four digits) must be included in Box 8d)

_____ SF424_Supplement_Survey_on_Ensuring_Equal_Opportunity_for_Applicants ("Faith Based EEO Survey "SF-424-SUPP" on Grants.gov)

2. Applicant Eligibility (no page limit).

_____ Non-profit Status

_____ Consortium Participating Members and Agreement (if applicable)

_____ Code of Conduct

_____ Minimum Self-help Homeownership Housing Units

_____ General Location

3. SHOP Program Design and Scope of Work (25 page limit).

_____ SHOP Program Summary (not included in the 25 page limit)

_____ SHOP Budget (not included in the 25 page limit)

_____ Pre-agreement Costs

_____ SHOP Grant Schedule (not included in the 25 page limit)

_____ Service Area

_____ SHOP Units

- _____ Property Standards
- _____ Homebuyer Income Eligibility
- _____ Sweat Equity
- _____ Volunteer Labor
- _____ Homebuyer Financial Contribution
- _____ Sale Price
- _____ Mortgages and Other Loans
- _____ Affirmatively Furthering Fair Housing
- _____ Economic Opportunities for Low- and Very Low-income Persons (Section 3)
- _____ Financial Control Procedures
- _____ Affiliates (if applicable)
- _____ Mutual Self-help Housing Programs (if applicable)
- _____ Monitoring Schedule
- _____ Typical SHOP Unit Table (not included in the 25 page limit)

4. Narrative Statements for Rating Factors (30 page limit or 35 page limit for a consortium).

- _____ Factor 1 - Capacity of the Applicant and Relevant Organizational Staff
- _____ Factor 2 - Need/Extent of the Problem (four page limit)
- _____ Factor 3 - Soundness of Approach
- _____ Factor 4 - Leveraging Resources
- _____ Factor 5 - Achieving Results and Program Evaluation
- _____ Factor 6 - NOFA Priorities - "Affirmatively Further Fair Housing" and "Increase Energy-efficiency and Healthy Homes"

5. Forms, Certifications and Assurances (no page limit).

- _____ HUD_424_CB_Grant_Application_Detailed_Budget ("HUD Detailed Budget Form" on Grants.gov)
- _____ HUD_424_CBW_Grant_Application_Detailed_Budget_Worksheet
- _____ Attachment to HUD_424_CBW ("Identification of Federal Program Sources and Amounts" e.g. HUD HOME, HUD CDBG, USDA Sec. 502)
- _____ SF_LLL_Disclosure_of_Lobbying_Activities (as applicable)
- _____ HUD_2880_Applicant/Recipient_Disclosure/Update_Report ("HUD Applicant Recipient Disclosure Report")
- _____ HUD_2993_Acknowledgement_of_Application_Receipt (for applicants submitting paper applications only)
- _____ HUD_96011_Third_Party_Documentation_Facsimile_Transmittal ("Facsimile Transmittal Form" on Grants.gov. HUD will not be able to match faxes to your application if your application does not contain this form and each Fax does not use the HUD-96011 cover page)

6. Appendices (no page limit).

- _____ Evidence of Non-profit Status (for new applicants or consortium members; refer to SHOP NOFA

Section IV.B.4.b.(1))

- _____ Consortium Participating Members, if applicable (refer to SHOP NOFA Section IV.B.4.b.(2))
- _____ Code of Conduct (refer to SHOP NOFA Section IV.B.4.b.(3))
- _____ SHOP Grant Schedule (refer to SHOP NOFA Section IV.B.4.c.(4))
- _____ Affiliates, if applicable (refer to SHOP NOFA Section IV. B.4.c.(17))
- _____ Monitoring Schedule (refer to SHOP NOFA Section IV.B.4.c.(19))
- _____ Typical SHOP Unit Table (refer to SHOP NOFA Section IV.B.4.c.(20))
- _____ Performance Reports (for new applicants; refer to SHOP NOFA Section V.A.1. Rating Factor 1)
- _____ Organizational Chart - Program Management (refer to SHOP NOFA Section V.A.1. Rating Factor 1)
- _____ Organizational Chart - Financial Management (refer to SHOP NOFA Section V.A.1. Rating Factor 1)
- _____ Leveraged Resources Committed and Received Chart (refer to SHOP NOFA Section V.A.1. Rating Factor 4)
- _____ Leveraged Resources Proposed Chart (refer to SHOP NOFA Section V.A.1. Rating Factor 4)