Section 4 Capacity Building Grants
2020 Request for Proposals – Rural and Native American Program

CFDA Number: 14.252

Request for Proposals Release: August 20, 2020
Informational Webinar on Request for Proposals: August 27, 2020 at 2:00 pm EDT
Submission Deadline for Proposals: September 23, 2020 at 11:59pm EDT

Overview: Enterprise Community Partners (Enterprise) is seeking Requests for Proposals for the Section 4 Capacity Building Program (Section 4). The purpose of the Section 4 program is to enhance the technical and administrative capacity of community development corporations (CDCs) and community housing development organizations (CHDOs) to carry out community development and affordable housing activities for families of low income (80% AMI or below).

In this document you will find a general overview of the Section 4 program, Enterprise funding priorities, and the specific information required to complete a proposal.

How to Apply: Applicants must apply through SlideRoom, the proposal submission portal for this funding opportunity. No exceptions will be made. Register for a SlideRoom account here: https://enterprise.slideroom.com/#/Login

Deadline: 11:59 p.m. Eastern Daylight Time (EDT) on September 23, 2020. Proposals received outside of SlideRoom or after the deadline will not be accepted.

Questions: Programmatic questions may be directed to Sarah Torsell, Program Director, at storsell@enterprisecommunity.org. General questions may be submitted to rfp@enterprisecommunity.org and technical questions regarding SlideRoom may be submitted to support@slideroom.com

Questions received after 5:00 p.m. on September 23, 2020, will not be answered. Enterprise highly recommends that proposals be submitted in advance of the deadline.
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**Executive Summary**

<table>
<thead>
<tr>
<th>Total Amount to be Awarded</th>
<th>$ 708,493</th>
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</thead>
<tbody>
<tr>
<td><strong>Average Award Amount</strong></td>
<td>Enterprise anticipates making awards that range from $35,000 to $100,000. Average award is expected to be $50,000.</td>
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<tr>
<td><strong>Types of Funding Agreements</strong></td>
<td>Grant Agreements</td>
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<tr>
<td><strong>Grant Payment Type</strong></td>
<td>Cost Reimbursement</td>
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<tr>
<td><strong>Period of Performance</strong></td>
<td>Grants will have a general duration of 12 months. Grants will start on the date the agreement is executed by both parties.</td>
</tr>
<tr>
<td><strong>Eligible Applicants &amp; Beneficiaries</strong></td>
<td>CDCs and CHDOs as defined by the HUD Section 4 program definition. Other eligible organizations, determined by Enterprise, may include organizations serving Native American Populations with a defined mission that includes affordable housing such as Tribes, Tribally Designated Housing Entities (TDHEs) or Tribal Housing Authorities (THAs). See Appendix A for details on eligibility requirements. Proposed projects must directly build the capacity of the Applicant.</td>
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<tr>
<td><strong>Geography of Interest</strong></td>
<td>Rural areas across the United States. Carefully review information regarding rural designations under the Section 4 program here. As part of the proposal process, Applicants must determine if the area where grant activities will take place qualifies as rural here.</td>
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<tr>
<td><strong>Proposal Submission</strong></td>
<td>This RFP targets organizations serving Rural and Native American communities/populations. All other applicants should submit proposals under the National RFP.</td>
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<td><strong>Summary</strong></td>
<td>This funding opportunity seeks to build the capacity of CDCs and CHDOs to carry out community development and affordable housing activities that address the needs of households with low income (80% AMI or lower).</td>
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**Program Overview**

a. **Description/Background**
Enterprise is an intermediary under the Section 4 Capacity Building for Affordable Housing and Community Development program (Section 4), funded by the United States Department of Housing and Urban Development (HUD) and our vision is a country where home and community are steppingstones to more. To attain that vision, we are committed to our mission: to make home and community places of pride, power and belonging, and platforms for resilience and upward mobility for all.

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1 A rural area is a statistical geographic entity delineated by the Census Bureau that does not meet the definition of an urbanized area. For more information about urbanized areas, including maps, FAQs, and reference manuals, please refer to this Census Bureau website - [https://www.census.gov/programs-surveys/geography/guidance/geo-areas/urban-rural/2010-urban-rural.html](https://www.census.gov/programs-surveys/geography/guidance/geo-areas/urban-rural/2010-urban-rural.html)
The purpose of the Section 4 program is to enhance the technical and administrative capacity of CDCs and CHDOs to carry out community development and affordable housing activities. CDCs and CHDOs play a critical role in the development and preservation of high-quality affordable housing and the implementation of community-development programs.

Through this funding opportunity, Enterprise will provide funding to CDCs and CHDOs across a range of programs that support a strong housing-delivery system and the creation and preservation of housing in high-opportunity communities.

b. Eligible Applicants
Section 4 Capacity Building grant funds are only available to CDCs and certified CHDOs. Other eligible organizations, determined by Enterprise, may include organizations serving Native American Populations with a defined mission that includes affordable housing such as Tribes, Tribally Designated Housing Entities (TDHEs) or Tribal Housing Authorities (THAs). See Appendix A for more information regarding eligibility.

Program Areas
Enterprise is accepting proposals that address CDC and CHDO capacity building in the three (3) Program Areas described below. Program activities must address the needs of households with low income as required under the Section 4 programs (80% AMI or lower).

Proposals may address more than one Program Area; however, Applicants must select the Program Area(s) that most closely aligns with proposed activities.

**Program Area 1: Preservation and Production of Affordable Housing**

- **Preservation:** The need to preserve current affordable housing, including subsidized and unsubsidized affordable housing and small and medium multifamily (SMMF) units, with a particular interest in supporting groups pursuing the preservation of at risk 515 housing stock.
- **Production:** The need to produce more safe, healthy, resilient and culturally relevant affordable housing, including homeownership opportunities for moderate to low-income households.

**Program Area 2: People- and Place-Based Solutions**

- **Native Homeownership:** The need to build capacity of organizations to enhance or implement homeownership programs for Native communities.
- **Economic Growth:** The need to stimulate community economic development and household economic mobility.
- **Healthy Communities:** The need to reduce and prevent health disparities experienced by low-income residents, including resident and client services that address mental health and healing from historical traumas.
- **Resilience:** The need for more resilient housing and preparation to withstand and recover from natural disasters.

Examples of these needs include the need for solutions to prevent low-income residents from being displaced from their homes and communities, access to transportation, education, training for new jobs, homes that are healthy and rid of dangers such as lead and mold, and access to affordable homes that can withstand the nation’s growing natural disasters.
Program Area 3: Protection for Vulnerable Populations

- **Homelessness Support:** The need to address the homelessness crisis through stronger placement coordination and services.
- **Senior Housing:** The need to provide cost-efficient housing and supportive services to low-income seniors to enable them to age in place.
- **Permanent Supportive Housing:** The need to develop projects and services/programming that serves a population that is chronically homeless or faces challenges to stable housing due to addiction, mental health, or other variables that create barrier to housing.
- **Reentry Housing and Services:** The need to provide housing and other services to formerly incarcerated persons released from prison or jail to help them transition back into society.
- **Other Vulnerable Populations:** May include formerly incarcerated, disabled persons, those suffering from mental illness, etc.

Geographies of Interest

The Rural and Native American Program RFP will support CDCs and CHDOs located across the United States. Note the following:

- **Areas served must meet the definition of rural as applicable to the Section 4 program.** Under the Section 4 program, a rural area is a statistical geographic entity delineated by the Census Bureau that does not meet the definition of an urbanized area contained in the Office of Management and Budget’s 2010 Standards for Delineating Metropolitan and Micropolitan Statistical Areas, 75 FR 37252 (June 28, 2010). That is, a rural area is an area that is NOT a statistical geographic entity delineated by the Census Bureau, which would consist of densely settled census tracts and blocks and adjacent densely settled territory that together contain at least 50,000 people.
- To determine if the area where grant activities will take place qualifies as rural, enter the zip code or city [here](#) to confirm eligibility. Areas shaded pink are not eligible geographies.
- Priority will be given to applicants applying in an area of persistent poverty. The continued persistence of poverty is most evident within several predominantly rural regions and populations such as Central Appalachia, the Lower Mississippi Delta, the southern Black Belt, the Colonias region along the U.S.-Mexico border, Native American lands, and migrant and seasonal farmworkers. Persistent poverty counties are defined as counties that have had poverty rates of 20% or greater for at least 30 years. To determine if the area where grant activities will take place is in an area of persistent poverty, confirm your county [here](#).

Submission Process

Steps to successfully submit a proposal are as follows:

| Step 1: Assess Eligibility | Review the eligibility criteria listed in Appendix A of the RFP. Questions about an Applicant’s eligibility may be sent to [rfp@enterprisecommunity.org](mailto:rfp@enterprisecommunity.org) |
| Step 2: Create a SlideRoom Account | Register for a SlideRoom account under your Organization’s name: [https://enterprise.slideroom.com/#/Login](https://enterprise.slideroom.com/#/Login) Ex. ABC Foundation, not Mary Smith. |
- Preview all proposal questions once logged in to adequately prepare for proposal submission and gather required documents and attachments.
- Technical issues with SlideRoom can be sent to support@slideroom.com or by accessing the online help desk: https://support.slideroom.com/

### Step 3: Review the RFP and Required Templates

- The RFP is available to view on our website.
- Read the entire RFP and required templates to understand submission details and requirements.
- Applicants are required to complete and upload the following templates provided by Enterprise as part of their SlideRoom proposal submission:

### Step 4: Review Required Attachments

- The following Attachments must be submitted in SlideRoom as part of the proposal submission:
  - 501c3 Letter of Determination (as applicable) - Applicants that have a 501c3 status at the time the proposal must submit a copy of their Letter of Determination.
    - A pending application to secure 501c3 nonprofit status will not be accepted as a substitute.
  - IRS W-9 – Must be completed and signed.
  - Validation of Active SAM Registration and NO Active Exclusion Records – Ideally, applicants should provide a copy of their SAM registration with their application. The .pdf export of the Applicant’s SAM record or a screenshot of the record are acceptable forms of validation.
  - Certificate of Good Standing - A Certificate of Good Standing, also called a "Certificate of Existence" or "Certificate of Authorization," is a state-issued document that shows that your organization has met its statutory requirements and is authorized to do business in that state.
  - Risk Assessment Questionnaire – Must be completed by an authorized representative of the organization.
  - Audited Financials - If Audited Financials are not available, Enterprise will also accept (1) financial reviews conducted by a Certified Professional Accountant (CPA) who is independent of the applicant organization or (2) IRS 990 Single Audit (as applicable) - Any non-federal entity that expends more than $750,000 in federal award funds
During its fiscal year is required to obtain a Single Audit (or Program-specific Audit, if applicable.)

**Step 5: Prepare & Submit proposal in SlideRoom**
- Answer all questions in SlideRoom [here](#).
- Upload all required templates and attachments.
- Carefully review your responses before submitting. You will not be able to make edits once you have submitted your proposal.
- Submit proposal prior to deadline to avoid potential issues.
- **Proposals must be submitted in SlideRoom by 11:59 pm EDT on September 23, 2020.**
- After submission, SlideRoom will provide Applicants with a clear confirmation message, a copy of the full application and a unique ID number will be sent to the email associated to the SlideRoom account.

Enterprise will not consider information from applicants after the application deadline. Enterprise may contact the applicant to clarify information submitted prior to the deadline. Enterprise will uniformly notify applicants of each curable deficiency. A curable deficiency is an error or oversight that, if corrected, would not alter, in a positive or negative fashion, the review and rating of the application. Examples of curable (correctable) deficiencies include inconsistencies in the funding request and failure to submit required certifications. These examples are non-exhaustive.

When Enterprise identifies a curable deficiency, Enterprise will notify the applicant’s authorized representative by email. This email is the official notification of a curable deficiency. Each applicant must provide accurate email addresses for receipt of these notifications and must monitor their email accounts to determine whether a deficiency notification has been received. The applicant must carefully review the request to cure a deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Applicants must email corrections of curable deficiencies to [rfp@enterprisecommunity.org](mailto:rfp@enterprisecommunity.org) within the time limits specified in the notification. The time allowed to correct deficiencies will be no less than 48 hours and no more than 14 calendar days from the date of the email notification. The start of the cure period will be the date stamp on the email sent from Enterprise. If the deficiency cure deadline date falls on a Saturday, Sunday, Federal holiday, or on a day when Enterprise’s Headquarters are closed, then the applicant’s correction must be received on the next business day Enterprise’s Headquarters offices in Columbia, MD are open.

The subject line of the email sent to [rfp@enterprisecommunity.org](mailto:rfp@enterprisecommunity.org) must state: Technical Cure and include the SlideRoom application ID tracking number. If this information is not included, Enterprise cannot match the response with the application under review and the application may be rejected due to the deficiency.

**Recommendations & Reminders**
- Allow adequate time to familiarize yourself with the SlideRoom submittal process and to receive any needed technical support.
- Proposals must be submitted in SlideRoom; no exceptions will be made. It is highly recommended that applicants do not wait until the last day to submit. Information submitted by mail, email, fax, hand-delivery or after the deadline will not be considered.
• Download all required templates provided by Enterprise. Failure to do so will disqualify your proposal.
• SlideRoom automatically saves work as it is entered. That means that even if internet connection is lost or computer problems occur, work will be saved. Applicants can log in and out as many times as needed to complete their proposal. However, applicants will not be able to make edits to their proposal once it has been submitted.

Scoring Process & Criteria

Proposals will be reviewed by Enterprise staff. All proposals must meet the Threshold Criteria:

Threshold Requirements:
• Program activities must address the needs of households with low income as required under the Section 4 programs (80% AMI or lower).
• Applicants must meet eligibility requirements as described in Appendix A.

Proposals must meet the threshold requirements and address each of the four (4) criteria listed below. Proposals that do not meet the threshold requirements will not be scored.

The maximum number of points to be awarded is 104, which includes Criteria 1 through 4 plus two (2) Priority Points regarding Areas of Persistent Poverty and two (2) Priority Points regarding Advancing Racial Equity.

Criteria 1: Impact to Communities Served (35 pts)
• Proposal describes the populations and general socioeconomic needs of cities, communities, families, and individuals in the areas the applicant proposes to serve. (10 pts)
• Proposal describes how activities planned to serve communities align with one of the three Program Areas (Preservation and Production of Affordable Housing, People- and Place-Based Solutions, or Protection for Vulnerable Populations). (5 pts)
• Proposal clearly describes the impact that will be made to the communities served. (10 pts)
• Projected Outputs and Outcomes are clearly defined. (5 pts)
• Projected Outputs and Outcomes meet the identified needs of the communities served. (5 pts)

Criteria 2: Impact to the Applicant Organization (35 pts)
• The proposal clearly states the capacity building needs of the applicant organization and explains how the Section 4 grant will meet those needs. (10 pts)
• The proposal clearly shows the trajectory of increasing the capacity of organization. (10 pts)
• The proposal clearly shows how the organization will stabilize and/or expand the affordable housing market in the designated area. (10 pts)
• The proposal clearly describes how the applicant will measure impact to the organization. (5 pts)

Criteria 3: Soundness of Approach and Readiness to Proceed (20 pts)
• The proposed work plan describes a feasible approach to designing, organizing, managing, and carrying out the proposed activities. (10 pts)
• The proposal demonstrates a readiness to proceed within the grant period. (10 pts)
Criteria 4: Reasonableness of Proposed Budget (10 pts)

• The budget is reasonable compared to the proposed activities. (5 pts)
• The proposed budget includes only eligible costs. (5 pts)

Priority Points

Activities in an Area of Persistent Poverty (2 points)
Persistent poverty counties are defined as counties that have had poverty rates of 20% or greater for at least 30 years. Enterprise will be offering two priority points for performing activities in an area of persistent poverty. To determine if the area where grant activities will take place is in an area of persistent poverty, confirm your county here.

Advancing Racial Equity through Housing (2 points)
Enterprise envisions communities where every person has equitable access to safe, affordable housing, these will be places of opportunity where race and origin are not barriers to improved life outcomes. We believe we can play a critical role in leading transformative systems and market change to produce equitable outcomes for low-income communities and communities of color while promoting inclusive community development.

Now more than ever, we must guide our focus toward racial equity as COVID-19 has further highlighted disparities in life outcomes for communities of color. Due to COVID-19 those adversely impacted by inequitable systems are economically more vulnerable than ever. Our response to the pandemic must encourage a system that equitably responds to the disparities experienced by marginalized communities.

The long-time prevalence of racial inequality has called for the deep need to strategically invest in communities led by and serving people of color so that they can take care of their most pressing needs while ensuring that they are at the center of recovery efforts. In response, Enterprise is putting forth a roadmap to support the recovery of organizations led by and serving people of color. As part of this, Enterprise will be offering two priority points for providing information about applicant organizations and those they serve.

Additional Information and Questions

Enterprise will host a web-based question-and-answer session on the date shown below. During this session, Enterprise staff will review the requirements for the funding opportunity. The session will be recorded and posted on our website for those unable to participate.

<table>
<thead>
<tr>
<th>Date and Time</th>
<th>Webinar Link</th>
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</thead>
<tbody>
<tr>
<td>August 27th, 2020, 2 pm EDT</td>
<td>Registration: <a href="https://enterprisecommunity.zoom.us/webinar/register/WN_nR5FX6G5Eq5EEciHkyyVQ">https://enterprisecommunity.zoom.us/webinar/register/WN_nR5FX6G5Eq5EEciHkyyVQ</a></td>
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</tbody>
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Question and Answer Period – Questions may be submitted to rfp@enterprisecommunity.org from August 20, 2020 through 5:00 pm EDT on September 23, 2020.
**Recommendation of Award**
Recommendation of Award and decline letters are sent via email. Recommendation of Award letters are provided as a statement of interest in developing a grant agreement with the selected organization. They are not legally binding documents or official agreements.

Receiving the award is contingent upon the development of a mutually agreed upon scope of work, outcomes, and budget; successful completion of the risk assessment review process; and compliance with federal requirements. Awardees that fail to provide information within the requested time frame will have their Recommendation of Award rescinded.

**Grant Period of Performance & Reimbursement of Funds**
Grant periods of performance will begin on the date that the grant agreement has been fully executed by both parties and run for a general duration of 12 months. Enterprise staff will work closely with all organizations recommended for an award to determine an appropriate period of performance based on proposed activities, award size, and as applicable, other factors.

Grant funds are disbursed on a cost reimbursement basis only. All funds supported by the grant must be incurred within the period of performance. Costs incurred outside of the set period of performance, or for unauthorized work, shall be borne by the Applicant.
Appendix A – Eligibility Requirements

HUD Section 4 Program – Eligible Organizational Types

Section 4 Capacity Building grant funds are limited to CDCs and CHDOs as defined by the Section 4 program.

A CDC is a 501(c)(3) nonprofit organization that undertakes eligible Section 4 Capacity Building Program activities and that meets these qualifications:

- Is organized under federal, state or local law to engage in community development activities (which may include housing and economic development activities) primarily within an identified geographic area of operation;
- Is governed by a board of directors composed of community residents, business, and civic leaders -- this includes faith-based community development corporations;
- Has as its primary purpose the improvement of the physical, economic or social environment of its geographic area of operation by addressing one or more critical problems of the area, with particular attention to the needs of persons of low income;
- Is neither controlled by, nor under the direction of, individuals or entities seeking to derive profit or gain from the organization;
- Has a tax exemption ruling from the Internal Revenue Service under section 501(c)(3) or 501(c)(4) of the Internal Revenue Code of 1986 (26 CFR 1.501(c)(3)-1);
- Has standards of financial accountability that conform to 24 CFR (Code of Federal Regulation) 84.21, Standards for Financial Management Systems;
- Is not an agency or instrumentality of a state or local government;
- For urban areas, “community” may be a neighborhood or neighborhoods, city, county or metropolitan area; for rural areas, it may be a neighborhood or neighborhoods, town, village, county or multi-county area (but not the entire state).

A CDC that does not qualify under the definition above may also be determined to qualify as an eligible entity if:

- It is an entity organized pursuant to section 301(d) of the Small Business Investment Act of 1958 (15 U.S.C. 681(d)), including those which are profit making; or
- It is a Small Business Administration (SBA) approved Section 501 State Development Company or Section 502 Local Development Company, or a SBA Certified Section 503 Company under the Small Business Investment Act of 1958, as amended; or
- The recipient demonstrates to the satisfaction of HUD, through the provision of information regarding the organization’s charter and by-laws, that the organization is sufficiently similar in purpose, function, and scope to those entities qualifying under definition above.
- It is a State or locally chartered organization; however, the State or local government may not have the right to appoint more than one-third of the membership of the organization’s governing body and no more than one-third of the board member may be public officials or employees of the State or local government entity chartering the organization. Board members appointed by the State or local government may not appoint the remaining two-thirds of the board members.

Applicants applying under the Section 4 RFP - Rural and Native American Program must meet the Section 4 CDC and/or CHDO eligibility requirements listed above.
Organizations that are sufficiently similar in purpose, function and scope to those entities qualifying under the CDC characteristics above may also qualify as eligible however, this determination must be made by Enterprise. Examples of organizations that may be eligible include:

- 501 (c) 3 Nonprofit Tribal Organizations
- Tribally Designated Housing Entities (TDHE)
- Tribal Housing Authority
- Federally-recognized Tribes

**Note:** Membership organizations are not eligible to apply under this funding opportunity. Enterprise defines membership organizations as, “an organization where each member is an entity, not an individual, that has membership rights in accordance with the provisions of its articles of incorporation or bylaws.” Typically, membership organizations have a roster, incentives, and process for membership.

Membership organizations whose primary missions are to engage and strengthen member organizations without also having a primary purpose to carry out community or economic development activities themselves are not eligible to apply.

Membership organizations that have reviewed the eligibility criteria under this RFP and chose to apply will be evaluated on a case by case basis.

A **Community Development Housing Organization (CHDO)** is defined in the HOME Investment Partnerships Program (HOME Program) regulation at 24 CFR 92.2. The HOME Program is authorized by the HOME Investment Partnerships Act at title II of the Cranston-Gonzalez National Affordable Housing Act, as amended, 42 U.S.C. 12701 et seq.

Additional information about CHDOs and obtaining CHDO status can be found at [https://www.hudexchange.info/home/topics/chdo/](https://www.hudexchange.info/home/topics/chdo/)

**Enterprise Community Partners – Additional Eligibility Requirements**

Enterprise also requires that Applicants have appropriate and demonstrated staff capacity to successfully perform the proposed activities. **Demonstrated Staff Capacity is defined by the following:**

Staff – either full-time, part-time and/or contract employees – must have experience relevant to the proposed project or program and are responsible for the day-to-day organizational duties for the project and beyond.

An Applicant **may not** rely solely on volunteers, donated staff, board members or consultants to meet the capacity requirement.
Appendix B - Eligible Activities & Allowable Costs

a. Eligible Activities
Grant funds must be used to enhance the technical and administrative capabilities of CDCs and CHDOs. Grant funds may be used for predevelopment assistance or other financial assistance to CDCs and CHDOs to carry out community development and affordable housing activities that benefit low-income families and persons (80% AMI or below).

b. Allowable Costs
Enterprise is one of three (3) intermediaries under the HUD Section 4 Capacity Building Program along with Local Initiatives Support Corporation (LISC) and Habitat for Humanity International. Applicants that have received funding and/or have pending proposals with LISC or Habitat for Humanity International will not receive funding for the same activities/costs under this funding opportunity. It is the responsibility of the Applicant to retract pending proposals or decline funding from other intermediaries if funding is requested for the same costs or activities before accepting a grant award from Enterprise. Failure to do so may jeopardize the Applicant’s ability to receive current and future funding from Enterprise.

All expenditures must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles.

Pursuant to the Federal Grant Agreement, grants shall be governed at 2 CFR 200 (for State, Local and federally recognized Indian Tribal Governments, Higher Education, Hospitals and other Non-Profit Organizations). Refer to the following applicable Federal cost principles for more information: http://tinyurl.com/nxawgds

c. Examples of Eligible Activities and Allowable Costs
Common examples (but not an exhaustive list) of capacity-building activities that can be funded include the following costs.

- **Staff Salaries** – for existing staff members or new staff members, which can include fringe benefits.
- **Consultants** – for capacity-building activities that fall within the program areas. Organizational/financial assessments are some examples of eligible consultant activities. However, consultants shall be chosen through full and open competition and must possess the ability to perform successfully under the terms and conditions of the proposed activity with price and other facts considered. Consultant pricing shall be fair, reasonable and comparable to pricing of other entities providing similar services. For more information on funding consultants with Section 4 grant dollars refer to Appendix E in the Grants Guide.
- **Staff or Board Training** – topics can include housing development, financial management, economic development, asset management, board development or technology delivered through seminars/workshops or by a consultant.
- **Computer Software/Hardware** – or other essential technical equipment. These costs may require additional reporting requirements in accordance with Federal Regulations.
- **Other Professional Services** – as required for project/portfolio or financial planning.

Grant funds *may not* be used for the following costs:
• Ongoing business expenses or organization costs defined as rent, telephone bills, insurance, etc.
• Direct and indirect construction costs.\(^2\)
• Expenses for new lines of business or start-up costs, including staff and consultant fees related to these efforts.
• Fundraising activities.
• Dues for lobbying activities.
• Bad debts.
• Contributions and donations.
• Entertainment costs, including amusement, diversion, social activities and alcohol.
• Policy or advocacy costs intended to influence legislation.
• Giveaways/prizes, incentives, stipends.
• Fines, penalties and judgments.
• Interest and other financing costs.
• Investment costs.
• Capital expenditures or land acquisition.
• Costs of idle facilities.
• Housing & personal living expenses.
• Contingency reserves.
• Other costs pursuant to program or regulatory requirements.

\(^{2}\) Use of grant funds must comply with HUD’s environmental regulations in 24 CFR Part 50. Project must have approval from the local HUD field office to use funds for direct or indirect construction costs or other costs as required by 24 CFR Part 50.

d. Administrative Requirements
Applicants that receive a Recommendation of Award from Enterprise should be aware of the requirements associated with the grant. Applicants are encouraged to review our Grants Guide for more information.

Applicants and Awardees should be aware of the following:

• **Executed Grant Agreement** – Enterprise cannot finalize grant commitments until the conditions of the award are satisfied and a grant agreement is executed (signed) by Enterprise and the Grantee organization.
• **Cost Reimbursement** - All grants are awarded on a cost reimbursement basis; grant disbursements occur after expenses have been incurred. All Grantees are required to submit an activity report documenting their work to date with the disbursement request. Additionally, some Grantees will be required to submit documentation supporting the expenses being invoiced.
• **Data Universal Numbering System (DUNS)** - All organizations receiving federal funds are required to obtain a DUNS number, including subcontractors and consultants of Grantees. The DUNS # is a unique nine-character number assigned by Dun and Bradstreet, Inc. that identifies an organization. Enterprise will not issue a grant agreement if a DUNS number has not been provided. For questions on obtaining a DUNS number refer to Appendix B in the Grants Guide.
• **System for Award Management (SAM) Registration** – Awardees and all subcontractors and consultants engaged by Grantees through this award must be registered in SAM. SAM must remain active throughout the lifecycle of the grant, and Awardees must provide verification that they have an active account in SAM before Enterprise will issue a grant agreement. In addition, grantees must not have active exclusions or delinquent federal debt and may not be currently debarred, suspended, proposed for debarment or declared ineligible for awards by any federal agency. For questions on registering refer to Appendix B in the Grants Guide.
• **Risk Assessment Questionnaire** – Applicants are required to complete the Questionnaire and provide the requested supporting documentation to ensure they have the systems and internal controls in place to successfully manage federal funds. This request is based on federal requirements contained in 2 CFR 200 which requires Enterprise to review and evaluate the risk associated with potential Grantees prior to making awards. If deemed necessary, Grantees are required to participate in an on-site organizational assessment as well as subsequent program audits. Enterprise will not issue a grant agreement until all documentation has been submitted and the assessment review has been completed.

• **Good Standing** – Awardees must be in good standing within their state of incorporation. As part of the application process, Applicants must upload a copy of their current Certificate of Good Standing.

• **Performance on Past/Current Grants from Enterprise** - Any current or previously received grants, loans or contracts from Enterprise must be in good standing. For the purposes of this guide, good standing means that current Grantees are incurring costs and requesting reimbursement in a timely manner, communicating with Enterprise as soon as any shifts in scope or budget are identified, and responding to all requests by stated deadlines. For grants that have ended, all close out reports must be submitted, completed and on file. For contracts and loans, this means that consultants and borrowers must follow the regulations governing the use of federal funds.

• **Federal Provisions** – Included in all grant agreements, this document explains the administrative standards and provisions that the grant is governed by. Grantees must sign the Federal Provisions along with their signed Grant Agreement.

• **Federal Funding Accountability and Transparency Act (FFATA)** – As applicable, Grantees must comply with FFATA and provide necessary information to enable Enterprise to comply with FFATA reporting requirements. Please visit [http://www.fsrs.gov](http://www.fsrs.gov) for more information.

• **Reporting** – Grantees are required to provide an Activities Report with each disbursement request detailing the progress made against proposed activities and measurable outcomes. At the close of the grant, grantees must provide a Case Study, Production Tracker, Match if available, Backup documentation, Close Out documents, and any deliverables created as a result of the award.

• **Match** - The Section 4 program requires Enterprise to raise match from private sources for every dollar of Section 4 funds spent. Enterprise in turn requests that Grantees demonstrate their ability to provide matching dollars at a 3:1 ratio to assist Enterprise in meeting this requirement. See Appendix C in the **Grants Guide** for additional information.

• **Dedicated Staff Contacts** – Grantees are required to meet (in-person or via phone) with Enterprise staff to finalize the grant agreement before the agreement is executed. Additionally, to ensure good communication and consistent project progress, periodic meetings will take place with dedicated grant management and programmatic staff.

• **Work Products** – For our records, we request that any work products (i.e. reports, work plans, etc.) developed through grant funding be shared with Enterprise at the end of the grant term.

• **Sharing Knowledge with the Field** – Grantees may be asked to participate in a webinar, conference call, panel discussion, or other activity to share outcomes from their grant award with the field. It is our expectation that Grantees participate when possible.