



# Standard Operating Procedures (SOP) for Writing Work Plans

## Version 2 • June 2020

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## Revision History

Revision Number	Revision Date	Summary of Changes	Author
2	6/16/2020	Non-key personnel updates; training work plan development; on-call work plan modifications	Nikki Bowser / Takiyah Worthy / Jessica Yurcheshen

## Approvals

This document requires the following approvals:

Name	Title
Stephanie Stone	Technical Assistance Division Director

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## Purpose, Scope, and Structure

The work plan standard operating procedures (SOP) operationalize the requirements in the cooperative agreement and satisfies the Department’s requirement for internal controls to reduce mismanagement of federal funds and manage risks associated with administration of the award.

The document describes SOP for writing different types of technical assistance (TA) work plans, which align with Eligible Activities in the Community Compass and other TA Notices of Funding Availability (NOFAs) linked to Catalog of Federal Domestic Assistance (CFDA) 14.259. There are no significant differences across different funding years of cooperative agreements that warrant one procedure for each year. If future cooperative agreements include significant differences, these differences will be noted in this document. The guidance on how TA Award Recipients (Recipients) write work plans will ensure the work plan approval process is efficient and able to serve HUD customers and grantees in a timely manner.

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## Definitions

This SOP applies and incorporates the same meaning of terms, defined directly or incorporated by reference, in the NOFA, 2 CFR part 200, Subpart A or 24 CFR parts 84 and 85 for awards executed before December 26, 2014. Some additional terms are defined below.

**Capacity Building**—See NOFA.

**Conditional Approval**—When HUD has determined that there are minor requirements that have not been met, and the unmet requirements do not prevent success of the TA engagement. The status in both the TA Portal and DRGR for a work plan will be approved, but it is the responsibility of the Recipient to review the approval comments for the conditions that need to be met. The GTR must follow-up within 15 days to ensure minor requirements are met. Full approval is contingent upon the Recipient taking action to meet all requirements.

**Conference**—A conference is defined as a meeting, retreat, seminar, symposium, workshop, or event whose primary purpose is the dissemination of technical information beyond the non-Federal entity and is necessary and reasonable for successful performance under the Federal award.<sup>1</sup>

**Cooperative Agreement Officer (CAO)**—See NOFA

**Customers**—See NOFA.

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<sup>1</sup> 2 C.F.R. §200.432 (2019).

**Equipment**—Defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. <sup>2</sup>

**Government Technical Monitor (GTM)**—See NOFA.

**Government Technical Representative (GTR)**—See NOFA.

**Key Personnel**—Considered to be essential to the work being performed under the agreement and per work plan. <sup>3</sup>

**Learning Objectives**—Statements that define the expected goal(s) of a product, curriculum, or training, and they describe the skills or knowledge participants are expected to gain.

**Milestone**—A scheduled event signifying the completion of a major deliverable or a phase of work. <sup>4</sup>

**Non Key Personnel**—Staff whose contribution is not directly linked to the success of TA delivery, products and/or tools.

**Outcomes**—See NOFA.

**Outputs**—See NOFA.

**Personnel**—Employees of the Recipient, or any contractor(s), or team members, and consultants engaged by any of those entities. <sup>5</sup>

**Program Office Technical Assistance Coordinator (POTAC)**—See NOFA.

**TA (technical assistance) Award Recipient**—The Recipient of a Community Compass award; all awards are Cooperative Agreements.

**Work Plan**—A project implementation and service delivery plan under which the Recipient provides eligible TA or capacity building services to one or more HUD customers. A work plan serves as the agreement between HUD and the Recipient, for the provision of TA services, and the Recipient's formal response to a TA assignment from HUD. <sup>6</sup>

**Work Plan Lead**—The person who will lead the design and implementation of the work plan and monitor compliance with this agreement. <sup>7</sup>

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## Roles and Work Plan Approval Process<sup>8</sup>

A work plan describes the Recipient's design to deploy and deliver TA and resolve knowledge and capacity gaps and deficiencies of HUD customers. The plan contains an overview of the gaps/deficiencies to resolve, a brief description of the major tasks involved in the service delivery, the overall resources needed to support the effort (such as personnel, materials, travel, facilities, equipment), the direct and indirect costs of resources, HUD's role in the delivery of services, the expected outcomes and deliverables, and any customer-specific requirements.

The Recipient is responsible for designing a work plan in collaboration with HUD. The design phase occurs after the GTM, POTAC, or GTR has issued to the Recipient a formal demand for TA services (i.e. a TA assignment). TA assignments are issued in writing via the TA Portal<sup>9</sup> or e-mail depending on the work plan type and the preference of the program office. If the work plan is submitted in the TA Portal, the GTM or POTAC **may** request that the work plan be drafted in the TA Portal before submission. If so, the Recipient notifies the GTM when the draft is ready for review. The GTM conducts a preliminary review of the draft work plan in the TA Portal and may

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<sup>2</sup> 2 C.F.R. §200.33 (2019).

<sup>3</sup> "Technical Assistance and Capacity Building Program Cooperative Agreement Provisions," Key Personnel, (2).

<sup>4</sup> "Circular No. A-11," Section 200-22.

<sup>5</sup> "Provisions," Key Personnel, (1).

<sup>6</sup> "Provisions," Work Plan, (a).

<sup>7</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #2.

<sup>8</sup> "Provisions," Work Plan, (a)-(c).

<sup>9</sup> Additional information on the TA Portal can be found in the "TA Portal Technical Guide," <https://www.hudexchange.info/hudexchange-portal/ta-portal-guidance/>.

consult with HUD subject matter experts (SMEs) and/or field office representatives. The GTM or POTAC then provides feedback to the Recipient, taking into consideration any comments from HUD SMEs and/or field office representatives.

Once a work plan or work plan amendment is submitted to HUD, the GTM or POTAC will review, if appropriate, in consultation with HUD SMEs and/or field office representatives. The GTM or POTAC will provide written recommendation to the GTR regarding TA work plan or amendment approval. Once a work plan or amendment is approved by the GTR, the GTM or the POTAC may not provide direction to the Recipient outside of the scope of the approved work plan. Other than costs to develop a work plan, the Recipient may not incur costs pursuant to a work plan until the work plan has been approved by the GTR or CAO. Below are core responsibilities of TA Award Recipients, GTMs/POTACs, and GTRs regarding review of work plans.

GTM and GTRs may have overlapping responsibilities that occur simultaneously for quality reviews. The primary difference is GTRs are responsible for the technical direction and evaluation of a successful TA Award Recipient's performance, whereas GTMs/POTACs provide programmatic expertise and input. GTRs serve as representatives of the CAO who has responsibility for the management and fiscal oversight of the cooperative agreement awards.

### **TA Award Recipient Responsibilities**

- Once a TA Assignment is received, schedules a call or meeting with the GTM/POTAC, GTR, HUD SMEs, and any other person listed in the assignment.
- In collaboration with HUD, drafts and submits a work plan in the Portal and/or DRGR.
- Provides TA once the work plan has been approved by the GTR or CAO in DRGR or both DRGR and the TA Portal, depending on the type of work plan.

### **GTM/POTAC Responsibilities**

- In collaboration with the Recipient and HUD SMEs and/or field offices representatives, GTM/POTAC will provide substantial input in the planning and implementation of work plans.
- Reviews the work plan to ensure:
  - Scope aligns with TA assignment.
  - Tasks are eligible as defined in the NOFA and within scope.
  - Tasks are clearly defined and include milestones and/or outputs.
  - Labor-mix is appropriate for level of effort.
  - Labor hours are reasonable given the level of effort required.
  - Number and type of tasks and activities proposed are appropriate for the scope.
  - Number of trips and type of travel proposed are appropriate for the scope.
- Follows-up directly with the Recipient to address any problems or questions associated with the work plan.
- Provides written recommendation on work plan approval or amendments in the TA Portal or via e-mail to the GTR.
- Keeps the GTR apprised of the status of the work plan including product reviews and need for changes in scope of work, timing, or budget.
- Participates in the acceptance and publication of TA work products and materials to make them available to the public.

### **GTR Responsibilities**

- Assists the GTM in managing the work plan development process.
- Reviews the work plan after GTM recommends approval to ensure personnel, time, and costs are reasonable, eligible, and allocable.
- When reviewing work plans, identifies any assumptions and requests clarification on any unclear work plan details.
- Works with the GTM and Recipient to resolve any problems or questions associated with the work plan.
- Monitors the Recipient's overall award performance, including progress against the signed cooperative agreement and the Recipient's approved work plan, and assists in addressing performance problems.
- Serves as official authorizing representative in approving/denying work plans and work plan amendments.
- Ensures administrative procedures identified in the Community Compass Provisions are followed.
- Liaison between HUD Program Office and TA Award Recipient.

## **The Approval Process**

Work Plan approval process for the submission and approval of Direct TA-AAQ, Knowledge Management, and NAHASDA Rulemaking Work Plans that are only submitted in DRGR:

1. HUD assigns work to Recipient via email
2. Recipient drafts and submits work plan in DRGR
3. Recipient emails a PDF copy of work plan to GTM/POTAC and GTR
4. GTM/POTAC reviews work plan in consultation with HUD SMEs and/or Field Office Representatives and provides feedback and/or recommends approval in an email to GTR and Recipient within 15 days of submission
5. GTR reviews work plan and requests revisions and/or approves in DRGR within 30 days of submission
6. TA begins

Work Plan approval process for Needs Assessment, Data Analysis, Product Development, Training, and All Other Direct TA, Including On-Call and Regional Outreach, Work Plans submitted in *both* DRGR and the TA Portal:

1. HUD assigns work to Recipient via TA Portal or email
  - a. Optional: Recipient drafts work plan in TA Portal and DRGR
  - b. Optional: Recipient notifies GTM when ready to submit
  - c. Optional: GTM reviews draft work plan in consultation with HUD SMEs and/or Field Office Representatives and provides feedback to Recipient in TA Portal
2. Recipient submits work plan in TA Portal and DRGR
3. GTM/POTAC reviews work plan in consultation with HUD SMEs and/or Field Office Representatives and provides feedback and/or recommends approval in TA Portal within 15 days of submission
4. GTR reviews work plan in TA Portal and DRGR and requests revisions or approves in TA Portal and DRGR with 30 days of submission
5. TA begins

Steps are not listed for the approval process for Administration and Coordination work plans since the process includes only the submission of the work plan in DRGR and the review of the GTR for approval or rejection.

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## **Important Notes**

Below are important notes that apply to all work plans.

- This SOP must be used with the other materials referenced. This SOP is not a replacement of responsibility to understand the full requirements of the cooperative agreement.
- HUD's official review timeframe for a work plan begins when it is submitted in both DRGR<sup>10</sup> and the TA Portal or only in DRGR, depending on the work plan type.
- Refer to the DRGR User Manual and TA Portal Guidance on hud.gov for specific system instructions related to work plan submissions.

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## **Procedure for Developing Administration and Coordination Work Plans**

As stated in the Community Compass NOFA, Administration Work Plans cover administrative activities directly associated with overall award management and execution; Coordination Work Plans cover services related to coordinating TA with other Recipients and planning TA engagements. The costs associated with these work plans are not chargeable or easily traceable to any specific TA service work plan. These work plans do not require POTAC/GTM recommendation for approval, because the scope and activities are not program specific.

HUD has developed templates for Administration and Coordination Work Plans (see Attachment 2 and 3). These templates include examples of allowable costs, scope, and tasks. The Recipients should develop and submit Administration and Coordination Work Plans that consider these templates along with the available funds for each work plan and the Recipient's organizational structure.

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<sup>10</sup> DRGR guides can be found here: <https://www.hudexchange.info/programs/drgr/>.

Recipients are required to submit Administration and Coordination Work Plans to HUD using the HUD DRGR System. The following procedures are organized by the specific requirements from the Community Compass Provisions.

## Developing the Administration & Coordination Work Plans

1. Include an **Award #**: The award number must match the number identified on the cooperative agreement in which administration or coordination work will be charged.
2. Include **Work Plan Type**: Administration or TA Coordination
3. For **Work Plan #** (open text), use the numbering convention below:
  - [3-4 letters of Recipient's name or acronym]-[letter(s) that matches the starting letter of the award number/Funding Source Code]-[last 2 digits of the year associated with the cooperative agreement]-[3 digits that represent the consecutive work plan number] [(optional descriptor)]
  - Example: ECP-C-14-015 (Admin)

For Recipients that use an additional number from their financial management system, you may add that number parenthetically after the optional descriptor.

- Example: ECP-C-14-015 (Admin)(1234)

4. Add a **Scope**: The Community Compass Provisions Attachment 2: Basic Work Plan Standards outlines items that should be included for a quality scope description. The templates found in Attachments 2 and 3 can be used as a guide. However, the TA Award Recipient may identify other language needed to describe the anticipated work for Administration and Coordination.

Include at least 1 Work Plan Lead including their e-mail and phone number. The Work Plan Lead is HUD's primary point of contact for questions or updates to the work plan.

5. For **Period of Performance** include:
  - A start date that represents the date on which allowable costs are expected to be incurred. The date must not occur before the Recipient's signature date on the 1044, unless a pre-award letter was issued by the HUD CAO.
  - An end date that represents the date on which allowable costs are expected to end and allows for time to close out the work plan. The date must not occur after the expiration date of the award.
6. **Project#/Project Title** must align with the **Scope** which would be either Administration or Coordination.
7. Under **Tasks**, add one task with:
  - A **Task** name that is the same or similar to the one included in the template.
  - A **Start Date** and **End Date** that falls within the **Period of Performance**.
  - An **Estimated Cost** that includes the sum of direct and indirect costs related to the task to be performed. The TA work plan budget is based on the sum of **Estimated Costs** for each **Task**.
  - **Estimated Hours** for the task.

For the **Task Narrative**, include:

- Clearly defined eligible activities.<sup>11</sup>
- Any planned site visits or meetings with the HUD field office staff and HQ staff<sup>12</sup> including who is going, reason for travel, and number of trips, if applicable.
- Full name of Key Personnel, and the estimated hours for each.<sup>13</sup>
- Estimated hours for each labor category/title by task.<sup>14</sup> Example:
  - Housing Specialist – 2 hours. Project Manager – 5 hours. Financial Manager – 5 hours.

Under **TA Work Plan Milestones**, ensure that the work plan has at least one milestone. The milestone should include a title and description of the schedule or plan for delivering the assistance.<sup>15</sup> Check that the **Expected Date** is reasonable and falls within the **Period of Performance**. Examples for Administration: Monthly Award Management and Quarterly Reporting. Examples for Coordination: Quarterly TA Provider Calls and Required Community Compass Trainings

<sup>11</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7d.

<sup>12</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #11b.

<sup>13</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7g.

<sup>14</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7f.

<sup>15</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7i.

8. **Supporting Documents:** Add any documents referenced in the TA assignment and work plan, such as pre-award cost letter or any relevant travel cost assumptions or justifications.

**Note:** The TA work plan requires Recipients to segregate the costs that make up the total budget of the TA work plan. Costs must be segregated by direct labor/staff costs, other direct costs (including travel), and indirect costs.

9. **Proposed Staff** should include a mixture of key and non-key personnel that is appropriate to carry out the tasks associated with Administration and Coordination. All proposed staff should have an approved wage rate when adding them to the work plan.
- The Recipient may add **Staff Types** that are pending approval, but only conditional approval of the work plan will be granted as all rates must be approved<sup>16</sup> by the Wage Approval Group (WAG) before costs are incurred.
  - Each **TA Staff Type** includes an individual under **Staff**.<sup>17</sup>
  - Dates for personnel must reflect the estimated start and end dates and must be within the **Period of Performance** of the TA work plan.
  - Each staff on the work plan must have a total number of hours that will be dedicated to carry out the tasks in the Administration/Coordination work plan. Ensure Key Personnel have adequate hours to manage work plan. High rate individuals (\$200 or more per hour) should be used in specialized and complex areas of TA assignments and administrative work should be delegated to lower rate individuals.
  - Total staff costs calculated using rates and hours must be equal to (or less than) the **Proposed Staff Budget Amount**.
  - For non-key personnel, Recipients may change **Staff Types** or **Staff** without requiring re-approval of the work plan in DRGR. Non-key personnel may be changed on a work plan without updating the work plan. However, HUD encourages the Recipient to add permanent non-key personnel changes when making other adjustments to the work plan later through modification or amendment..
10. **Other/BLI Costs** must be included and is a list of direct non-labor costs and indirect costs.
- Select the appropriate **BLI** category. For example, the travel option should be selected for all travel related costs. If a category option does not accurately describe the proposed cost, select "Other."
  - Each Other/BLI costs must have start and end dates that occur within the work plan **Period of Performance**.
  - Include a **Description** and **Total**.
  - Each **Budget Line Item** (e.g. communication, shipping, meeting space, supplies/materials, equipment/products) must include both a cost and a quantity (e.g. 2 webinar transcriptions at \$1,000 each), if applicable.

When considering what non-labor/direct costs to include on a work plan, the Recipient should consider the following:

- Use HUD resources for space, audio, etc. instead of incurring costs for these resources.
- Ensure the cost is not included in your indirect cost rate agreement.
- Conduct research to ensure the most affordable option in the market.

For Equipment:

- Purchases must be made in accordance with 2 CFR 200.313.
- Requests to approve equipment must include the following information:
  1. Identify the type of equipment and indicate if this equipment is to be used for this project only or will be shared with other customers/clients.
  2. If the equipment will be shared with others, demonstrate that HUD is paying only its proportionate share of the cost and that the cost is not duplicated in Recipient's indirect cost rate.
  3. Explain why there is no other equipment in the organization that is available for the work under this agreement.
  4. Address whether or not the equipment will be purchased on a competitive basis.
  5. Cover conditions for leasing of real property, if applicable.

<sup>16</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #8d.

<sup>17</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #8a.

For Travel: HUD may request the Recipient to travel for in-person meetings that is directly related to administration or coordination of the award. The TA Institute training is one example that needs to be included in the budget. Therefore, Recipients should consider anticipated travel when determining period of performance and budget. The following should be considered for travel:

- Transportation and travel costs must be reasonable and not exceed the Federal Travel Regulation rates, unless pre-approved by the GTR or CAO (e.g. disaster areas, limited hotel options). Exceptions must be documented in the work plan.
- Include estimated costs for travel, including number of trips, unit cost by trip, and number of people per trip.<sup>18</sup> This includes destination and point of origin if known, mode of transportation and cost estimate, meal and incidental expenses, lodging expenses, parking expenses, and specific ground transportation, which includes car rentals, buses, mileage, or trains. Examples below:
  - Airfare - \$600/flight, 4 roundtrip flights from California to DC Total: \$2,400
  - Taxi - \$60/trip for 8 trips Total: \$480
- If proposing to rent a car, you must provide justification that a vehicle is advantageous to the Government. In addition, the Recipient must use the least expensive compact car available, unless an exception for another class of vehicle is approved.<sup>19</sup> You must also provide a written justification if planning to rent more than one vehicle for up to 4 persons traveling to the same destination. Recipient needs to provide this information as supporting documentation.

**Note:** Refer to the travel guidance and FAQs for tips on how to estimate travel costs.

For G&A, Overhead, and Indirect Costs, **Description** must include the federally approved percentages, such as G&A (19.2%).<sup>20</sup>

**11.** GTRs have 30 days to review and **Approve** or **Reject** a work plan.

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<sup>18</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #9a.

<sup>19</sup> "Federal Travel Regulation", issued January 2004, §301-10.450.

<sup>20</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #9b.



# Procedure for Developing Direct TA-AAQ, Knowledge Management, and NAHASDA Rulemaking Work Plans

Direct TA-Ask a Question (AAQ), Knowledge Management, and Native American Housing Assistance and Self Determination Act (NAHASDA) Rulemaking Work Plans are only submitted in DRGR. Once the Recipient submits the work plan, DRGR sends an e-mail notice to the GTR and the Recipient should e-mail a pdf of the work plan to the GTR and GTM/POTAC. Please note that training work plans that require curriculum design and delivery should be separated across two work plans: one for product development and one for training delivery. Other trainings that are not part of a large-scale curriculum design are not required to separate work plans unless the TA assignment language explicitly requests it.

## Developing the Work Plan

1. Include an Award #: The award number must match the cooperative agreement number determined by HUD to be most appropriate for the assignment.
2. Make the following Work Plan Type selections:
  - AAQ select “TA AAQ”
  - Knowledge Management select “TA Knowledge Mngmt”
  - NAHASDA Rulemaking select “TA Rulemaking Support”
3. For **TA Work Plan Number** (open text), use the numbering convention below:
  - [3-4 letters of Recipient’s name or acronym]-[letter(s) that matches the starting letter of the award number/Funding Source Code]-[last 2 digits of the year associated with the cooperative agreement]-[3 digits that represent the consecutive work plan number] [(optional descriptor)]
  - Example: ECP-C-14-015 (AAQ)

For Award Recipients that use an additional number from their financial management system, you may add that number parenthetically after the optional descriptor.

- Example: ECP-C-14-015 (AAQ)(1234)

4. **Associate Work Plans:** If the work plan is associated with any other work plan in DRGR or if the Recipient is working in collaboration with another Recipient for the TA assignment, Recipients should associate the new work plan with one already in the system. The tasking assignment may identify other work plans that should be associated to the new work plan.
5. For **Scope**, include:
  - At least 1 Work Plan Lead<sup>21</sup> including their e-mail and phone number. The Work Plan Lead is HUD’s primary point of contact for questions or updates to the work plan.
  - A summary of the need or capacity gap(s), TA request, and assignment from HUD. Summary should consider the TA eligible activities (see Attachment 1: Community Compass Eligible Activities), focus areas, and program topics in the NOFA.<sup>22</sup>
  - HUD program(s) for which assistance is being planned, if applicable.<sup>23</sup>
  - A description of past and current TA provided to the HUD customer or audience, and how the new effort will change or expand current or past efforts.<sup>24</sup>
  - A brief description of the proposed TA, including TA design, assumptions related to the work plan design and outcome,<sup>25</sup> and identification of any proposed training, direct TA, and/or pass-through funds, as applicable.<sup>26</sup>
  - A description of how equipping HUD customers with the knowledge, skills, tools, capacity, and systems to implement HUD programs/policies successfully—e.g., increase capacity of grantee to be able to write their own policies and strategic plans, and resolve their own monitoring issues.
  - A description of how the Recipient will coordinate the proposed assistance with the delivery of other TA provided by others, if known and if practicable.<sup>27</sup>

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<sup>21</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #2.

<sup>22</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #6a.

<sup>23</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #4.

<sup>24</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #6d.

<sup>25</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #6.

<sup>26</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7b.

<sup>27</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #6c.

- A description of the site or location to be used in the delivery of TA, if applicable.<sup>28</sup>
6. For **Organizations Assisted**, add organizations for which TA is being provided<sup>29</sup> and ensure that entity has been associated with program(s) included in the **Scope**, such as COC or CDBG. Recipients should refer to the assignment to determine if specific organizations to assist are listed, and if organizations are in the Scope, Recipients must add under the **Organizations Assisted** section of the work plan.

**Note:** Recipients are not required to add organizations for AAQ since AAQ reports provide this information.

If multiple organizations with the same name are listed in DRGR, be sure to add the organization with the correct DUNS. Check with the organization or HUD to determine the correct DUNS. All organizations may not be listed in the system. If an organization is not listed, leave this section blank temporarily. Other organizations will be added soon.

7. For **Period of Performance** include a start date that matches the date the TA task was assigned or a later date to allow for billable project management activities and an end date that is within 90 days of the date of TA completion<sup>30</sup> to allow for capturing of trailing costs and final reporting. The period must fall within the period of performance of the cooperative agreement unless a pre-award letter was issued.

Selecting a period of performance is not an arbitrary timeline, but should factor in some of the following conditions:

- Level of HUD involvement
- Input from the POTAC/GTM
- Complexity of the work assigned

8. **Project#/Project Title** must align with the **Scope** and the **Project Budget** in DRGR.

Tasks are achievable activities that address the TA needs as identified by the TA assignment from HUD<sup>31</sup> and is consistent with **Scope**. Tasks are actions that will improve the HUD grantee's performance.

Each **task** should include:

- A descriptive name. In general, the first one or two tasks on a work plan should be the project management<sup>32</sup> and coordination tasks. This includes the activities related to designing, coordinating, and administering the award requirements for the work plan.
  - A **Start Date** and **End Date** that falls within the **Period of Performance**.
  - An **Estimated Cost** that includes the sum of direct and indirect costs related to the task to be performed. The TA work plan budget is based on the sum of **Estimated Costs** for each **Task**.
  - **Estimated Hours**.
9. For the **Task Narrative**, add clearly defined eligible activities<sup>33</sup> (see Attachment 1: Community Compass Eligible Activities) including:
- Any work products that will be produced/used in the delivery of the assistance and schedule with dates to draft and complete products.<sup>34</sup>
  - Any planned site visits or meetings with the targeted HUD customer(s), HUD field office staff, and HQ staff<sup>35</sup> including who is going, reason for travel, and number of trips, if applicable.
  - Quantity, type, topic, duration, and location of workshops/sessions.
  - Training dates or the person at HUD that will be communicating the confirmed dates with the Recipient.
  - If the assistance will be delivered jointly with other Recipients, the personnel and the respective roles and responsibilities of each of the involved Recipients.<sup>36</sup>
  - Full name of Key Personnel and the estimated hours for each.<sup>37</sup>

<sup>28</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6f.

<sup>29</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #4.

<sup>30</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #3.

<sup>31</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7c.

<sup>33</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7d.

<sup>34</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7e.

<sup>35</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #11b.

<sup>36</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6g.

<sup>37</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7g.

- Estimated hours for each labor category/title by task.<sup>38</sup> Example:
  - Housing Specialist – 2 hours. Project Manager – 5 hours. Financial Manager – 5 hours.
- **Note for Work Products:** Work products will be made publicly available via postings on HUD Exchange, or in a manner and location determined by HUD.<sup>39</sup> If the product or training will be posted on HUD Exchange, Recipient must schedule a kick-off discussion with manager of HUD platform before developing products and online trainings to ensure compatibility. In addition, the TA Award Recipient must budget in the work plan for making products 508 compliant, and for reviewing website posting options with manager of HUD platform and HUD.

10. Under **TA Work Plan Milestones**, ensure that the work plan has at least one milestone for the work plan. The milestone should include a title and description of the schedule or plan for delivering the assistance.<sup>40</sup> Check that the **Expected Date** is reasonable and falls within the **Period of Performance**.<sup>41</sup>

11. **Supporting Documents:** Add the TA assignment and any documents referenced in the TA assignment and work plan, such as non-disclosure certification or any relevant travel cost assumptions or justifications.

If the work plan entails attending a conference or training, or use of space, see information below.

**Approvals for Event Requests and Use of Non-HUD Space Agreements:** In accordance with HUD’s Conference and Travel Requirements memorandum, dated September 14, 2016, all **HUD sponsored and non-HUD sponsored conferences (see Definitions)** or **third-party travel on HUD’s behalf** under active HUD technical assistance cooperative agreements will require the appropriate General Deputy Assistant Secretary (GDAS), Principal Deputy Assistant Secretary (PDAS), or Deputy Secretary (DEPSEC) approval.

Each HUD office has their own internal process for event request approvals. The GTM/POTAC is responsible for ensuring compliance with their program offices established process. The GTM/POTAC should work with the Recipient to complete the event request package for applicable technical assistance activities and facilitate its review, and subsequent approval, through their respective office leadership.

The GTM/POTAC should include language in the Assignment, Scope or Comments section indicating that the event request approval process has been considered and is underway.

Upon receipt of event approval from the appropriate HUD official, the GTM/POTAC should attach documentation in the TA Portal under the Comments section and notify the Recipient via email (copying the GTR) so they may proceed with associated activities. Please note: Reimbursement of event-related expenditures will not occur without attachment proof of approval. The Recipient should include it as supporting documentation to the applicable voucher.

In addition, the use of non-HUD space and the accompanying space agreement for in-person trainings, conferences, and other HUD-sponsored events are subject to prior, written approval from the appropriate HUD-approving official outside of the assigned GTR. The Recipient must provide a copy of the space agreement to the GTR, prior to executing with a third party. The GTR should forward the agreement to the designated space agreement lead in TAD or Procurement & Contracts Service (PCS), facilitate communication between the Recipient and the HUD-approving official (i.e. designated TAD/PCS lead), and upon approval, notify the Recipient via e-mail and by adding comments in the Portal.

Below is a list of some items that HUD requested be redacted from agreements:

- Insurance
- Indemnification clauses
- Attorney fees
- Dispute resolution or arbitration
- Guaranteed minimums
- Food or beverage

Work plans with pending event requests and/or space agreements may be conditionally approved prior to written approval. However, work plan approval does not constitute approval for the event(s) or use of space.

<sup>38</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7f.

<sup>39</sup> “Provisions,” Work Products, (1).

<sup>40</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7i.

<sup>41</sup> According to the “Outcomes Guidance,” outcomes do not need to be added in DRGR (p.15).

**Note:** The TA work plan requires Recipients to segregate the costs that make up the total budget. Costs must be segregated by direct labor/staff costs, other direct costs (including travel), and indirect costs.

12. **Proposed Staff** should include a mixture of key and non-key personnel that is appropriate to carry out the tasks associated with the work plan. All proposed staff should have an approved wage rate when adding them to the work plan.

- The Recipient may add **Staff Types** that are pending approval, but only conditional approval of the work plan will be granted as all rates must be approved<sup>42</sup> by the Wage Approval Group (WAG) before costs are incurred.
- Each **TA Staff Type** includes an individual under **Staff**.<sup>43</sup>
- Enter the start date in the **From** field and the end date in the **To** field for the selected personnel. These dates must reflect the estimated start and end dates for the personnel and must be within the **Period of Performance** of the TA work plan.
- In the **Hours** field, enter the hours associated with the **Staff**. Ensure Key Personnel have adequate hours to manage work plan. High rate individuals (\$200 or more per hour) should be used in specialized and complex areas of the TA assignments and administrative work should be delegated to lower rate individuals.
- Total staff costs calculated using rates and hours should be equal (or less than) to the **Proposed Staff Budget Amount**.
- For non-key personnel, Recipients may change **Staff Types** or **Staff** without requiring re-approval of the work plan in DRGR. Non-key personnel may be changed on a work plan without updating the work plan. However, HUD encourages the Recipient to add permanent non-key personnel changes when making other adjustments to the work plan later through modification or amendment. **Other/BLI Costs** must be included and is a list of direct/non-labor costs and indirect costs.
  - Select the appropriate **BLI** category. For example, the travel option should be selected for all travel related costs. If a category option does not accurately describe the proposed cost, select "Other."
  - Each Other/BLI costs must have start and end dates that occur within the work plan **Period of Performance**.
  - Include a **Description** and **Total**.
  - Each **Budget Line Item** (e.g. communication, shipping, meeting space, supplies/materials, equipment/products) must include both a cost and a quantity (e.g. 2 webinar transcriptions at \$1,000 each), if applicable.

When considering what non-labor/direct costs to include on a work plan, the Recipient should consider the following:

- Use HUD resources for space, audio, etc. instead of incurring costs for these resources.
- Ensure the cost is not included in your indirect cost rate agreement.
- Conduct research to ensure the most affordable option in the market.

For Equipment:

- Purchases must be made in accordance with 2 CFR 200.313.
- Requests to approve equipment must include the following information:
  1. Identify the type of equipment and indicate if this equipment is to be used for this project only or will be shared with other customers/clients.
  2. If the equipment will be shared with others, demonstrate that HUD is paying only its proportionate share of the cost and that the cost is not duplicated in Recipient's indirect cost rate.
  3. Explain why there is no other equipment in the organization that is available for the work under this agreement.
  4. Address whether or not the equipment will be purchased on a competitive basis.
  5. Cover conditions for leasing of real property, if applicable.

For Travel:

- Transportation and travel costs must be reasonable and not exceed the Federal Travel Regulations rates, unless pre-approved by the GTR or CAO (e.g. disaster areas, limited hotel options). Exceptions must be documented in the work plan.
- Include estimated costs for travel, including number of trips, unit cost by trip, and number of people per trip.<sup>44</sup> This includes destination and point of origin if known, mode of transportation

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<sup>43</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #8a.

<sup>44</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #9a.

and cost estimate, meal and incidental expenses, lodging expenses, parking expenses, and specific ground transportation, which includes car rentals, buses, mileage or trains. Examples below:

- Airfare - \$600/flight, 4 round trip flights from California to DC Total: \$2,400
- Taxi - \$60/trip for 8 trips Total: \$480
- If proposing to rent a car, you must provide justification that a vehicle is advantageous to the Government. In addition, the Recipient must use the least expensive compact car available, unless an exception for another class of vehicle is approved.<sup>45</sup> You must also provide a written justification if planning to rent more than one vehicle for up to 4 persons traveling to the same destination. Recipient needs to provide this information as supporting documentation.

**Note:** Refer to the travel guidance and FAQs for tips on how to estimate travel costs.

For G&A, Overhead, and Indirect Costs, **Description** must include the federally-approved percentages, such as G&A (19.2%).<sup>46</sup>

13. In DRGR, **Performance Measures** are equivalent to Outputs in the Portal and should be included for these types of work plans in consultation with HUD (GTM/POTAC). The performance measures listed will be based on the **Work Plan Type** selected.

14. As soon as the work plan is submitted in DRGR, send an e-mail to the GTM/POTAC with a PDF of the work plan submitted in DRGR and copy the GTR. POTACs/GTMs have 15 days to review and recommend approval/disapproval. GTRs have 30 days to review and **Approve** or **Reject** a work plan.

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<sup>45</sup> "Federal Travel Regulation", issued January 2004, §301-10.450.

<sup>46</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #9b.

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## Procedure for Submitting Needs Assessment, Data Analysis, Product Development, Training, and All Other Direct TA, Including On-Call and Regional Outreach, Work Plans

Needs Assessment, Data Analysis, Product Development, Training, and All Other Direct TA, including On-Call and Regional Outreach, Work Plans are submitted in DRGR and the Portal. There is not a “Data Analysis” option in the Portal; therefore, select “Product Development” to develop work plans for data analysis TA. Please note that training work plans that require curriculum design and delivery should be separated into two work plans: one for product development and one for training delivery. Other trainings that are not part of a large-scale curriculum design are not required to be separated into two work plans unless the TA assignment language explicitly requests it.

On-Call Work Plans have multiple planned or expected engagements, but the customer or grantee is not always known ahead of time. On-Call Work Plans are structured in two ways. The first method has one task for multiple engagements and the other uses one task for each engagement. Please note the preferred method is the latter. To be able to provide TA as soon as a new assignment is made, Recipients may add a task or organization(s) assisted to an On-Call Work Plan as a modification.

During emergency response situations (e.g. disasters, public health crises) and at the direction of HUD, Product Development Work Plans may be structured like On-Call Work Plans to expedite the delivery of TA. In this instance, general tasks in a Product Development Work Plan are approved, such as development of product #3, and updated as modifications once more detailed directions are given by HUD. Updates to a task may be submitted as a modification as long as the updates do not include a change requiring a prior approval, such as a change in Scope or Period of Performance.

In addition, note that the GTM or /POTAC may request that the work plan be drafted in the TA Portal before submission. If so, the awardee Recipient notifies the GTM when the draft is ready for review. The GTM/POTAC will review in the Portal and alert the Recipient when ready for submission. Then, the TA Award Recipient will submit the work plan in the Portal and DRGR. Once the TA Award Recipient submits the work plan, DRGR sends an e-mail notice to the GTR and the Portal sends an e-mail notice to the GTR and GTM/POTAC.

### Submitting Work Plan in the Portal

1. For **Funding Source** and/or **Cooperative Agreement**, select one of the options included in the tasking assignment unless approval was granted to use another cooperative agreement.
2. For **Work Plan Name** must use the naming convention below:

#### Direct TA & Needs Assessment

- (Grantee/assisted org)-(TA Type)-(Phase/POP)
- **Example:** Miami, FL-Direct TA-03/01/13-08/31/13

#### On-Call TA & Regional Outreach

- (Topic)-(TA Type)-(Phase/POP)
- **Example:** IDIS-On Call TA-01/01/13-12/31/13

#### Product Development & Training Delivery

- (Topic, select one of the training/product subjects from the drop down)-(TA Type)-(TA Award Recipient Name)-(POP Start Date)
- **Example:** Financial Management-Product Development-ABC-Phase 1

3. For **Work Plan Number** (open text), use the numbering convention below:
  - [3-4 letters of Recipient’s name or acronym]-[letter(s) that matches the starting letter of the award number/Funding Source Code]-[last 2 digits of the year associated with the cooperative agreement]-[3 digits that represent the consecutive work plan number] [(optional descriptor)]
  - **Example:** ECP-C-14-015 (AAQ)

For Recipients that use an additional number from their financial management system, you may add that number parenthetically after the optional descriptor.

- **Example:** ECP-C-14-015 (Product Development)(1234)

4. For **Period of Performance** include a start date that matches the date the TA task was issued or a later date to allow for billable project management activities and an end date that is within 90 days of the date of TA completion<sup>47</sup> to allow for capturing of trailing costs and final reporting. The period must fall within the period of performance of the cooperative agreement unless a pre-award letter was issued.

Selecting a period of performance is not an arbitrary timeline, but should factor in some of the following conditions:

- Level of HUD involvement
- Input from the POTAC/GTM
- Complexity of the work assigned

5. **Step does not apply to Product Development or Training Delivery Work Plans:** For **TA Recipients**, add organizations for which TA is being provided.<sup>1</sup> Recipients should refer to the assignment to determine if specific organizations to assist are listed, and if organizations are in the Scope, Recipients must add under the TA Recipients section of the work plan.

6. **Under Work Plan Scope** include:

- A summary of the need or capacity gap(s), TA request, and assignment from HUD. Summary should consider the TA eligible activities (see Attachment 1: Community Compass Eligible Activities), focus areas, and program topics in the NOFA.<sup>48</sup>
- HUD program(s) for which assistance is being planned, if applicable.<sup>49</sup>
- A description of past and current TA provided to the HUD customer or audience, and how the new effort will change or expand current or past efforts.<sup>50</sup>
- A brief description of the proposed TA, including TA design, assumptions related to the work plan design and outcome,<sup>51</sup> and identification of any proposed training, direct TA, and/or pass-through funds, as applicable.<sup>52</sup>
- A description of how equipping HUD customers with the knowledge, skills, tools, capacity, and systems to implement HUD programs/policies successfully—i.e., increase capacity of grantee to be able to write their own policies and strategic plans, and resolve their own monitoring issues.
- A description of how the Recipient will coordinate the proposed assistance with the delivery of other TA provided by others, if known and if practicable.<sup>53</sup>
- A description of the site or location to be used in the delivery of TA, if applicable.<sup>54</sup>
- **For Needs Assessment and Direct TA, Including On-Call and Regional Outreach Work Plans:** Recipients working on a collaborative TA effort should always include information indicating how TA surveys<sup>55</sup> will be initiated, meaning which TA Award Recipient organization should initiate a survey to whom for what aspect of the TA engagement. When a Lead TA Award Recipient is assigned, the Lead is responsible for developing a strategy specifying which TA Award Recipient will have the responsibility for initiating a survey for which Recipient(s) of TA, and which HUD outcomes and outcome descriptions will be related to those tasks. When no Lead TA Award Recipient is assigned, the collaborating recipients must coordinate and agree upon which firms will have responsibility for initiating a survey for various Recipients or tasks.<sup>56</sup>
- **For On-Call Work Plans:** Each engagement is limited to 16 hours or less. In the event that HUD believes more hours are needed, HUD will cover it in writing at the assignment stage of the On-Call TA engagement. In addition, GTR will be instructed per the program office in conjunction with the Recipient.

7. For **Team Leads**, include at least 1 Work Plan Lead that will be HUD's primary point of contact for questions or updates to the work plan.<sup>57</sup>

8. For **Travel**, if applicable, include the **Estimated Total Travel Budget** for all trips. For each trip:
  - Add **Number of People**,

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<sup>47</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #3.

<sup>48</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6a.

<sup>49</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #4.

<sup>50</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6d.

<sup>51</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6.

<sup>52</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7b.

<sup>53</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6c.

<sup>54</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6f.

<sup>55</sup> As stated on page 1 of the "TA Performance Surveys" (issued on March 28, 2019), HUD requires "TA Award Recipients or their subRecipients to evaluate the effectiveness and performance of technical assistance delivered using HUD-defined outcomes and TA performance surveys."

<sup>56</sup> "TA Performance Surveys," 3/28/2019, pp. 9-10.

<sup>57</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #2.

- Add **Number of Days/Person**,
- Select an option for **Ground Transportation**, and
- Select a task(s) for **Related Tasks**.

For **Comments**, include the total cost of each trip and a breakdown of the estimated costs including unit cost. In addition, include destination and point of origin if known, mode of transportation and cost estimate, meal and incidental expenses, lodging expenses, and parking expenses. Examples below:

- Airfare - \$600/flight, 4 round trip flights from California to DC Total: \$2,400
- Taxi - \$60/trip for 8 trips Total: \$480

**Note:** Refer to the travel FAQs and Travel Guidance for tips on how to estimate travel costs.

9. **Strategic Goals:** Select any goals that the work plan supports. At least one from latest *HUD Strategic Plan* is required; and, if applicable, at least one theme from the *Federal Strategic Plan to Prevent and End Homelessness*.<sup>58</sup>

Options below:

The image shows a list of strategic goals and work plan supports. The first section is titled 'HUD's Strategic Goals the Planned Work Supports' and includes five items: 'Strengthen the Nation's Housing Market To Bolster the Economy and Protect Consumers', 'Meet the Need for Quality Affordable Rental Homes', 'Utilize Housing as a Platform for Improving Quality of Life', 'Build Inclusive and Sustainable Communities Free From Discrimination', and 'Transform the Way HUD Does Business'. The second section is titled 'Federal Strategic Plan to Prevent and End Homelessness Goals the Work Plan Supports' and includes ten items: 'Promote Collaborative Leadership', 'Reduce Financial Vulnerability', 'Strengthen Capacity and Knowledge', 'Integrate Health Care with Housing', 'Advance Health and Housing Stability for Youth', 'Advance Health and Housing Stability for Adults', 'Provide Affordable Housing', 'Provide Permanent Supportive Housing', 'Increase Economic Security', and 'Transform Crisis Response Systems'.

10. **For Product Development and Training Delivery Work Plans Only:** Add a Learning Objective for each task that involves (1) content development for a product or curriculum or (2) delivery of training session(s) or online training(s).

Each Learning Objective should (1) identify the training delivery, product, or curriculum; (2) identify the type of grantee; (3) use a measurable verb; and (4) identify a specific programmatic goal that aligns with scope.<sup>59</sup>

**[TRAINING DELIVERY/PRODUCT/CURRICULUM]: The [GRANTEE] [MEASURABLE VERB] [SPECIFIC PROGRAMMATIC GOAL].**

In addition, a single training should have no more than 5 Learning Objectives, unless the GTR has approved more.

HUD must be able to link the Learning Objective(s) to the specific training delivery, product or curriculum in the work plan.

If Learning Objectives are not yet defined at the time a work plan is initially submitted in the TA Portal, Recipient should include the following language:

- Learning Objectives are currently being developed for this work plan.

If a Product Development work plan contains only administrative tasks, Recipient should include the following language:

- This work plan contains only administrative tasks. Therefore, it does not require Learning Objectives.

Please note that Learning Objectives are used in Training Surveys.

<sup>58</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #12.

<sup>59</sup> "Training Delivery and Product Development Learning Objectives: TA Providers," 3/13/2018, p. 8.



11. For **Expected Outcomes**<sup>60</sup>, select the appropriate **Outcome Category(ies)** (3 options) and **Outcome(s)** (13 options). For each **Outcome** selection include a **Description** and, under **Associated Tasks**, associate the outcome and outcome description with specific work plan tasks or the **Entire Work Plan**.

Each task must be associated with at least 1 **Outcome** to submit the work plan to HUD. Selecting **Entire Work Plan** satisfies the requirement that each task must be associated with at least 1 outcome.

Attachment 4 includes the 3 HUD Outcome Categories and 13 HUD standardized outcomes. 4D “Other” should only be used in rare circumstances, such as when there are multiple work plans supporting the same TA engagement. HUD program staff, the GTR, and the Recipient must agree to the use of 4D.

For **Outcome Description**, ensure outcome:

- reflects meaningful/valuable change(s) on the community/issues because of the TA provided,
- is measurable, and
- reflects near-term results, which are defined as beginning at TA completion to no longer than 90 days post-TA.

Note that text box is limited to 2,000 characters.

For **On Call Work Plans**, recipients will need to add an outcome for the “Entire Work Plan” initially, then edit the work plan as engagements are assigned to add specific expected outcomes for each engagement. The template language for an initial On Call work plan-level outcome is:

- *“Expected Outcomes will be added at the task level as On Call engagements are assigned.”*

If the engagements and Recipients are known ahead of time for an On Call Work Plan, expected outcomes for each engagement should be added when the work plan is being developed.

For any TA work plan with multiple grantees that do not have the same Outcome Description, the TA Award Recipient must include the customer/grantee as a prefix in the outcome description. It is necessary to link a customer/grantee to an outcome/outcome description for use with TA surveys. It should follow this structure:

**[Grantee Name, State/CoC Name, Number]: [SPECIFIC Outcome description for the TA engagement].**

**Example:**

Outcome	* Outcome Description	* Associated Task(s)
<input checked="" type="checkbox"/> 1A: Improved capacity to collect, analyze, and share data (e.g., improved data on populations served, program results or impacts, or community conditions)	Big City CoC, PA-101: The CoC is better equipped to analyze collected data to inform programmatic decisions. Small City CoC, WV-201: The CoC has the tools and ability to use them to collect data from populations served.	2 Selected <input type="checkbox"/> Entire Work Plan <input type="checkbox"/> Task 1: Work Plan Development and Management <input checked="" type="checkbox"/> Task 2: On-call TA: Big City CoC, PA-101 <input checked="" type="checkbox"/> Task 3: On-call TA: Small City CoC, WV-201

TA surveys measure the effectiveness of TA engagements in achieving their expected outcomes. Recipients will be expected to create and administer surveys for each Direct TA, On Call, Needs Assessment, and Regional Outreach work plan.

The outcomes functionality is only in the TA Portal, not DRGR. No need to add outcomes to DRGR at this time.<sup>61</sup>

12. If the assignment was made outside of the Portal, ensure documentation of the assignment is attached in both DRGR and the Portal. Ensure any documents referenced in the TA assignment and work plan and any documents deemed necessary after your review are included under **Supporting Documents**, such as non-disclosure certification or any relevant travel cost assumptions

If the work plan entails attending a conference or training, or use of space, see information below.

**Approvals for Event Requests and Use of Non-HUD Space Agreements:** In accordance with HUD’s Conference and Travel Requirements memorandum, dated September 14, 2016, all **HUD sponsored and**

<sup>60</sup> “Outcomes Guidance.”

<sup>61</sup> “Outcomes Guidance,” p. 15.

**non-HUD sponsored conferences (see Definitions) or third-party travel on HUD’s behalf** under active HUD technical assistance cooperative agreements will require the appropriate General Deputy Assistant Secretary (GDAS), Principal Deputy Assistant Secretary (PDAS), or Deputy Secretary (DEPSEC) approval.

Each HUD office has their own internal process for event request approvals. The GTM/POTAC is responsible for ensuring compliance with their program offices established process. The GTM/POTAC should work with the Recipient to complete the event request package for applicable technical assistance activities and facilitate its review, and subsequent approval, through their respective office leadership.

The GTM/POTAC should include language in the Assignment, Scope or Comments section indicating that the event request approval process has been considered and is underway.

Upon receipt of event approval from the appropriate HUD official, the GTM/POTAC should attach documentation in the TA Portal under the Comments section and notify the Recipient via email (copying the GTR) so they may proceed with associated activities. Please note: Reimbursement of event-related expenditures will not occur without attachment proof of approval. The Recipient should include it as supporting documentation to the applicable voucher.

In addition, the use of space and the accompanying space agreement for in-person trainings, conferences, and other HUD-sponsored events are subject to prior, written approval from the appropriate HUD-approving official outside of the assigned GTR. The Recipient must provide a copy of the space agreement to the GTR, prior to executing with a third party. The GTR should forward the agreement to the designated space agreement lead in TAD or Procurement & Contracts Services (PCS), facilitate communication between the Recipient and the HUD-approving official (i.e. designated TAD/PCS lead), and upon approval, notify the Recipient via e-mail and by adding comments in the Portal.

Work plans with pending event requests and/or space agreements may be conditionally approved prior to written approval. However, work plan approval does not constitute approval for the event(s) or use of space.<sup>62</sup>

Below is a list of some items that HUD requested be redacted from agreements:

- Insurance
- Indemnification clauses
- Attorney fees
- Dispute resolution or arbitration
- Guaranteed minimums
- Food or beverage

13. Tasks are achievable activities that address the TA needs as identified by the TA assignment from HUD<sup>63</sup> and is consistent with **Scope**. Tasks are actions that will improve the HUD grantee’s performance.

For each task, include:

- A descriptive **Task Name**. In general, the first one or two tasks on a work plan should be the project management<sup>64</sup> and coordination tasks. This includes the activities related to designing, coordinating, and administering the award requirements for the work plan.
- **Start Date** and **Projected End Date** that fall within the **Period of Performance**.
- An **Estimated Budget** that includes the sum of direct and indirect costs related to the task to be performed. The **Total Estimated Budget** is based on the sum of **Estimated Budgets** for each **Task**.
- **Labor Category(ies)** and the estimated **# Hours** for each.<sup>65</sup> **Labor Categories** must match **Staff Types** in DRGR.<sup>66</sup> Example:
  - Housing Specialist – 2 hours. Project Manager – 5 hours. Financial Manager – 5 hours.<sup>67</sup>
- Full name of **Key Personnel**.<sup>68</sup>
- For **Topics**, select all applicable topics. At least 1 selection required.

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<sup>62</sup> 2017 Provisions

<sup>63</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7c.

<sup>64</sup> “TA Provider Monthly Update,” 2/19/2015, p. 2. This includes work plan development and reporting on task progress.

<sup>65</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7f.

<sup>66</sup> “TA Portal Technical Guide - Version 1.11,” 5/21/2019, p. 52.

<sup>67</sup> “OneCPD/MV/NSP TA Provider Monthly Update,” 7/23/2014, p.2.

<sup>68</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7g.

- For **Outputs**, a **Title**, **Estimated Completion Date**, and **Output Description**. Each task must have at least 1 **Output** that facilitates progress monitoring.<sup>69</sup>

For the **Task Description** of each task, add clearly defined eligible activities<sup>70</sup> (see Attachment 1: Community Compass Eligible Activities) including:

- Any work products that will be produced/used in the delivery of the assistance and schedule with dates to draft and complete products.<sup>71</sup>
- Any planned site visits or meetings with the targeted HUD customer(s), HUD field office staff, and HQ staff<sup>72</sup> including who is going, reason for travel, and number of trips, if applicable.
- Quantity, type, topic, duration, and location of workshops/sessions;
- Training dates or the person at HUD that will be communicating the confirmed dates with the Recipient.
  - **For all in-person and on-line trainings and conferences sponsored by HUD:** Use of the Learning Management System (LMS) on the HUD Exchange for registration and managing participants is required. In addition, Recipients must enter information about attendees at in-person training/group learning sessions in the LMS as this information is reported to Congress. Ensure plan includes coordination activities with manager of HUD platform. To receive an exception from this requirement, the program office will need to receive CAO approval. **Examples of Exceptions:**
    - Trainings or conferences at HUD HQ because of the need to collect security information upon registration
    - The Office of Native American Programs (ONAP) does not use LMS for online trainings  
Recipients should work with the POTAC/GTM to determine whether LMS will be used.
- If the assistance will be delivered jointly with other Recipients, the personnel and the respective roles and responsibilities of each of the involved Recipients.<sup>73</sup>
- **Note for Work Products:** Work products will be made publicly available via postings on HUD Exchange, or in a manner and location determined by HUD.<sup>74</sup> If the product or training will be posted on HUD Exchange, Recipient must schedule a kick-off discussion with manager of HUD platform before developing products and online trainings to ensure compatibility. In addition, the TA Award Recipient must budget in the work plan for making products 508 compliant, and for reviewing website posting options with manager of HUD platform and HUD.

14. Navigate to **People** tab. Recipients must select a **GTR** and at least 1 **Program Office Reviewer** to submit a work plan. Include **Field Office Reviewers** if instructed to do so by HUD.

15. Notify your GTM that draft work plan is ready for their review, if applicable.

16. When ready to submit, select **Submit Work Plan to HUD** from the **Change Status** drop down, agree with the Procurement Certification, and select **Submit Work Plan**.

## Developing the Work Plan in DRGR

Within 3 days of submitting work plan in the Portal, submit the work plan in DRGR. HUD review period does not begin until the work plan is submitted in both systems.

1. Include an **Award #**: The award number must match the cooperative agreement number determined by HUD to be most appropriate for the assignment.
2. Select a **Work Plan Type**. Options organized by eligible activity:
  - Conduct Needs Assessment
    - TA - Needs Assessment
  - Direct TA and Capacity Building Engagements
    - TA - On Call Assistance
    - TA - Direct TA (practitioner support)
  - Tools and Products/Self-Directed Learning
    - TA Guidebooks/written products

<sup>69</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7i.

<sup>70</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7d.

<sup>71</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #7e.

<sup>72</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #11b.

<sup>73</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #6g.

<sup>74</sup> "Provisions," Work Products, (1).

- TA Developing Workshop Materials\*
- TA Written Products\*
- TA Other Written Products
- TA Developing Web Products
- TA Web-based learning-webinars
- Self-Directed and Group Learning
  - TA Delivering Workshops
  - TA Web-based learning-webinars
  - TA Workshops
- Knowledge Management
  - TA Knowledge Mngmt
- Data reporting, analysis and management
  - TA Data Analysis/Reporting
  - TA HMIS Data Lab

\*Use when developing materials for group learning sessions unless HUD specifies otherwise. Use TA Written Products if the products will be used outside of the training as well.

3. For **TA Workplan Number** (open text), copy and paste the number entered in the Portal.

Work plan numbers must be an exact match in the Portal and DRGR. GTRs will verify during their review by copying and pasting between systems, variances as minor as an extra space must be corrected to ensure successful data matching across systems.

4. **Associate Work Plans:** If the work plan is associated with any other work plan in DRGR, Recipients should associate the new work plan with one already in the system by selecting **TA Provider** first and then the **Work Plan #/Status**.
5. For **Scope**, copy and paste **Scope** from Portal into this field. As much as possible, information must be directly entered into the DRGR work plan since DRGR is the official system of record for TA activities. Simply entering “See TA portal” is not acceptable unless you have reached the character limit in DRGR.
6. Under **Organizations Assisted**, add organizations for which TA is being provided<sup>75</sup> and ensure that entity has been associated with program(s) included in the **Scope**, such as COC or CDBG. Recipients should refer to the assignment to determine if specific organizations to assist are listed, and if organizations are in the Scope, Recipients must add under the **Organizations Assisted** section of the work plan. If multiple organizations with the same name are listed in DRGR, be sure to add the organization with the correct DUNS. Check with the organization or HUD to determine the correct DUNS. All organizations may not be listed in the system. If an organization is not listed, leave this section blank temporarily. Other organizations will be added soon.

Keep in mind the following:

- For Data Analysis, Product Development, and Training Delivery work plans, this section might not be applicable.
7. For **Period of Performance** select the same dates included in the Portal.
  8. Under **Tasks**, for each task include:
    - The same name used in the Portal.
    - The same **Period of Performance**.
    - An **Estimated Cost** that matches the Portal. The TA work plan budget is based on the sum of **Estimated Costs** for each **Task**.
    - **Estimated Hours** that matches the hours included in the Portal.

For the **Task Narrative**, include the same information that was included in the Portal.

9. **Milestones:** Add at least one milestone per work plan that includes a title and description of the schedule or plan for delivering the assistance.<sup>76</sup> The **Expected Date** must fall within the **Period of Performance**.
10. **Project#/Project Title** must align with the **Scope** and the project budget in DRGR.

<sup>75</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #4.

<sup>76</sup> “Provisions,” Attachment 2. Basic Work Plans Standards, #7i.

**Note:** The TA work plan requires Recipients to segregate the costs that make up the total budget. Costs must be segregated by direct labor/staff costs, other direct costs (including travel), and indirect costs.

11. **Proposed Staff** should include a mixture of key and non-key personnel that is appropriate to carry out the tasks associated with the work plan. All proposed staff should have an approved wage rate when adding them to the work plan.

- Enter the start date in the **From** field and the end date in the **To** field for the selected personnel. These dates must reflect the estimated start and end dates for the personnel and must be within the **Period of Performance** of the TA work plan.
- In the **Hours** field, enter the hours associated with the **Staff**. Ensure Key Personnel have adequate hours to manage work plan. High rate individuals (\$200 or more per hour) should be used in specialized and complex areas of the TA assignments and administrative work should be delegated to lower rate individuals.
- The Recipient may add **Staff Types** that are pending approval, but only conditional approval of the work plan will be granted as all rates must be approved<sup>77</sup> by the Wage Approval Group (WAG) before costs are incurred.
- Total staff costs calculated using rates and hours must be equal to (or less than) the **Proposed Staff Budget Amount**.

For non-key personnel, Recipients may change **Staff Types** or **Staff** without requiring re-approval of the work plan in DRGR. Non-key personnel may be changed on a work plan without updating the work plan. However, HUD encourages the Recipient to add permanent non-key personnel changes when making other adjustments to the work plan later through modification or amendment.

12. **Other/BLI Costs must be included and** is a list of direct/non-labor costs and indirect costs.

- Each costs must have start and end dates that occur within the work plan **Period of Performance**.
- Include a **Description** and **Total**.
- Select the appropriate **BLI** category. For example, the travel option should be selected for all travel related costs. If a category option does not accurately describe the proposed cost, select "Other."
- Enter a start date in the **From** field and an end date in the **To** field. These dates must occur within the work plan **Period of Performance**.
- Include a **Description** and **Total**.
- Each **Budget Line Item** (e.g. communication, shipping, meeting space, supplies/materials, equipment/products) must include both a cost and a quantity (e.g. 2 webinar transcription at \$1,000 each), if applicable.

When considering what non-labor/direct costs to include on a work plan, the Recipient should consider the following:

- Use HUD resources for space, audio, etc. instead of incurring costs for these resources.
- Ensure the cost is not included in your indirect cost rate agreement.
- Conduct research to ensure the most affordable option in the market.

For Equipment:

- Purchases must be made in accordance with 2 CFR 200.313.
- Requests to approve equipment must include the following information:
  1. Identify the type of equipment and indicate if this equipment is to be used for this project only or will be shared with other customers/clients.
  2. If the equipment will be shared with others, demonstrate that HUD is paying only its proportionate share of the cost and that the cost is not duplicated in Recipient's indirect cost rate.
  3. Explain why there is no other equipment in the organization that is available for the work under this agreement.
  4. Address whether or not the equipment will be purchased on a competitive basis.
  5. Cover conditions for leasing of real property, if applicable.

For Travel:

- Transportation and travel costs must be reasonable and not exceed the Federal Travel Regulations rates, unless pre-approved by the GTR or CAO (e.g. disaster areas, limited hotel options). Exceptions must be documented in the work plan.

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<sup>77</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #8d.

- Include estimated costs for travel, including number of trips, unit cost by trip, and number of people per trip.<sup>78</sup> This includes destination and point of origin if known, mode of transportation and cost estimate, meal and incidental expenses, lodging expenses, parking expenses, and specific ground transportation, which includes car rentals, buses, mileage or trains. Examples below:
  - Airfare - \$600/flight, 4 round trip flights from California to DC Total: \$2,400
  - Taxi - \$60/trip for 8 trips Total: \$480
- If proposing to rent a car, you must provide justification that a vehicle is advantageous to the Government. In addition, the Recipient must use the least expensive compact car available, unless an exception for another class of vehicle is approved.<sup>79</sup> You must also provide a written justification if planning to rent more than one vehicle for up to 4 persons traveling to the same destination. Recipient needs to provide this information as supporting documentation.

**Note:** Refer to the travel FAQs and Travel Guidance for tips on how to estimate travel costs.

For G&A, Overhead, and Indirect Costs, **Description** must include the federally-approved percentages, such as G&A (19.2%).<sup>80</sup>

- 13. Supporting Documents:** Add the work plan and work plan amendments submitted in the Portal for this work plan. If the assignment was made outside of the Portal, ensure documentation of the assignment is attached. In addition, add any documents referenced in the TA assignment and work plan, such as non-disclosure certification or any relevant travel cost assumptions or justifications.
14. Click on **Save and Return to TA Work Plan**.
15. Select **Submitted** from the **Work Plan Status** field to submit the work plan to HUD for review.
16. Send an e-mail to the GTM/POTAC with a PDF of the work plan submitted in DRGR and copy the GTR. POTACs/GTMs have 15 days to review and recommend approval/disapproval in the Portal. GTRs have 30 days to review and **Approve** or **Reject** a work plan.

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## Procedure for Resubmission of Work Plans

When a GTM, POTAC or GTR request revisions to a submitted work plan, make the requested revisions and include any **revision notes** in the Comments tab of the Portal.

When resubmitting work plans only in DRGR, such as AAQ, send an e-mail the same day as submission to the GTM/POTAC with a PDF of the work plan and copy the GTR. If the revised work plan is submitted in DRGR and the Portal, remember to submit at the same time or within 3 days from each other. POTACs/GTMs have 15 days to review and recommend approval/disapproval via e-mail or the Portal. Revisions requested by GTR do not require GTM/POTAC recommendation for approval.

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## Procedure for Submitting Work Plan Amendments and Modifications

Only changes in **Period of Performance**, adding or deleting a task, or an increase in the original **Total Budget** of 10% or more trigger an amendment in DRGR.<sup>81</sup> A Recipient can add non-key personnel or shift hours in a work plan without triggering an amendment if the **Total Budget** remains the same or is lower than the approved budget. **Total Budget** is based on the sum of all **Estimated Costs of the Tasks**.<sup>82</sup>

**Note:** When changes to a work plan occur, Recipients should ensure that both systems (TA Portal and DRGR) reflect those changes/updates.

If the Period of Performance has lapsed, all work must cease. Once a work plan has lapsed, the Recipient has 15 days to submit an amendment. Work may resume once a work plan amendment is approved. POTACs/GTMs have 15 days to review and recommend approval/disapproval of a work plan amendment. Requests submitted after 15 days may result in a need to resubmit a new work plan.

<sup>78</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #9a.

<sup>79</sup> "Federal Travel Regulation", issued January 2004, §301-10.450.

<sup>80</sup> "Provisions," Attachment 2. Basic Work Plans Standards, #9b.

<sup>81</sup> "DRGR User Manual – Section 11 Action Plan for TA Providers," Version 2.0, August 2017, P. 4-28.

<sup>82</sup> "DRGR User Manual – Section 11 Action Plan for TA Providers," Version 2.0, August 2017, P. 4-21.

The following, not an exhaustive list, are considered modifications and do not require prior approval:

- An increase of less than 10% in the work plan's original budget (without the addition or removal of a task);
- Change in delivery of output/milestone
- Changes in staff not involving Key Personnel
- Changes in work plan number/name
- Minor changes to text/narrative that does not change the outcomes or outputs of the work plan or does not impact the overall service delivery approach.
- Adding a TA recipient or task to an On-Call Work Plan

Changes that require prior approval are included in 2 CFR part 200.407 and some are included below.

- Change in scope or approach to accomplish work plan objectives
- Change in Learning Objectives/Expected Outcomes
- Change in modality in which activities are developed or delivered
- Change of Key Personnel assigned to a HUD-approved work plan
- Removal or addition of a task to all work plans except On-Call
- Change in period of performance, including extension of task(s) and work plan end dates
- An increase of 10% or more in the work plan's original budget
- The sub-award, transfer, or contracting out of any work under this award, unless described in the Recipient's application or A&F documents.
- The use, development, or acquisition of software, property, or equipment
- Reopening a closed work plan to capture trailing costs or resubmit rejected invoices.

POTACs/GTMs have 15 days to review and recommend approval/disapproval.

TA Award Recipients are advised to consult with GTRs and HUD program staff on the need for a work plan period of performance extension. If all parties identify need to continue the work under the current work plan, the Recipient must submit an amendment to extend the period or performance with enough time to allow for a 30-day review and approval by GTMs, POTACs, and GTRs.

Recipients should be mindful that on-going On-Call TA work plans may require extensions to keep them current and ensure that TA can rapidly address organizations' needs for short-term, limited assistance. TA Recipients should notify the GTR when remaining funding is not sufficient to support 32 hours of TA (approximately two assignments). In addition, Recipients must indicate an on-call assignment is complete by marking the task complete in the Portal if the work plan is organized so that each engagement is a separate task(s).

When submitting an amendment, recipients must include under the original Scope the following template language:

Amendment #\_\_(month/day/year): This request made on (insert date) is for an amendment to work plan (insert number) for xx tasks (describe work that will be accomplished and/or the reason for the amendment). This amendment is for xx hours and a budget increase of \$, which brings the total for this work plan to \$ and xx (insert total dollars and hours as of (insert date))"

When submitting a modification, recipients must include under the original Scope the following template language:

Modification #\_\_(month/day/year): Modification does not require GTR or program office review. The modification includes changes to \_\_\_\_\_.

Recipients are expected to attach the work plans and work plan amendments submitted in the TA Portal to the corresponding work plans submitted in DRGR under **Supporting Documents**.

When submitting work plan amendments only submitted in DRGR, such as for AAQ, send an e-mail the same day as submission to the GTM/POTAC with a PDF of the work plan and copy the GTR. If the amendment is submitted in DRGR and the Portal, remember to submit at the same time or within 3 days from each other. POTACs/GTMs have 15 days to review and recommend approval/disapproval via e-mail or the Portal. Recipient can request to reopen work plan to capture trailing costs or resubmit rejected invoices without POTAC/GTM approval if work plan details do not change.

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## Attachment 1: Community Compass Eligible Activities

Community Compass eligible activities for each fiscal year are described in the NOFA. Links to NOFAS below.

- FY 2014: [https://www.hud.gov/program\\_offices/administration/grants/fundsavail/nofa14/hccta](https://www.hud.gov/program_offices/administration/grants/fundsavail/nofa14/hccta)
- FY 2015: [https://www.hud.gov/program\\_offices/administration/grants/fundsavail/nofa2015/cctacb](https://www.hud.gov/program_offices/administration/grants/fundsavail/nofa2015/cctacb)
- FY 2016: [https://www.hud.gov/program\\_offices/administration/grants/fundsavail/nofa16/cctacb](https://www.hud.gov/program_offices/administration/grants/fundsavail/nofa16/cctacb)
- FY 2017: [https://www.hud.gov/program\\_offices/spm/gmomgmt/grantsinfo/fundingopps/fy17cctanofa](https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps/fy17cctanofa)
- FY 2018-19: [https://www.hud.gov/program\\_offices/spm/gmomgmt/grantsinfo/fundingopps/fy18ccta&cbp](https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps/fy18ccta&cbp)





<b>Work Plan Period of Performance:</b>	
From: <enter award effective date>	To: <award end date>

<b>Tasks:</b>					
Task:	Start Date:	End Date:	Estimated Cost:	Estimated Hours:	Narrative:
1. Award Management	<enter award eff. date>	<enter award end date>	<estimate fully-loaded costs for award management activities charged to this award>	<estimate total hours for award management activities charged to this award>	<indicate which award management activities are estimated in the budget, based on the allowable scope>
2. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
3. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
4. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
5. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
6. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
7. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
8. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
9. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
10. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
Total Budget (with Amendments)			[ ]		
Original Budget			[ ]		
Previously Approved Budget			[ ]		

<b>Milestones:</b>	
Milestone <enter milestones associated with this award>:	Expected Date <enter date of milestones associated with this award>:
[ ]	[ ]
[ ]	[ ]
[ ]	[ ]
[ ]	[ ]
[ ]	[ ]
[ ]	[ ]

2<sup>nd</sup> Page of Work Plan in DRGR

<b>Activity Budget:</b>					
Grant <auto-populated>:	Work Plan Type <auto-populated>:	Project# / Project Title <select "Administration" project>:	Total Budget (with Amendments) <auto-populated>:	Original Budget <auto-populated>:	Previously Approved Budget <auto-populated>:
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]

<b>Proposed Staff:</b>									
Proposed Staff Budget <Identify the total direct labor costs>:									[ ]
Staff Type <select from dropdown>:	Effective Date <populated based on Staff Type>:	Staff Name <select based on Staff Type>:	Title <populated based on Staff Name>:	Organization <populated based on Staff Name>:	Start Date <enter est. start date>:	End Date <enter est. end date>:	Hours <enter est. hours>:	Total Rate <populated based on staff type>:	Total <calculated>:
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
Total <calculated>:									\$0.00

<b>Other/BLI Costs:</b>				
<Identify total value of other direct costs (e.g., airfare, hotel, ground transportation, direct supplies, and include a line item for expected increases in direct labor rates)>				
Budget Line Item:	Description:	Start Date:	End Date:	Cost:
[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]
Total:				\$0.00

<b>Proposed Accomplishment(s):</b>		
Outcome(s) <future enhancement, leave blank for now>:		
Task:	Expected Outcome:	Start Date:

  

<b>Output(s) &lt;future enhancement, leave blank for now&gt;:</b>		
Task:	Expected Outcome:	Start Date:

<b>Indicate Which of HUD's Strategic Goals the Planned Work Supports</b>	
<future enhancement, leave blank for now>	
Select:	Goal:
	Strengthen the nation's Housing Market to Bolster the Economy and Protect Consumers
	Meet the Need for Quality Affordable Rental Homes
	Utilize Housing as a Platform for Improving Quality of Life
	Build Inclusive and Sustainable Communities Free from Discrimination
	Transforming the Way HUD Does Business
	Achieving Operational Excellence

<b>Indicate Which Goals of the Federal Strategic Plan to Prevent and End Homelessness the Planned Work Supports</b>	
<future enhancement, leave blank for now>	
Select:	Goal:
	Promote Collaborative Leadership
	Strengthen Capacity and Knowledge
	Provide Affordable Housing
	Provide Permanent Supportive Housing
	Increase Economic Security
	Reduce Financial Vulnerability
	Integrate Health Care with Housing
	Advance Health and Housing Stability for Youth
	Advance Health and Housing Stability for Adults
	Transform Crisis Response Systems

<future enhancement, leave blank for now>	
Select:	Goal:
	Strengthen the nation's Housing Market to Bolster the Economy and Protect Consumers
	Meet the Need for Quality Affordable Rental Homes
	Utilize Housing as a Platform for Improving Quality of Life
	Build Inclusive and Sustainable Communities Free from Discrimination
	Transforming the Way HUD Does Business
	Achieving Operational Excellence

<b>Indicate Which Goals of the Federal Strategic Plan to Prevent and End Homelessness the Planned Work Supports</b>	
<future enhancement, leave blank for now>	
Select:	Goal:
	Promote Collaborative Leadership
	Strengthen Capacity and Knowledge
	Provide Affordable Housing
	Provide Permanent Supportive Housing
	Increase Economic Security
	Reduce Financial Vulnerability
	Integrate Health Care with Housing
	Advance Health and Housing Stability for Youth
	Advance Health and Housing Stability for Adults
	Transform Crisis Response Systems

# Attachment 3: Coordination Work Plan Template

TA Provider:	<name of TA award recipient auto-populates in DRGR>
GTR (name and email):	<name and email of GTR auto-populates in DRGR>
GTM/POTAC (name, email and phone):	<not applicable in DRGR>

1<sup>st</sup> Page of Work Plan in DRGR

## TA Work Plan

Award # <select the award #>	<b>Work Plan Type</b> <select the work plan type> Administration TA - AAD TA - Embedded Support TA - Needs Assessment TA - On Call Assistance TA - Direct TA (grantee support) TA - Coordination TA Data Analysis/Reporting TA Developing Workshop Materials TA Developing Web Products TA Developing Workshop Materials TA Guidebook/Toolbox products TA HRIS/HRIS Lab TA Knowledge Mgmt TA Lead TA Coordinator TA MSP Website TA Other State/Region Mgmt TA Other Direct TA TA Other Work TA TA Other Work TA TA Other Work TA TA Problem Solving Clinic TA Problem Solving Clinic TA Sample forms/Manuals/Forms TA Small Business Section TA Web Technology and Support TA Web-based Training/Workshops TA Workshops TA Web Products TA Webinar Host / Facilitator Session	<b>Work Plan Category</b> <auto-populated based on work plan type selection> TA - Admin TA - Coord TA - State Regt & Mgmt TA - NARR/EA TA - HR & Org TA - Tech/HR TA - HR/HR/HR TA - Web/Knowledge Mgmt TA - Mktg/Ctrc TA - Webinar
Work Plan # <enter the work plan #>	<b>Work Plan Status</b> <after completing all fields in DRGR, change status to "submitted">	<b>Work Plan Close Date</b> <leave blank until ready to close work plan>
Invoice Period: Monthly	<b># of Amendments (Approved by HUD)</b> <auto-populated in DRGR>	<b>Submitted Date</b> <auto-populated in DRGR>

## Associated TA Requests:

TA Request	TA Request Status
<leave blank>	<leave blank>

## Associated Work Plans:

TA Providers <leave blank>	Work Plan # <leave blank>	Work Plan Status <leave blank>
-------------------------------	------------------------------	-----------------------------------

## Scope:

<b>Lead Person for Work Plan</b> <within the Scope field, identify the lead person by name, email, and phone number>
<b>Original scope:</b> <sample Scope for Coordination work plan (below); Recipient should adjust the scope based on its organizational structure and costs expected and allowed to be billed to the Coordination work plan>  TA Award Recipient will coordinate with HUD and other TA Award Recipients as assigned by HUD. These activities are expected to include the following <ul style="list-style-type: none"> <li>• Participate in regular meetings with HUD and TA Award Recipients to plan TA products and schedules, including scoping conversations before a TA assignment is made.</li> <li>• Participate in additional meetings and training sessions as needed with HUD and TA Award Recipients. Meetings may be conducted in person or via telephone or web conferences.</li> <li>• Participate in work group meetings and activities.</li> <li>• Coordinate with other TA Award Recipients to develop workshop materials, written products, and web/technology tools.</li> <li>• Provide peer review of materials developed by work groups and TA Award Recipients, to include workshop material, written products, and web/technology tools.</li> <li>• Coordinate with HUD Field Office to plan and conduct needs assessments, technical assistance, workshops, or other tasks to be accomplished in a certain region.</li> <li>• Coordinate with other TA Award Recipients to plan and conduct needs assessments and technical assistance as assigned.</li> <li>• Share information with HUD and other TA Award Recipients on previous experience working with specific grantees or grantee partners.</li> </ul>
<b>Amendment and Modification Justification</b> <within the Scope field, identify date of the amendment or modification, the changes made to the work plan, and the reason for the changes>

## Organization Assisted:

Grantee Name <leave blank>	Grantee Program <leave blank>	Grantee State <leave blank>	Grantee DUNS <leave blank>	Grantee Org/Dept <leave blank>

<b>Work Plan Period of Performance:</b>	
<b>From:</b> <enter award effective date>	<b>To:</b> <award end date>

<b>Tasks:</b>					
Task:	Start Date:	End Date:	Estimated Cost:	Estimated Hours:	Narrative:
1. Coordination	<enter award eff. date>	<enter award end date>	<estimate fully-loaded costs for coordination activities charged to this award>	<estimate total hours for coordination activities charged to this award>	<indicate which coordination activities are estimated in the budget, based on the allowable scope; include names of travelers and number of trips by traveler expected under this award>
2. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
3. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
4. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
5. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
6. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
7. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
8. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
9. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
10. [ ]	[ ]	[ ]	[ ]	[ ]	[ ]
Total Budget (with Amendments)			[ ]		
Original Budget			[ ]		
Previously Approved Budget			[ ]		

<b>Milestones:</b>	
<b>Milestone</b> <enter milestones associated with this award>: [ ] [ ]	<b>Expected Date</b> <enter date of milestones associated with this award>: [ ] [ ]

**2<sup>nd</sup> Page of Work Plan in DRGR**

<b>Activity Budget:</b>					
Grant	Work Plan Type	Project# / Project Title	Total Budget (with Amendments)	Original Budget	Previously Approved Budget
<auto-populated>: [ ]	<auto-populated>: [ ]	<select "Coordination" project>: [ ]	<auto-populated>: [ ]	<auto-populated>: [ ]	<auto-populated>: [ ]

<b>Proposed Staff:</b>									
<b>Proposed Staff Budget</b> <identify the total direct labor costs>:									[ ]
Staff Type	Effective Date	Staff Name	Title	Organization	Start Date	End Date	Hours	Total Rate	Total
<select from dropdown>: [ ]	<populated based on Staff Type>: [ ]	<select based on Staff Type>: [ ]	<populated based on Staff Name>: [ ]	<populated based on Staff Name>: [ ]	<enter est. start date>: [ ]	<enter est. end date>: [ ]	<enter est. hours>: [ ]	<populated based on staff type>: [ ]	<calculated>: [ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
Total <calculated>:									\$0.00

<b>Other/BLI Costs:</b>				
<identify total value of other direct costs (e.g., airfare, hotel, ground transportation, direct supplies, and include a line item for expected increases in direct labor rates)>				
Budget Line Item:	Description:	Start Date:	End Date:	Cost:
[ ]	[ ]	[ ]	[ ]	[ ]
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[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]
Total:				\$0.00

Proposed Accomplishment(s):		
Outcome(s) <future enhancement, leave blank for now>:		
Task:	Expected Outcome:	Start Date:
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Output(s) <future enhancement, leave blank for now>:		
Task:	Expected Outcome:	Start Date:
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Indicate Which of HUD's Strategic Goals the Planned Work Supports	
<future enhancement, leave blank for now>	
Select:	Goal:
<input type="checkbox"/>	Strengthen the nation's Housing Market to Bolster the Economy and Protect Consumers
<input type="checkbox"/>	Meet the Need for Quality Affordable Rental Homes

<input type="checkbox"/>	Utilize Housing as a Platform for Improving Quality of Life
<input type="checkbox"/>	Build Inclusive and Sustainable Communities Free from Discrimination
<input type="checkbox"/>	Transforming the Way HUD Does Business
<input type="checkbox"/>	Achieving Operational Excellence

Indicate Which Goals of the Federal Strategic Plan to Prevent and End Homelessness the Planned Work Supports	
<future enhancement, leave blank for now>	
Select:	Goal:
<input type="checkbox"/>	Promote Collaborative Leadership
<input type="checkbox"/>	Strengthen Capacity and Knowledge
<input type="checkbox"/>	Provide Affordable Housing
<input type="checkbox"/>	Provide Permanent Supportive Housing
<input type="checkbox"/>	Increase Economic Security
<input type="checkbox"/>	Reduce Financial Vulnerability
<input type="checkbox"/>	Integrate Health Care with Housing
<input type="checkbox"/>	Advance Health and Housing Stability for Youth
<input type="checkbox"/>	Advance Health and Housing Stability for Adults
<input type="checkbox"/>	Transform Crisis Response Systems

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## Attachment 4: HUD Outcome Categories

**HUD Outcome Category #1:** Improved capacity to develop plans and priorities informed by community needs and program/policy goals.

- **1A: Improved capacity to collect, analyze, and share data** (e.g., improved data on populations served, program results or impacts, or community conditions)
- **1B: Improved capacity to gather and use resident and community input** (e.g., implemented new strategies for identifying needs, for determining priorities and developing plans, or for measuring results of actions taken)
- **1C: Improved capacity to develop high-quality, compliant plans that identify clear priorities and accurately reflect community needs and input** (e.g., improved PHA Plans, Consolidated Plans, Indian Housing Plans)
- **1D: Improved coordination and alignment with other community or regional plans** (e.g., HUD plans aligned with plans of other HUD or federal programs, local and regional government agencies, service providers, or nonprofit organizations)

**HUD Outcome Category #2:** Improved capacity to design strategies that align with plans and priorities.

- **2A: Improved capacity to select programmatic strategies that address program or policy goals and community needs** (e.g., determined which eligible activities could most effectively address needs)
- **2B: Improved capacity to design system-wide strategies that address community needs** (e.g., designed innovative multi-disciplinary strategies, designed coordinated place-based development to leverage neighborhood impacts)
- **2C: Improved capacity to design effective partnerships or cross-jurisdictional relationships that address community needs** (e.g., developed a framework for collaboration, established new or innovative partnerships, developed governance charters or memoranda of understanding)
- **2D: Improved alignment of resources with program-, system- or community-wide goals** (e.g., developed an investment plan to support a system-wide strategy, developed resource allocation processes to improve targeting of resources to plan goals)

**HUD Outcome Category #3:** Improved capacity to deliver projects, programs or systems that address community needs

- **3A: Improved staffing or organizational structure** (e.g., revised job descriptions to reflect skills required to implement program, merged departments to achieve greater efficiency or alignment)
- **3B: Improved administrative processes or infrastructure** (e.g., improved cost and participant eligibility verification procedures, instituted new policies and procedures to improve consistency of operations or decision-making, streamlined process steps that reduce application processing times, established new systems for monitoring conditions of assets or obligating funds, implemented new sub-Recipient risk assessment and monitoring protocols)
- **3C: Improved financial management systems, controls, oversight to conform with 2 CFR Part 200 (OMB Omni Circular) and generally accepted accounting principles** (e.g., completed A-133 or other financial audits, closed A-133 or other financial audit findings, implemented internal controls, demonstrated adequate Quick Ratio)
- **3D: Improved program, grant, and regulatory compliance** (e.g., improved staff understanding of regulations, improved quality or timeliness of reporting, resolved audit or monitoring findings)
- **3E: Improved capacity to substantively change the ways partners interact or conduct their work in order to address community needs** (e.g., implemented innovative multi-agency strategies, implemented coordinated place-based development to align resources from various funders to yield more substantial results, implemented coordinated entry process to improve targeting and access to homeless assistance)

### Not Applicable HUD Outcome Category

- 4A: Task is related to work plan development or management of work
- 4B: Task is related to coordination
- 4C: Task is related to closeout
- 4D: Other