



## **U.S. Department of Housing and Urban Development**

Policy Development and Research

Authority to Accept Unsolicited Proposals for Research Partnerships

FR-6600-N-USP

06/30/2023

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**Program Office:**

Policy Development and Research

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Authority to Accept Unsolicited Proposals for Research Partnerships

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Discretionary - Unsolicited Research Proposal

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**Summary**

The U.S. Department of Housing and Urban Development (HUD) Strategic Plan sets the direction and focus of our programs and staff to create strong, sustainable, inclusive communities and quality, affordable homes for all.

**HUD's Strategic Goals**

HUD’s FY 2022-2026 Strategic Plan lays out this administration’s strategy for ensuring everyone has an affordable, healthy place to live. Over the course of the next four years HUD will pursue two overarching priorities focused on increasing equity and improving customer experience across all HUD programs. Five strategic goals undergird the Plan as follows:

- Strategic Goal 1: Support Underserved Communities
- Strategic Goal 2: Ensure Access to and Increase the Production of Affordable Housing
- Strategic Goal 3: Promote Homeownership
- Strategic Goal 4: Advance Sustainable Communities
- Strategic Goal 5: Strengthen HUD’s Internal Capacity

The five goals of the FY 2022-2026 Strategic Plan present the core vision of what we hope to accomplish, the strategies to accomplish those objectives, and the indicators of success.

**Overview**

This Notice announces that HUD’s Office of Policy Development and Research (PD&R) has the authority to accept unsolicited research proposals that address current research priorities. In accordance with statutory requirements, the research proposals must be submitted by eligible

applicants and provide cost sharing of at least 50 percent of total project cost from philanthropic entities or Federal, state, or local government agencies. This Notice announces that HUD is accepting research proposals for such research partnerships and provides a general description of information that should be included in any research proposal.

The Department is interested in increasing participation of Minority Serving Institutions (MSIs) of higher education and Historically Black Colleges and Universities (HBCUs) in all program areas. Therefore, HUD seeks proposals from MSIs and HBCUs as well as from eligible entities that are not themselves MSIs and HBCUs but have developed a partnership with one or more MSIs and/or HBCUs.

**DATES:** Proposals may be submitted at any time and will be evaluated as they are received. Available funds will be awarded as proposals are received, evaluated, and approved, until funds are exhausted.

Unsolicited proposal - A valid unsolicited proposal must: (1) Be innovative; (2) Be independently originated and developed by the offeror; (3) Be prepared without Federal Government supervision, endorsement, direction, or direct Federal Government involvement; (4) Include sufficient detail to permit a determination that Federal Government support could be worthwhile and the proposed work could benefit the agency's research and development or other mission responsibilities; (5) Include sufficient detail to permit a determination that the Federal Government's support would yield a valuable return on investment; (6) Not be an advance proposal for a known agency requirement that can be acquired by competitive methods; (6) Not be a result of a previous competitive announcement; and (7) Not be a concept paper.

**OMB Approval Number(s):**

Not applicable for this Notice

**I. Funding Opportunity Description**

**A. Program Description.**

HUD developed the Research Partnerships vehicle to allow greater flexibility in addressing evidence gaps concerning strategic policy questions and to better utilize external expertise in evaluating effectiveness of programs affecting residents of urban, suburban, rural, and tribal areas, as well as local innovations in the delivery of these programs. Through the effective period of this Notice, HUD can accept unsolicited research proposals that address current research priorities and allow innovative research projects that could inform HUD's policies and programs. Applicants are encouraged to submit research proposals that inform important policy and program objectives of HUD [that are not otherwise being addressed](#), that focus on one of HUD's research priorities, and that make effective use of HUD's funding.

**B. Research Priorities**

HUD's Fiscal year 2022-26 Learning Agenda (forthcoming at [https://www.huduser.gov/portal/about/pdr\\_learningagenda.html](https://www.huduser.gov/portal/about/pdr_learningagenda.html)) is the most recent integration of diverse stakeholder viewpoints into a five-year research and learning agenda. The Learning Agenda, like prior Research Roadmaps, focuses HUD's research resources on timely, policy-relevant research questions that address strategic evidence gaps and lie within the Department's area of comparative advantage. This focus on comparative advantage means that HUD and PD&R need to collaborate with other research organizations in areas that are mutually important. HUD also seeks independent research that will help the Department support communities that

have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality and that advances equity, civil rights, racial justice, and equal opportunity consistent with the Executive Order on Advancing Racial Equity and Support for Underserved Communities Through the Federal Government (January 20, 2021).

The Learning Agenda identifies a number of research questions that PD&R is considering for the near future and that align with Departmental Priorities. Following are examples of priority research topics that could be addressed through collaborative research:

1. **Support Underserved Communities** – Areas of interest include: a) studies on how best to support economic mobility and wealth-building for HUD-assisted households, including closing wage, credit, and opportunity gaps related to race, national origin, disability, gender, and other protected classes; b) studies on effective strategies for reducing the prevalence and length of homeless episodes; addressing youth, veteran, and formerly incarcerated person homelessness; supporting populations who may benefit from specialized services, such as individuals with severe mental illness, substance use disorders, or other physical and/or mental disabilities; reducing unsheltered homelessness; and ensuring equitable access to homelessness assistance; and c) studies on how segregation and areas of minority concentration should be defined so that HUD, local and state governments, and housing developers can best work toward ensuring that housing is located in non-segregated areas of opportunity.
2. **Ensure Access to and Increase the Production of Affordable Housing** – Areas of interest include: a) studies on how to improve the effectiveness of rental assistance for families of different configurations, sizes, and needs; how to increase participation by private sector owners, including owners with accessible units and those in well-resourced areas of opportunity; how to increase housing choice and geographic mobility for assisted renters; particularly for racial minorities and other protected classes; how to decrease racial segregation; how to ensure housing quality and accessibility; and how to promote long-term housing stability; b) studies related to the identification of barriers to affordable and inclusive housing; studies that explore how local, state, and federal policies affect the cost, availability, and equity of housing for low-income renters and first-time homebuyers; and studies of strategies to increase the affordable housing supply, for example in well-resourced areas of opportunity that are not minority concentrated, with access to high quality schools and employment opportunity and for underserved populations; c) research on how recipients of federal funds can better affirmatively further fair housing as required by the Fair Housing Act; d) studies related to the equity and impact of conversion, preservation, and replacement housing programs, such as the Rental Assistance Demonstration (RAD), and "e) studies on the types of best practices Public Housing Agencies can implement when recruiting HCV landlords of accessible units such as improving outreach methods to make accessible HCV units better known to households with tenant-based vouchers and identifying and removing barriers for households with tenant-based vouchers in search of units with accessibility features."
3. **Promote Homeownership** – Areas of interest include: a) studies on initiatives and strategies that increase homeownership and wealth-building opportunities for lower income Americans and underserved communities, that close the racial homeownership gap, that support wealth-building and reduce risk of default and foreclosure, and/or that address financial challenges facing specific populations (e.g., people of color, students,

individuals with disabilities, individuals with criminal histories, and older adults); and b) research on opportunities to reform and modernize housing finance systems.

4. **Advance Sustainable and Equitable Communities** – Areas of interest include: a) studies that expand energy-efficient and climate-resilient housing options in public and assisted housing, which serves primarily very low-income households and large shares of people of color, yet is often more vulnerable to climate change due to locations, aging infrastructure, and historic disinvestment; b) studies on assessing the risk posed by disasters to HUD’s assisted housing stock and insured mortgage portfolio, historically underserved populations, and socially vulnerable populations; on the extent of disparities in administration, receipt, amounts, and priority of assistance based on race, national origin, disability, and other protected characteristics, and on what policy changes could reduce these disparities; on increasing the effectiveness of disaster assistance for homeowners, renters, low-income, and minority communities; c) studies on building capacity to enhance the resilience of communities and homes to mitigate the risk and effects of disasters, pestilence, energy shocks, and public health emergencies; d) studies on environmental justice, including whether protected classes experience disproportionate hazards, health risks, and substandard housing; and what policy changes could reduce these disparities.

In addition, HUD's Office of Lead Hazard Control and Healthy Homes has identified the following research priorities related to the control of lead hazards and other hazards in homes under the Healthy Homes Initiative:

5. **Lead Hazards** – Research into lead health hazards other than lead-based paint hazards (i.e., lead in deteriorated paint, dust, and soil) and strategies to mitigate or eliminate them (note: this includes evaluation of the impact of policies), except as provided in the last sentence of this paragraph. HUD is interested in supporting novel research on the identification and control of lead exposures from residential drinking water; the evaluation and control of residential lead exposures from legacy industrial emissions and wastes (e.g., near Superfund and state-equivalently-designated sites); factors inhibiting, and effective low-cost methods of increasing, blood lead screening and testing rates among young children in public and other HUD-assisted housing in high-risk states or communities; and modeling of geographic, socioeconomic, and other distributions of factors correlated with high risk of increased blood lead levels in children and subsequent validation of models. Funding for research on other lead safety topics other than those identified above, namely, on the identification and control of residential lead-based paint hazards is only available annually through HUD’s Lead Technical Studies Grant Program (Assistance Listing No. 14.902).
6. **Other hazards** – HUD’s healthy homes program includes assessing and controlling key residential health and safety hazards. These conditions include pest infestation, mold and excess moisture, indoor air contaminants such as radon and secondhand tobacco smoke, and injury hazards. An important area of research need for several of these issues is evaluation of the incorporation of practices, shown to be effective in research settings, into programmatic and residential building management practices. HUD is also interested in the potential benefits of management practices and requirements such as smoke-free housing policies and integrated pest management (or combinations of these practices) for the health of residents (e.g., residents with asthma, Chronic obstructive pulmonary

disease (COPD), etc.). Evaluation of programs or demonstrations in which healthcare payers (e.g., managed care organizations) or providers support home assessment and mitigation of housing-related health and safety hazards is also an area of interest to HUD. Funding for research on residential health and safety issues is also available annually through HUD’s Healthy Homes Technical Studies Grant Program (Assistance Listing No. 14.906).

HUD’s Research Partnerships program has produced innovative research that makes significant contributions to HUD’s learning agenda. For example, “Childhood Housing and Adult Earnings” used advanced methods to understand how housing assistance programs improve long-term economic outcomes for disadvantaged children. “What Happens to Housing Assistance Leavers?” used data from the Moving to Opportunity demonstration to address the major evidence gap about reasons tenants exit assisted housing and what happens to them. “HOPE VI: Data Compilation and Analysis” significantly enhanced data availability for this important community revitalization program. “Advancing the Use of Cold-Formed Steel in the Housing Industry” measured the earthquake resistance of full-scale steel-frame buildings using shake tables. “Brokering the Geography of Opportunity” is examining how landlords affect access of assisted renters to high-quality housing and neighborhoods. These projects and many others are documented at [https://www.huduser.gov/portal/oup/research\\_partnerships.html#impact-overview](https://www.huduser.gov/portal/oup/research_partnerships.html#impact-overview).

The authority that Congress provided HUD to enter into noncompetitive cooperative agreements for research is an important tool for fulfilling the Learning Agenda’s vision for leveraging evidence-building assets through research collaboration and other means. Potential research partners are encouraged to develop research proposals that fill evidence gaps, inform important and emerging policy and program objectives of HUD that are not otherwise being addressed, support HUD’s strategic objectives and program effectiveness consistent with the 2022–2026 Strategic Plan, and leverage HUD’s data and research assets. In preparing such proposals, researchers also are encouraged to consider and support PD&R’s core principles and practices for research—rigor, relevance (including relevance for underserved communities), transparency, independence, ethics, and technical innovation—as described in the “HUD Program Evaluation Policy Statement” (FR Doc. 2021-44738, available at <https://www.federalregister.gov/documents/2021/08/13/2021-17339/hud-program-evaluation-policy-policy-statement>).

### **C. HUD Research Assets**

HUD has made, and continues to make, significant investments in “Research Assets,” as described below, including program demonstrations and the production of datasets and data linkages. HUD is interested in studies that make use of HUD’s Research Assets, as such studies demonstrate a broader usefulness of the Assets and increase the return on these investments for the taxpayer. In considering potential research partnerships, HUD urges organizations to consider ways to take advantage of HUD’s Research Assets to address data and evidence gaps.

1. HUD demonstrations. HUD values demonstrations as a method for evaluating new policy and program initiatives and significantly advancing evidence-based policy, especially when rigorous random-assignment methods are feasible. HUD is interested in research opportunities that take advantage of completed and ongoing demonstrations. For example, researchers continue to answer relevant

policy questions using data generated by the Moving to Opportunity demonstration. Examples of demonstrations that are underway or recently completed include the Family Options Study, the Rental Assistance Demonstration, the First-Time Homebuyer Education and Counseling Demonstration, the Moving To Work Demonstration, the Rent Reform Demonstration, and the Community Choice Demonstration. Electronic versions of published HUD research can be found at <https://www.huduser.gov/portal/research/home.html>.

2. HUD data, analysis, and reporting infrastructure. HUD makes significant investments to improve and support the nation's housing data, so submitting institutions are encouraged to consider opportunities to use HUD-sponsored survey data and administrative data. The American Housing Survey (AHS; <https://www.census.gov/programs-surveys/ahs.html>) is one of HUD's largest research investments. The AHS provides a wealth of data on the size and composition of the nation's housing inventory that researchers could use more effectively to address questions about housing market dynamics.
3. HUD administrative data linkages.
  - i. PD&R has partnered with the National Center for Health Statistics (NCHS) to longitudinally link HUD's administrative records for rental assistance participants with the National Health Interview Survey, the National Health and Nutrition Examination Survey, and associated NCHS linked files for Medicare, Medicaid, and mortality data. These data resources are available through the NCHS research data centers (<https://www.cdc.gov/nchs/data-linkage/hud.htm>).
  - ii. HUD and the Census Bureau have entered into an interagency agreement to link data from demonstrations and administrative systems with survey data and other administrative records. PD&R encourages research partnerships that effectively use data assets through public use data or restricted access arrangements with Census or NCHS research data centers. Further information is available at: [https://www.huduser.gov/portal/pdrdatas\\_landing.html](https://www.huduser.gov/portal/pdrdatas_landing.html).

Data License Applications and Data-Only Requests. To access restricted-use HUD data without a funding request, researchers may obtain a HUD data license provided their research aligns with HUD priorities. A copy of the data license application is available from the HUD USER research portal: [https://www.huduser.gov/portal/publications/pdf/data\\_license.pdf](https://www.huduser.gov/portal/publications/pdf/data_license.pdf). Applications may be submitted to HUD by e-mail to [DataLicense@hud.gov](mailto:DataLicense@hud.gov). Data license applications will be forwarded to the appropriate PD&R office for review and approval. HUD does not require researchers to obtain a data license to use the HUD-NCHS linked datasets, but a HUD research partnership can support waivers of NCHS fees for the research data center if a research proposal is accepted by NCHS.

## II. Definitions

### a. Standard Definitions

**Affirmatively Furthering Fair Housing (AFFH).** Affirmatively Furthering Fair Housing means taking meaningful actions, in addition to combating discrimination, to overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to



opportunity based on protected characteristics. Specifically, affirmatively furthering fair housing means taking meaningful actions that, taken together, address significant disparities in housing needs and in access to opportunities, replacing segregated living patterns with truly integrated and balanced living patterns, transforming racially and ethnically concentrated areas of poverty into areas of opportunity, and fostering and maintaining compliance with civil rights and fair housing laws. The duty to affirmatively further fair housing extends to all program participant's activities and programs relating to housing and urban development.

**Assistance Listing number** refers to the publicly available listing of Federal assistance programs managed and administered by the General Services Administration, formerly known as the Catalog of Federal Domestic Assistance (CFDA). Assistance Listing is a unique number assigned to identify a Federal Assistance Listings, formerly known as the CFDA

**Authorized Organization Representative (AOR)** is the person authorized to submit applications on behalf of the organization via Grants.gov. The AOR is authorized by the E-Biz point of contact in the System for Award Management. The AOR is listed in item 21 on the SF-424.

**Consolidated Plan** is a document developed by states and local jurisdictions. This plan is completed by engaging in a participatory process to assess their affordable housing and community development needs and market conditions, and to make data-driven, place-based investment decisions with funding from formula grant programs. (See 24 CFR part 91 for HUD's requirements regarding the Consolidated Plan and related Action Plan).

**Contract** means, for the purpose of Federal financial assistance, a legal instrument by which a recipient or subrecipient purchases property or services needed to carry out the project or program under a federal award. For additional information on contractor and subrecipient determinations, see 2 CFR 200.331.

**Contractor** means an entity that receives a contract as defined above and in 2 CFR 200.1.

**Deficiency** is information missing or omitted within a submitted application. Examples of deficiencies include missing documents, information on a form, or some other type of unsatisfied information requirement. Depending on specific criteria, deficiencies may be either Curable or Non-Curable.

**Curable Deficiencies** may be corrected by the applicant with timely action. To be curable the deficiency must.

- Not be a threshold requirement, except for documentation of applicant eligibility.
- Not influence how an applicant is ranked or scored versus other applicants; and
- Be remedied within the time frame specified in the notice of deficiency.

**Non-Curable Deficiencies** cannot be corrected by an applicant after the submission deadline. Non-curable deficiencies are deficiencies that, if corrected, would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination.

**DUNS Number** is the nine-digit Dun and Bradstreet Data Universal Number System identification number assigned to a business or organization by Dun & Bradstreet and provides a means of identifying business entities on a location-specific basis.

**E-Business Point of Contact (E-Biz POC)** A user registered as an organization applicant who is responsible for the administration and management of grant activities for his or her organization. The E-Biz POC is likely to be an organization's chief financial officer or authorizing official. The E-Biz POC authorizes representatives of their organization to apply on behalf of the organization (see Standard AOR and Expanded AOR). There can only be one E-Biz POC per DUNS Number.

**Expanded Authorized Organization Representative (AOR)** AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov on behalf of the organization. An applicant user with the Expanded AOR role is authorized to submit any applications on behalf of the organization and has privileges that allow the user to modify organization-level settings in Grants.gov.

**Eligibility requirements** are mandatory requirements for an application to be eligible for funding.

**Federal Financial Assistance** means assistance that entities received or administer in the form of:

- 1) Grants;
  2. Cooperative agreements (which does not include a cooperative research and development agreement pursuant to the Federal Technology Transfer Act of 1986, as amended (15 U.S.C. 3710a));
  3. Loans;
  4. Loan guarantees;
  5. Subsidies;
  6. Insurance;
  7. Food commodities;
  8. Direct appropriations;
  9. Assessed and voluntary contributions; and
  10. Any other financial assistance transaction that authorizes the non-Federal entity's expenditure of Federal funds.
  11. Federal financial assistance does not include amounts received as reimbursement for services rendered to individuals as described in section 200.502(h) and (i). (2 CFR 200.1)

**Federal award**, has the meaning, depending on the context, in either paragraph (1) or (2) of this definition:

(1)(i) The Federal financial assistance that a recipient receives directly from a Federal awarding agency or a subrecipient receives indirectly from a pass-through entity, as described in 2 CFR §200.101; or

ii. The cost-reimbursement contract under the Federal Acquisition Regulations that a non-Federal entity receives directly from a federal awarding agency or indirectly from a pass-through entity, as described in 2 CFR §200.101.

1. The instrument setting forth the terms and conditions. The instrument is the grant agreement, cooperative agreement, other agreement for assistance covered in paragraph (2) of the definitions of Federal financial assistance in 2 CFR §200.1, and this

NOTICE, or the cost-reimbursement contract awarded under the Federal Acquisition Regulations.

2. Federal award does not include other contracts that a Federal agency uses to buy goods or services from a contractor or a contract to operate Federal Government owned, contractor operated facilities (GOCOs).
3. See also definitions of Federal financial assistance, grant agreement, and cooperative agreement in 2 CFR 200.1.

**Grants.gov** is the website serving as the Federal government's central portal for searching and applying for Federal financial assistance throughout the Federal government. Registration on Grants.gov is required for submission of applications to prospective agencies unless otherwise specified in this NOTICE.

**Historically Black Colleges and Universities (HBCUs)** The Higher Education Act of 1965, as amended, defines an HBCU as: "...any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation." HBCUs offer all students, regardless of race, an opportunity to develop their skills and talents.

**Non-Federal Entity (NFE)** means a state, local government, Indian tribe, Institution of Higher Education (IHE), or non-profit organization that carries out a federal award as a recipient or subrecipient.

**Point of Contact (POC)** is the person who may be contacted with questions about the application submitted by the AOR. The POC is listed in item 8F on the SF-424.

**Recipient** means an entity, usually but not limited to non-Federal entities, that receives a federal award directly from HUD. The term recipient does not include subrecipients or individuals that are beneficiaries of the award.

**Small business** is defined as a privately-owned corporation, partnership, or sole proprietorship that has fewer employees and less annual revenue than a corporation or regular-sized business. The definition of "small"—in terms of being able to apply for government support and qualify for preferential tax policy—varies by country and industry. The U.S. Small Business Administration defines a small business according to a set of standards based on specific industries. See 13 CFR Part 121.

**Standard Authorized Organization Representative (AOR)** An AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov behalf of the organization. An applicant user with the Standard AOR role can only submit application when they are a Participant of that workspace.

**Subaward** means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an

agreement that the pass-through entity considers a contract.

**Subrecipient** means an entity, usually but not limited to non-Federal entities, that receives a subaward from a pass-through entity to carry out part of a federal award but does not include an individual that is a beneficiary of such award. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.

**System for Award Management (SAM)** is the Federal Repository into which an entity must provide information required for the conduct of business as a recipient. Registration with SAM is required for submission of applications via Grants.gov. You can access the website at <https://www.sam.gov/SAM/>. There is no cost to use SAM.

**Threshold Requirements** are an eligibility requirement that must be met for an application to be reviewed. Threshold requirements are not curable, except for documentation of applicant eligibility and are listed in Section III.D Threshold Eligibility Requirements. Similarly, there are eligibility requirements under Section III.E, Statutory and Regulatory Requirements Affecting Eligibility.

**Unique Entity Identifier** means the identifier assigned by SAM to uniquely identify business entities.

**Environmental Justice** is the fair treatment and meaningful involvement of all people, regardless of race, color, national origin, or income, with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no population bears a disproportionate share of negative environmental consequences resulting from industrial, municipal, and commercial operations or from the execution of federal, state, and local laws; regulations; and policies. Meaningful involvement requires effective access to decision makers for all, and the ability in all communities to make informed decisions and take positive actions to produce environmental justice for themselves.

**Minority-serving Institution** means an accredited academic institution whose enrollment of a single minority or a combination of minorities exceeds fifty percent of the total enrollment, including graduate and undergraduate and full- and part-time students. An institution in this instance is an organization that is independently accredited as determined by reference to the current version of the Higher Education Directory, published by Higher Education Publications, Inc., 6400 Arlington Boulevard, Suite 648, Falls Church, Virginia 22042.

### **Program Definitions**

- a. Program Definitions.

**Application vs. Proposal** may be used interchangeably to be consistent with the language in Grants.gov. Your proposal, with the required forms, will be the document you submit for consideration.

**Principal Investigator** is lead author of the proposal, of the research design, and of the final report.

### **III. Authority.**

This program is authorized by Sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. §1701z-1 and §1701z-2) and funding is provided by the Consolidated

Appropriations Act, 2021 (Public Law 116-260, approved December 27, 2020) and the Consolidated Appropriations Act, 2022 (Public Law 117-103, approved March 15, 2022).

#### **IV. Award Information**

##### **A. Available Funds.**

HUD is making up to \$2 million available for Lead and Healthy Homes Research Partnerships as described in Section I.B, Research Priorities 5 and 6, and approximately \$1 million available for Research Partnerships for other topics as described in Section I.B. If HUD's review of proposals for either Research Partnerships category does not result in the selection of eligible proposals that would use the entire allotment, the Agency will reallocate the unused funds for other purposes authorized under the respective appropriations. Additional funds may become available for award. Use of these funds might be subject to statutory constraints or other requirements. All awards are subject to the funding restrictions contained in this notice.

##### **B. Number of Awards.**

The number of awards will be based on the number of eligible proposals HUD receives, reviews, approves, and funds.

##### **C. Minimum/Maximum Award Information.**

There are no minimum or maximum award amounts. A notification will be sent to applicants that request funding in amounts exceeding the remaining available funds; the notification will say that the proposal could be funded contingent upon funding in a future funding year or that the applicant can revise the proposal to apply for a reduced amount for up to the remaining available funds.

##### **D. Period of Performance.**

The period of performance will be determined by the applicant's proposal and is subject to statutory restrictions on appropriated funds allotted to this Program and HUD's discretion following negotiation with the applicant.

##### **E. Type of Funding Instrument.**

Funding Instrument Type  
CA (Cooperative Agreement)

#### **V. Eligibility**

##### **A. Eligible Applicants.**

Eligible applicants under this Notice include philanthropic entities, other Federal agencies, State or local governments and their agencies, Indian Tribes, tribally designated housing entities, or colleges or universities located in the United States. Financial proposals may not include a line for profit because successful applicants may not earn profit under their financial arrangements with HUD. Individuals are not eligible.

For the purposes of this Notice, HUD defines a philanthropic entity as one among the subset of 501(c)(3) organizations whose articles of incorporation or other organizational documents include the direct funding of research activities and other charitable purposes. These include private foundations, educational institutions that may have a separate foundation, public charities, and operating foundations. A philanthropic entity must identify and provide, as part of

its proposal, the specific part of its articles of incorporation or other organizational documentation establishing it as a philanthropic entity.

Individuals, foreign entities, and sole proprietorship organizations are not eligible to compete for, or receive awards made under this announcement.

### **B. Cost Sharing or Matching.**

This Program requires cost sharing, matching, or leveraging as described below.

Cost sharing is required for research projects to be eligible for funding through HUD's non-competitive cooperative agreement authority. Research projects submitted by all eligible applicants must include at least 50 percent match toward the cost of the project. Federal funds are generally not allowed to be used for match unless otherwise permitted by that specific federal program's authorizing statute.

**Certification of match or cost-sharing:** If an institution offers the salaries of one or more researchers as part or all of the required match, the match will be valid only to the extent that the institution can quantify the extent to which it will release the researcher(s) from other duties without compensation from the grant. The Authorized Individual must provide certification in the proposal package.

Example 1: Professor A has a normal teaching load of 4 preparations per semester and a service load of 2 committees. She proposes to reduce the load to 2 preparations and 1 committee for the duration of the grant. The university proposes that her total salary would be unchanged, but a cost equal to the cost of one preparation and one committee would be charged against the grant. The valid match from her university would then be the cost of one preparation per semester.

Example 2: Researcher C has ongoing responsibilities in connection with 3 projects (unrelated to the proposed project) that pay for 75 percent of his time; the remainder of his time is spent on a fourth unrelated project that the organization has been supporting from its own overhead. The organization proposes that his total salary would be unchanged, but he will stop spending his time on the fourth project and instead charge 10 percent of his time to the Research Partnership grant. The valid match from the organization's institutional overhead would then be 15 percent of his salary.

**Evidence of cost sharing.** You must provide documentation of all match indicated in your budget by letters of firm commitment, such as a letter on the organization's letterhead, Memoranda of Understanding or other signed agreements from those entities identified as partners in the proposal. All commitment documents MUST clearly identify the dollar amount, the source(s) of the funds, and the proposed uses that comply with the requirements of this Notice and be signed by the authorized official. All matching funds must be used within the period of performance.

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, set forth in 2 CFR part 200, shall apply to this Federal award. Cost sharing or matching means the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute). Applicants should refer to 2 CFR 200.306 for specific requirements.

### C. Threshold Eligibility Requirements.

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated.

1. **Resolution of Civil Rights Matters.** Outstanding civil rights matters must be resolved before the application deadline. Applicants, who after review are confirmed to have civil rights matters unresolved at the application deadline, will be deemed ineligible. Their proposal will receive no further review .
  - a. Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (1) – (5) that have not been resolved to HUD’s satisfaction before or on the application deadline date are ineligible for funding. Such matters include:
    1. Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;
    2. Status as a defendant in a Fair Housing Act lawsuit filed by the United States alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance under 42 U.S.C. 3614(a);
    3. Status as a defendant in any other lawsuit filed or joined by the Department of Justice, or in which the Department of Justice has intervened, or filed an amicus brief or statement of interest, alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, the Americans with Disabilities Act or a claim under the False Claims Act related to fair housing, non-discrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;
    4. Receipt of a letter of findings identifying systemic non-compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or the Americans with Disabilities Act; or
    5. Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.
  - b. HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the proposal submission will resolve the matter. Examples of actions that may be sufficient to resolve the matter include, but are not limited to:

1. Current compliance with a voluntary compliance agreement signed by all the parties;
2. Current compliance with a HUD-approved conciliation agreement signed by all the parties;
3. Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;
4. Current compliance with a consent order or consent decree;
5. Current compliance with a final judicial ruling or administrative ruling or decision; or
6. Dismissal of charges.

#### **D. Statutory and Regulatory Requirements Affecting Eligibility and Performance.**

The following requirements affect applicant eligibility. Detailed information each requirement is posted on HUD's [Funding Opportunities page](#).

- Active Prime and Sub Recipient registration with SAM.gov
- Outstanding Delinquent Federal Debts
- Debarments or Suspensions, or both
- Pre-selection Review of Performance
- Sufficiency of Financial Management System
- False Statements
- Mandatory Disclosure Requirement
- Prohibition Against Lobbying Activities
- Equal Participation of Faith-Based Organizations in HUD Programs and Activities
- In addition, each applicant under this Notice must have the necessary processes and systems in place to comply with the Award Term in Appendix A of 24 CFR Part 170 if the applicant receives an award, unless an exception applies as provided in 2 CFR 170.110.

### **VI. Application Submission and Criteria Information**

#### **A. Obtaining an Application Package.**

##### **Instructions for Applicants.**

You must download both the Application Instructions and the Application Package from Grants.gov. You must verify that the Assistance Listing Number and Assistance Listing Description on the first page of the Application Package, and the Funding Opportunity Title and the Funding Opportunity Number match the Program and Notice to which you are applying.

The Application Package contains the portable document forms (PDFs) available on Grants.gov, such as the SF-424 Family. The Instruction Download contains official copies of the Notice and forms necessary for a complete application. The Instruction Download may include Microsoft Word, Microsoft Excel and additional documents.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission, for example, a lack of available Internet access in the geographic area in which your business offices are located. Lack of SAM registration or valid DUNS/UEI Number is not good cause. If you cannot submit your application electronically, you must ask in writing for a waiver of the electronic grant submission requirements. HUD will not grant a waiver if the



Applicant fails to submit to HUD in writing or via email a request for waiver at least 15 calendar days before this Notice’s expiration date. If HUD grants a waiver, a paper application must be received before this Notice’s expiration date.

To request a waiver, you must contact:

Name: Carol Gilliam

Email: [Carol.D.Gilliam@hud.gov](mailto:Carol.D.Gilliam@hud.gov)

HUD Organization: PD&R

Street: 451 7th Street SW

City: Washington

State: DC DISTRICT OF COLUMBIA

Zip: 20410

Telephone: 202-402-4354

The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service’s teletype service at 800-877-8339.

**B. Content and Form of Application Submission.**

<b>Forms/Assurances/Certifications</b>	<b>Submission Requirement</b>	<b>Notes/Description</b>
HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report	Submission is required for all applicants by the application due date.	
Application for Federal Assistance (SF424)	Submission is required for all applicants by the application due date.	Required for all applications.
Disclosure of Lobbying Activities (SFLLL), if applicable	HUD will provide instructions to grantees on how the form is to be submitted.	If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this

Forms/Assurances/Certifications	Submission Requirement	Notes/Description
		commitment providing for the United States to insure or guarantee a loan, the applicant shall complete and submit the SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Applicants must furnish an executed copy of the Certification Regarding Lobbying prior to award.
SF-424B Assurances for Non-Construction Programs		
SF-424D (Assurances for Construction Programs)		

You must verify that boxes 11, 12, and 13 on the SF-424 match the Notice for which you are applying. If they do not match, you have downloaded the wrong Application Instruction and Application Package.

Submission of an application that is otherwise sufficient, under the wrong Assistance Listing and Funding Opportunity Number is not curable unless otherwise stated in Threshold requirements.

Additionally, provide documentation of all match indicated in your budget by letters of firm commitment, such as a letter on the organization’s letterhead, Memoranda of Understanding or other signed agreements from those entities identified as partners in the application. All commitment documents MUST clearly identify the dollar amount, the source(s) of the funds, and the proposed uses that comply with the requirements of this Notice and be signed by the authorized official.

**C. Application Submission Criteria.**

Proposals must contain sufficient information for PD&R to identify whether the research would meet statutory requirements for cost sharing and alignment with the research priorities identified in Section I.B of this Notice. At a minimum, proposals must include:

- a. Proposal Abstract. Applicants must include a Proposal Abstract or cover page with the project title, the names and affiliations of all investigators, identification of the Research Priority, a narrative summary of the research, objectives, study design and expected results, and the total amount of funds requested.
- b. Points of Contact. Applicants must clearly identify the name of the entity(s) submitting the proposal and provide detailed contact information for the point of contact, including but not limited to email address.
- c. Key Personnel. Applicants must provide information on key personnel/principle staff who will be engaged with the project. HUD will assess the qualifications of key personnel to carry out the proposed activity as evidenced by academic and professional

background, publications and recent (within the past 5 years) research experience. A summary of relevant literature, including thorough citations, should be included. Each resume shall not exceed three pages and is limited to information that is relevant in assessing the qualifications and experience of key personnel to conduct and/or manage the proposed study. The proposed Principal Investigator must directly represent and be compensated directly by the applicant for his or her role in the proposed study. Publications and/or research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the technical study that is proposed.

- d. Research Proposal Description. Applicants must provide a clear narrative description of the research project, including the proposed methodology, and its alignment with PD&R Research Priorities and HUD's Strategic Plan. The proposal description should include the following specific components:
- i. A clear and thorough description of the proposed study, its data sources and design, and its major objectives.
  - ii. A presentation of the research as a logical sequence of steps or phases, with individual tasks described for each phase.
  - iii. A summary of relevant literature, including thorough citations, that supports the selection of the research topic, formulation of research questions, selected research methodologies, and hypothesis to be tested. Your proposed study will be judged in part on the soundness of the underlying body of research and other authorities upon which it is based and the clarity and soundness of your summary and interpretation of this research base.
  - iv. A description of the methodological and statistical basis for your study design, and a demonstration that you would have adequate statistical power to test your stated hypotheses and achieve your study objectives.
  - v. A discussion of plans for data management, analysis, and archiving.
  - vi. Identification of any important "decision points" in your study plan.
  - vii. A list and description of deliverables, such as draft and final reports.
  - viii. A demonstration that it is clearly feasible to complete the study within the proposed period of performance and achieve your objectives.
  - ix. Budget. Applicants must provide detailed sources and uses of the budget with line items that show the amount of the HUD funding and the contributions of any partners (cost sharing component) and/or the submitting institution. HUD strongly encourages using form HUD-424CBW to detail your budget request. The form is an attachment to this Notice. Proposals for research partnerships that have already received an award as part of a grant competition (or the proposal was submitted, and a decision is pending) are not eligible for a non-competitive cooperative agreement.
  - x. Certification by Offeror: To ensure that an offeror's contacts with agency employees do not exceed the limits of acceptable preliminary contacts and therefore result in an unfair advantage, its unsolicited proposal must include the following:

Certification by Offeror

This is to certify, to the best of my knowledge and belief, that: (a) this proposal has not been prepared under Federal Government supervision. (b) The methods and approaches stated in the proposal were developed by this offeror. (c) Any contact with employees of the Department of Housing and Urban Development has been within the limits of section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a) and its implementing regulations at 24 CFR part 4, subpart B. (d) No prior commitments were received from departmental employees regarding acceptance of this proposal.

Date:

Organization:

Name:

Title:

(A responsible official of the proposing organization or a person authorized to contractually obligate the organization shall sign this certification).

- XI. Format and Form. Your abstract, resumes, research proposal description, and any other attachments to your application with page limits must follow the following formats:
- a. 8-1/2 x 11-inch pages, with a minimum margin width of 1 inch on all sides, with limits of 1 page for the abstract, 3 pages for each resume, and 25 pages for the research proposal description, and with at least the narrative pages numbered. Reference pages are not included in in the 25 page limit.
  - b. Minimum 12-point Times New Roman font single (or larger) line spacing.
  - c. A budget submitted on a Form HUD 424CBW for the proposed period of performance. The budget must clearly reflect the HUD and Match amounts.
- XII. Other Considerations: Potential research partners are encouraged to develop research proposals that fill evidence gaps, inform important and emerging policy and program objectives of HUD that are not otherwise being addressed, support HUD's strategic objectives and program effectiveness, and leverage HUD's data and research assets.

#### **D. System for Award Management (SAM) and Unique Entity Identifier (UEI) Dun and Bradstreet Universal Numbering System (DUNS) Number.**

##### **1. SAM Registration Requirement.**

Applicants must be registered with <https://www.sam.gov/> before submitting their application. Applicants must maintain current information in SAM on immediate and highest-level owner and subsidiaries, as well as on all predecessors that have been awarded a federal contract or grant within the last three years, if applicable. Information in SAM must be current for all times during which the applicant has an active Federal award or an application or plan under consideration by HUD.

##### **2. UEI/DUNS Number Requirement.**

Applicants must provide a valid UEI/DUNS number, registered and active at [www.sam.gov/](http://www.sam.gov/), in the application.

The DUNS number remains the official identifier for doing business with the U.S. Government only until April 4, 2022. As of April 4, 2022, entities doing business with the federal government must use the Unique Entity Identifier created in SAM.gov.

### **3. Requirement to Register with Grants.gov.**

Anyone planning to submit applications on behalf of an organization must register at grants.gov and be approved by the E-Biz POC in SAM to submit applications for the organization.

Registration for SAM and grants.gov is a multi-step process and can take four (4) weeks or longer to complete if data issues arise. Applicants without a valid registration cannot apply through grants.gov. Complete registration instructions and guidance are provided on grants.gov.

### **E. Proposal Submission Dates and Times.**

Proposals may be submitted at any time from the date of this Notice until 11:59:59 PM Eastern Daylight time on June 30, 2023, and will be evaluated as they are received. Available funds will be awarded as proposals are received, evaluated, and approved, until funds are exhausted.

#### **Authoritative Version of HUD Notice.**

The version of this solicitation as posted on [Grants.gov](https://www.grants.gov) is the official document that HUD uses to solicit applications.

#### **Proposal Due Date Explanation.**

Proposals may be submitted at any time from the date of this Notice until the Notice's expiration date. The expiration date is 11:59:59 PM Eastern Daylight time on June 30, 2023.

Proposals must be received via [Grants.gov](https://www.grants.gov) no later than the Notice's expiration date. If HUD has issued you a waiver allowing you to submit your proposal in paper form, HUD must receive your paper proposal no later than June 30, 2023.

Submit your proposal to Grants.gov unless a waiver has been issued allowing you to submit your proposal in paper form. Instructions for submitting your paper proposal will be contained in the waiver of electronic submission.

"Received by Grants.gov" means the applicant received a confirmation of receipt and a proposal tracking number from Grants.gov. Grants.gov then assigns a proposal tracking number and date-and timestamps each proposal upon successful receipt by the Grants.gov system. A submission attempt not resulting in confirmation of receipt and a proposal tracking number is not considered received by Grants.gov.

Proposals received by Grants.gov must be validated by Grants.gov to be received by HUD.

"Validated by Grants.gov" means the proposal has been accepted and was not rejected with errors. You can track the status of your proposal by logging into Grants.gov, selecting "Applicants" from the top navigation, and selecting "Track my proposal" from the dropdown list. If the proposal status is "rejected with errors," you must correct the error(s) and resubmit the proposal before the 24-hour grace period ends. Proposals in "rejected with errors" status after the 24-hour grace period expires will not be received by HUD. Visit Grants.gov for a complete description of processing steps after applying.

HUD strongly recommends you submit your proposals at least **48 hours before this Notice's expiration date** and during regular business hours to allow enough time to correct errors or overcome other problems.

**Grants.gov Customer Support.** Grants.gov provides customer support information on its website at <https://www.grants.gov/web/grants/support.html>. Applicants having difficulty accessing the application and instructions or having technical problems can receive customer support from Grants.gov by calling (800) 518-GRANTS (this is a toll-free number) or by sending an email to [support@grants.gov](mailto:support@grants.gov). The customer support center is open 24 hours a day, seven days per week, except Federal holidays. The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service's teletype service at 800-877-8339.

You can verify the contents of your submitted proposal to confirm Grants.gov received everything you intended to submit. To verify the contents of your submitted proposal:

- Log in to Grants.gov.
- Click the Check Application Status link, which appears under the Grant Applications heading in the Applicant Center page. This will take you to the Check Application Status page.
- Enter search criteria and a date range to narrow your search results.
- Click the Search button. To review your search results in Microsoft Excel, click the Export Data button.
- Review the Status column, to view more detailed submission information, click the Details link in the Actions column.
- To download the submitted application, click the Download link in the Actions column.

Please make note of the Grants.gov tracking number as it will be needed by the Grants.gov Help Desk if you seek their assistance.

HUD may extend this Notice's expiration date for any program if Grants.gov is offline or not available to applicants for at least 24 hours immediately prior to the expiration date of the Notice, or the system is down for 24 hours or longer and impacts the ability of applicants to cure a submission deficiency within the grace period.

HUD may also extend the application deadline upon request if there is a presidentially declared disaster in the applicant's area.

If these events occur, HUD will post a Notice on its website establishing the new, extended deadline for the affected applicants. HUD will also include the fact of the extension in the program's Notice of Funding Awards required to be published in the Federal Register.

In determining whether to grant a request for an extension based on a presidentially declared disaster, HUD will consider the totality of the circumstances including the date of an applicant's extension request (how closely it followed the basis for the extension), whether other applicants in the geographic area are similarly affected by the disaster, and how quickly power or services are restored to enable the applicant to submit its application.

**PLEASE NOTE:** Busy servers, slow processing, large file sizes, improper registration or password issues are not valid circumstances to extend the deadline dates or the grace period.

### **1. Amending or Resubmitting an application.**

Before the Notice's expiration date, you may amend a validated application through Grants.gov by resubmitting a revised application containing the new or changed material. The resubmitted application must be received and validated by Grants.gov by the applicable deadline.

If HUD receives an original and a revised application for a single proposal, HUD will evaluate only the last submission received by Grants.gov before the Notice expiration date.

## **2. Grace Period for Grants.gov Submissions.**

If your proposal is received by Grants.gov before the expiration date, but is rejected with errors, you have a grace period of 24 hours after this Notice's expiration date to submit a corrected, received, and validated proposal through Grants.gov. The date and time stamp on the Grants.gov system determines the proposal receipt time. Any proposal submitted during the grace period not received and validated by Grants.gov will not be considered for funding. There is no grace period for paper proposals.

## **3. Late Applications.**

A proposal received after the Notice expiration date that does not meet the Grace Period requirements will be marked late and will not be received by HUD for funding consideration. Improper or expired registration and password issues are not causes that allow HUD to accept proposals after the expiration date.

## **F. Funding Restrictions.**

**Dissertation Research.** None of the funds may be available for the doctoral dissertation research grant program.

**Protection of Human Research Subjects.** HUD requires successful applicants to comply with requirements of the federal Common Rule for protecting human research subjects (24 CFR part 60) when applicable. Compliance may require grantees to seek review and approval of research plans by an Institutional Review Board (IRB) "that is registered with the Department of Health and Human Services' Office for Human Research Protections (<https://www.hhs.gov/ohrp/>).” For research requiring an IRB review, work plans shall identify the IRB that the awardee will use and factor in the necessary cost and time involved in that review. HUD will require awardees to provide appropriate written assurances and certifications of compliance before human subject research begins.

**Privacy.** Submission of any information to databases (whether website, computer, paper, or other format) of personal identifiable information (PII) is subject to the protections of the Privacy Act of 1974. You should also check to ensure you meet state and local privacy regulations.

## **Indirect Cost Rate.**

Normal indirect cost rules under 2 CFR 200 subpart E and relevant appendices to part 200, subpart E apply. If you intend to charge indirect costs to your award, your application must clearly state the rate and distribution base you intend to use. If you have a Federally negotiated indirect cost rate, your application must also include a letter or other documentation from the cognizant agency showing the approved rate. Successful applicants whose rate changes after the application submission must submit a new rate and documentation to assure the award agreement incorporates the applicable rate. .

**Applicants other than state and local governments.** If you have a Federally negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and must include a letter or other documentation from the cognizant agency showing the approved rate. If your organization does not have a current negotiated rate (including provisional) rate and elects to use the de minimis rate, your application must clearly state you intend to use the de minimis rate of 10 percent of Modified Total Direct Costs (MTDC). As described in 2 CFR 200.403, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. Once elected, the de minimis rate must be applied consistently for all Federal awards until the organization chooses to negotiate a rate, which the organization may apply to do at any time. Documentation of the decision to use the de minimis rate must be retained on file for audit.

**State and local governments.** If your department or agency unit has a Federally negotiated indirect cost rate, your application must include that rate, the applicable distribution base, and a letter or other documentation from the cognizant agency showing the negotiated rate. If your department or agency unit receives **more than \$35 million** in Federal funding per year, you may not claim indirect costs until you receive a negotiated rate from your cognizant agency for indirect costs as provided in Appendix VII to 2 CFR part 200.

If your department or agency unit receives **no more than \$35 million** in direct Federal funding per year and your department or agency unit has developed and maintains an indirect cost rate proposal and supporting documentation for audit in accordance with 2 CFR part 200, Appendix VII, you may use the rate and distribution base specified in your indirect cost rate proposal. Alternatively, if your department or agency unit receives no more than \$35 million in direct Federal funding per year and does not have a current negotiated rate (including provisional) rate, you may elect to use the de minimis rate of 10% of MTDC. As described in 2 CFR 200.403, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. Once elected, the de minimis rate must be applied consistently for all Federal awards until you choose to negotiate for a rate, which you may apply to do at any time. Documentation of the decision to use the de minimis rate must be retained on file for audit.

## **G. Other Submission Requirements**

### **1. Application, Assurances and Certifications.**

Standard Form 424 (SF-424) Application for Federal Assistance Programs is the governmentwide form required to apply for Federal Assistance Programs, discretionary Federal grants, and other forms of financial assistance programs. Applicants for this Federal assistance program must submit all required forms in the SF-424 Family of forms, including SF424B (Assurances of Non construction Programs) or SF424D (Assurances for Construction Programs). Applications receiving funds for both non-construction programs and construction programs must submit both the SF-424B and SF-424D.

By signing the forms in the SF-424 either through electronic submission or in paper copy submission (for those granted a waiver), the applicant and the signing authorized organization representative affirm that they have reviewed the certifications and assurances associated with the application for Federal assistance and (1) are aware the submission of the SF-424 is an assertion that the relevant certifications and assurances are established and (2) acknowledge that the truthfulness of the certifications and assurances are material representations upon which



HUD will rely when making an award to the applicant. If it is later determined the signing authorized organization representative to the application made a false certification or assurance, caused the submission of a false certification or assurance, or did not have the authority to make a legally binding commitment for the applicant, the applicant and the individual who signed the application may be subject to administrative, civil, or criminal action. Additionally, HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to Federally recognized Indian tribes, or Alaska native villages and those applicable to applicants other than federally recognized Indian tribes or Alaska native villages.

**Assurances.** By submitting your application, you provide assurances that, if selected to receive an award, you will comply with U.S. statutory and other requirements, including, but not limited to civil rights requirements. Upon receipt of an award, you, and any recipients and subrecipients of the award are also required to submit assurances of compliance with federal civil rights requirements. See, e.g., Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments Act of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975; see also 24 C.F.R. §§ 1.5; 3.115; 8.50; and 146.25. HUD accepts these assurances in the form of the SF-424B and SF-424D, which also require compliance with all general federal nondiscrimination requirements in the administration of the grant.

#### **Applicant Disclosure Report from 2880.**

**Affirmatively Furthering Fair Housing.** With some exceptions for federally recognized Indian tribes and their instrumentalities, the application must discuss how the applicant will carry out the proposed activities in a manner that affirmatively furthers fair housing in compliance with the Fair Housing Act and its implementing regulations. Applicants may propose activities that are consistent with their jurisdiction's Analysis of Impediments (AI), an Assessment of Fair Housing (AFH), or other means of fair housing planning that meaningfully supports their AFFH certification. If the applicant will carry out proposed activities in a jurisdiction with an accepted Assessment of Fair Housing (AFH), the proposed activities should be consistent with the AFH's fair housing goals and with fair housing strategies specified in the jurisdiction's Consolidated Plan or Public Housing Agency Plan.

Required for each applicant applying for assistance within the jurisdiction of HUD to any housing project subject to Section 102(d). Assistance is provided directly by HUD to any person or entity, but not to subrecipients. It includes assistance for the acquisition, rehabilitation, operation conversion, modernization, renovation, or demolition of any property containing five or more dwelling units that is to be used primarily for residential purposes. It includes assistance to independent group residences, board and care facilities, group homes and transitional housing but does not include primarily nonresidential facilities such as intermediate care facilities, nursing homes and hospitals. It also includes any change requested by a recipient in the amount of assistance previously provided, except changes resulting from annual adjustments in Section 8 rents under Section 8(c)(2)(A) of the United States Housing Act of 1937 ([42 U.S.C. 1437f](#)). [See HUD Reform Act regulation for additional information.](#)

## **VII. Application Review Information**

## **A. Review Process and Criteria.**

Proposals that meet all the eligibility, threshold, and certification requirements will be eligible for technical review in accordance with the evaluation criteria below. Proposals meeting eligibility, threshold and certification requirements will be evaluated on the following:

- a. How well the proposed project informs one of the research priorities described in Section I.B of this Notice, in HUD's Learning Agenda, or in HUD's Strategic Plan;
- b. Whether the research methodology described is appropriate for addressing the proposed research question and likely to yield useful research results relevant to a HUD policy or program;
- c. Whether the proposed project includes a realistic budget and time frame, including justification for how HUD resources will be used;
- d. Whether the proposed research activities justify the full amount of resources requested in the proposal; and
- e. Whether the demonstrated experience and capacity of the research team is sufficient to complete the proposed project successfully.

Proposals will be reviewed by Subject Matter Experts (SMEs) who are knowledgeable in the field covered by the research proposal. In reviewing applications, HUD will consider the strength of the individual application as well as the overall funding available.

## **B. Review and Selection Process.**

### **1. Past Performance**

In evaluating proposals for funding, HUD will consider an applicant's past performance in managing funds. Items HUD will consider include, but are not limited to:

The ability to account for funds in compliance with applicable reporting and recordkeeping requirements;

Timely use of funds received from HUD;

Timely submission and quality of reports submitted to HUD;

Meeting program requirements;

Meeting performance targets as established in the award agreement;

The applicant's organizational capacity, including staffing structures and capabilities;

Timely completion of activities and receipt and expenditure of promised matching or leveraged funds;

The number of persons served or targeted for assistance;

Whenever possible, HUD will obtain past performance information. If this review results in an adverse finding related to integrity of performance, HUD reserves the right to take any of the remedies provided in Section V., D., Statutory and Regulatory Requirements Affecting Eligibility, "Pre-selection Review of Performance" document link above.

### **2. Assessing Applicant Risk.**

In evaluating risks posed by applicants, HUD may use a risk-based approach and may consider any items including:

- Financial stability; of the applicant and other entities associated with the research proposal;
- Quality of management systems and ability to meet the management standards prescribed in this part;
- History of performance. The applicant's record in managing Federal awards, if it is a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, failing to make significant progress in a timely manner, failing to meet planned activities in a timely manner, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
- Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audits; and
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

Two types of reviews will be conducted:

1. A threshold review to determine an applicant's basic eligibility; and,
2. A technical review for all proposals that pass the threshold review, to evaluate and consider funding a proposal based on the "Criteria" listed in Section VII.A.

Only those proposals that pass the threshold review will receive a technical review and be considered for funding with the available funds.

### **C. Anticipated Announcement and Award Dates.**

Available funds will be awarded as proposals are received, evaluated, and approved, until funds are exhausted.

## **VIII. Award Administration Information**

### **A. Award Notices.**

Following the evaluation process, HUD will notify successful applicants of their selection for funding.

After selection, the Grants Officer may negotiate specific terms of the funding agreement and budget with the selected applicants. If HUD and a selected applicant do not successfully conclude negotiations in a timely manner, or a selected applicant fails to provide requested information, the applicant will not be awarded. HUD may select another eligible applicant.

### **B. Administrative, National and Department Policy Requirements and Terms for HUD Recipients Financial Assistance Award.**

For this Notice, the following [Administrative, National and Department Policy Requirements and Terms for HUD Financial Assistance Awards](#) apply. (Please select the linked text to read the detailed description of each applicable requirement).

1. Unless otherwise specified, these non-discrimination and equal opportunity authorities and other requirements apply to this Notice. Please read the following requirements carefully as the requirements are different among HUD's programs.
  - Compliance with Fair Housing and Civil Rights Laws, Which Encompass the Fair Housing Act and Related Authorities (See cf. 24 CFR 5.105(a)).
  - Affirmatively Furthering Fair Housing (AFFH).
  - Economic Opportunities for Low-and Very Low-income Persons (Section 3). See 24 CFR part 75.
  - Improving Access to Services for Persons with Limited English Proficiency (LEP) See [https://www.hud.gov/program\\_offices/fair\\_housing\\_equal\\_op/limited\\_english\\_proficiency](https://www.hud.gov/program_offices/fair_housing_equal_op/limited_english_proficiency).
  - Accessible Technology. See <https://www.hud.gov/sites/dfiles/OCIO/documents/s508103017.pdf>
2. Equal Access Requirements. See 24 CFR 5.105(a)(2)
3. Ensuring the Participation of Small Disadvantaged Business, and Women-Owned Business.
4. Equal Participation of Faith-Based Organizations in HUD Programs and Activities.
5. Uniform Relocation Act – Real Property Acquisition and Relocation Requirements. See 49 CFR part 24.
6. Participation in HUD- Sponsored Program Evaluation.
7. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
8. Drug-Free Workplace.
9. Safeguarding Resident/Client Files.
10. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L.109-282) (Transparency Act), as amended.
11. Eminent Domain.
12. Accessibility for Persons with Disabilities. See [https://www.hud.gov/program\\_offices/fair\\_housing\\_equal\\_op/disability\\_overview](https://www.hud.gov/program_offices/fair_housing_equal_op/disability_overview)
13. Violence Against Women Act. See 24 CFR part 5, subpart L and applicable program regulations.
14. Conducting Business in Accordance with Ethical Standards/Code of Conduct.
15. Environmental Requirements, which include compliance with environmental justice requirements under Executive Order 12898.

1. For PD&R Research Partnership Initiative. In accordance with 24 CFR 50.19(b)(1), (3) and (5) activities funded under this Notice are exempt or categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to environmental review under related laws and authorities.

2. For Lead and Healthy Homes Technical Studies.

Compliance with 24 CFR part 50 or 58 procedures is explained below:

a. Eligible Construction and Rehabilitation Activities. A FY 2021 LHHTS award does not constitute approval of specific sites where activities that are subject to environmental review may be carried out. The provisions of section 305(c) of the Multifamily Housing Property

Disposition Reform Act of 1994, implemented by HUD regulations at 24 CFR part 58, “Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities,” are applicable to properties assisted with LHHTS grant funds. Therefore, recipients conducting eligible construction and rehabilitation activities must comply with 24 CFR part 58. Recipients that are States, units of general local government or Native American tribes must carry out environmental review responsibilities as a responsible entity under part 58. Recipients that are academic, not-for-profit, for-profit institutions or specialized units of local government must contact and partner with a non-recipient responsible entity, usually the unit of general local government or Native American tribe, to assume the environmental review responsibilities for construction or rehabilitation activities funded (in whole or in part) under this Notice. Reasonable expenses incurred for compliance with these environmental requirements are eligible expenses under this Notice. Under 24 CFR 58.11, where the recipient is not a State, unit of general local government or Native American tribe, if a responsible entity objects to performing the environmental review, or the recipient objects to the responsible entity performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. When HUD performs the review itself, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed.

b. For all cooperative agreements under this Notice, recipients and other participants in the project are prohibited from undertaking, or committing or expending HUD or non-HUD funds (including leveraged funds) on, a project or activities under this Notice (other than activities listed in 24 CFR 58.34, 58.35(b) or 58.22(f)) until the responsible entity completes an environmental review and the applicant submits and HUD approves a Request for the Release of Funds and the responsible entity’s environmental certification (both on Form HUD-7015.15) or, in instances where the recipient is not a State, unit of general local government or Native American tribe and HUD performs the environmental review under part 50, HUD has completed the review and notified the grantee of its approval. The results of the environmental reviews may require that proposed activities be modified, or proposed sites rejected. For Part 58 procedures, see <https://www.hudexchange.info/programs/environmental-review/>. For assistance, contact Karen Griego, the Office of Lead Hazard Control and Healthy Homes Program Environmental Clearance Officer at (505) 346-6462 (this is not a toll-free number) or the HUD Environmental Clearance Officer in the HUD Field Office serving your area. If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Relay Service at 1-800-877-8339. Recipients of a grant under this program will be given additional guidance in these environmental responsibilities.

c. All other activities not related to construction or rehabilitation activities are exempt or categorically excluded under 24 CFR 50.19 (b)(1), (3), (5) and (9), and 24 CFR 58.34(a)(1), (3), (5), and (9) from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. § 4321) and are not subject to environmental review under the related environmental laws and authorities at 24 CFR 50.4.

2 CFR 200.216 Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment.

2 CFR 200.340 Termination. A Federal award may be terminated in whole or in part if the grantee fails to comply with the terms and conditions of the award or if HUD determines the award no longer effectuates the program goals or agency priorities. 2 CFR 200.340 Termination.

### **Lead Based Paint Requirements.**

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

## **IX. Reporting Requirements**

HUD requires recipients to submit performance and financial reports under OMB guidance and program instructions.

**1. Recipient Integrity and Performance Matters.** Applicants should be aware that if the total Federal share of your Federal award includes more than \$ 500,000 over the period of performance, the award will be subject to post award reporting requirements reflected in Appendix XII to Part 200-Award Term and Condition for Recipient Integrity and Performance Matters.

**2. Race, Ethnicity and Other Data Reporting.** HUD requires recipients that provide HUD-funded program benefits to individuals or families to report data on the race, color, religion, sex, national origin, age, disability, and family characteristics of persons and households who are applicants for, participants in, or beneficiaries or potential beneficiaries of HUD programs in order to carry out the Department's responsibilities under the Fair Housing Act, Executive Order 11063, Title VI of the Civil Rights Act of 1964, and Section 562 of the Housing and Community Development Act of 1987.

**3. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109-282) as amended (FFATA).** FFATA requires information on Federal awards be made available to the public via a single, searchable website, which is [www.USASpending.gov](http://www.USASpending.gov). Accordingly, each award HUD makes under this NOTICE will be subject to the requirements provided by the Award Term in Appendix A to 2 CFR Part 170, "REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION," unless the Federal funding for the award (including funding that may be added through amendments) is not expected to equal or exceed \$30,000. Requirements under this Award Term include filing subaward information in the Federal Funding Accountability and Transparency Act (FFATA) Sub-award Reporting System (FSRS.gov) by the end of the month following the month in which the recipient awards any sub-grant equal to or greater than \$30,000.

### **4. Program-Specific Reporting Requirements**

This program requires recipients to submit, not less than annually, a report documenting achievement of outcomes under the purpose of the program and the work plan in the award agreement.

Quarterly Progress Reports: Quarterly Progress Reports will document activities completed in the most recent reporting period, planned activities for the upcoming reporting period, and budget expenditures by line item (including hours worked for specific staff). Progress reports

must be submitted quarterly and should be aligned with the submission of drawdown requests. Unless otherwise specified, quarterly progress reports shall be submitted to the GTR on the 15th of the first month of each quarter for the entire period of performance. If the 15th falls on a weekend or Government holiday, then the report should be submitted the first working day after the 15th. Alternative schedules or deadlines for progress reports should be approved in writing by the GTR. The report format should be approved by the HUD GTR. At a minimum, it should include a narrative summary of accomplishments, discussions of any deviations from the initial schedule of progress, and how those deviations impact the project and what the Grantee recommends for handling the deviation. Quarterly progress reports shall be accompanied by the SF-425 Federal Financial Report and documentation of costs incurred.

**Draft Final Report:** Draft Final Report must summarize the work conducted over the course of the project, present the study objectives, data sources, analysis methods, and results. The Draft Final Report is the key deliverable of the study and must serve as a standalone document that meets the overall objective of this project. The Draft Final Report should be edited and prepared for publication in accordance with HUD's Guidelines for Preparing a Report for Publication <https://www.huduser.gov/portal/About/style-guide-for-reports.pdf>

**Final Report:** Final Report must adequately address any HUD comments received for the Draft Final Report. This report is expected to be submitted just before the conclusion of the grant.

## **X. Agency Contacts**

HUD staff will be available to provide clarification on the content of this Notice.

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

Name: Leatha Blanks, Grant Specialist, or Katina Jordan, Grant Specialist

451 Seventh Street, SW, Room 8226

Washington, DC 20410

Phone: Ms. Blanks: 202-402-5821

Ms. Jordan: 202-402-7577

Email: [Leatha.M.Blanks@hud.gov](mailto:Leatha.M.Blanks@hud.gov) [katina.l.jordan@hud.gov](mailto:katina.l.jordan@hud.gov)

Persons with hearing or speech impairments may access these numbers via TTY by calling the toll-free Federal Relay Service at 800-877-8339. Please note that HUD staff cannot assist applicants in preparing their applications.

## **XI. Other Information**

### **1. National Environmental Policy Act.**

A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFO in accordance with HUD regulations at [24 CFR part 50](#), which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)).

The FONSI is available for inspection at [HUD's Funding Opportunities](#) web page.

### **2. Web Resources.**

- [Affirmatively Furthering Fair Housing](#)
- [Code of Conduct list](#)
- [Assistance Listing \(formerly CFDA\)](#)

- [Unique Entity Identifier](#)
- [Equal Participation of Faith-Based Organizations](#)
- [Federal Awardee Performance and Integrity Information System](#)
- [FFATA Subaward Reporting System](#)
- [Grants.gov](#)
- [HBCUs](#)
- [Healthy Homes Strategic Plan](#)
- [Healthy Housing Reference Manual](#)
- [HUD's Strategic Plan](#)
- [HUD Grants](#)
- [Limited English Proficiency](#)
- [NOFO Webcasts](#)
- [Procurement of Recovered Materials](#)
- [Promise Zones](#)
- [Section 3 Business Registry](#)
- [State Point of Contact List](#)
- [System for Award Management \(SAM\)](#)
- [Uniform Relocation Assistance and Real Property Acquisition Act of 1970 \(URA\)](#)
- [USA Spending](#)