



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

Policy Development and Research

HUDRD CDBG Disaster Recovery Outcomes of Renter Households

FR-6600-N-29A

07/11/2022

## Table of Contents

Summary .....	3
Overview .....	3
I. FUNDING OPPORTUNITY DESCRIPTION.....	4
A. Program Description. ....	4
B. Authority. ....	21
II. Award Information. ....	21
A. Available Funds .....	21
B. Number of Awards. ....	21
C. Minimum/Maximum Award Information .....	22
D. Period of Performance.....	22
E. Type of Funding Instrument. ....	22
III. Eligibility Information. ....	22
A. Eligible Applicants.....	22
B. Ineligible Applicants. ....	23
C. Cost Sharing or Matching.....	23
D. Threshold Eligibility Requirements. ....	23
E. Statutory and Regulatory Requirements Affecting Eligibility. ....	24
F. Program-Specific Requirements. ....	25
G. Criteria for Beneficiaries.....	25
IV. Application and Submission Information. ....	25
A. Obtaining an Application Package.....	25
B. Content and Form of Application Submission. ....	26
C. System for Award Management (SAM) and Unique Entity Identifier (UEI) Dun and Bradstreet Universal Numbering System (DUNS) Number. ....	28
D. Application Submission Dates and Times. ....	28
E. Intergovernmental Review. ....	31
F. Funding Restrictions. ....	31
G. Other Submission Requirements.....	32
V. Application Review Information.....	33
A. Review Criteria. ....	33
B. Review and Selection Process.....	41
VI. Award Administration Information. ....	42
A. Award Notices.....	42

B. Administrative, National and Department Policy Requirements and Terms for HUD  
Recipients Financial Assistance Awards .....43

C. Reporting.....44

D. Debriefing.....45

VII. Agency Contact(s).....46

VIII. Other Information.....46

APPENDIX.....47

**Program Office:**

Policy Development and Research

**Funding Opportunity Title:**

HUDRD CDBG Disaster Recovery Outcomes of Renter Households

**Funding Opportunity Number:**

FR-6600-N-29A

**Assistance Listing Number:**

14.536

**Due Date for Applications:**

07/11/2022

**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**

The U.S. Department of Housing and Urban Development (HUD) issues this Notice of Funding Opportunity (NOFO) to invite applications from eligible applicants for the program and purpose described within this NOFO. Prospective applicants should carefully read all instructions in all sections to avoid sending an incomplete or ineligible application. HUD funding is highly competitive. Failure to respond accurately to any submission requirement could result in an incomplete or noncompetitive proposal.

During the selection process HUD is prohibited from disclosing 1) information regarding any applicant's relative standing, 2) the amount of assistance requested by an applicant, and 3) any information contained in the application. Prior to the application deadline, HUD may not disclose the identity of any applicant or the number of applicants that have applied for assistance.

For Further Information Regarding this NOFO: Please direct questions regarding the specific

requirements of this NOFO to the office contact identified in Section VII.

**Paperwork Reduction Act Statement.** The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to a collection of information unless the collection displays a valid OMB control number. Each NOFO will identify its applicable OMB control number unless its collection of information is excluded from these requirements under [5 CFR part 1320](#).

**OMB Approval Number(s):**  
2528-0299

## **I. FUNDING OPPORTUNITY DESCRIPTION.**

### **A. Program Description.**

- **Purpose**

This NOFO announces the availability of \$1,400,000 for two research projects (about \$700,000 each). The goal of this research is to improve disaster recovery effectiveness for renter households by examining the disaster recovery outcomes of renter households and rental housing stock in places that received Community Development Block Grant-Disaster Recovery grants (CDBG-DR). In order to understand renter challenges and barriers that are exacerbated by disasters and ways that CDBG-DR may facilitate quicker and more comprehensive recovery of these households, two distinct studies are solicited here:

**Project 1: Disaster Recovery Outcomes of Renter Households.** A study on the recovery outcomes of renter households following disasters, the factors (including barriers to accessing recovery resources and mechanisms of Federal and local implementation of CDBG-DR grants), that can contribute to such outcomes, and the opportunities for changes to legislation, policy and program implementation that can improve upon such outcomes; and

**Project 2: Post-disaster Impacts on Rental Housing Markets.** A study on the short- and long-term impacts of disasters on renter housing stock that is affordable to low- or moderate-income households and assessment of initiatives that have attempted to prevent loss of affordable housing stock following disasters.

NOTE: Applicants may apply for one or both projects under this announcement. Applicants applying for more than one project must submit a separate application for each project. Applicants may submit only one application per project. No person may be listed as a principal investigator on more than one application per project under this announcement. Applicants applying to both solicitations should not submit interdependent projects that assume funding awards for both. HUD anticipates funding two research projects with \$700,000-budgets, but reserves the right to increase funding awarded for one study and decrease funding awarded for the other if an application for one project is particularly promising.

### **Overview**

The Consolidated Appropriations Act, 2021 (Public Law 116-260, approved December 27, 2020) provides funding to HUD for research and studies relating to disaster recovery that will allow the Department to evaluate the efficacy of its disaster recovery programs. We are soliciting

proposals to conduct research on the disaster recovery outcomes of renter households and rental housing stock in places awarded CDBG-DR grants, the contributing factors and mechanisms driving recovery outcomes for renter households, and opportunities to improve upon them. The goal of the research is to illuminate ways by which Congress, HUD, and State and Local governments can mitigate the loss of affordable rental housing following disasters and facilitate faster and better recovery of renter households. This funding will do this through two distinct research projects:

1. Document the outcomes of renter households and examine possible mechanisms of Federal, state, and local level administration of CDBG-DR grants that may contribute to such outcomes, including disaster impact and needs assessments, grant allocations and Action Plan development, program design and eligibility criteria, citizen engagement practices, and barriers to access or participation in disaster recovery programs; and
2. Establish documentation of short- and long-term impacts of disasters (4-10 years, past analysis of housing recovery indicates a mean duration of time of 3.8 years between disaster event and 90% of housing activity grant funds expended, a proxy for activity completion. See: <https://www.huduser.gov/portal/publications/HousingRecovery-CDBG-DR.html>) on rental housing stock and local housing markets and dynamics across multiple disaster impact sites, with assessment of the efficacy of Federal and other state and local efforts to prevent such reductions in affordable housing stock.

In both studies, research teams will examine potential opportunities for changes to legislation, policy and program implementation that can improve upon the disaster recovery outcomes of rental households, reduce barriers to participation, and preserve or expand the local affordable rental housing stock in post-disaster recovery scenarios. For the purposes of this research solicitation, the term “disaster” refers to Presidentially declared major disasters for which CDBG-DR is allocated by HUD. A list of such disasters and allocated grants can be found on HUD’s website here: <https://www.hudexchange.info/programs/cdbg-dr/cdbg-dr-grantee-contact-information/#view-all-disasters>. Both research projects are expected to result in recommended Federal, state, and local data collection as well as analysis and policy and programmatic solutions that may potentially improve recovery outcomes and support the preservation and expansion of affordable rental housing stock following disasters. This will facilitate the government’s role in ensuring all communities and demographic subgroups have the resources to recover.

## **Background**

HUD CDBG-DR funding has been appropriated by Congress following major Presidentially declared disasters when Congress deemed other aid and resources were not enough to meet the needs of the impacted community. After the President declares a disaster, Congress may request impact assessments from disaster recovery agencies and may use these data to appropriate additional emergency supplemental Federal disaster recovery funding, including CDBG-DR grants. When CDBG-DR funds are appropriated, HUD then calculates individual block grant amounts for impacted areas using needs data, including FEMA and SBA data, insurance data, and Census demographic data. HUD may choose to allocate funds to States, counties, municipal governments, or other local level entities. Notably, states can carry out housing activities through

a method of distribution of funds to local government entities or they can carry out housing programs and projects directly (through employees, contractors, or subrecipients). CDBG-DR grantees can budget CDBG-DR funds at their discretion provided the action plan budget aligns with their impact and unmet needs assessments and with other CDBG-DR program requirements. For example, grantees must use funds that support community recovery through defined eligible activities that meet housing, economic, and infrastructure objectives. A recently published Federal Register Notice describes the rules and guidelines that typically apply to CDBG-DR grant administration.

*“CDBG-DR funds are for necessary expenses for activities authorized under title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301 et seq.) (HCDA) related to disaster relief, long-term recovery, restoration of infrastructure and housing, economic revitalization, and mitigation in the “most impacted and distressed” (MID) areas resulting from a qualifying major disaster” (FR-6303-N-01, 2022).*

Housing assistance is typically the most immediate priority of state and local governments and is often the largest budgeted activity. The intent of housing recovery programs is to ensure those whose homes were impacted by the disaster can return to safe and adequate housing or relocate to suitable housing elsewhere.

*“Grantees may use CDBG-DR funds for activities that may include, but are not limited to, new construction, reconstruction, and rehabilitation of single-family or multifamily housing, homeownership assistance, buyouts, and rental assistance. The broadening of eligible CDBG-DR activities related to housing under the HCDA is necessary following major disasters in which housing, including large numbers of affordable housing units, have been damaged or destroyed.” (FR-6303-N-01, 2022)*

The process of calculating need following a disaster typically reflects the concepts of owned property. Renters’ losses include only personal property, even as broader rental market changes can impact their ability to find safe and adequate housing in proximity to their established communities. The framework guiding the allocation of recovery funds and the actions of grantees in receipt of Federal disaster assistance tends to focus on property losses and rehabilitation of real property. This framework targets rehabilitation funds of real rental property to landlords and owners of rental units, and can miss the unique needs of renter households, including costs of relocating to different communities, paying higher rents to stay in the same community, and non-quantifiable social costs faced by renters when their homes are damaged or destroyed and they are temporarily or permanently displaced.

A growing body of research literature and journalism calls attention to the impacts of disasters on and poor recovery outcomes of renter households, particularly low-income renters of color (Wilson, 2021; NPR, 2021; NYT, 2021). US disaster aid can reinforce or widen existing inequities (Elliott et al., 2020; Emrich et al., 2020; Howell and Elliott, 2019; Ratcliffe et al., 2019). Research has demonstrated that low-income renter households face distinct challenges following disaster, receive disproportionately lower disaster recovery aid, and can experience longer recovery timelines (GAO, 2010). Rental housing stock is impacted in complex ways and rental property owners often struggle to rehabilitate units, demolishing them or choosing to

upgrade units and increase rents, which results in an overall loss of affordable rental units (Weicher et al., 2017; Aurand and Emmanuel, 2019; GAO, 2010; Dillon-Merrill et al., 2018). Further, renter households are also displaced from homes at rates much greater than homeowners (Hamideh and Rongerude, 2018; Vinogradasky, 2009), which can exact a variety of negative impacts on households that are not easily quantified in economic or financial terms. A longer displacement period can generate negative effects on the well-being of a population (Diaz, Kumar et al. 2015, Diaz, Behr et al. 2020). Despite research documenting these outcomes in specific post-disaster examples, there is no comprehensive study that has generalized occurrence of such outcomes across disaster impacted communities or the CDBG-DR portfolio. Additionally, little is understood about how the specific mechanisms of disaster recovery aid – at all levels of government – may contribute to the disaster recovery outcomes of renter households or how they might drive improvements in recovery for these households. This is potentially due to the fact that Federal disaster recovery programs lack key information—data and analysis—that would allow them to examine patterns and indicators of potential access barriers and disparate recovery outcomes (GAO, 2021).

To respond to challenges for low-income renter households and losses to affordable rental housing stock following disaster, Congress has previously appropriated CDBG-DR funds that carry requirements for grantees to allocate specified portions of grants to affordable housing and HUD has separately required certain CDBG-DR grantees to coordinate disaster recovery funding with local public housing authorities (PHA). More recently, HUD has required grantees to describe how CDBG-DR grant funds will be used to support rental housing affordable to low- or moderate-income households. For the allocations made in response to Hurricane Katrina and other disasters, Congress required no less than \$1 billion (across all grants) be spent on the repair, rehabilitation, and reconstruction of the affordable rental housing in the areas impacted by disasters occurring on the Gulf Coast (P.L. 109–234, 2006; FR–5089–N–01, 2006). That has resulted in \$2.4 billion spent on the rehabilitation of over 50,000 affordable housing units since then. For the allocations made in response to Hurricane Sandy, HUD required grantees to consult with Public Housing Authorities (PHA) in the impacted region and to identify and address the rehabilitation, reconstruction, and replacement of various types of HUD-assisted housing that is affordable to low- and moderate-income renters (FR–5696–N–06, 2013). Beginning with allocations to grantees experiencing a disaster in 2016, HUD has prioritized affordable rental housing by requiring grantees to describe in their Action Plans how grant funds will be used for rehabilitation, reconstruction, replacement, and new construction of rental housing affordable to low- or moderate-income households (FR–5989–N–01, 2016). The outcomes of these requirements have not been studied in rigorous research, and applicants responding to this solicitation should include an assessment of these requirements and other Federal, state, and local efforts to preserve affordable housing stock and how they may have changed grantee actions and affected housing stock, especially in comparison with other regions awarded CDBG-DR that did not have these requirements.

### **Research Objectives**

The goal of this work is to improve CDBG-DR effectiveness for renter households through an examination of outcomes and their drivers and to assess the long-term impacts on affordable rental housing stock following disasters. The objectives of this solicitation are twofold, and HUD will fund each as a separate research project. Applicants should complete an application for the

study they wish to apply for and **clearly identify the respective project within the Abstract of the proposal.** Following is a description of the two distinct research projects.

1. The objective of Project 1 is to gather data and document the extent to which renter household needs are not being met after disasters; to examine aspects of the implementation of the CDBG-DR dollars at all levels of government for mechanisms that may result in poorer recovery outcomes among renter households; and to identify opportunities for changes to legislation, policy and program implementation that can improve upon such outcomes. Potential outcomes of interest include but are not limited to: temporary and/or long-term housing instability, housing cost burden, displacement from pre-disaster home or neighborhood, and financial and/or material hardships. Research proposals may identify additional outcomes drawn from existing literature that warrant further broader analysis. Some driving mechanisms may include, but are not limited to, needs assessments methods and processes, allocations of funding, budget and action plan development (including subsequent substantial amendments to grantee budgets and action plans), local level recovery priorities and program design, outreach and eligibility criteria, barriers that affect specific socioeconomically vulnerable populations, recovery and rehabilitation programs aimed at landlords that ultimately affect renters and rental housing stock, grantee and subgrantee execution of planned projects, and HUD monitoring and technical assistance, including collection and analysis of data that may reveal such outcomes and the barriers to accessing aid that may lead to them.
2. The objective of Project 2 is to examine rental markets and dynamics in post-disaster scenarios, specifically the extent to which the affordable rental housing stock is impacted by disasters and the rental housing stock affordable to low- and moderate-income people declines (or not) over the short- and long-term period (4 to 10 years) following a disaster. The study would also examine the effects of changes to the rental housing stock on low- and moderate-income renters, including housing cost burdens, displacement, and demographic shifts that were likely caused by changes to housing stock. This would involve analysis of data drawn from multiple disaster impact sites on changes in the composition of local or regional housing stocks. This should also include an assessment of the efficacy of specific Federal initiatives designed to address losses of affordable housing following disasters, such as requirements for apportioning money for affordable rental housing or direct coordination with local PHAs, and the extent to which these initiatives changed grantee decisions and resulted in preservation or expansion of affordable housing stock.

In both projects, researchers are to assess what types of data are needed to help identify and address access barriers in order to more equitably serve renter households, whether that data is readily available, and to provide recommendations on how to collect and analyze that data, if it is not available.

In particular, HUD is soliciting research proposals that will address the following research topics and questions. We expect the most competitive proposals will cover multiple research questions within each topic; however, no single research study is likely to cover all of the research questions. HUD reserves the right to award more than \$700,000 for one study and less than \$700,000 for the other, within the \$1,400,000 total available for both projects, if an application

for one project is particularly promising.

### **Objectives of Project 1: Disaster Recovery Outcomes of Renter Households**

#### **A. Outcomes of Renters and Mechanisms Driving Renter Outcomes:**

- What are the outcomes of renter households following disasters and what recovery needs, challenges and barriers do renters typically experience following disasters?

#### **B. Mechanisms Driving Renter Outcomes:**

- Needs assessments and funding allocations
  - Are there systemic gaps in Federal (FEMA, SBA, HUD), state, and/or local assessments of renter household disaster needs that may underestimate their actual recovery needs?
  - Do renter households have distinct recovery needs and what are those renter-specific needs? In needs assessments, are the renter-specific needs weighted equally in the grantee allocation of CDBG-DR funds to programs? Are allocations to programs directed at rental households and affordable rental housing stock proportionate to needs identified in assessments, or otherwise apparent?
  - Given the differences in how CDBG-DR may be administered by state or local governments, are there notable differences in outcomes for renter households that may be driven by state administration of housing programs, state methods of distribution, or direct local level administration of housing programs?
  - Do methods that grantees use to determine how much funding to set aside for various recovery activities systematically disadvantage renter households? This can be answered by looking at each of the major processes that contribute to grantee allocation of grant funds, beginning with Federal needs assessment and allocations, grantee needs assessment and action plan development, housing recovery programs funded by CDBG-DR grantees, and HUD TA. For example, do needs assessments reflect recovery needs of rental households? Are the data available for needs assessments adequate for measuring needs of renters? Are particular recovery needs of renter households captured in needs assessments? How do these particular needs affect HUD's allocation formula and grantee allocation decisions?
  - Do decisions about the use of CDBG-DR grant funds adequately account for needs of renter households and rental housing stock, within the constraints of eligible CDBG-DR activities?
  - What might local and Federal governments consider accounting for in needs assessments to better serve renter households?
  - If use of grant funds is disproportionate to need for rental household recovery, what would it take to correct for this disproportionality and what would proportionate use of grant funds look like in practice?
  - Are grantee uses of CDBG-DR funds adequately accounting for the needs of renters of color, protected classes, and other vulnerable renter household populations? Are grantee CDBG-DR allocation decisions or local level recovery priorities meeting or failing to meet the needs of renters of color, protected classes, and other vulnerable renter household populations?

- Action Plan Development
  - How are funds for housing budgeted within State/local CDBG-DR Action Plans, relative to the needs of renter households? If disparities exist, what is driving disproportionate funding of specific categories of housing?
  - Without requirements, do grantees provide adequate funding for affordable rental housing? To what extent is grant funding allocated to rehabilitation of existing affordable rental housing compared to development of new rental housing that is or is not affordable? What new or previously attempted policies and programs (such as required set aside for affordable housing or public housing) might ensure renter household needs are adequately served?
  - To what extent do grantees ensure that CDBG-DR-funded housing activities do not create, increase, reinforce, or perpetuate segregation for renters of color, protected classes, and other vulnerable renter households?
- Housing recovery program eligibility, design, and engagement
  - Recovery of rental housing relies on the extent to which landlords are able and willing to rehabilitate rental units quickly and effectively, preserving units at affordable rental cost. As such, CDBG-DR funded programs that allocate resources to landlords affect renter households and the rental housing stock. Are CDBG-DR grantees adequately reaching landlords of affordable rental housing through their programs, relative to the need demonstrated by impact data?
  - To what extent do landlords of affordable rental housing stock face recovery challenges, are unable to rehabilitate affordable rental units, or decline to preserve affordable units when rehabilitation is possible following a disaster?
  - To what extent are landlords prohibited from receiving CDBG-DR assistance due to non-compliance with existing requirements to purchase and maintain flood insurance as a condition of previously receiving disaster assistance?
  - To what extent are landlords prohibited from receiving CDBG-DR assistance due to Duplication of Benefits with other sources of disaster recovery (ex. FEMA or SBA) that were used on FEMA- or SBA- ineligible or non-recovery expenses?
  - What barriers exist for renter households and rental unit landlords to participate in recovery aid programs? For programs targeting rental housing rehabilitation and landlords, are eligibility, documentation, and income requirements barriers to participation? Are engagement strategies adequate to attract participating renter households and landlords?
  - Some evidence suggests that recovery aid in the form of loans, as opposed to grants, may add debt service to post-disaster rental housing, driving up rental costs. What is the composition (grants versus loans) of disaster recovery aid to the owners of rental properties and is there evidence that this impacts post disaster rental costs and broader rental housing composition?
  - Some evidence suggests there are different needs for small rental housing units (1-4 units) compared with larger multi-family rental housing buildings, and that differences in rental market composition and the types of disaster recovery aid allocated may be associated with different outcomes for the rental housing market. What types of aid and engagement work best for these distinct types of rental units? Is one type better suited for preservation of affordable rental housing

- over the long run? What are best practices for meeting affordable housing needs and ensuring the recovery of the different types of rental housing?
  - What policies and programs stand out in changing the trend of disparate outcomes in disaster-impacted communities with high percentages of vulnerable renter household populations? What can be replicated in similar circumstances across the country?
- HUD monitoring and technical assistance
  - What data are needed to examine patterns and indicators of potential access barriers and disparate recovery outcomes among those impacted by disasters, in order to monitor equity of recovery grants in reaching vulnerable populations, particularly low-income renter households and renter households of color and other protected classes?
  - What are the sources and methods to obtain those data when the programs do not already collect them?
  - What technical assistance might benefit CDBG-DR grantees in understanding the needs of renter households and program design and funds allocation to meet those needs?
- Are there alternative milestones in the process of allocating and programming CDBG-DR grant funds at which resources can go toward or away from renters? What should HUD focus on as critical pathways to improving assistance and outcomes of low-income renter households and rental housing stock?

## **Objectives of Project 2: Post-Disaster Impacts on Rental Markets**

### **A. Disaster Impact on Rental Housing Markets**

- How do housing market composition and dynamics (housing costs, rents, vacancies, owner-occupied versus renter-occupied, housing quality, community demographics) change over the short- and long-term in cities and regions impacted by disasters?
- What changes take place among renter populations in areas impacted by disasters, with regard to population demographics, rental housing cost burdens, financial distress, displacement from affected communities over the short and long-term?

### **B. Efficacy of Government Efforts to Mitigate Loss of Affordable Rental Units and Impacts on Renters**

- What efforts have been implemented by Federal and state and local governments to mitigate loss of affordable rental housing stock? How did these affect grantee allocations and what associated impacts on rental housing stock and renter households are observed?
- What were the effects of requirements for CDBG-DR grantees to set aside a designated portion of funds for the rehabilitation or reconstruction of affordable rental units following disasters?
- What were the effects of requirements for CDBG-DR grantees to engage with PHAs and ensure unmet needs were included within the CDBG-DR Action Plan following Hurricane Sandy and other disasters?

- What were the effects of requirements for CDBG-DR grantees to describe in their action plans how they will identify and address the rehabilitation, reconstruction, replacement, and new construction of rental housing affordable to low- and moderate-income households?
- Given that HUD included time limits on affordability in CDBG-DR Federal Register notices, what impact might the lapse of those affordability requirements have on affordable rental housing stock in these communities and regions?
- What lessons from these three requirements (affordable rental housing set aside, coordination of Action Plan with local PHAs, and time limits on affordability) can inform Federal and local-level efforts to mitigate loss and expand stock of affordable rental housing? What challenges did grantees have meeting the goals of the initiative and what solutions did they develop to overcome them?

## **Methodological Considerations**

### **Scope**

Both studies are expected to use mixed methods designs and incorporate data from multiple sources to 1) generate analyses of recovery outcomes and driving mechanisms, and 2) examine and document a generalized picture of changes in rental housing markets in post-disaster scenarios and analyze efforts to quell reductions and expand affordable rental housing stock. In order to develop findings and conclusions that can be generalized, we expect competitive proposals to describe research that examines disaster-impacted places across the nation that have been awarded CDBG-DR grants for Presidentially declared major disasters of any type (ex. hurricane, flood, severe storm, wildfire, etc.) when applicable to the research question addressed. To be clear, this is not a requirement for studies to be *statistically* representative. The scope of subjects can include allocations beginning with those for Hurricane Katrina in 2005 through allocations for events occurring in 2018. Applicants should consider the time constraints of research on long-term impacts, defined above as approximately 10 years following a disaster, and weigh this against the likelihood of collecting the best data on disasters that occurred more recently, due to staff memory and turnover. Applicants should propose an approach to selecting sampled communities and include a draft framework for selecting study sites with an explanation of how its criteria support the overall research approach of the study.

### **Data Collection**

Previous disaster recovery studies have relied on HUD administrative or Census data that limited the value of the findings. Competitive proposals will discuss how research questions will be answered using multiple data sources and multiple analytical methods. Studies will incorporate data sources beyond Federal census and administrative data, including, but not limited to, data collected from CDBG-DR grantee states and municipalities on needs assessments, project beneficiaries, broken down by demographic populations and/or protected class group, program budgets and actual costs, local housing statistics, household surveys, direct observation, and other administrative data sources and information gleaned through interviews and site visits.

Past research studies have been delayed due to the challenges of collecting data from different sources. To facilitate appropriate data collection plans, we are requiring applicants to this solicitation to describe how projects will quickly (following execution of the grant agreement) identify specific data sources needed for the successful completion of the research and how they

will develop, within the first quarter of the period of performance, a feasible plan for collecting that data. Where primary data collection is called for in the proposal, applicants to this solicitation must address primary data collection activities and how they will ensure data can be collected and used for the study within the period of performance, including Institutional Review Board approval, where applicable.

### **Eligible Activities**

In support of the objectives listed above, researchers may be asked to undertake a variety of research and analysis activities, from articulating research questions to conducting the research itself and culminating in communicating research findings. Products that result from the work may be datasets, documentation, briefings and policy papers, and presentations that share the conclusions of your work and inform a range of audiences, including Congress, policy makers and government administrators, community practitioners, and the public. We consider the activities listed below to be essential in creating and completing the project in a manner that achieves its objectives, however this list is not intended to be comprehensive.

**a. Research design and work plan development.** Developing a research design and work plan that will effectively respond to the research goals identified in this solicitation. The development of these materials will be done in close consultation with the HUD Government Technical Representative (GTR), Government Technical Monitor (GTM), and/or other staff and experts as the HUD GTR directs. This activity can include:

- Honing research questions and explaining their significance
- Conducting a literature review
- Consulting outside experts and stakeholders
- Developing a research design, which should include research questions, hypotheses, data sources, data collection methods, data collection instruments, and analysis methods
- Formulating a data collection plan, including sampling plans, surveys and pre-testing of survey instruments and interview guides, detailed data system design and testing, and matching of administrative data across datasets held by different agencies, as applicable. The researcher must plan for primary data collection on individual projects and programs directly from the implementing entity, i.e. the CDBG-DR grantee.
- Developing a work plan, which should include staffing assignments, task budgets, and a timeline of key activities
- Obtaining Institutional Review Board approval as needed to ensure human subjects research protections in accordance with federal requirements (see <http://www.hhs.gov/ohrp/humansubjects/commonrule>)

**b. Data Collection.** This work will include data collection using qualitative and/or quantitative methods that may be in-person, by mail, by phone, or via the Internet if appropriate and may also use existing data (e.g., Census data) and administrative data as appropriate. If applicable, the researchers should plan for onsite visits designed to procure primary data collection on individual projects and programs directly from the implementing entity or CDBG-DR grantee.

**c. Data analysis.** Merging, tabulating, analyzing, modeling, validating, and presenting data from surveys and existing administrative data sources, including third-party sources, to answer the research questions. Such analysis may include qualitative data analysis and synthesis, descriptive statistics, data visualization, business intelligence reporting and dashboard systems, as

appropriate, to present the data.

**d. Communication.** Synthesize and communicate findings through briefings, presentations, written reports, and the production of informational tools and resources. These are to be designed to effectively communicate findings to non-research or academic audiences specializing in policy, budgeting, urban planning, community development, and other disaster practitioners at the Federal, State, or local level.

**e. Other Eligible Activities** could include: Developing short papers, policy briefs, or presentations on specific findings of the research that could guide disaster decision-makers at the State and local level.

### **Deliverables**

The awards will be made under cooperative agreements between the research team and HUD, which provides for substantial HUD involvement in the development and approval of anticipated deliverables. The GTR and/or other HUD staff as assigned by the GTR will work closely with the awardee on defining these deliverables and reviewing and commenting on them to ensure that they meet the project objectives. At a minimum, we expect the award recipient to produce the following products, subject to negotiation and HUD's approval following announcement of the award and throughout the life of the cooperative agreement.

- a. **Expert Panel:** The Expert Panel will advise on the study design, implementation and product development. It should be composed of a multidisciplinary team of experts who can complement the strengths of the proposed research team. It should include scientists and practitioners from diverse disciplines, including social scientists, disaster recovery and housing experts, and practitioners. This purpose shall be concretely expressed through the following activities: (1) advising on each phase of the study and deliverables, (2) contributing to the Policy Brief, and (3) participating in a panel discussion for HUD staff and others on the Policy Brief. The expert panel might include, but is not limited to, the following types of experts: disaster recovery, housing and urban policy, sociology, poverty and migration studies, economics and public finance, environmental health, mental health, home construction and real estate, town and regional planning, land use planning, insurance, economic and community development.
- b. **Management and Work Plan:** The Management and Work Plan will outline the overall strategy for completing the research within the budget and timeframe allotted. It will describe activities to be undertaken, assign staff and level of effort, provide a schedule of key tasks, and include a Quality Control Plan (QCP). The draft QCP which addresses all potential points of a Quality Control Lapse (see definition below) shall be included as an appendix to the Management Work Plan. A draft Management and Work Plan must be submitted with the application. After the award is issued, HUD will provide feedback to the awardee, and a final Management and Work Plan must be submitted to HUD within two weeks of the receipt of HUD comments.
- c. **Research Design:** The Research Design will provide a detailed plan for technical aspects of the research, including research questions, hypotheses, data sources, data collection methods, data collection instruments, and analysis methods. The Research Design must demonstrate how the proposed methodology, including the data collection and analysis strategy, will address the research questions and hypotheses proposed. As mentioned, the Research Design will also identify specific data sources needed for the successful

completion of the research and how the grantee will develop a feasible plan for the collection of that data. The Research Design will also propose the selection criteria for selecting disaster impacted areas for study. A draft Research Design must be submitted with the application. After award, HUD will provide feedback to you, and a final Research Design must be submitted to HUD within four weeks of the receipt of HUD comments.

- d. **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.
- e. **Annual briefings:** Each year the research team will gather (virtual or in-person) with HUD staff and leadership to provide an overview of the project, project status, findings, and approach to achieving the objectives of the cooperative agreement. This will also serve as an opportunity for HUD leadership to provide input on the project, methods, and deliverables.
- f. **Retrospective Reports:** The Retrospective Reports will document the complete findings from the study and will summarize the work conducted over the course of the project, present the study objectives, data sources, analysis methods, and results. A series of Interim Retrospective Reports will be submitted over the course of the period of performance of this project and provide a summary of the project findings up to that point. The Interim Retrospective Reports should be considered an opportunity to evaluate the state of the project and for HUD to provide feedback on the study's approach and documentation. If applicable, the Interim Retrospective Reports may be subject to sharing with divisions within HUD as well as CDBG-DR grantees. The exact deadline and content of the Interim Retrospective Reports will be decided between the GTR and the awardee. A Final Retrospective Report will serve as a stand-alone document that meets the overall objective of this project. The Final Retrospective 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>).
- g. One to two-page plain language **summary** of findings appropriate for non-technical audience;
- h. **Policy Implications and Recommendations:** Publishable brief and presentation targeted to HUD, State and local policymakers on what the findings of the study may imply for disaster recovery policies regarding serving renter households and supporting the preservation and expansion of affordable rental housing stock.

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- **Changes from Previous NOFO.**

This is a new NOFO.

- **Definitions.**

a. Standard Definitions

**Affirmatively Furthering Fair Housing (AFFH).** Affirmatively Furthering Fair Housing (AFFH) 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.

**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.

**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.

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

**Expanded Authorized Organization Representative (AOR)** An 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.

**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 (i) or (ii) 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](#).
2. 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 NOFO, or the cost-reimbursement contract awarded under the Federal Acquisition Regulations.
3. 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).
4. 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 NOFO.

**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 on behalf of the organization. An applicant user with the Standard AOR role can only submit applications 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 (UEI)** means the identifier assigned by SAM to uniquely identify business entities.

- Program Definitions.

None.

## **B. 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.

## **II. Award Information.**

### **A. Available Funds**

Funding of approximately **\$1,400,000** is available through this NOFO.

Additional funds may become available for award under this NOFO. Use of these funds might be subject to statutory constraints or other requirements. All awards are subject to the funding restrictions contained in this NOFO.

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

HUD expects to make approximately 2 awards from the funds available under this NOFO.

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

HUD anticipates funding two research projects with \$700,000 budgets, but we reserve the right to increase funding awarded for one study and decrease funding awarded for the other if an application for one project is particularly promising.

Estimated Total Funding:

\$1,400,000

Minimum Award Amount:

\$500,000

Per Project Period

Maximum Award Amount:

\$900,000

Per Project Period

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

Estimated Project Start Date:

10/12/2022

Estimated Project End Date:

10/12/2024

Length of Project Periods:

36-month project period and budget period

Length of Periods Explanation of Other:

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

Funding Instrument Type:

CA (Cooperative Agreement)

## **III. Eligibility Information.**

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

00 (State governments)

01 (County governments)

02 (City or township governments)

04 (Special district governments)

06 (Public and State controlled institutions of higher education)

07 (Native American tribal governments (Federally recognized))

11 (Native American tribal organizations (other than Federally recognized tribal governments))

12 (Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education)

13 (Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education)

20 (Private institutions of higher education)

22 (For profit organizations other than small businesses)

23 (Small businesses)

### **Additional Information on Eligibility**

#### **B. Ineligible Applicants.**

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

#### **C. Cost Sharing or Matching.**

This Program does not require cost sharing or matching.

#### **D. 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 applications will receive no further review, will not be rated and ranked, and they will not receive funding.

- 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 application deadline date 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.

**2. 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."

**3. Timely Submission of Applications.** Applications submitted after the deadline stated within this NOFO that do not meet the requirements of the grace period policy will be marked late. Late applications are ineligible and will not be considered for funding. See Section IV. D. Application Submission Dates and Times.

3. Proposals must be responsive to one of the Projects described within this Announcement and identify the Project title within the Abstract. Applications that do not clearly respond to the research objectives of one of the two Projects described in this announcement will be ineligible and will not be considered for funding.

4. No person may be listed as a principal investigator on more than one application per Project.

#### **E. Statutory and Regulatory Requirements Affecting Eligibility.**

##### **Eligibility Requirements for Applicants of HUD's Grants Programs**

The following requirements affect applicant eligibility. Detailed information on 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
- In addition, each applicant under this NOFO 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](#).

#### **F. Program-Specific Requirements.**

None.

#### **G. Criteria for Beneficiaries.**

None.

### **IV. Application and Submission 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 NOFO 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 NOFO and forms necessary for a complete application. The Instruction Download may include Microsoft Word files, Microsoft Excel files, 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 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 a waiver at least 15 calendar days before the application deadline. If HUD grants a waiver, a paper application must be received before the deadline for this NOFO. To request a waiver, you must contact:

Name:

Katina Jordan

Email:

Katina.L.Jordan@hud.gov

HUD Organization:

Street:

451 7th Street SW

City:

Washington

State:

DC DISTRICT OF COLUMBIA

Zip:  
20410

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

You must verify that boxes 11, 12, and 13 on the SF-424 match the NOFO 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 Non-Curable unless otherwise stated under the Threshold requirements section.

#### **1. Content.**

<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 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

Forms/Assurances/Certifications	Submission Requirement	Notes/Description
		an executed copy of the Certification Regarding Lobbying prior to award.
Budget SF424CBW	Submission is required for all applicants by the application due date.	Required for all applications.

Additionally, your complete application must include the following narratives and non-form attachments.

- Abstract - One-page application summary as described in 2. Format and Form below.
- Narrative statement addressing ratings factors.
- Appendix containing up to 5 resumes of key personnel.
- Appendix that lists the names of the firms for all of the subgrantees and consultants with whom the applicant has entered into an agreement to participate in an award under this NOFO and a brief statement of each firm's qualifications.
- Appendix containing a list of references outlining the applicant's performance of recent (within five years) and relevant social science research or program evaluations.
- Budget submission (display of all anticipated costs during the performance period, including an indirect cost rate).
- Code of Conduct. Applicants selected for funding will be required to provide HUD with their written Code of Conduct if they have not previously done so and it is not recorded on the HUD website at:  
<http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>

## 2. Format and Form.

Narratives and other attachments to your application must follow the following format guidelines.

25 Pages maximum length of narratives

Double spaced 12-point (minimum) Times Roman font on letter sized paper (8 1/2 x 11 inches) with at least 1-inch margins on all sides

a. Narrative addressing rating factors should not exceed 25 pages. The narrative page limits do not include required forms, assurances and certifications, the appendix of subgrantees, the appendix of resumes, the appendix of reference letters, the budget narrative, and the one-page abstract. The narrative must be formatted to fit an 8 1/2 by 11-inch page, double-spaced (information requirements), with one-inch margins, using standard Times New Roman 12-point font. Resumes are subject to a separate 20-page limit as follows:

i. the application shall include resumes for no more than 5 key personnel; and

ii. no individual resume shall exceed 4 pages. Submitting pages in excess of page limits will not disqualify an applicant; however, HUD will not consider the information on any excess pages. This exclusion may result in a lower score.

b. Abstract - One-page application summary needs to include:

i. A brief description of the proposed research and/or evaluation project; and

ii. Provide funding request in whole dollar amount. The amount requested should be based on the scope of the project, personnel costs, other direct costs, as well as administrative costs, etc.

### **C. 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/](https://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.

### **D. Application Submission Dates and Times.**

#### **Application Due Date Explanation**

The application deadline is 11:59:59 PM Eastern Standard time on

07/11/2022

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

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

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

"Validated by Grants.gov" means the application has been accepted and was not rejected with errors. You can track the status of your application by logging into Grants.gov, selecting "Applicants" from the top navigation, and selecting "Track my application" from the dropdown list. If the application status is "rejected with errors," you must correct the error(s) and resubmit the application before the 24-hour grace period ends. Applications 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 applications at least **48 hours before the deadline** 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 application to confirm Grants.gov received everything you intended to submit. To verify the contents of your submitted application:

- 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, it will be needed by the Grants.gov Help Desk if you seek their assistance.

HUD may extend the application deadline for any program if Grants.gov is offline or not available to applicants for at least 24 hours immediately prior to the deadline date, 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 NOFO 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 submission deadline, 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 deadline.

2. Grace Period for Grants.gov Submissions.

If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of 24 hours after the application deadline to submit a corrected, received, and validated application through Grants.gov. The date and time stamp on the Grants.gov system determines the application receipt time. Any application 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 applications.

3. Late Applications.

An application received after the NOFO deadline date that does not meet the Grace Period requirements will be marked late and will not be reviewed by HUD for funding consideration. Improper or expired registration and password issues are not sufficient cause to allow HUD to accept applications after the deadline date.

4. Corrections to Deficient Applications.

HUD will not consider information from applicants after the application deadline except for curable deficiencies.

HUD will uniformly notify applicants of each curable deficiency. See curable deficiency in the definitions section (Section I.A). Examples of curable (correctable) deficiencies include inconsistencies in the funding request and failure to submit required certifications. These examples are non-exhaustive.

When HUD identifies a curable deficiency, HUD will notify the authorized organization representative identified on the SF-424 Application for Federal Assistance via email. This email is the official notification of a curable deficiency.

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

The subject line of the email sent to [applicationsupport@hud.gov](mailto:applicationsupport@hud.gov) must state: Technical Cure and include the Grants.gov application tracking number or the GrantSolutions application number (e.g., Subject: Technical Cure - GRANT123456 or Technical Cure - XXXXXXXXXXXX). If this information is not included, HUD cannot match the response with the application under review and the application may be rejected due to the deficiency.

Corrections to a paper application must be sent in accordance with and to the address indicated in the notification of deficiency. HUD will treat a paper application submitted in accordance with a waiver of electronic application containing the wrong UEI/DUNS number as having a curable deficiency. Failure to correct the deficiency and meet the requirement to have a UEI/DUNS number and active registration in SAM will render the application ineligible for funding.

5. **Authoritative Versions of HUD NOFOs.** The version of these NOFOs as posted on Grants.gov are the official documents HUD uses to solicit applications.
6. **Exemptions.** Parties that believe the requirements of the NOFO would impose a substantial burden on the exercise of their religion should seek an exemption under the Religious Freedom Restoration Act (RFRA).

#### **E. Intergovernmental Review.**

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

#### **F. Funding Restrictions.**

An organization may not conduct research or an evaluation of itself. HUD will determine whether the salary rates are reasonable, customary for the skill set provided and the tasks to be conducted, and in accordance with federal legal requirements.

#### **Indirect Cost Rate.**

Normal indirect cost rules under [2 CFR 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 deadline must submit the 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% 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 direct 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 that 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 your department or agency chooses 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.**

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

**Standard Form 424 (SF-424) Application for Federal Assistance** is the government-wide 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 SF-424B (Assurances of Non construction Programs) or SF-424D (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 Alaskan native villages and those applicable to applicants other than federally recognized Indian tribes or Alaskan 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 form 2880.**

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.](#)

### **V. Application Review Information.**

#### **A. Review Criteria.**

##### **1. Rating Factors.**

##### **Project 1: Disaster Recovery Outcomes of Renter Households**

The maximum number of points from the rating factors and preference points that can be awarded to any application is 102. The minimum score for an application to be considered for funding is 75. A minimum score of 30 points is required for Factor 2 and 30 points for Factor 3.

##### **Rating Factor 1: Need for the Research (Maximum Points: 15)**

Your proposal must discuss how the proposed research will contribute to understanding of the recovery outcomes of renter households in areas impacted by disasters that were provided CDBG-DR grants. The research must address questions about the mechanisms – policies, funding, program design, implementation practices – that contribute to the disaster recovery

outcomes among this group. The project narrative should discuss previous research efforts to identify disparate outcomes of renter households, challenges and barriers, and contributing mechanisms, and address how the proposed research will build on existing work and address the objectives described in this NOFO. Your proposal will be assessed based on the extent to which the project would generate new evidence about renter household disaster recovery outcomes and driving mechanisms and barriers and provide information and guidance that would be helpful to the Federal government, states, and local entities working to ensure all communities and demographic subgroups have the resources to recover.

**Rating Factor 2: Organizational Capacity and Experience and Key Personnel (Maximum Points: 40)**

Minimum points needed for funding consideration is 30 of 40 possible maximum points for this rating factor.

**a. Recent Experience and Performance (Maximum 20 points)**

HUD will evaluate the organization's past performance based on research projects completed within the past five years. These projects should have reached completion and must demonstrate the organization's ability to conduct the required research. These projects must be comparable in size, scope and complexity to the project at hand and must have required the use of similar research methods. Specifically, we will place high value on experience that demonstrates your successful completion of multidisciplinary assessments of Federal policies and programs related to disaster recovery, housing, renter households and renter assistance, socioeconomic analysis of disparities and comparisons or outcomes using a variety of approaches to conduct data collection/gathering and analysis. We will place high value on experience that demonstrates your ability to translate research findings into policy implications at local, state, and federal levels. For each recent engagement, you must provide:

1. A statement of the objective of the project
2. A description of the research/evaluation or other tasks included in the engagement that would be relevant for this engagement, especially collection or gathering of the types of data necessary to answering the questions about renter household outcomes following disasters that are outlined in your proposal.
3. A synopsis of how you conducted and managed the work, including the number of hours involved, data collected, methods of collection, response rate, and the total cost of the engagement
4. A description of the final product or products of the research, the primary audience of the research, and how it was used by the primary solicitor, especially whether and how the information generated by the research affected policy, program, budgeting, or planning decisions

Note: Past performance will be verified with third-party references, to the extent applicable.

**b. Key Personnel (Maximum 20 points)**

You must identify up to five key personnel for the proposed project; explain their role in the management or implementation of the project; and demonstrate that they have the education, skills, and experience required to successfully carry out their roles and complete the project. Resumes for key personnel should be included as an appendix to the narrative and will not count

towards the page limit.

For the purposes of responding to this sub-factor, "key personnel" is defined as your in-house staff, subgrantees and/or consultants who will perform an essential management or technical function on the proposed project, and who could not be easily replaced by other staff with comparable expertise.

Applicants should include in the proposed research team people with expertise in applied research, project management, data management, software development, statistics, and writing and editing, as well as experience in one or more topical disciplines addressed by this NOFO, including but not limited to disaster response and recovery, housing reconstruction and rehabilitation, rental housing markets, housing sociology/socioeconomics, demographic analysis, and other related disciplines. Your application will be assessed based on the extent to which your proposed key personnel have the demonstrated education, skills, and experience required to complete the proposed research.

### **Rating Factor 3: Soundness of Approach (Maximum Points: 40)**

Minimum points needed for consideration is 30 of 40 possible maximum points for this rating factor.

#### **a. Research and Development Design (Maximum 25 points)**

You must provide a draft research design that lays out the conceptual approach for the entire project. The draft research design must include specific research questions and hypotheses that will be investigated by the proposed research, a data collection and analysis plan that discusses data needs, methods of collection, and analyses that respond to research objectives, and a plan for development of products that synthesize and disseminate findings to a broad audience including policy makers and practitioners.

The proposed research design will be rated on technical quality, clarity, creativity, thoroughness, specificity, and feasibility, specifically the extent to which it provides a methodologically sound and realistic approach for the proposed research, including:

1. The extent to which the proposal responds to the issues in the project description, including demonstration of extensive knowledge of this field of practice and research literature, addressing key research questions and identifying research products that successfully communicate findings and practices geared towards policymakers and practitioners
2. The extent to which the proposal describes an adequate, comprehensive, and feasible plan to undertake a multidisciplinary analysis of renter household outcomes following disasters, including descriptions of the:
  - a. Scope of the samples, regions/disasters, and populations to be evaluated
  - b. Method of assessing disparate outcomes
  - c. Method for identifying vulnerable subpopulations, and a method for assessing distinct needs, disparate interactions, challenges, and barriers, in the context of disasters on such populations
3. The extent to which the proposal describes an adequate, appropriate, and sound approach to data collection and analysis, including:
  - a. The availability and reliability of data sources

- b. Strategies for obtaining data, especially data collected directly from HUD CDBG-DR grantees
- c. Methods for analyzing the data to address the research questions

Note: In your proposal for the collection of original data from HUD CDBG-DR grantees, the draft research design must discuss sampling strategy and the extent to which findings will be generalizable. The research design must address primary data collection timelines and how researchers will ensure data can be collected and used for the study within the period of performance.

4. The extent to which the proposal describes an adequate and feasible plan for developing guidance for policymakers and practitioners.
5. The extent to which the plan addresses the need to assess the types of data needed to help identify and address access barriers in order to more equitably serve renter households, whether that data is readily available, and to provide recommendations on how to collect and analyze that data, if it is not available.

b. Expert Panel (Maximum 5 points)

To earn points under this factor, you must describe the composition and activities of the Expert Panel you will create. Applicants should not name experts within their proposal, as the final selection of panel participants will be made in consultation with HUD after the grant is awarded. Your proposal for the Expert Panel will be evaluated on the following:

1. Multi-disciplinarity: Applicants should describe the number and composition of the Expert Panel and should propose a diverse range of experts, including, but not limited to experts in, disaster recovery, housing and urban policy, sociology, poverty and migration studies, economics and public finance, environmental health, mental health, home construction and real estate, town and regional planning\land use planning, insurance, economic and community development and advocacy.
2. Alignment between expert specializations and scope of work. Applicants should describe the activities and scope of work of the Expert Panel and how experts will be chosen to support this work.
3. Feasibility of plan to engage Expert Panel in deliverables. Applicants should describe their plan to engage the Expert Panel in all phases of the study and development of deliverables.

c. Management Work Plan (Maximum 10 points)

You must provide a draft Management and Work Plan for the project that presents a clear, practical, and forward-looking plan to complete the proposed research. The draft Management and Work Plan must include:

1. A narrative discussion of how you will manage the overall project, including a discussion of how to assign appropriately skilled staff and how to manage communication with HUD and other stakeholders (such as CDBG-DR recipients), major project milestones, interdependencies among tasks, and quality control procedures.
2. A schedule of tasks (including start dates and completion dates) and deliverables.

3. Allocation of resources, including staffing and labor hours, by task.

You will be assessed based on the extent to which your draft Management and Work Plan provides a thorough and realistic approach for managing the overall project.

**Rating Factor 4: Performance Evaluation (Maximum Points: 5)**

You must describe the general methods and measures you will use to regularly monitor the effectiveness of your work. We have identified the broad control measures that constitute high-quality research.

You must present a clear plan for regularly monitoring the effectiveness of your work on the following measures:

1. Quality of data collection
2. Quality of data analysis
3. Quality of written products
4. Quality of performance monitoring guidance tool
5. Timeliness of performance and effectiveness of cost control measures

**Project 2: Post-disaster Impacts on Rental Housing Markets**

The maximum number of points from the rating factors and preference points that can be awarded to any application is 102. The minimum score for an application to be considered for funding is 75. A minimum score of 30 points is required for Factor 2 and 30 points for Factor 3.

**Rating Factor 1: Need for the Research (Maximum Points: 15)**

Your proposal must discuss how the proposed research will contribute to understanding of the short- and long-term impacts of disasters on rental housing stock that is affordable to low- or moderate-income households, challenges and mechanisms that may drive these outcomes, how the research will assess the benefits of CDBG-DR initiatives intended to prevent the loss of affordable rental housing, particularly past requirements on CDBG-DR grantees to allocate specified levels of funding to the rehabilitation or reconstruction of affordable housing or to coordinate disaster recovery allocations with local PHAs. The project narrative should also discuss previous efforts to examine changes in rental housing stock, challenges to renter households and programs aimed at rental housing stock, and practices designed to mitigate challenges. The proposal should describe how this research would address the objectives described in this NOFO. Your proposal will be assessed based on the extent to which the research would generate useful information that could inform policy and practice in post-disaster scenarios.

**Rating Factor 2: Organizational Capacity and Experience and Key Personnel (Maximum Points: 40)**

Minimum Points needed for funding consideration is 30 of 40 possible maximum points for this Rating Factor.

**a. Recent Experience and Performance (Maximum 20 points)**

HUD will evaluate your organization's past performance based on your descriptions of other recent (within the past 5 years) research projects as applicable that were fully completed and demonstrate your organization's ability to conduct the applicable functions. These projects must

be comparable in size, scope and complexity to the project at hand and required the use of similar research methods. Specifically, HUD will place high value on experience that demonstrates the applicant's successful completion of studies on housing markets and changes in market composition, demographics, and assessment of policy and program interventions that address loss of affordable rental housing, especially in the context of disasters, using methodologies that can be scaled for the purposes of this study. HUD will place high value on experience that demonstrates the applicant's ability to translate research findings into policy implications at local, state, and federal levels.

For each recent engagement, applicants must provide:

1. A statement of the objective of the project;
2. A description of the research/evaluation or other tasks included in the engagement that would be relevant for this engagement, especially collection or gathering of the types of data necessary to answering the questions about rental housing market dynamics following disasters that are outlined in your proposal.
3. A synopsis of how the work was conducted and managed by the applicant, including the number of hours involved, data collected, methods of collection, and response rate, and the total cost of the engagement.
4. A description of the final product or products of the research, the primary audience of the research, and how it was used by the primary solicitor, especially whether and how the information generated by the research affected policy, program, budgeting, or planning decisions.

Note: Past performance will be verified with third-party references, to the extent applicable.

**b. Key Personnel (Maximum 20 points)**

You must identify up to five key personnel for the proposed project; explain their role in the management or implementation of the project; and demonstrate that they have the education, skills, and experience required to successfully carry out their roles and complete the project. Resumes for key personnel should be included as an appendix to the narrative and will not count towards the page limit.

For the purposes of responding to this sub-factor, 'key personnel' is defined as the applicant's in-house staff, subgrantees and/or consultants who will perform an essential management or technical function on the proposed project, and who could not be easily replaced by other staff with comparable expertise.

Applicants should include in the proposed research team people with expertise in applied research, project management, data management, software development, statistics, and writing and editing, as well as experience in one or more topical disciplines addressed by this NOFO, including but not limited to disaster response and recovery, housing reconstruction and rehabilitation, rental housing markets, housing sociology/socioeconomics, demographic analysis, and other related disciplines. Your application will be assessed based on the extent to which the proposed key personnel have demonstrated education, skills, and experience required to complete the proposed research.

**Rating Factor 3: Soundness of Approach Maximum Points: 40**

Minimum points needed for consideration is 30 of 40 possible points for this Rating Factor.

**a. Research and Development Design (Maximum 25 points)**

Applicants must provide a draft research design that lays out the conceptual approach for the entire project. The draft research design must include specific research questions and hypotheses that will be investigated by the proposed research, a data collection and analysis plan that discusses data needs, methods of collection, and analyses that respond to research objectives, and a plan for development of products that synthesize and disseminate findings to a broad audience, including policy makers and practitioners.

The proposed research design will be rated on technical quality, clarity, creativity, thoroughness, specificity, and feasibility, specifically the extent to which it provides a methodologically sound and realistic approach for the proposed research, including:

1. The extent to which the proposal responds to the issues in the project description, including demonstration of extensive knowledge of this field of practice and research literature, addressing key research questions and identifying research products that successfully communicate findings and practices geared towards policymakers and practitioners.
2. The extent to which the proposal describes an adequate, comprehensive, and feasible plan to undertake a multidisciplinary analysis of renter housing dynamics and broad changes to housing composition due to disaster impacts, including descriptions of the:
  - a. Scope of the samples, regions/disasters, and markets and housing types, and populations to be evaluated
  - b. Method of assessing efficacy of policy interventions and long-term outcomes
  - c. Method for identifying vulnerable subpopulations, and a method for assessing distinct needs, disparate interactions, challenges, and barriers, in the context of disasters on such populations
3. The extent to which the proposal describes an adequate, appropriate, and sound approach to data collection and analysis, including:
  - a. The availability and reliability of data sources
  - b. Strategies for obtaining data, especially data collected directly from HUD CDBG-DR grantees
  - c. Methods for analyzing the data to address the research questions

Note: In your proposal for the collection of original data from HUD CDBG-DR grantees, the draft research design must discuss sampling strategy and the extent to which findings will be generalizable. The research design must address primary data collection timelines and how researchers will ensure data can be collected and used for the study within the period of performance.

4. The extent to which the proposal describes an adequate and feasible plan for developing guidance for policymakers and practitioners.
5. The extent to which the plan addresses the need to assess the types of data needed to help identify and address access barriers in order to more equitably serve renter households, whether that data is readily available, and to provide recommendations on how to collect and analyze that data, if it is not available.

b. Expert Panel (Maximum 5 points)

To earn points under this factor, you must describe the composition and activities of the Expert Panel you will create. Applicants should not name experts within their proposal, as the final

selection of panel participants will be made in consultation with HUD after the grant is awarded. Your proposal for the Expert Panel will be evaluated on the following:

1. Multi-disciplinarity: Applicants should describe the number and composition of the Expert Panel and should propose a diverse range of experts, including, but not limited to experts in, disaster recovery, housing and urban policy, sociology, poverty and migration studies, economics and public finance, environmental health, mental health, home construction and real estate, town and regional planning\land use planning, insurance, economic and community development and advocacy.
2. Alignment between expert specializations and scope of work. Applicants should describe the activities and scope of work of the Expert Panel and how experts will be chosen to support this work.
3. Feasibility of plan to engage Expert Panel in deliverables. Applicants should describe their plan to engage the Expert Panel in all phases of the study and development of deliverables.

c. Management Work Plan (Maximum 10 points)

Applicants must provide a draft Management and Work Plan for the project that presents a clear, practical, and forward-looking plan to complete the proposed research. The draft Management and Work Plan must include:

1. A narrative discussion of how the applicant will manage the overall project, including discussion of how to assign appropriately skilled staff, managing communication with HUD and other stakeholders (such as CDBG-DR recipients), major project milestones, interdependencies among tasks, and quality control procedures.
2. A schedule of tasks (including start dates and completion dates) and deliverables.
3. Allocation of resources, including staffing and labor hours, by task.

Applicants will be assessed based on the extent to which the draft management and work plan provides a thorough and realistic approach for managing the overall project.

**Rating Factor 4: Performance Evaluation Maximum Points: 5**

The applicant must describe the general methods and measures it will use to regularly monitor the effectiveness of its work. HUD has identified the broad control measures of what constitutes high quality research. The applicant must present a clear plan for regularly monitoring the effectiveness of its work on the following measures:

1. Quality of the data collection;
2. Quality of its data analysis
3. Quality of its written products;
4. Quality of performance monitoring guidance tool;
5. Timeliness of performance and effectiveness of cost control measures.

**A maximum of 102 points is available for each Project.**

**Maximum Points: 102**

**2. Other Factors.**

This program does not offer points for Section 3.

### **Preference Points**

HUD encourages activities in support of the interdepartmental initiatives. HUD may award no more than two (2) points for any of the four (4) preferences (Climate Change, Environmental Justice, Promise Zones (PZ) or Historically Black Colleges and Universities (HBCU). Each preference is worth two (2) points and only one preference can apply to any situation. For example, points may be awarded for Climate Change or Environmental Justice, or Promise Zones or HBCUs. Meaning applicants will be awarded up to four (4) preference points for Climate, Environmental, PZ or involving HBCUs.

### **HBCU.**

An applicant designated by the U.S. Department of Education as a Historically Black College or University (HBCU) will receive up to two (2) preference points when the application includes documentation of the applicant's status as an HBCU. [Click here to view the list of accredited HBCU's](#)

### **Promise Zones**

This program does not offer Promise Zone preference points.

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

### **1. Past Performance**

In evaluating applications 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 grant 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;

Promoting self-sufficiency and economic independence

Producing positive outcomes and results.

HUD may reduce scores based on the past performance review, as specified under V.A. Review Criteria. 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 III E., Statutory and Regulatory Requirements Affecting Eligibility, "[Pre-selection Review of Performance](#)".

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

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

- Financial stability;
- 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 applications that pass the threshold review, to rate and rank the application based on the "Rating Factors" listed in Section V.A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked. The highest rated applicant will be awarded funds.

## **VI. Award Administration Information.**

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

Following the evaluation process, HUD will notify successful applicants of their selection for funding. HUD will also notify other applicants, whose applications were received by the deadline, but have not been chosen for award. Notifications will be sent by email to the person listed as the AOR in item 21 of the SF-424.

**Final Grant.** After HUD has made selections, HUD will finalize specific terms of the award and budget in consultation with the selected applicant. If HUD and the selected applicant do not finalize the terms and conditions of the award in a timely manner, or the selected applicant fails to provide requested information, an award will not be made to that applicant. In this case, HUD may select another eligible applicant.

HUD may impose specific conditions on an award as provided under [2 CFR 200.208](#):

- Based on HUD's review of the applicant's risk under [2 CFR 200.206](#);
- When the applicant or recipient has a history of failure to comply with the general or specific terms and conditions of a Federal award;
- When the applicant or recipient fails to meet expected performance goals contained in a federal award; or
- When the applicant or recipient is not otherwise responsible.

**Adjustments to Funding.** To ensure the fair distribution of funds and enable the purposes or requirements of a specific program to be met, HUD reserves the right to fund less than the amount requested in an application.

a. HUD will fund no portion of an application that:

- (1) Is not eligible for funding under applicable statutory or regulatory requirements;
- (2) Does not meet the requirements of this notice; or
- (3) Duplicates other funded programs or activities from prior year awards or other selected applicants.

b. If funds are available after funding the highest-ranking application, HUD may fund all or part of another eligible fundable application. If an applicant turns down an award offer, or if HUD and an applicant do not finalize the terms and conditions of the award in a timely manner, HUD may withdraw the award offer and make an offer of funding to another eligible application.

c. If funds remain after all selections have been made, remaining funds may be made available within the current FY for other competitions within the program area, or be held for future competitions, or be used as otherwise provided by authorizing statute or appropriation.

d. If, after announcement of awards made under the current NOFO, additional funds become available either through the current appropriations, a supplemental appropriation, other appropriations or recapture of funds, HUD may use the additional funds to provide additional funding to an applicant awarded less than the requested amount of funds to make the full award, and/or to fund additional applicants that were eligible to receive an award but for which there were no funds available.

**Funding Errors.** If HUD commits an error that when corrected would cause selection of an applicant during the funding round of a Program NOFO, HUD may select that applicant for funding, subject to the availability of funds. If funding is not available to award in the current fiscal year, HUD may make an award to this applicant during the next fiscal year, if funding is available.

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

For this NOFO, the following [Administrative, National and Department Policy Requirements and Terms for HUD Financial Assistance Awards](#) apply.

1. Unless otherwise specified, these non-discrimination and equal opportunity authorities and other requirements apply to all NOFOs. 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) <https://www.ecfr.gov/current/title-24/subtitle-A/part-5/subpart-A/section-5.105>).
- Affirmatively Furthering Fair Housing (<https://www.hud.gov/AFFH>).
- Economic Opportunities for Low-and Very Low-income Persons (Section 3). See 24 CFR part 75 (<https://www.ecfr.gov/current/title-24/subtitle-A/part-75>).
- Improving Access to Services for Persons with Limited English Proficiency (LEP) See [https://www.hud.gov/program\\_offices/fair\\_housing\\_equal\\_opp/limited\\_english\\_proficiency](https://www.hud.gov/program_offices/fair_housing_equal_opp/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\\_opp/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 and 14008.

### **Environmental Review**

In accordance with 24 CFR 50.19(b)(1) activities funded under this NOFO 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.

### **Prohibition on Surveillance**

[2 CFR 200.216](#) Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment

### **Remedies for Noncompliance**

[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.

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

Not Applicable

## **C. Reporting.**

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 Terms and Conditions 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 NOFO will be subject to the requirements provided by the Award Term in Appendix A to [2 CFR Part 170](#), "REPORTINGSUBAWARD 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**

**Performance Reporting.** All HUD-funded programs, including this program, require 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.

**Interim Report:** The Interim Report will be released near the midpoint of this project and provide a summary of the project up to that point. The Interim Report should be considered an opportunity to evaluate the state of the project. The exact deadline and content of the Interim Report will be decided between the GTR and the awardee.

**Final Report:** The Final Report must summarize the work conducted over the course of the project, present the study objectives, data sources, analysis methods, and results. The 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 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/GTR\\_Guide1.pdf](https://www.huduser.gov/portal/About/GTR_Guide1.pdf)

#### **D. Debriefing.**

For a period of at least 120 days, beginning 30 days after the public announcement of awards under this NOFO, HUD will provide a debriefing related to their application to requesting applicants. A request for debriefing must be made in writing or by email by the authorized

organization representative whose signature appears on the SF-424 or by his or her successor in office and be submitted to the POC in Section VII Agency Contact(s), below. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which funding was approved or denied.

## **VII. Agency Contact(s).**

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

Questions regarding specific program requirements for this NOFO should be directed to the POC listed below.

Name:

Katina Jordan

Phone:

202-402-7577

Email:

Katina.L.Jordan@hud.gov

Persons with hearing or speech impairments may access this number 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.

## **VIII. Other Information.**

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

This NOFO does not direct, provide for assistance or loan and mortgage insurance for, or otherwise govern or regulate, real property acquisition, disposition, leasing (other than tenant-based rental assistance), rehabilitation, demolition, or new construction, or establish revise or provide for standards for construction or construction materials, manufactured housing, or occupancy. Accordingly, under [24 CFR 50.19\(c\)\(1\)](#), this NOFO is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

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

- [\*\*Affirmatively Furthering Fair Housing\*\*](#)
- [\*\*Code of Conduct list\*\*](#)
- [\*\*Assistance Listing \(formerly CFDA\)\*\*](#)
- [\*\*Dun & Bradstreet/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](#)

### **3. Program Relevant Web Resources**

CDBG-DR webpage: [https://www.hud.gov/program\\_offices/comm\\_planning/cdbg-dr](https://www.hud.gov/program_offices/comm_planning/cdbg-dr)

CDBG-DR webpage on the HUD Exchange: <https://www.hudexchange.info/programs/cdbg-dr/>

CDBG-DR Laws, Regulations, and Federal Register

Notices <https://www.hudexchange.info/programs/cdbg-dr/cdbg-dr-laws-regulations-and-federal-register-notices/>

## **APPENDIX**