

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-5700-N-06]

**Notice of Funding Availability (NOFA) for Fiscal Year 2013
McKinney-Vento HMIS Technical Assistance and Research**

AGENCY: Office of the Assistant Secretary for Community Planning and Development, HUD.

ACTION: Notice of Funding Availability (NOFA) for HUD's Fiscal Year 2013 McKinney-Vento HMIS Technical Assistance and Research (HMIS-TA).

SUMMARY: This NOFA announces the availability of approximately \$6.6 million for technical assistance (TA) and research for Homeless Management Information System (HMIS) data collection, reporting, data utilization, performance measurement and research, including TA activities regarding the Annual Homeless Assessment Report (AHAR). No cost sharing is required.

This publication is governed by the information and instructions found in HUD's Fiscal Year (FY) 2013 Notice of Funding Availability (NOFA) Policy Requirements and General Section (FY2013 **General Section**) that HUD posted on www.Grants.gov on August 8, 2012, and this NOFA.

APPLICATION DEADLINE DATE: The application deadline is 11:59:59 p.m. eastern time on **May 21, 2013**. Applications must be received by Grants.gov no later than the application deadline date and time. After submission to Grants.gov, applications go through a validation process in which the application will be accepted or rejected. Applicants must allow time for this process to ensure they have met the timely receipt requirements. Refer to the FY2013 General Section for instructions and policies for timely receipt, including actions to take if the application is rejected.

The FY2013 **General Section** also contains information on using Adobe Reader, and other application details. Applicants are advised that as of this posting, the most recent version of Adobe Reader is 10.1. Applicants are advised to use the most recent version of Adobe reader available on Grants.gov and compatible with Grants.gov.

FOR FURTHER INFORMATION CONTACT: Questions regarding specific program requirements should be directed to the agency contact that is listed in Section VII of this publication. Questions regarding the **General Section** should be directed to the Grants Management Division at (202) 708-0667 (not a toll-free number). Persons with hearing or speech impairments may access this number via TTY by calling the Federal Relay Service at 800-877-8339.

OVERVIEW INFORMATION

A. Federal Agency Name: Department of Housing and Urban Development, Office of Community Planning and Development.

B. Funding Opportunity Title: McKinney-Vento HMIS Technical Assistance and Research (HMIS-TA).

C. Announcement Type: Initial Announcement.

D. Funding Opportunity Number: The funding opportunity number for this NOFA is FR-5700-N-06. The OMB Approval Number for this NOFA is: 2506-0189.

E. Catalog of Federal Domestic Assistance (CFDA) Number: 14.261 McKinney-Vento HMIS Technical Assistance and Research.

F. Dates: The application deadline date is **May 21, 2013**. Applications must be received by Grants.gov by 11:59:59 p.m. eastern time on the deadline date. Refer to the FY2013 **General Section** for electronic application timely receipt requirements.

G. Additional Overview Information: Applicants interested in providing HMIS technical assistance to entities participating in HUD's Office of Special Needs Assistance Programs (SNAPS) should carefully review the FY2013 **General Section** and the information listed in this HMIS-TA NOFA, including the exceptions to the FY2013 **General Section** requirements found in this NOFA.

1. HUD Strategic Plan. Activities under this NOFA will support achievement of goals and the use of strategies established in the HUD *Strategic Plan, FY 2010-2015*, as well as in related federal strategic efforts, including *Opening Doors: The Federal Strategic Plan for Preventing and Ending Homelessness*, and *The National HIV/AIDS Strategy for the United States*.

2. Available Funds. Approximately \$6.6 million is available for Homeless Management Information System (HMIS) data collection, data utilization, performance measurement, reporting and research, including TA activities regarding the Annual Homeless Assessment Report (AHAR). The application submission information is contained in this HMIS-TA NOFA at Section IV.B.

3. Cost Sharing or Match. No cost sharing or match is required.

4. Type of Award. Awards will be administered under cooperative agreements with significant HUD involvement (see Section II.B of this NOFA).

5. Eligible Applicants. The eligible applicants for this NOFA are listed in Section III.A under the full text of this NOFA. Applicants should be aware that HUD does not fund individuals through its competitive NOFA process. Additionally, this NOFA does not fund housing and services for persons experiencing homelessness or those at risk of homelessness.

FULL TEXT OF ANNOUNCEMENT

I. FUNDING OPPORTUNITY DESCRIPTION

A. Program Description. The purpose of the HMIS-TA program is to provide technical assistance (TA) to achieve the highest level of performance and results for the implementation of Homeless Management Information Systems in each Continuum of Care, including operation and management of the software, and data collection and research for Annual Performance Reports (APRs) and the Annual Homeless Assessment Report (AHAR). Information about HMIS is available at www.hud.gov, www.hudhre.info, and www.OneCPD.info.

B. Authority. McKinney-Vento Act TA is authorized by Section 405 of the McKinney-Vento Act 42 U.S.C. 11301 et. seq.

II. AWARD INFORMATION

A. Available Funds. Approximately \$6.6 million is available for the HMIS-TA program. Additional funds may become available as a result of HUD's efforts to recapture unused funds or to utilize carry over funds. Under HMIS-TA, funds are not designated as either national or local (field office) technical assistance funds as in the past. All funds will be administered by HUD Headquarters. HUD has established a \$750,000 award minimum for successful HMIS-TA applications. All awards are subject to the funding restrictions described in detail in Section IV, Subpart E. of this NOFA.

B. Type of Assistance instrument. Funds will be awarded by Cooperative Agreement.

1. Activities will be administered by a Government Technical Representative (GTR) and Government Technical Monitor (GTM) at HUD Headquarters. Significant HUD involvement is required in all aspects of planning, delivery, and follow-up.
2. Awards will be for a period of 36 months. Significant HUD involvement is required in all aspects of planning, delivery, and follow-up.
3. HUD reserves the right to withdraw funds from any TA provider if HUD determines that:
 - a. The TA provider's performance is found to be substandard and unacceptable or
 - b. The need for assistance is not commensurate with the award.

HUD will make this determination on a case-by-case basis and will provide a 30-day due process notice accordingly.

4. HUD will have substantial involvement in determining and approving the work to be performed as described in Section III.C.a., of this NOFA.

III. ELIGIBILITY INFORMATION

A. Eligible Applicants.

The eligible applicants for HMIS-TA are listed below:

1. States;
2. Units of general local government;
3. Public Housing Agencies;
4. Public or private nonprofit or for profit organizations or intermediaries, including educational institutions and area-wide planning organizations.

Applicants may expand their expertise by partnering with other organizations that bring additional subject matter expertise to the application by including subcontractors and/or consultants in the application. Any organization submitting an application under this NOFA may not be included as a subcontractor or consultant in any other application. Subcontractors and consultants may be included in more than one HMIS-TA application, provided that written agreements are in place at the time of application submission.

B. Cost Sharing or Matching. None required.

C. Other

1. Eligible TA Activities and Objectives. TA funds are available to provide HUD McKinney-Vento Act recipients, subrecipients, and potential recipients, organized in Continuums of Care (CoCs) with skills and knowledge needed to operate and administer an HMIS, collect, analyze and report data, comply with privacy, technical and security requirements, comply with reporting requirements and participate in the AHAR. The objectives of HMIS-TA and the activities that may be undertaken in support of the objectives are identified below:

a. Objectives:

- (1) Knowledge management related to HMIS, including maintaining and enhancing CPD-sponsored websites, information dissemination, communication, supporting CPD-sponsored virtual help desks, and e-learning technology and management.
- (2) Improve recipient and subrecipient capacity to comply with HMIS program rules, draw funds, accurately report data to HUD and correctly use HUD reporting and financial systems for HMIS grants.
- (3) Improve the ability of recipients, Continuums of Care (CoCs), and HMIS implementers to collect and report data for the APR, the AHAR, and Supplemental Report(s) to the AHAR.
- (4) Improve CoC and HMIS lead capacity to manage and administer the local HMIS, including structure, data quality, governance, compliance with the Homeless Management Information Systems Requirements (HMIS Rule), the HMIS Data Standards Notice, and other HUD-issued HMIS Notices, when released, required reporting, and performance measurement activities.

2. Activities.

a. Conduct HMIS-related Needs Assessments. Needs assessments will determine the nature and scope of technical assistance needed. Skilled program and technical experts will collect information about an expressed or implied TA need to improve performance or correct deficiencies. The needs assessment will involve the use of multiple types of information collection and analysis. Needs assessment may include self-assessment, field office assessment, data analysis, and/or TA provider assessment.

b. Provide HMIS-related Direct Technical Assistance. Skilled program and technical experts will be dispatched to work with recipients at varying intervals via in-person meetings and remote engagements such as web conferencing. Direct TA engagements will be prioritized based on need and categorized by the intensity of the TA.

c. Develop HMIS-related Tools and Products. Tools and products will be developed to assist HMIS system administrators, participating providers, HMIS grant recipients and other partners in understanding HMIS. The tools and products will be developed in several forms including, but not limited to, web-based trainings, and other electronic training aids.

d. Deliver HMIS-related Group Learning Sessions. Group learning is intended to increase capacity and close competency gaps of participants by equipping them with the necessary program knowledge and skills needed to implement and operate an HMIS compliant with an HMIS Rule, when published, and HMIS Notices, and participate in AHAR and other HUD reporting.

e. Establish and Maintain HMIS Data Lab. The HMIS Data Lab includes both research and technical assistance components and will enable the testing of data collection methods, reporting frameworks, database structure, etc. prior to HUD establishing implementation deadlines and requirements. Conducting these activities prior to publishing deadlines and requirements will maximize the validity of HMIS data collection and reporting as well as regular and ad hoc data analysis or data calls requested by HUD. Upon completion of the testing, training materials will be developed and delivered to grantees. The HMIS Data Lab will use actual data collected in a local HMIS but no identifying data will be submitted to HUD. The aggregate data provided to HUD may be used for a variety of purposes, such as understanding the scope and impact of changes to data collection or reporting requirements set by HUD, the level of effort and practicability of implementing the changes for grantees and HMIS administrators, and identifying and prioritizing tools, products and training modules to assist grantees implement required changes. To ensure the highest level of confidence in the validity of the data and value of the data analysis, the HMIS Data Lab must demonstrate an HMIS participation level of at least 95%, excluding victim service providers as defined by the Violence Against Women Act. The local HMIS selected to be the HMIS Data Lab must not market or otherwise sell or license the HMIS software outside of their Continuum of Care (CoC) or HMIS implementation area. The HMIS Data Lab may also include a component dedicated to distributed reporting modalities, maintenance and support of reporting tools using data CSV and/or XML and related products, training modules and customer support.

3. Threshold Requirements.

- a. All applicants must meet the threshold requirements in the FY2013 **General Section**. When an application involves multiple entities, each entity must meet the civil rights threshold set forth at Section III.C.2.d of the FY2013 **General Section** “Resolution of Outstanding Civil Rights Matters.”
- b. Each applicant must qualify as an eligible applicant under this NOFA and must have met the timely receipt requirements. See the FY2013 **General Section**.
- c. All applicants are required to submit a one-page capacity and funding summary page. Although the capacity and funding summary will not be rated based on the factors listed in Section V.A. below, the summary is a submission requirement for the HMIS-TA program.
- d. The minimum score for an application to be considered for funding is 75 with a minimum of 45 points on Factor 1. In order to be eligible for HUD to rate and rank an application, all applicants must meet the threshold requirements of the FY2013 **General Section**, including the Civil Rights threshold in Section III.C. See the FY2013 **General Section** at http://portal.hud.gov/portal/page/portal/HUD/program_offices/administration/grants/fundsavail.
- f. False Statements. An applicant’s false statement in an application is grounds for denial or termination of an award and grounds for possible punishment as provided in 18 U.S.C. 1001.
- g. Dun and Bradstreet Data Universal Numbering System (DUNS) Number Requirement. Refer to the FY2013 **General Section**, Section III.C.2.b for information regarding the DUNS requirement. Additional information on obtaining a DUNS number is available at <http://www.hud.gov/grants/index.cfm>. Applicants must obtain a DUNS number to receive an award from HUD.

Registration at SAM.gov Requirement. Applicants must register or update a current registration in the Central Contractor Registration, which is now part of the System for Award Management (SAM), found at <https://www.sam.gov/portal/public/SAM/>. Applicants must have an active registration to receive funding from HUD. The **System for Award Management** (SAM) is a free web site that consolidates the capabilities you used to find in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

Frequently Asked Questions can be found at <https://www.fsd.gov/app/answers/list>

3. Program Requirements. The following program requirements apply to the HMIS-TA program:

- a. **Demand-Response System.** All successful HMIS-TA applicants must operate within the structure of the demand-response system. Under the demand-response system, HUD identifies technical assistance needs and prioritizes them based on Departmental, programmatic, and jurisdictional priorities. HUD is solely responsible for determining the entities to be assisted, the

location, and the nature of the assistance to be provided which must be part of a previously established HUD TA plan for the area. Under the demand-response system, TA providers are required to:

- (1) Promptly respond to requests for assistance from the GTM or GTR;
- (2) When requested by a GTM or GTR, conduct a needs assessment to identify the type and nature of the assistance needed by the recipient of the assistance;
- (3) Coordinate TA plans and activities with other providers that may have expertise on a given topic, or that are currently active in providing assistance in a jurisdictional area.
- (4) Attend joint training sessions, workshops or conferences with other TA providers; and
- (5) Obtain the GTM's approval before responding to direct requests for technical assistance from recipients and/or their respective Continuums of Care (CoCs).

b. Needs Assessments. Needs Assessments will be conducted as prescribed by HUD, but may include any or all of the following: self-assessment, HUD Headquarters' assessment, HUD field office assessment, data analysis, and TA provider assessment.

c. Direct TA. Engagements of direct technical assistance will be conducted upon completion of a needs assessment, if necessary, and approval by HUD's Office of Special Needs Assistance Programs (SNAPS).

d. Materials, tools, and courses. All materials, tools, and courses developed under the award must be approved by HUD before dissemination or use by TA providers. New courses must be designed so that with appropriate training HUD staff and other TA providers may independently conduct the courses. Materials must be provided in electronic format and must be made available to the GTM/GTR at least 2 months prior to establishing a firm date for publication, course delivery or group learning session to allow time for review and concurrence from the GTM and GTR on the content and quality of the materials.

e. Group Learning. Delivery of group learning must have prior approval from HUD. TA providers must arrange for joint delivery of the training with HUD participation when requested by the GTR; and send trainers to approved "train the trainer" sessions. The cost associated with attending these required sessions will be eligible TA costs under the cooperative agreement executed with HUD and will not be the burden of the TA provider.

f. HMIS Data Lab. Operation of the HMIS Data Lab is limited to the CoC Lead or the HMIS Lead, designated by the CoC, where HMIS participation level is at least 95% in each of the last three (3) calendar years, excluding victim service providers as defined by the Violence Against Women Act. Additionally, the HMIS must include a Bed Registry module and an Information and Referral module with both modules having been used by the CoC in at least the past 36 months. The HMIS software product must not be marketed, sold, licensed or outside of the CoC or outside the state or region in the case of a multi-CoC implementation. At HUD's discretion, the HMIS Data Lab may also include a component dedicated to distributed reporting modalities, maintenance and support of reporting tools using CSV and/or XML and related products, training modules and customer support.

g. Affirmatively Furthering Fair Housing (AFFH). Under Section 808(e)(5) of the Fair Housing Act, HUD has a statutory duty to affirmatively further fair housing. HUD requires the same of its funding recipients. See Section III. C.4.b. of the FY2013 **General Section** for more information.

h. Additional nondiscrimination requirements. Notwithstanding Subsection (f) above, additional nondiscrimination and civil rights requirements as specified in the FY2013 **General Section** apply in order to be a successful applicant. See Section III.C.4 of the FY2013 **General Section**.

i. Environmental review. Activities funded under this program are categorically excluded and are not subject to environmental review under 24 CFR 50.19(b)(3) and (9).

j. Effective Communication. Successful applicants should ensure that all training notifications as well as communication during training sessions shall be provided in a manner that is effective for persons with hearing, visual, and other communications-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973. See 24 CFR Section 8.6.

k. Accessibility of Training Facilities. All award recipients and subrecipients must use training facilities and services that are physically accessible to persons with disabilities. Where physical accessibility is not achievable, recipients and sub-recipients must give priority to alternative methods of product delivery that offer programs and activities to qualified individuals with disabilities in the most integrated setting appropriate in accordance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. §794) and its implementing regulations at 24 CFR Part 8 and Title II/Title III of the Americans with Disabilities Act as applicable. Furthermore, HUD encourages all award recipients and subrecipients to adopt the goals and objectives of Section 508 of the Rehabilitation Act of 1973 by ensuring that electronic and information technology is made available to persons with disabilities on a comparable basis as it is made available to persons without disabilities. See the Accessible Technology requirements in Section III.C.4.f of the FY2013 **General Section**.

IV. APPLICATION AND TIMELY RECEIPT INFORMATION

A. Addresses to Request Application Package. See the FY2013 **General Section** for specific procedures concerning the electronic application submission and timely receipt requirements. Copies of the published NOFAs and application forms for HUD programs announced through NOFAs may be downloaded from the grants.gov website at http://www07.grants.gov/applicants/apply_for_grants.jsp. Customer support is available from Grants.gov by calling its Support Desk at 800-518-GRANTS, or by sending an email to support@grants.gov. The Grants.gov help desk is open 7 days a week, 24 hours a day, except federal holidays.

B. Content and Form of Application. Applicants may submit only one application for HMIS-TA funds. A completed application consists of an application submitted by an authorized

official of the organization and contains all relevant sections of the application, as shown in the checklist in Section IV.B.4 below.

1. Number of Copies. HUD requires TA providers applying for assistance under this NOFA to apply electronically through Grants.gov. An applicant may request in writing a waiver to the electronic submission requirement for good cause in accordance with 24 CFR 5.1005 (see the FY2013 **General Section** for more information). Should HUD grant a waiver of the electronic submission requirement, the waiver approval letter will provide directions for submission, the deadline time and location for submission, and the number of paper copies the applicant must send to HUD. The paper submission does not relieve the applicant of meeting the requirements for a DUNS number and valid registration in SAM.

2. Page Limitation, Font Size, and Format for Naming of Files. Narratives addressing Factors 1-3 must be formatted so that the total number of pages submitted are equal to no more than 20 single-sided pages of text based on 8.5 by 11 inch paper, using a standard 12 point font. Reviewers will not review more than 20 pages for all the factors combined. The one-page Funding and Capacity Summary, McKinney-Vento TA Applicant Experience form, McKinney-Vento TA Personnel Expertise form and TA Awards Received form are not included in the 20 page limit. See the FY2013 **General Section** for guidance on the format for the naming of the files for the narratives.

3. Prohibition on Materials Not Required. Materials other than what is requested in this NOFA are prohibited. Reviewers will not consider resumes, charts, letters, or any other documents attached to the application.

4. Checklist for Application Content. For applicants receiving a waiver of the electronic submission, the paper application must be in the order provided below. All applicants should enter the applicant name, DUNS number, and page numbers on the narrative pages of the application. The DUNS number provided must be for the entity that is to receive the award of funds from HUD. All forms are available when you download the application and instructions from www.grants.gov/applicants/apply_for_grants.jsp. Applicants need only enter either the CFDA Number, **or** Funding Opportunity number, **or** Funding Opportunity Competition ID for the respective program. Entering more than one of these IDs will result in an error message that the application cannot be found. The following checklist is provided as a guide to help ensure that your application contains all the required elements.

- ☐ SF424, Application for Federal Assistance (see FY2013 **General Section**);
- ☐ Capacity and Funding Summary Assistance—one page summary described in section V below;
- ☐ Narrative addressing Factors 1-3;
- ☐ Budgets (as described below);
- ☐ HUD40048 McKinney-Vento TA Experience form (.xls or .xlsx format);
- ☐ HUD40049 McKinney-Vento TA Personnel Expertise form (.xls or .xlsx format);
- ☐ HUD40050 Technical Assistance Awards Received form (.xls or .xlsx format);
- ☐ HUD424CB, Grant Application Detailed Budget Form;
- ☐ HUD424CBW, Detailed Budget Worksheet for Non-Construction Projects;

- ❑ SFLLL, Disclosure of Lobbying Activities (see FY2013 **General Section**);
- ❑ HUD2880, Applicant/Recipient Disclosure/Update Report (see FY2013 **General Section**); and
- ❑ Form HUD96011, Third Party Documentation Facsimile Transmittal (“Facsimile Transmittal Form” on Grants.gov) to be used as the cover page to transmit third-party documents and other information designed for each specific application for tracking purposes. HUD will be unable to match faxes to an application if the application does not contain the HUD96011 fax cover page, and each fax submitted does not use the HUD96011 as the cover page to the facsimile transmission.

C. Timely Receipt Requirements. Completed applications must be received in Grants.gov no later than 11:59:59 p.m. **May 21, 2013**. Following receipt, the application will go through a validation process. If the application fails the Grants.gov validation process, it will be rejected. Please see the FY2013 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read B.1. Electronic Grant Application Forms and Instructions in the FY2013 **General Section**. This section contains information on using Adobe Reader, HUD’s timely receipt policies and other information.

D. Intergovernmental Review. Intergovernmental review is not applicable to HMIS-TA applications.

E. Funding Restrictions. An organization may not provide assistance to itself. An organization may not provide assistance to another organization with which it contracts or sub-awards funds to carry out activities under the TA award.

1. No fee or profit may be paid to any recipient or contractor of an award under this NOFA. Contractors providing TA services/products are not consultants and thus are not subject to the salary provisions applicable to consultants in the FY2013 **General Section**. HUD will determine whether the salary rates are reasonable and customary for the skill set provided and the area(s) being served.

2. HUD has established a \$750,000 minimum funding amount for successful HMIS-TA applicants.

F. Waiver of Electronic Submission Requirements. Applicants interested in applying for funding under this NOFA must submit their applications electronically via Grants.gov or request a waiver for the HMIS-TA program from HUD. Applicants should submit their waiver requests by email or in writing no later than 15 days prior to the application deadline date. Submit waiver requests by email to Julie.D.Hovden@hud.gov or in writing to Julie D. Hovden, Director, Technical Assistance Division, Office of Technical Assistance and Management, Office of Community Planning and Development, U.S. Department of Housing and Urban Development, 451 7th Street SW, Room 7218, Washington, DC 20410. Written waiver requests must be postmarked no later than 15 days prior to the application deadline date. HUD only provides waivers for cause under the waiver provisions at 24 CFR 5.110. Instructions regarding the number of copies to submit and the address where they must be submitted will be contained in

any approval of the waiver request. Paper submissions must be received at the appropriate HUD office(s) no later than the deadline date.

V. APPLICATION REVIEW INFORMATION.

All applicants are required to submit a one-page application summary identifying the required information listed below:

1. The amount of funds requested for HMIS-TA based on the number of available personnel, the range and quality of their skills and knowledge, and the ability of the applicant to manage these resources to successfully execute multiple TA engagements involving several covered programs simultaneously over a 3-year period;
2. Which of the five eligible activities (needs assessment, direct TA, materials/tools development, group learning delivery, HMIS Data Lab) the applicant has the capacity to provide; and
3. Whether the applicant is a small or disadvantaged business (e.g., 8(a) status designated by U.S. Small Business Administration).

A. Criteria. The maximum number of points to be awarded for a HMIS-TA application is 100. The minimum score for an application to be considered for funding is 75 with a minimum of 45 points on Factor 1. The HMIS-TA program is not subject to bonus points, as described in the FY2013 **General Section**.

Points are assigned on three factors. Applicants should review the factors carefully. When addressing the three factors, applicants should identify relevant experience and expertise in the narrative and on the appropriate forms. Applicants should also address the overall management of the award including policies and procedures for ensuring that all HMIS-TA program requirements are met and quality products are developed and delivered. Please note that Factor 2—Need/Extent of the Problem and Factor 4—Leveraging Resources as identified in FY2013 **General Section** do not apply under this NOFA.

1. Rating Factor 1: Organizational Capacity and Experience (60 points) (Minimum for funding eligibility is 45 points)

a. (30 points) Recent Experience and Performance. Applicants should complete the HMIS-related items on McKinney-Vento Technical Assistance Experience form included with this NOFA and submit it in .xls or .xlsx format. On this form, applicants should, indicate experience within 18 months of the publication date of this NOFA managing TA activities that are the same or similar to those required under this NOFA. The brief description of each experience type should include the number and type of personnel (applicant and/or subcontractor) and numerical outputs. Measurable outcomes for the TA experience listed should be included in the appropriate column. An output is defined as a TA product or service provided, such as specific number of TA engagements, site visits, products, or courses. An outcome is defined as the

results achieved or benefits derived from the TA which supports the objectives of HMIS, such as a measurable increase in learning or performance.

Applicants proposing to establish and maintain the HMIS Data Lab must include the following information in the narrative:

- HMIS Participation rate for each of the last three (3) calendar years;
- List of all participating housing and service providers;
- Description of the HMIS implementation, including: Continuum of Care (CoC) name, software used, how long the HMIS has been used, number of full time equivalent (FTEs) managing the HMIS, experience in writing and testing HMIS reporting specifications, and acknowledgement that the CoC agrees that HMIS data can be used in the HMIS Data Lab (written agreement will be required at award),
- Applicants should complete the Technical Assistance Awards Received form included with this NOFA and submit it in .xls or.xlsx format. Applicants should identify all technical assistance awards received since January 2008 in the form.

When completing the form, applicants should read the instructions tab on the form and consider the following:

- i. Awarding Organization—the name of the organization that awarded the TA funds.
- ii. Award Date—the date the contract or agreement for the TA funds was executed. Enter in MM/DD/YYYY format.
- iii. Award Amount—the amount of the award rounded to the next whole dollar. Do not include cents in the chart.
- iv. Period of Performance—the timeframe covered by the contract or agreement. Enter start and end dates of the period in MM/DD/YYYY format.
- v. Award Manager—the employee designated by the awarding organization as the Contracting Officer (CO), Contracting Officer's Technical Representative (COTR), Government Technical Representative (GTR) or Government Technical Monitor (GTM). Note: this is **not** the applicant's staff person responsible for managing the award.
- vi. For any award with performance issues, the applicant should briefly describe the issue(s) and the steps taken or being taken to resolve the issue(s) below the chart.

In evaluating this sub-factor, HUD will review existing OneCPD TA, CD-TA and SNAPS-TA file documentation, interview GTRs and GTMs and obtain recommendations from other offices and agencies for non-CD-TA and non-SNAPS-TA awards. Customer feedback from CPD program offices and other offices and agencies will also be used to judge an applicant's past performance and effectiveness.

Applicants will be scored, in the following priority order, for this sub-factor based upon the extent to which they have:

- (1) demonstrated ability and success in providing different types of technical assistance for diverse entities;

- (2) complied with cooperative agreement or contract provisions, financial and performance reporting requirements, timeliness of drawdown of funds, and close-out of expired awards.
- (3) managed multiple, large and/or complex TA awards in multiple jurisdictions simultaneously; and

b. (30 points) Organizational capacity. Complete the McKinney-Vento Technical Assistance Personnel Expertise form included with this NOFA and submit it in .xls or .xlsx format. On this form, the applicant should list personnel, up to 40 persons, of the applicant, subcontractor(s) and consultant(s), for whom a contract or agreement already exists, who are expected to actually be tasked with conducting needs assessments, developing technical assistance products and/or delivering training courses, delivering group learning, or providing direct TA.

For each person listed, the applicant should indicate the expertise level with one of the following codes:

- C** – Current practitioner with extensive knowledge
- P** – Past practitioner with extensive knowledge
- E** – Extensive knowledge
- L** – Limited knowledge
- N** – No knowledge

For each person listed on the form designated with a “C” (current practitioner with extensive knowledge) or a “P” (past practitioner with extensive knowledge), the applicant must list the organization(s) and person’s role(s) as current and/or past practitioner and the timeframe as a practitioner in the narrative. Additionally, for personnel identified as having extensive knowledge (“E” on the form), the narrative should briefly describe how each of those persons received their expertise, including organization, role, and timeframe.

In evaluating this sub-factor, HUD will assess the each applicant’s program knowledge of the McKinney-Vento Programs, HMIS implementation, the HEARTH Act as it relates to HMIS, and TA skills. The program knowledge and TA skills of personnel should clearly support the range of possible TA activities the applicant may be asked to undertake.

Applicants will be scored, in the following priority order, for this sub-factor based upon the extent to which they have:

- (1) Demonstrated staff experience and expertise in SNAPS programs, HMIS implementation, CoC planning, data analysis/research and knowledge management; and
- (2) Proven skills and ability in delivering technically accurate TA where and when called upon to do so.

2. Rating Factor 2: Soundness of Approach (25 points)

a. (15 points) Management. The applicant should identify key management staff responsible for overall management and administration of the HMIS-TA award. Key management staff is defined as any individual who will have decision-making authority related to the financial or task

management, performance reporting, or overall coordination of the award. The applicant must identify the names, roles, and responsibilities of the proposed key management staff as well as their recent experience (within 18 months of this NOFA's publication date) managing people and tasks within the demand-response system or a similar client-driven environment.

The successful administration and management of a technical assistance award is critical to the timeliness of TA delivery, prioritization of multiple TA needs, and sound financial management of the award. The narrative should present a clear and practical management plan for:

- a. managing multiple, large and/or complex technical assistance engagements in multiple jurisdictions simultaneously and/or developing products on multiple topics; and
- b. implementing a multi-disciplinary approach to the delivery of TA within jurisdictions to maximize effectiveness.

The policies and procedures in the plan must clearly explain how the applicant will manage TA activities within the demand-response system, including the processes for consulting with HUD field offices and managing the formal TA requests from HUD Headquarters; assigning appropriately skilled and knowledgeable staff to develop or provide TA across program areas; prioritizing and managing multiple TA engagements, with multiple entities, in multiple jurisdictions; coordinating and collaborating with other TA providers active in the area; managing the overall operation with a focus on delivering results; providing feedback to HUD on TA progress and outcomes; and resolving issues or overcoming obstacles that may affect progress. In rating this sub-factor, HUD will evaluate the comprehensiveness of the response provided, and the likely effectiveness of the approach described for each element of the plan specified above.

b. (2 points) HUD Policy Priorities and Potential Outcomes. To the extent that the applicant addresses the HUD policy priority of Capacity Building and Knowledge Sharing for the HMIS-TA, the applicant may receive up to 2 points for this sub-factor. The applicant must identify two activities that will increase the skills or expertise of grantees, subrecipients and other stakeholders to effectively, efficiently, and appropriately use grant funds in their communities. For each activity, applicants should select two of the activities listed below and select an outcome for each activity. Awardees will report accomplishments for the selected activities as required by HUD.

1. Activities:

- Financial and Grants Management
- Project Management
- Program Design/HMIS Implementation
- Performance Measurement/Evaluation
- Planning and Coordination
- Staffing
- Reporting and Monitoring

2. Outcomes:

- Improved grant expenditure rates

- Reduced monitoring findings and concerns
- Increased collaboration/coordination among stakeholders
- Increased stakeholder participation in planning
- Increased AHAR participation
- Pre and Post Tests
- Customer Satisfaction/Evaluation Survey

c. (8 points) Quality Control. The applicant should present a detailed plan for ensuring that all TA products developed or delivered under the HMIS-TA program are accurate and of the highest quality. Applicants must present a detailed plan for ensuring only accurate program guidance is provided and only eligible beneficiaries are served. The applicant should also present a detailed plan for addressing and curing any eligibility or product quality issues that may arise. In rating this factor, HUD will review the applicant's quality control plan for thoroughness and effectiveness, and the likelihood that such procedures will ensure that the intended outcomes of the TA engagements are achieved.

4. Rating Factor 3: Achieving Results and Program Evaluation (15 points)

a. (10 points) Outcomes. For each of the four TA activities under HMIS-TA (i.e., needs assessment, direct TA, development of products/tools, and group learning), the applicant must identify at least two quantifiable outcomes by which success will be measured. An outcome is defined as the results achieved or benefits derived from the TA which supports the objectives of McKinney-Vento programs, such as a measurable increase in learning or performance. Outputs are not acceptable and will receive a lower score. An output is defined as a TA product or service provided, such as specific number of TA engagements, site visits, products, or courses.

b. (5 points) Evaluation. For each of the four eligible TA activities an applicant may undertake, describe the general methods and measures the applicant will use to evaluate the effectiveness of the TA. While the specific TA tasks to be undertaken by successful applicants will be identified post-award through the demand-response system, HUD has identified the broad eligible activities that encompass technical assistance. The applicant must present a clear plan for evaluating the effectiveness of each of the possible TA activities the applicant may be asked to undertake and for which it is expected to deliver results. In rating this sub-factor, HUD will evaluate whether the outcomes identified by the applicant are both measurable and appropriately related to McKinney-Vento programs and HMIS. HUD will also assess whether the TA evaluation methods described by the applicant will successfully measure the effectiveness of each eligible TA activity identified.

B. Review and Selection Process

1. Review Types. Two types of reviews will be conducted. First, HUD will review each application to determine whether it meets threshold eligibility requirements. Second, HUD will review and assign scores to applications using the Factors for Award noted in Section V.A.

2. Ranked Order. Once rating scores are assigned, rated applications submitted will be listed in ranked order. Applications within the fundable range (score of 75 or more points with 45 or more points for Factor 1) may then be funded in ranked order. The amount awarded to applications ranked within the fundable range (i.e., a score of 75 or more points overall with 45 or more points for Factor 1) will be determined according to the factors described below in 4. Funding Decisions.

3. Threshold Eligibility Requirements. All applicants requesting HMIS-TA funds must be in compliance with the threshold requirements found in the FY2013 **General Section** and the eligibility requirements listed in Section III of this NOFA in order to be reviewed, scored, and ranked. Applications that do not meet these requirements and applications that were received after the deadline (see Section IV.C of the FY2013 General Section) will be considered ineligible for funding

4. Funding Decisions. In determining the amount awarded to each successful applicant, HUD will take into consideration the funds available for the HMIS-TA program; the number of successful HMIS-TA applicants; the applicant's current organizational capacity to effectively deliver the assistance requested by HUD, where and when required, as presented in the application, including among other things, the number of personnel, experience of the personnel, the final score assigned to the application by HUD reviewers, and the applicant's performance under existing or past technical assistance awards.

HUD has established a \$750,000 minimum funding amount for successful HMIS-TA applicants. There may be insufficient funds available to make an award to every application scoring within the fundable range.

5. Corrections to Deficient Applications. Applicants will have 14 calendar days in which to provide missing information requested by HUD. Instructions on submission of cures for deficiencies will be provided by HUD with the request for correcting the deficiency. See Section V.B.2 of the FY2013 **General Section** for additional information on the process to be followed for corrections to deficient applications.

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notices. HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application, as described below in Sections VI.A.1. through 3. and Sections VI.B and C.

1. Administrative budget. HUD requires that all selected applicants participate in negotiations to determine the specific terms of the cooperative agreement, including an administrative budget.

The administrative budget must clearly identify the labor, associated indirect, travel, and material and supply costs associated with the provider's management of the award. The

administrative budget must track the different sources of funding and associate administrative costs to each source. For this purpose, HUD defines administrative costs as follows:

“Administrative Costs” means reasonable direct and associated indirect costs of overall TA award management and evaluation. (The term “administrative costs” should not be confused with the terms “general and administrative costs,” “indirect costs,” “overhead,” and “burden rate” which are accounting terms.) Administrative costs include:

- (a) Salaries, wages, benefits, and related costs of the awardee for developing and negotiating the budget and work plans; developing systems and schedules for ensuring compliance with this award; preparing reports required under the award, including monthly or quarterly reports and final closeout report; participating in performance status meetings with HUD; attending HUD-required training for TA providers; submitting billing information; managing or supervising persons who carry out TA activities, including managing and monitoring contractors and subrecipients; and closing the award;
- (b) Travel costs related to administration of the award;
- (c) Administrative services performed by the TA awardee or performed under third-party contracts or agreement, including such services as general legal services, accounting services, and audit services;
- (d) Other costs for goods and services required for the administration of the award, including rental or purchase of equipment, insurance, utilities, office supplies, and rental and maintenance (but not purchase) of office space. Rental and maintenance of office space is allowed only under the following conditions:
 - (1) The lease must be for existing facilities not requiring rehabilitation or construction except for minimal alterations to make the facilities accessible for a person with disabilities;
 - (2) No repairs or renovations of the property may be undertaken with funds provided under this NOFA; and
 - (3) Properties in the Coastal Barrier Resources System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased or rented with federal funds.
- (4) Administrative costs shall be segregated in a separate cost center within the awardee’s accounting system. When developing the administrative budget for the award, the administrative costs are limited depending on the award amount. Administrative costs associated with the management of the award are capped as listed below:

AWARD AMOUNT	MAXIMUM ADMINISTRATIVE COSTS
\$1,000,000 and over	10% of award
\$750,000 – \$999,999	15% of award

Costs may be denied or modified if HUD determines that they are not allowable, allocable, and/or reasonable. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an

award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant.

2. Award Notices will include requirements for subaward reporting in compliance with the requirements of the Federal Financial Assistance Accountability and Transparency Act (FFAATA) also known as the Transparency Act and Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009, referred to as “Section 872.”

3. Code of Conduct. After selection, but prior to award, 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 www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm.

4. Debriefing. For a period of 120 days, beginning 30 days after the awards under this program are publicly announced, HUD will provide to a requesting applicant a debriefing related to its application. A request for debriefing must be made in writing by the authorized official whose signature appears on the SF424 or by his or her successor in office, and must be submitted to the contact identified in Section VII below.

B. Administrative and National Policy Requirements. After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements. These requirements are found in 24 CFR Part 84 for all organizations except states and local governments whose requirements are found in 24 CFR Part 85. Cost principles requirements are found at OMB Circular A-122 for nonprofit organizations, OMB Circular A-21 for institutions of higher education, OMB Circular A-87 for states and local governments, and at 48 CFR 31.2 for commercial organizations. Applicants must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant’s financial management system meets prescribed standards for fund control and accountability.

See the FY2013 **General Section** for requirements for Procurement of Recovered Materials.

C. Reporting.

1. Program Progress. HMIS-TA awardees will be required to report to the GTR on, at a minimum, a quarterly basis unless otherwise specified in the cooperative agreement. As part of the required report to HUD, award recipients must enter TA engagements and activities into the TA database, which tracks actual outputs and outcomes achieved and describes deviations, either positive or negative, from projected results to actual results achieved.

2. Recipient Reporting to Meet the Requirements of the Federal Funding Accountability and Transparency Act of 2006, as amended.

(a) Prime Grant Awardee Reporting. Prime recipients of HUD financial assistance are required to report certain subawards in the federal government-wide website www.fsrs.gov or its successor system.

Starting with awards made October 1, 2010 prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subaward recipients, including awards made as pass-through awards or awards to vendors, if (1) the initial prime grant award is \$25,000 or greater, or the cumulative prime grant award will be \$25,000 or greater if funded incrementally as directed by HUD in accordance with OMB guidance; and (2) the sub-award is \$25,000 or greater, or the cumulative subaward will be \$25,000 or greater. For reportable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the SAM system, the prime recipient is not required to report this information. The reporting of award and subaward information is in accordance with the requirements of Federal Financial Assistance Accountability and Transparency Act of 2006, as amended by section 6202 of Public Law 110-252, hereafter referred to as the "Transparency Act" and OMB Guidance issued to the Federal agencies on September 14, 2010 (75 FR 55669) and in OMB Policy guidance. The prime awardee will have until the end of the month plus one additional month after a subaward or pass-through award is obligated to fulfill the reporting requirement. Prime recipients are required to report the following information for applicable subawards. This information will be displayed on a public government website pursuant to the Transparency Act.

- (i) Name of entity receiving award;
- (ii) Amount of award
- (iii) Funding agency;
- (iv) North American Industry Classification System (NAICS) code for contracts/CFDA program for financial assistance awards;
- (v) Program source;
- (vi) Award title descriptive of the purpose of the funding action;
- (vii) Location of the entity (including Congressional district);
- (viii) Place of Performance (including Congressional district);
- (ix) Unique identifier of the entity and its parent; and
- (x) Total compensation and names of top five executives.

For the purposes of reporting into the FFATA Sub-award Reporting System (FSRS) reporting site, the unique identifier is the DUN and Bradstreet Universal Numbering System (DUNS) number the entity has obtained from Dun and Bradstreet, and for Prime awardees the DUNS number registered in the Central Contractor Registration as required by HUD regulation 24 CFR 5.1004.

(b) Prime Grant Awardee Executive Compensation Reporting. Prime awardees must also report in the government-wide website the total compensation and names of the top five executives in the prime awardee organization if:

- (i) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and
- (ii) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

(c) Subaward Executive Compensation Reporting. Prime grant awardees must also report in the government-wide website the total compensation and names of the top five executives in the subawardees if:

(i) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and

(ii) This required compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.) For applicable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the SAM system, the prime recipient is not required to report this information.

(d) Transparency Act Reporting Exemptions. The Transparency Act exempts any sub-awards less than \$25,000 made to individuals and any sub-awards less than \$25,000 made to an entity whose annual expenditures are less than \$300,000. Subawards with a cumulative total of \$25,000 or greater are subject to subaward reporting beginning the date the subaward total award amount reaches \$25,000. The Transparency Act also prohibits reporting of any classified information. Any other exemptions to the requirements must be approved by the Office of Management and Budget.

3. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as "Section 872." Section 872 requires the establishment of a government-wide data system – the Federal Awardee Performance and Integrity Information System (FAPIIS) - to contain information related to the integrity and performance of entities awarded federal financial assistance and making use of the information by federal officials in making awards. OMB is in the process of issuing regulations regarding federal agency implementation of section 872 requirements. A technical correction to this General section may be issued when such regulations are promulgated.

HUD anticipates that the terms and conditions to its FY2013 awards will contain requirements related to meeting FFATA and Section 872 requirements.

VII. AGENCY CONTACTS

A. For Assistance. Applicants may contact Julie Hovden, Director, Office of Technical Assistance, HUD Headquarters, by email at Julie.D.Hovden@hud.gov or Pat Felton by telephone at 202-402-2577. Persons with hearing and speech challenges may access the above numbers via TTY (text telephone) by calling the Federal Relay Service at 800-877-8339 (this is a toll-free number). Information may also be obtained through the HUD website on the Internet at www.hud.gov/offices/adm/grants/fundsavail.cfm.

VIII. OTHER INFORMATION

A. Paperwork Reduction Act. The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control numbers 2506-0189. 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 currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 92 hours for the application and award administration. This includes the time for collecting, reviewing, and reporting the data. The information will be used for awardee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

B. HUD Reform Act. The provisions of the HUD Reform Act of 1989 that apply to this NOFA are explained in the FY2013 **General Section**.

C. Environmental. A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR Part 50, which implement Section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The FONSI is available on HUD's website at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail under the FY2013 listing for this program.

Dated: APR 16 2013



Mark Johnston
Deputy Assistant Secretary for
Special Needs

[FR-5700-N-06]