



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

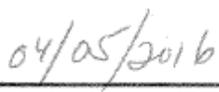
Office of Policy Development and Research

Research and Evaluation, Demonstration, and Data Analysis and Utilization

FR-5900-N-29

Application Due Date: 06/06/2016

  
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Katherine M. O'Regan, Assistant Secretary  
Office of Policy Development and Research

  
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Date

Research and Evaluation, Demonstration, and Data Analysis and Utilization

FR-5900-N-29

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

**Program Office:** Office of Policy Development and Research  
**Funding Opportunity Title:** Research and Evaluation, Demonstration, and Data Analysis and Utilization  
**Announcement Type:** Initial  
**Funding Opportunity Number:** FR-5900-N-29  
**Primary CFDA Number:** 14.536  
**Due Date for Applications:** 06/06/2016

This is a Notice of Funding Availability (NOFA) of up to \$500,000 in Fiscal Year 2015 funds from the U.S. Department of Housing and Urban Development for research and evaluations. The awards will be managed by HUD's Office of Policy Development and Research and provided from the Research and Technology appropriations account. Funds will be awarded in the form of a cooperative agreement.

**FOR FURTHER INFORMATION CONTACT:** Please direct questions regarding the specific program requirements of this Program Notice of Funding Availability (NOFA) to the agency contact identified in Section VII. Please direct questions regarding the FY 2015 General Section to the Office of Strategic Planning and Management, Grants Management Division, at (202) 708-0667 (this is not a toll-free number). Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Relay Service at 1-800-877-8339.

### Additional Overview Information

1. Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains mandatory requirements for all applicants to HUD's various competitive grant programs, including this NOFA. Applications must meet all of the requirements of the General Section in addition to the requirements of this NOFA to be considered and potentially receive funding. The full title of the General Section is the General Section to the Fiscal Year 2015 NOFAs for Discretionary Programs. Copies are available at [Grants.gov](http://www.Grants.gov) or HUD's [Funds Available](http://www.Funds Available) page, [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

2. OMB Approval Number(s): 2528-0299

## I. Funding Opportunity Description.

### A. Program Description.

#### 1. Purpose.

The Research and Evaluation, Demonstrations, and Data Analysis and Utilization program (referred to as "HUDRD") is managed by HUD's Office of Policy Development and Research (PD&R). Through this NOFA, HUD is announcing the availability of up to \$500,000 in FY 2015 funding.

The following project is eligible for award in the amounts listed:

***1. Improving the Speed of Housing Recovery Program Launch After a Severe Disaster (1 award, up to \$500,000)***

For the purposes of this NOFA the term, "research and evaluation" is defined as structured efforts to

establish or confirm facts, develop or support scientific theories, or otherwise build useful knowledge for developing, implementing, and improving the efficiency and effectiveness of programs administered by HUD and state and local partners. Research and evaluation projects examine current HUD programs and their operating environments to determine their effectiveness and to provide critical information for improving them. Program evaluation is critical to ensuring that HUD programs have desired impacts and deploy scarce resources cost-effectively. The research and evaluation completed under HUDRD will continue to strengthen HUD's capabilities for evaluating and improving program effectiveness and efficiency. "Research and Evaluations" also encompasses evaluations of current programs to provide policy guidance and/or improve public accountability.

## **2. Objectives and Eligible Activities**

### **a. Objectives**

HUDRD seeks to further PD&R's mission to inform policy development and implementation to improve life in American communities through conducting, supporting, and sharing research, surveys, demonstrations, program evaluations, and best practices. This broad mission addresses the following Strategic Goals contained in HUD's Strategic Plan:

- (1) Strengthen the Nation's Housing Market to Bolster the Economy and Protect Consumers;
- (2) Meet the Need for Quality Affordable Rental Homes;
- (3) Use Housing as a Platform to Improve Quality of Life; and
- (4) Build Strong, Resilient, and Inclusive Communities.

### **b. Eligible Activities**

In support of the above objectives, awardees may be asked to undertake a variety of research and evaluation activities, from articulating research questions to conducting the research itself and culminating in communicating research findings. Eligible activities are outlined below:

(a) Research design and work plan development. Developing research designs and work plans will determine the nature and scope of the research needed to answer the research question identified by HUD. The development of these materials would 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 includes:

- Articulating research questions and explaining their significance;
- Conducting a literature review;
- Expert consultation, including reasonable consultation fees;
- Comparison of costs and benefits of different approaches;
- Developing a research design;
- Formulating a data collection plan, including sampling plans, surveys and pre-testing of survey instruments, detailed data system design and testing, and matching of administrative data across datasets held by different agencies, as applicable;
- Developing a work plan, including task budgets, a timeline, and allocation of staff by task;
- Completing OMB Paperwork Reduction Act, Privacy Impact Assessment, and System of Record Notification documentation, as applicable; and
- 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 likely would 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 the research design and work plan

identify circumstances requiring use of incentive payments to achieve a satisfactory response rate, the awardee may use funds from this award to pay those incentive payments. The awardee would undertake analysis of data to answer the research question(s).

(c) Data analysis. This activity includes:

- Merging, tabulating, analyzing, modeling, validating and presenting data from surveys (if applicable) and existing administrative data sources (if applicable, including third-party sources) to answer the questions as stated in the research design and work plan; and
- Using data visualization tools such as Geographic Information Systems (GIS), business intelligence reporting and dashboard systems as appropriate to present the data.

### ***3. Project - Improving the Speed of Housing Recovery Program Launch After a Severe Disaster***

This demonstration project will:

- Conduct a retrospective assessment of Community Development Block Grant - Disaster Recovery (CDBG-DR) grantees and identify best practices as well as simple changes to current practices that could improve the speed and quality of post-disaster recovery programs;
- Provide guidance to grantees on how to make the most effective use of a secure web service tool being developed by HUD that will provide easy access to data from other federal agencies after a major disaster, with the goal of speeding up program implementation and reducing duplication of benefit.

For severe disasters such as Hurricane Sandy and Hurricane Katrina, HUD has received substantial additional CDBG funding to support long-term recovery. One problem that has consistently surfaced after each of these very large disasters is the long lag-time between the event and the flow of funds to individual property owners to achieve long-term recovery.

PD&R did a study that tracked recovery after Hurricane Katrina and found recovery, particularly recovery for the most severely damaged properties without adequate insurance, to take multiple years. The most glaring source of this problem is the time it takes after funds are appropriated for a CDBG grantee, usually a city or state, to develop a plan, build a program, and implement the program. There are multiple barriers to a faster recovery. This research effort is not seeking to address all of those barriers. The focus is limited to housing recovery only, and specifically to the two key components identified below as they relate to housing recovery:

(1) **Retrospective.** What are the lessons learned and best practices that should be considered as the core components to launching an effective housing recovery program quickly? What simple changes to current practices might lead to faster and higher quality recovery? This research will involve interviews with HUD staff and local practitioners who implemented prior programs. Applicants should review the disaster recovery toolkits posted here to see what guidance HUD currently provides: <https://www.hudexchange.info/cdbg-dr/toolkits/>. Applicants should also review the research and audits of prior disaster recovery programs as part of this retrospective analysis.

(2) **Web Service Data Sharing.** How can grantees use existing data from federal agencies (e.g., FEMA, SBA), and possibly from other entities (such as insurers), to improve the speed of recovery and reduce duplication of benefits?

The Retrospective research should seek information on program experience from past CDBG-Disaster Recovery program staff and grantees and develop specific recommendations that would improve the speed and/or quality of grantee ability to facilitate long-term recovery after a major disaster. Specific areas of best practice or program improvements include:

- (1) What is the information HUD should provide to potential CDBG-DR grantees before it is known if funding will be available?
- (2) How should agencies staff their recovery program? What specific positions should be created (with

position descriptions)? What guidance should be provided on how to quickly hire and train staff to be ready to manage the program? What guidance should be provided on how to begin staffing even before funding is available?

(3) What types of contractors should be used? What guidance should be provided on how to procure high quality contractors?

(4) What information should state and local governments provide to disaster victims immediately after a disaster to ensure they will be eligible for CDBG-DR funds?

(5) What special information should be provided to individuals who are rebuilding to help ensure that they will qualify for reimbursement if FEMA, SBA, or CDBG funds are ultimately made available for reimbursement?

(6) What detailed guidance should be provided to grantees on core federal requirements and best practices to prepare for compliance, including environmental reviews, civil rights and fair housing requirements, and duplication of benefits, Davis-Bacon, Section 3, and procurement rules?

(7) What detailed guidance should be provided to grantees on how to get information to and from those with low technology literacy, special needs households, households in rural areas, areas of minority concentration, and limited English proficient households? Particular emphasis should be placed on guidance to ensure adequate community outreach such as model Memorandums of Agreement with nonprofits for outreach and counseling.

(8) What are the best practices to help grantees design the overall housing recovery program (e.g., compensation, traditional rehab/reimbursement)?

(9) What other relationships with public and private partners are necessary to make a recovery effort successful? What are the best ways for creating those relationships (e.g., formal agreements)?

(10) What has been the most effective ways for grantees to build staff or contractor capacity quickly, effectively, and in a cost efficient manner?

Additional information about the CDBG-DR program can be found at this link: <https://www.hudexchange.info/programs/cdbg-dr/>.

One method of accelerating program launch that has already been identified as a gap in existing practices is a way to easily share data between CDBG-DR grantees, HUD, other federal agencies, and other parties including insurance providers and disaster survivors.

FEMA and HUD are working together to develop a Computer Matching Agreement to permit this type of data sharing and develop a web service to facilitate easier access to the data.

The awardee shall develop protocols for how CDBG-DR grantees can make best use of these data to improve the speed of recovery and reduce duplication of benefits. The awardee will also provide guidance on what data from other sources could be obtained to supplement and improve the federal data to facilitate faster and more effective CDBG-DR programs.

**HUD expects that the awardee will provide specific guidance on how CDBG-DR grantees can develop a database for administering their CDBG-DR program. This guidance to grantees will include:**

1. How to process federal and local data such that grantees can view publicly aggregated data on housing damage, both for the disaster as a whole and at smaller area geography relevant for recovery planning (such as county, city, and neighborhood); including how to use and display data to identify often--underserved communities and impacts on those communities such as low-income, minority, limited English proficiency, persons with disabilities, homeless, affordable housing, and renters.
2. How to use federal (e.g., FEMA IA and SBA disaster loan data) and local official (e.g., tax assessor, county records, and building code) data to pre-populate and update program data. Note that the awardee should advise on the sources and cost to purchase county records data from private vendors as

well as advise on how to obtain private insurance data. The web service being developed by HUD will include information on who has applied for federal assistance (FEMA and SBA) extent of damage to the property, self-reported income, if the survivor reports having insurance for their property, and if FEMA and/or SBA have provided any assistance. Useful other public records data include information on who owns the property, if the property has a mortgage, the amount of the mortgage and with whom, and the tax assessed value of the property.

**The deliverables HUD is expecting.** HUD expects to work closely with the cooperative awardee, and anticipates the opportunity to review and comment on the following deliverables, at a minimum:

- **Management & Work Plan** that will depict the overall strategy for completing this effort within the budget and timeframe allotted, including a description of the activities to be undertaken, the sequence of tasks, key milestone dates, and key staff engaging in each research activity.
- **Project Design** describing the key elements and approach.
- **Retrospective Report** documenting the complete findings from the process study.
  - **Draft Report**
  - **Second Draft Report**
  - **Final Report**
- **CDBG-DR “Fast Start” Guidebook**, including the guidance on how to launch a CDBG-DR program and the instructions on use of the technology platform(s), including detailed guidance on creating a program database that is pre-populated and is regularly updated by external sources as described above.
- **Monthly Progress Reports** that will document activities completed in the prior month, planned activities for the coming month, and budget expenditures by line item compared to planned amounts for each line item.

#### **4. Program Requirements.**

Applicants must comply with all of the program requirements listed in paragraphs *a* through *j* below.

**a. Reporting and Presentations.** Awardees will communicate findings in a variety of formats and venues to be determined by HUD as appropriate for the project, including, but not limited to, comprehensive written reports, presentations and briefings, publication in peer-reviewed journals, and/or other outlets. HUD may request the awardee to make one or more presentations of the findings in a variety of settings. HUD staff will receive interim, draft and final versions of all research products and provide meaningful, timely feedback. Under the terms of the cooperative agreement, HUD staff will be closely involved with the development of the research design and the final products. Final work products shall be well written and conform to HUD’s formatting requirements. HUD will post all final reports on its HUDUSER website. If HUD and the awardee disagree on the final interpretation of the data and analysis, or the quality of the work product, then within 60 days after the submission of the Final Report to HUD, the awardee may proceed with publication of the results and HUD will post the report on the HUDUSER website with a prominent foreword and footnotes approved by the GTR indicating HUD’s disagreement(s).

**b. Creation of Data Files and Documentation.** Replication of the research team’s analysis is critical to ensuring the validity of findings. Moreover, most data collected have high value to answer other research questions. As such, any research project involving data collection will provide a data set in a non-proprietary format and with complete documentation so that it may be used accurately by other researchers. In addition, any project that creates a new dataset through linking or matching of existing data will result in a fully documented dataset, subject to applicable laws and regulations. HUD may require the awardee to provide data in both public use and restricted access forms. Subsequent access to data will be determined by HUD on a case-by-case basis. The awardee will also provide well documented “code” used to produce the results presented in the report provided to HUD.

c. **Section 3.** The requirements of Section 3 of the Housing and Urban Development Act of 1968 (Section 3) do not apply to funding under this NOFA, because no Section 3 covered activity will be undertaken with these HUDRD funds. This does not affect grantees' existing responsibilities to provide training, employment, and other economic opportunities pursuant to Section 3 that result from their receipt of other HUD funding. Although, Section 3 requirements do not apply to the use of funds under this NOFA, the research objectives do include the assessment of how past CDBG-DR grantees have implemented Section 3 programs.

d. **Effective Communication.** Successful applicants shall take appropriate steps to ensure that all public notices and communications are 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 (29 U.S.C. §794) (Section 504). See 24 CFR 8.6.

e. **Limited English Proficiency.** Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency (LEP)", seeks to improve access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. Applicants obtaining federal financial assistance from HUD shall take reasonable steps to ensure meaningful access to their programs and activities to LEP individuals. As an aid to recipients, HUD published Final Guidance to Federal Financial Assistance Recipients: Title, VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance) in the Federal Register on January 22, 2007 (72 FR 2732). For assistance and information regarding LEP obligations, go to [http://www.justice.gov/crt/lep/guidance/HUD\\_guidance\\_Jan07.pdf](http://www.justice.gov/crt/lep/guidance/HUD_guidance_Jan07.pdf). For more information on LEP, please visit <http://www.hud.gov/offices/fheo/lep.xml>.

f. **Affirmatively Furthering Fair Housing Requirements (AFFH).** Section 808(e)(5) of the Fair Housing Act requires the Department to affirmatively further the purposes of the Fair Housing Act in its housing and urban development programs. Accordingly, the Department requires recipients of funds to take affirmative steps to further fair housing. An applicant must discuss how it is going to carry out the proposed activities in a manner that affirmatively furthers fair housing in complete compliance with Section 808(e)(5) of the Fair Housing Act.

Where appropriate to ensure the soundness of the research approach or in projects that are likely to confer a direct benefit to members of the public through their participation in the project, cooperative agreements may include specific requirements to comply with AFFH, as agreed upon with HUD. For projects which involve community-based or academic research and/or which include enrollment outreach, education and/or training, examples of activities that affirmatively further fair housing include, where appropriate: (i) designing and implementing the research study so as to maximize communication and participation with, or dissemination of information to, persons unlikely to have access to the study, including persons of different ethnic and racial backgrounds, and persons with disabilities; (ii) to the extent practicable, affirmatively marketing the existence of the study or affirmatively disseminating the results of such studies broadly to persons affected, including protected classes under the Fair Housing Act who are not likely to be aware of the study; (iii) conducting such activities in a manner that provides meaningful access to persons with limited English proficiency (LEP); (iv) targeting the benefits of the research, outreach, or educational activities to vulnerable populations, including, but not limited to, families with children and racial and ethnic minorities; and (v) conducting activities under the funding program in a manner that is accessible to persons with disabilities, as well as disseminating reports and other results of the funded activity in an accessible manner.

In addition, applicants are encouraged to review the Consolidated Plan, Annual Action Plan, PHA Plan, and Analysis of Impediments to Fair Housing Choice (for example, HUD's regulations at 24 CFR 91.225 (a)) in the jurisdiction in which their research activities will take place in order, if applicable, to take into account impediments to fair housing choice in their proposed research.

g. **Paperwork Reduction Act.** Standardized data collection from 10 or more respondents within a 12-month period will require clearance from the Office of Management and Budget (OMB) under the Paperwork

Reduction Act (PRA). Applicants should make themselves familiar with this requirement. This process frequently requires 180 days or more, so all work plans involving such data collection will need to factor in this requirement. Standardized data collection is defined by whether each respondent or group of respondents (e.g. focus group) is being asked to provide the same level of information on the same subject. Questions need not be phrased exactly the same way each time they are asked, nor does each respondent need to be asked the same set of questions for the information collection to be subject to the PRA. A respondent includes an individual; partnership; association; corporation; business trust; legal representative; organized group of individuals; and State, territory, tribal or local government. Surveys of federal employees are exempt from the PRA requirement.

**h. Protections for Human Research Subjects.** Awardees must comply with requirements of the federal Common Rule (45 CFR Part 46) for protecting human research subjects when applicable. Compliance may require awardees to seek review and approval of research plans by an Institutional Review Board (IRB). For research requiring an IRB review, the work plan shall identify the IRB that the awardee will use and factor in the necessary cost and time involved in that review. HUD will require awardees to provide appropriate assurances and certifications of compliance before human subjects research begins.

**i. Privacy Laws and Data Stewardship.** For projects involving the use of HUD data that contain personally identifiable information, awardees will be required to enter into a Data License Agreement, a copy of which can be obtained by contacting the person identified in Section VII. Furthermore, all awardees will, when required, be in compliance with PIH-2014-10: U.S. Department of Housing and Urban Development (HUD) Privacy Protection Guidance for Third Parties (<http://portal.hud.gov/huddoc/pih2014-10.pdf>).

**j. Publication Standards.** Final written products must conform to HUD's Policy Development and Research publication standards as directed by the GTR.

HUD reserves the right to edit, format, design, print, post, or otherwise alter final reports and other work products to its satisfaction. If the awardee disagrees with any changes HUD makes to its submitted document, HUD will insert such objections in the publication.

**k. Conflicts of Interest.** Awards will not be made to applicants if HUD determines that a conflict of interest exists or that existing relationships among parties give the appearance of impropriety.

## **2. Changes from Previous NOFA.**

(1) One new project is included in this NOFA:

a. Improving the Speed of Housing Recovery Launch After a Severe Disaster

(2) The submission requirements are clarified. Applicants will no longer be required to submit letters of reference. Instead applicants are required to provide a list of references to verify their performance of recent (within the past five years) and relevant social science research or program evaluation.

## **3. Definitions.**

a. Eligibility Requirements – Eligibility requirements are those requirements that must be met for an application to be eligible for funding. Deficiencies in meeting an eligibility requirement may be categorized as either curable or non-curable.

b. Threshold Requirement – Threshold requirements are a category of eligibility requirements. A threshold requirement is a requirement that must be met in order for an application to be reviewed. Threshold requirements are not curable.

Threshold requirements are listed in Section III.C.2. of both the 2015 General Section and in this Program NOFA.

Applicants must ensure their application package addresses all threshold requirements. Please check your application carefully!

c. Deficiency – Deficiencies are not the same as errors. Errors are never curable except as permitted under

Section V.B. Deficiencies are items of missing or omitted information within a submitted application. Deficiencies typically involve missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box, etc.). Depending on specific criteria, deficiencies may be either curable or non-curable.

d. Curable Deficiency – A curable deficiency is a specific type of deficiency that applicants may correct with timely action. To be curable the deficiency must:

- Not be a threshold requirement;
- 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.

e. Non-Curable Deficiency – An applicant cannot correct a non-curable deficiency 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.

## **B. Authority.**

This Notice of Funding Availability announces the availability of up to \$500,000 in FY15 funding for the Research and Evaluation, Demonstrations, and Data Analysis and Utilization Program (referred to as “HUDRD”). The funds will be managed by HUD’s Office of Policy Development and Research and provided from the Research and Technology Appropriation Account based upon the following authority: The Consolidated and Further Continuing Appropriations Act, 2015, (Public Law 113-235) provides funds for housing research.

## **II. Award Information.**

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

HUD is making available through this NOFA **\$500,000** for Research and Evaluation, Demonstration, and Data Analysis and Utilization.

Additional funds may become available for award under this NOFA as a result of HUD's efforts to recapture unused funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds will be subject to statutory constraints. All awards are subject to the applicable funding restrictions described in the General Section and to those contained in this NOFA.

Up to \$500,000 is available from the Consolidated and Further Continuing Appropriations Act, 2015 (Public Law 113-235).

The General Section for FY 2015 will govern HUDRD funds. HUD reserves the right to reduce the amount of funding.

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

HUD expects to make approximately 1 awards from the funds available under this NOFA.

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

Applicants may submit one application for:

- *Improving the Speed of Housing Recovery Program Launch After a Severe Disaster (1 award, up to \$500,000)*

Estimated Total Funding:	\$500,000
Minimum Award Amount:	\$300,000 Per Project Period

Maximum Award Amount: \$500,000 Per Project Period

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

All funds under an award must be expended within a designated period after the effective date of the Cooperative Agreement, as set forth in the award. The performance period will reflect the project being undertaken by the awardee. Awards will be for a period of 36 months.

Estimated Project Start Date: 09/01/2016

Estimated Project End Date: 08/31/2019

Length of Project Period: 36-month project with three 12-month budget periods

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

Funding Instrument Type: Cooperative Agreement

All cooperative agreements will be guided by the following principles:

1. Substantial HUD involvement is required in all aspects of funded projects, including design, implementation, and reporting.
2. HUD reserves the right to enforce these cooperative agreements pursuant to 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Enforcement remedies include, but are not limited to reducing an award of funds to any awardee if HUD determines that the awardee's performance is substandard or unacceptable. HUD will make this determination on a case-by-case basis and will provide a 30-day notice and a reasonable opportunity to respond.

#### **F. Supplementation.**

Not Applicable

### **III. Eligibility Information.**

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

Eligible applicants under the NOFA include:

State governments

County governments

City or township governments

Public and State controlled institutions of higher education

Native American tribal governments (Federally recognized)

Public housing authorities/Indian housing authorities

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

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

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

Private institutions of higher education

For profit organizations other than small businesses

Small businesses

Others (see text field entitled "Additional Information on Eligibility" for clarification)

Additional Information on Eligibility:

1. Organizations may submit one application for which funding is being made available. Subcontractors and consultants may be included in more than one application. However, if an organization submits an application for a project, then it may not be included as a subcontractor or consultant in any other application for the same project. HUD will not consider the application of an organization for any project if the organization or its staff members are listed as subcontractors or consultants on another application for the same project.
2. In accordance with the faith-based initiative, HUD welcomes the participation of eligible faith-based and other community organizations in these programs.

HUD does not award grants to individuals. HUD will also not evaluate applications from ineligible applicants.

All applicants must have an active Data Universal Numbering System (DUNS) number (<http://fedgov.dnb.com/webform>) and have an active registration in the System for Award Management (SAM) ([www.sam.gov](http://www.sam.gov)) before submitting an application. Getting a DUNS number and completing SAM registration can take up to four weeks; therefore applicants should start this process or check their status early.

See also Section IV.B below for necessary content and form of the application.

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

This Program does not require an applicant to leverage resources through cost sharing or matching.

Generally, federal sources are not allowed to be used as cost share or match unless otherwise permitted by a program's authorizing statute.

## **C. Other.**

All applicants must also refer to Section III of the General Section for information on HUD-wide eligibility requirements. These requirements may determine whether your application is reviewed or make your application ineligible for funding.

Program specific eligibility criteria for this competition includes:

Awards will not be made to applicants if HUD determines that a conflict of interest exists or that existing relationships among parties give the appearance of impropriety.

### **1. Statutory and Regulatory Requirements.**

N/A

### **2. Threshold Requirements.**

Only applications that meet all threshold requirements established in the General Section and Program NOFA will be evaluated. In addition to the threshold criteria outlined in the General Section, including the Resolution of Outstanding Civil Rights Matters (prior to application deadline), the following threshold requirements must be met:

- a. All applicants must meet the threshold requirements in the FY 2015 General Section, including the Resolution of Civil Rights Matters requirement set forth at Section III.C.2.b.
- b. Each applicant must qualify as an eligible applicant for the specific project for which they are applying.
- c. Applicants must meet the timely receipt requirements. See the FY 2015 General Section.
- d. All applicants are required to submit a one-page application summary with the application as described in

Section IV.B.1. below. Although it will not be rated, the summary is a submission requirement.

e. Each applicant must clearly indicate which project they are applying for on the SF-424, as well as on the one-page application summary.

f. Applicants must request no more than the maximum award amount (see Section I.A.1. above)

### **3. Compliance with Nondiscrimination and Related Requirements.**

This section incorporates the FY2015 General Section. Compliance with Non-discrimination and Related Requirements (Section.III.C.3).

### **4. Other Requirements.**

Section.III.C.4 of the General Section is hereby incorporated, as applicable, into this NOFA.

## **IV. Application and Submission Information.**

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

An electronic copy of the Application Package and Application Instructions for this NOFA can be downloaded from [Grants.gov](http://www.grants.gov) at <http://www.grants.gov/applicants/apply-for-grants.html>. Unless an applicant received a waiver for good cause, applications must be submitted electronically via Grants.gov except Continuum of Care applications. The Continuum of Care application is submitted through HUD's e-snaps system.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. Applicants that cannot submit their applications electronically and must seek a waiver of the electronic grant submission requirements must submit a waiver request so that the request is received at least 15 days before the application deadline. If HUD waives the requirement, your paper application must be received by HUD before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Ophelia Wilson

PDR

451 7th Street, SW, Room 8226

Washington, DC 20410

Email: [ophelia.wilson@hud.gov](mailto:ophelia.wilson@hud.gov)

Waiver requests must be submitted in writing, either via email or mail. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted via email or in writing to Ophelia Wilson. Written waiver requests must be postmarked no later than 15 days prior to the application deadline date. Instructions regarding the number of copies to submit, address for submission and deadline will be contained in any approval of the waiver request.

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

To ensure that the correct Application Package and Application Instructions are used, applicants must verify that the CFDA number and CFDA Description on the first page of the Application Package downloaded from Grants.gov, as well as the Opportunity Title, and the Funding Opportunity Number match the Program and NOFA to which they are applying. Applications will only be considered for the competition indicated in boxes 11, 12, and 13 on the SF-424 submitted in the application.

#### **1. Content**

Forms for your package include the forms outlined below:

Forms / Assurances / Certifications	Submission Requirement	Notes / Description
HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report	HUD will provide instructions to grantees on how the form is to be submitted.	HUD will provide instructions to grantees on how the form is to be submitted.
Acknowledgment of Application Receipt (HUD2993), if applicable	This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission.	This form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission.

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

**1. Application Materials.**

a. A complete submission will consist of the application signed by an authorized official of the applicant and contain all relevant sections of the application, as identified below.

b. **One Page Application Summary.** All applicants are required to submit a one-page application summary identifying the required information listed below:

(1) A brief description of the proposal; and

(2) 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. **Narrative Response to Rating Factors.** Applicants should provide their response to three rating factors:

(1) Rating Factor 1: Organizational Capacity and Experience and Key Personnel

(2) Rating Factor 2: Soundness of Approach

(3) Rating Factor 3: Performance Evaluation

HUD will consider the degree to which the narrative is clear, concise, well organized, and proofread (i.e. free of grammatical errors, etc.). Please note that Factor 2 – Need, and Factor 4 – Leveraging Resources as identified in Section V.A. of the FY2015 General Section do not apply under the program.

d. **Appendices.** Applicants should include appendices with:

(1) Resumes of key staff (no more than 5);

(2) A list of references to verify the applicants performance of recent (within the past five years) and relevant social science research or program evaluations. This information should include the name of the organization, name and title of contact person, email address, and telephone number; and

(3) A list of firms participating as subcontractors and consultants with a brief statement of each firm's qualifications. Applicants must have entered into an agreement (e.g., contract or letter of intent) with each firm listed as a subcontractor or consultant.

## **2. Page Limitation, Font Size and Format for Naming of Files.**

Narratives addressing Rating Factors 1-3 should not exceed 25 pages. The narrative page limits do not include required forms, assurances and certifications, the appendix of participating firms and contractors, the appendix of resumes, the appendix of reference letters, the budget narrative, the abstract, and the one-page summary. The narrative must be formatted to fit an 8 ½ by 11-inch page, double-spaced (information submitted in chart format does not have to be doubled-spaced but has to adhere to the font size and margin 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.

## **3. Prohibition on Materials Not Specifically Requested.**

Materials other than what is specifically requested by HUD in this NOFA should not be submitted. Reviewers will not review them.

## **4. Submission Required of All Applicants:**

- SF-424, Application for Federal Assistance (see General Section).
- One-page application summary described in Section IV.B. above.
- Narrative statement addressing Factors 1-3.
- Appendix containing no more than 5 resumes of key personnel.
- Appendix that lists the names of the firms for all of the subcontractors and consultants with whom the applicant has entered into an agreement (e.g., letter of intent) to participate in an award under this NOFA and a brief statement of each firm's qualifications.
- Appendix containing a list of up to 5 references (see Section IV.B.1.d. above), outlining the applicant's performance of recent (within the past five years) and relevant social science research or program evaluations.
- Budget submission (display of all anticipated costs during a 3-year performance period, including indirect costs. See Section VI.A.1. of this NOFA for more information on budget submission).
- Faith-Based EEO Survey (SF-424, Supplement, Survey on Ensuring Equal Opportunity for Applicants), if applicable.
- Disclosure of Lobbying Activities (SF-LLL), if applicable.
- Grant Application Detailed Budget Worksheet HUD-424CBW.
- HUD-2880, Applicant Recipient Disclosure/Update Report.
- Acknowledgement of Application Receipt HUD-2993, if applicable.

## **2. Format and Form**

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

### **C. DUNS Number and SAM Registration.**

Please refer directly to Section IV.C of the General Section, available at [Grants.gov](http://Grants.gov) or HUD's [Funds Available](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail) page, [http:// portal.hud.gov /hudportal /HUD?src= /program offices /administration /grants /fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

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

The application deadline is 11:59:59 p.m. Eastern time on **06/06/2016**. Applications must be received no later than the deadline.

Submit your application to Grants.gov unless a waiver has been issued allowing you to submit your application in paper form or you are applying for the Continuum of Care program. The Continuum of Care application is submitted through HUD's e-snaps system. Instructions for submitting your application to Grants.gov are contained within the Application Package you downloaded from Grants.gov. Instructions for submitting your paper application will be contained in the waiver of electronic submission.

Your application must be **both received and validated** by Grants.gov. Your application is “received” when Grant.gov provides you a confirmation of receipt and an application tracking number. **If you do not see this confirmation and tracking number, your application has not been received.**

After your application has been received, your application still must be validated by Grants.gov. During this process, your application may be “validated” or “rejected with errors.” To know whether your application was rejected with errors and the reason(s) why, you must log into Grants.gov, select “Applicants” from the top navigation, and select “Track my application” from the drop-down list. If the status is “rejected with errors,” you have the option to correct the error(s) and resubmit your application before the Grace Period ends. **If your application was “rejected with errors” and you do not correct these errors, HUD will not review your application.** If your status is “validated” your application will be forwarded to HUD by Grants.gov.

### **1. Resubmitting an Application.**

Before the submission deadline, applicants who choose to amend an application that has been validated by Grants.gov have several options:

- (1) an applicant may email the new or revised supporting materials to [ApplicationSupport@hud.gov](mailto:ApplicationSupport@hud.gov); or
- (2) an applicant may resubmit an entire, revised application via Grants.gov containing the new or changed material;

Whichever option is used, all materials must be received by the applicable deadline.

When submitting additional supporting documentation via email, the applicant must enter "Supporting Documentation" plus the Grants.gov application tracking number in the subject line of the email. (e.g., Subject: Supporting Documentation - GRANT12345678). If this information is not included, HUD will not be able to match the response to the application under review and the application may therefore be rejected due to the deficiency.

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

If an application is received by Grants.gov before the deadline, but is rejected with errors, applicants have a grace period of 24 hours beyond the application deadline to submit a corrected application that is received and validated by Grants.gov. Any application submitted during the grace period that does not meet the criteria above will not be considered for funding. There is no grace period for paper applications. See the General Section for more information about the grace period.

### **3. Late Applications.**

An application received after the Program NOFA deadline date that does not meet the requirements of the grace period policy will be marked late, and will not be considered for funding.

## **E. Intergovernmental Review.**

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

## **F. Funding Restrictions.**

1. An organization may not conduct research or evaluation of itself.
2. 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.

## **G. Other Submission Requirements.**

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

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

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

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

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

#### **Project - *Improving the Speed of Housing Recovery Program Launch After a Severe Disaster***

The maximum number of points from the rating factors that can be awarded to any application for award is 100. The minimum score for an application to be considered for funding is 75 with individual minimum scores of 30 points required for Factor 1, and 45 points for Factor 2.

#### **Rating Factor 1: 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).**

We will evaluate your organization's past performance based on your descriptions of other recent (within the past 5 years) research or data projects as applicable that were fully completed and demonstrate your organization's ability to conduct the applicable functions. At a minimum, these projects must be comparable in size, scope and complexity to the Improving the Speed of Housing Recovery Program Launch After a Severe Disaster project and involved similar research methods.

For each recent engagement, applicants should 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.
- (3) A synopsis of how the work was conducted by the applicant, including the number of hours involved, data collected, methods of collection, and response rate, if applicable, and the total cost of the engagement.

Note: Past performance will be verified with third-party references, including GTRs/COTRS, GTMs and contract officers.

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

For the purposes of responding to this sub-factor, 'key personnel' is defined as the applicant's in-house staff,

subcontractors and/or consultants for whom a contract or agreement already exists, who are expected to actually be tasked with developing and conducting the work.

To be competitive, you must demonstrate the ability to assemble a skilled research and development team to undertake project tasks. Applicants should include in their proposed research and development team people with expertise in applied research, project management, data management, software development, statistics (including econometrics), and writing and editing.

Your application will be rated on the extent to which you can demonstrate a strong, experienced team with extensive experience conducting retrospective assessments, developing web-based data systems, evaluations and substantive knowledge about disaster recovery programs/ initiatives:

(1) Provide a list of key team members (up to 5) and their role in the management and/or implementation of this project; and

(2) Demonstrated experience of each team member to carry out their identified role in this project.

Note: Resumes for key personnel (up to 5) should be included as an appendix to the narrative.

The research and development team also should include persons with strong backgrounds in the specific project topic as well as knowledge of the policy context and extant of the research literature.

The proposed research and development team should include individuals with the following skills or knowledge, to the extent each is relevant to the proposed research approach:

(1) Program evaluation of federal, state, and/or local programs, including experience with survey instrument design and survey interview management.;

(2) Qualitative methods such as ethnography, document analysis, in-depth interviews, focus groups, and;

(3) Experience developing databases and web based applications.

**Rating Factor 2: Soundness of Approach                      Maximum Points: 55**

**a. Management Work Plan (Maximum 20 points).**

Applicants must produce a management work plan for the project that is reasonable to undertake the work.

The narrative should present a clear, practical, and forward-looking plan to deliver products. As such the narrative should clearly articulate the grantee's anticipated approach to: (a) managing communication with PDR staff; (b) providing monthly status reports, including progress and accomplishments and budget tracking; (c) ensuring overall project quality control with additional consideration given to managing a thorough, comprehensive, effective and transparent data quality control plan; and (d) resolving issues or overcoming obstacles that may affect progress.

Additionally, the applicant's plan must clearly explain how the applicant will manage these activities, including the processes for:

(1) Assigning appropriately skilled and knowledgeable staff;

(2) Establishing a timeline for the completion of the research and development efforts; and

(3) Coordinating and collaborating with HUD's grantees and staff that work on the CDBG-Disaster Recovery programs.

The management work plan shall provide a detailed allocation of resources and a schedule for accomplishing the substantive work required for this project. The plan also shall identify and allocate total person hours and the key personnel needed for each work task for each month of the proposed time period to conduct the work. Total direct and indirect costs should be included for each task in accordance with the proposed labor rates included in the Budget description in Section VI.A.1. below.

The plan shall set start dates, completion dates, and other major milestones for each task and sub-task.

Where there are interdependencies among the tasks, the work plan shall indicate how each task will provide

the necessary input to the other tasks. The plan shall also include a comprehensive narrative of the overall expected flow of the work and how each task will be accomplished, and shall relate this description to the allocation of staff and other resources.

**b. Research and Development Design (Maximum 35 points).**

The proposed research design will be rated on technical quality, clarity, creativity, thoroughness, specificity, and feasibility. The applicant is expected to include a preliminary research and development design that specifically addresses this project. The research and development design will be evaluated on the extent to which:

- (a) The proposal responds to the issues in the project description, including addressing key research questions and identifying clear, testable hypotheses;
- (b) The adequacy and feasibility of the plan to undertake the retrospective analysis;
- (c) The adequacy, appropriateness and soundness of the procedures proposed for the collection and analysis required in the retrospective analysis;
- (d) The adequacy and feasibility of the participant recruitment and implementation plan; including adequacy and feasibility of methods for maximizing communication with and participation of persons unlikely to benefit from the demonstration without an outreach and encouragement effort, including persons of different ethnic and racial backgrounds, and persons with disabilities; and;
- (e) The adequacy and feasibility of the plan for providing fast-start guidance, including guidance on program database development;

**Rating Factor 3: 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 for the retrospective analysis;
- (2) Quality of its data analysis for the retrospective analysis;
- (3) Quality of its written product for the retrospective analysis;
- (4) Quality of fast-start guidebook;
- (5) Quality of the proposed database structure; and
- (6) Timeliness of performance and effectiveness of cost control measures.

Maximum Points: 100

**2. NOFA Priorities.**

HUD encourages applicants for funding to undertake programs and projects that contribute to HUD's NOFA Priorities. Applicants that undertake activities that result in achievement of specific NOFA Priorities listed below are eligible to receive priority points in the rating of their application. These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.

**Priority points are not available for this program.**

### **3. Bonus Points.**

In support of certain inter-agency initiatives, HUD awards bonus points to projects where the preponderance of work will occur in a designated zone, community or region. **These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.**

Bonus points are not available for this program.

## **B. Reviews and Selection Process.**

1. **Threshold Eligibility Requirements.** All applicants requesting funding to conduct research under the HUDRD program must be in compliance with the threshold requirements found in the FY2015 General Section and the eligibility requirements listed in Section III of this NOFA to be reviewed, scored, and ranked. Applications that do not meet one or more of these threshold requirements, applications from ineligible applicants, and applications that were received after the deadline (see Section IV.C. of the FY2015 General Section), will be considered ineligible for funding.
2. **Review Types.** Two types of reviews will be conducted. First, HUD will review each application to determine whether it meets threshold eligibility requirements. Second, applications will be reviewed by panels consisting of at least two independent reviewers and a panel leader. The reviewers will review and assign scores to applications that meet threshold eligibility requirements using the Factors for Award noted in Section V.A.
3. **Ranked Order.** Once scores have been assigned applications within the fundable range (i.e., a score of 75 or more points overall with 30 or more points for Factor 1 and 45 or more points for Factor 2) will be listed in rank order.
4. **Funding Decisions.** In determining the amount awarded to a successful applicant, HUD will take into consideration the amount of funds available; the applicant's current organizational capacity to effectively conduct the research requested by HUD as presented in the application, including, among other things, the final score assigned to the application by HUD reviewers.

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

HUD anticipates an announcement of a cooperative agreement award approximately 60 days after the application submission deadline.

## **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 all other applicants, whose applications were received by the deadline, that have not been chosen for award. Notifications will be sent by email, delivery receipt requested, to the person designated in item 8F of the SF424 and to the person listed as authorized representative in item 21 of the SF424.

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. Budget.**

Applicants shall submit a budget (HUD-424CBW) to undertake the project in accordance with the research

design and work plan as described in Section V. In addition, a break down of labor costs/hours by task must be provided. The budget shall include hourly labor rates (which shall include fringe benefit) for all personnel. All salaries, wages and rates are subject to federal legal requirements, including those listed in Section IV.E. above. All salaries, wages and rates for specific personnel for specific tasks will be submitted in work plans following award of cooperative agreements and prior to obligation of any funds.

Grantees will only be allowed to charge indirect costs for the cooperative agreement if they have an approved indirect rate agreement issued by their cognizant Federal agency. Grantees that have never had an approved indirect cost rate may choose to agree to a 10 percent cost rate. This rate would be in effect for the entire period of performance. In cases where HUD cannot successfully conclude negotiations on a cooperative agreement (including the budget) with a selected applicant an award will not be made to that applicant. In this instance, HUD may offer an award and proceed to negotiate with another applicant.

Administrative costs must be clearly identified in the budget.

Administrative costs mean reasonable direct and associated indirect costs of overall research award management and evaluation, including:

- a. Salaries, wages, benefits and related costs for developing and negotiating the budget, developing systems and schedules for ensuring compliance with the award, preparing reports required under the award, attending HUD-required meetings or training, submitting billing information, and management or supervision of persons carrying out the research activities;
- b. Travel costs related to administration of the award;
- c. Administrative services performed under third-party contracts or agreements, such 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 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.

Administrative costs shall be segregated in a separate cost center within the awardee's accounting system.

Administrative costs are limited depending on the total award amount. Administrative costs associated with the management of the award are capped at 15 percent for the first \$1 million of an award and 10 percent for award amounts greater than \$1 million.

Costs may be denied or modified if HUD determines that they are not allowable, allocable, and/or reasonable.

2. 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>.

3. Central Contractor Registration Requirement. See FY2015 General Section.

4. Debriefing. See Section VI.A.5. of the FY2015 General Section.

## **B. Administrative, National and Departmental Policy Requirements.**

Certain Administrative, National and Departmental Policy Requirements apply to all HUD programs, including this NOFA. For a complete list of these requirements, see Section VI.B. of the General Section.

1. Awards are subject to 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

Applicants must submit a certification from an Independent Certified Public Accountant or the government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability. Non-compliance with the applicable uniform administrative requirements and implementation of those requirements along with the cooperative agreement provisions, may cause HUD to impose sanctions, restrictions, or terminate the award.

2. Activities under HUDRD are categorically excluded from and not subject to environmental review under 24 CFR 50.19(b)(1), (2), (3) and (5).

### **C. Reporting.**

Please refer to Section VI of the General Section for a description of the general reporting requirements applicable to all HUD NOFAs.

1. Program Progress. Awardees will be required to submit Monthly Progress Reports in a manner specified by HUD, with descriptions of tasks accomplished, and a narrative explanation of any disparity between projected and actual results. The Monthly Performance Reports shall include budget reporting. The monthly reports shall include financial reporting that provides sufficient detail to enable the GTR to monitor tasks, effort, and invoices.

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 sub-awards in the federal government-wide website [www.frs.gov](http://www.frs.gov) or its successor system. Prime financial assistance awardees receiving funds directly from HUD are required to report sub-awards and executive compensation information both for the prime award and sub-award 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 sub-award will be \$25,000 or greater. For reportable sub-awards, if executive compensation reporting is required and sub-award recipients' executive compensation is reported through the System for Award Management (SAM) system, the prime recipient is not required to report this information.

The reporting of award and sub-award 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 sub-award or pass-through award is obligated to fulfill the reporting requirement. Prime recipients are required to report the following information for applicable subawards. The following information will be displayed on a public government-wide website pursuant to the Transparency Act:

- (1) Name of entity receiving award;
- (2) Amount of award;
- (3) Funding agency;
- (4) North American Industry Classification System (NAICS) code for contracts/CFDA program for financial assistance awards;
- (5) Program source;
- (6) Award title descriptive of the purpose of the funding action;
- (7) Location of the entity (including Congressional district);
- (8) Place of Performance (including Congressional district);
- (9) Unique identifier of the entity and its parent; and

(10) 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 percent 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 U.S. Securities and 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 percent 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 and Exchange Commission (SEC). For applicable sub-awards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the Central Contractor Registration (CCR) 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. Sub-awards with a cumulative total of \$25,000 or greater are subject to sub-award reporting beginning the date the sub-award 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 of 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 (FAPIS), 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 the General Section may be issued when such regulations are promulgated. HUD anticipates that the terms and conditions to its FY2015 awards will contain requirements related to meeting FFATA and Section 872 requirements.

Questions regarding specific program requirements should be directed to the point of contact listed in Section VII below.

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

HUD staff will be available to provide clarification on the content of this NOFA. Please note that HUD staff cannot assist applicants in preparing their applications. Questions regarding specific program requirements should be directed to the point of contact listed below.

Applicants should contact Ophelia Wilson, Office of Policy Development and Research, HUD, at (202) 402-4390, or by e-mail at : [ophelia.wilson@hud.gov](mailto:ophelia.wilson@hud.gov).

Questions concerning the General Section should be directed to the Office of Strategic Planning and Management, Grants Management and Oversight Division at 202-708-0667 (this is not a toll-free number). Persons with hearing or speech impairments may access these numbers via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

## VIII. Other Information.

**Paperwork Reduction Act Statement.** The information collection requirements in this 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 Program NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

There will be FAQs posted on the HUD Funds Available webpage which will be updated periodically.

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 Environment Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The FONSI is available for inspection at HUD's Funds Availability web page at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

Applicants may use the checklist below as a guide when preparing your application package.

- SF-424, Application for Federal Assistance (see General Section) (applicant must list the specific project they are applying for)
- One-page application summary described in Section IV.B above
- Narrative statement addressing Factors 1-3
- Appendix containing up to 5 resumes of key personnel
- Appendix that lists the names of the firms for all of the subcontractors and consultants with whom the applicant has entered into an agreement to participate in an award under this NOFA and a brief statement of each firm's qualifications
- An appendix containing a list of references outlining the applicant's performance of recent (within five years) and relevant social science research or program evaluations
- Grant Application Detailed Budget Worksheet HUD424CBW
- Budget submission (display of all anticipated costs during the 3-year performance period, including an indirect cost rate). See Section VI.A of this NOFA for more information on the budget setting process.
- Faith-Based EEO Survey (SF424 Supplement, Survey on Ensuring Equal Opportunity for Applicants), if applicable
- Disclosure of Lobbying Activities (SFLLL), if applicable
- HUD Applicant Recipient Disclosure Report HUD2880 Applicant Recipient Disclosure/Update Report

What to Submit	Where Found	When to Submit
HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report	HUD will provide instructions to grantees on how the form is to be submitted.	HUD will provide instructions to grantees on how the form is to be submitted.

Acknowledgment of Application Receipt (HUD2993), if applicable

Form HUD-2993 is included with other forms in the Instructions package.

This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission. The form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission.