



U.S. Department of Housing and Urban Development

Office of Policy Development and Research

Research and Evaluation, Demonstration, and Data Analysis and Utilization

FR-6000-N-29

Application Due Date: 04/11/2017

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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-6000-N-29
Primary CFDA Number: 14.536
Due Date for Applications: 04/11/2017

Overview

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 general questions regarding the FY2017 NOFAs to the Office of Strategic Planning and Management, Grants Management and Oversight Division, at AskGMO@hud.gov.

Additional Overview Information

Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains 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 HUD's Fiscal Year 2016 Notice[s] of Funding Availability for Discretionary Programs. Copies are available at Grants.gov or HUD's Funds Available page, http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.

1. Participative Planning and Implementation. HUD encourages all applicants to HUD's competitive programs to ensure, where applicable, public decision making and meaningful participation throughout the visioning, development, and implementation of funded projects, by residents of affected areas and especially communities traditionally marginalized from planning processes. In seeking public participation, applicants and grantees must ensure that all 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 and, as applicable, the Americans with Disabilities Act. In addition Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and Executive Order 13166 require that grantees take responsible steps to ensure meaningful access to services, programs, and activities by persons with Limited English Proficiency (LEP persons).

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

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 \$2,900,000 in FY 2016 funding.

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 \$2,900,000 in FY 2016 funding.

The following projects are eligible for award in the amounts listed:

1. Accessible Housing and Technology Research and Demonstration (HUD may award 1-4 grants, with the sum total of all awards not to exceed \$2,000,000).
2. Technical Assistance Assessment (1 award of approximately \$900,000).

NOTE: Applicants are not required to apply for both projects; however a separate application for each project is a requirement.

Objective

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.

HUD is seeking proposals on the following projects:

A. Project Description.

Project 1 - Accessible Housing and Technology Research and Demonstration (HUD may award 1-4 grants, with the sum total of all awards not to exceed \$2,000,000)

The objective of this assessment is to provide funding to conduct a study on innovations in the design and construction of affordable, accessible and aesthetically pleasing housing, with a particular focus on technological adaptations that can be made to existing housing designs for persons with disabilities, and to identify, evaluate, and test the home modifications and technology innovations necessary to make existing housing accessible. For purposes of comparing proposals and demonstration results, the project is limited to research regarding innovations in the design and retrofitting or renovation of non-detached single family homes, semi-detached townhomes, and structures with four (4) or fewer residential units. The intention of these grant funds is not to fund the renovation of existing housing that can or will be used for residential purposes. The intention is to research, explore, develop and test potential innovations.

The objective is not to use the funding to renovate housing for living purposes. These grant funds are not intended for those purposes and may only be used to create study conditions for research, testing and demonstration purposes.

Under this project, the grantee will function as the lead of an interdisciplinary team with the goal to show how to affordably use physical and technological adaptations of existing housing stock to meet residents' needs for affordable and accessible housing. Although not limited to adaptations that can assist households in their existing homes, proposals must include that as a focus area.

(1) Research and Demonstration Objectives

This solicitation seeks proposals to demonstrate low-cost, low-effort physical configurations and technological adaptations that can be made to multiple types of existing homes to make them accessible to persons with disabilities. Making these determinations can be accomplished using any variety of research and demonstration approaches, but each needs to be based on the collection and analysis of evidence that takes

into account physical configurations of designs of currently constructed and existing housing, innovative technological adaptations, affordability, and contributions from multiple parties who work with these issues every day. While meeting the goals of low-cost, low-effort, aesthetically pleasing and using or accommodating technological adaptations, the designs must meet applicable federal architectural accessibility standards, including the Uniform Federal Accessibility Standards or the 2010 ADA Standards for Accessible Design, except for certain specific identified provisions, as detailed in HUD's Notice on "Instructions for use of alternative accessibility standard," published in the Federal Register on May 23, 2014. Designs must also help facilitate the integration of individuals with disabilities within a housing development, neighborhood, or community consistent with the Section 504 regulation.

(2) Background

Persons with disabilities in need of accessible housing comprise only 16 percent of the American population. This includes persons with age-related disabilities. The most common causes for persons with disabilities were reported as arthritis or rheumatism (affecting an estimated 8.6 million persons or 2.9 percent), back or spine problems (7.6 million or 2.6 percent), and heart trouble (3.0 million or 1 percent). (U.S. Census. People and Households. "Americans with Disabilities" 2010). However, an increasing number of individuals, households, and communities are searching for affordable and aesthetically pleasing housing options for persons with disabilities, that accommodate the assistive technology that persons with disabilities use. A larger number of older persons are aging in place, and an increasing choice of technological tools are allowing them to accomplish that goal; the U.S. is housing more veterans with major physical disabilities, and an increasing number of persons with disabilities are moving to community-based residential arrangements. The result is a greater demand in both the public and private sector for housing that meets standards for physical accessibility and incorporates assistive devices and technologies that facilitate greater community integration of housing and greater access to home-based technology for persons with disabilities.

The least expensive way of incorporating accessible design and assistive technology in a home design is to integrate the required elements into the initial design, but approximately 85 percent of monthly home sales are for existing housing. But as any builder, remodeler and home owner who has been through this process can attest – incorporating design elements to maximize accessibility, and other aspects that expand accessibility, including assistive technology, is much more difficult and expensive in an existing home than one initially designed with those needs addressed. Because the bulk of home sales are existing homes – effectively and efficiently renovating existing housing to incorporate accessible design features is key. There is a need to develop design elements for those homes to facilitate a healthy and safe lifestyle for residents with disabilities, along with the types of physical configurations and technological adaptations that make them accessible for persons with disabilities.

(3) Eligible Activities

Required activities include:

- Conducting a literature review of issues relevant to the proposed research and related issues;
- Development of and conferral with an interdisciplinary advisory team that will include a combination of persons representing a variety of interests in the field of accessible housing and technological adaptations in the home. Examples of such persons include persons with disabilities, academics from disciplinary fields to be explored in this project, policy makers, architects, builders, building contractors and renovators, care givers, family members of persons with disabilities, and the general public;
- Development of a research and demonstration design;
- Finalization of a work plan and research and demonstration design. The work plan and research and demonstration design will determine the nature and scope of the research and analysis needed to answer the critical research and demonstration questions. This includes task descriptions, task budgets, a timeline and allocation of staff by task, including review and comment periods for advisory team members and HUD staff. The development of these materials would be done in close

consultation with the HUD Government Technical Representative (GTR), an interdisciplinary advisory team, and/or other staff and experts as the HUD GTR directs;

- Execution of the research design and work plan,
- Data and information collection and analysis;
- Comparison of costs and benefits of multiple approaches and designs;
- Regular reports to the GTR, and
- Submission of all deliverables to the GTR.

Other Eligible Activities could include:

- Expert consultation, including reasonable consultation fees;
- Determining and documenting the deficiencies that exist in the types of physical designs and standards for aesthetically pleasing, affordable designs and home configurations for existing homes, including technological adaptations;
- Creation of one or more research prototype rooms. A “prototype” room used to conduct research on accessibility and technology may not be used to provide daytime or overnight accommodation, but will be used only for providing appropriate conditions for implementing and evaluating test designs, technological adaptations or other research elements.
- Creation of other design testing tools and activities outlined in the Research Plan, evaluating test designs, technological adaptations, costs and other research elements. Testing and evaluation of the prototype designs or other research elements through research mechanisms such as design reviews, participatory workshops, use of prototype rooms, cost analysis or other methods, with different stakeholders at multiple stages of design development. These stakeholders might include persons with disabilities, family members, building contractors, assistive technology or other technology experts, or other persons with a stake in providing affordable, accessible, and aesthetically pleasing residential life.

NOTES:

(1) Because the award for this research and demonstration will be a cooperative agreement, applicants are required to propose and plan to implement an approach for working with HUD in this effort. Each applicant should describe how it intends to work in collaboration with HUD in both developing and assessing the viability and costs of the design and construction prototypes, and their incorporation into existing housing.

(2) HUD will not fund an applicant requesting funding for ineligible activities outlined in IV.F Funding Restrictions of this NOFA.

(3) 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 for inspection at HUD's Funds Available web page at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.

B. Data and Information Collection and Analysis:

This must include:

- Carrying out methods of data and information collection and analysis described in the research design.

Eligible activities could include:

- Collection of other relevant data, information and evidence, when applicable;
- Conducting site visits to collect data;
- Conducting interviews and participatory workshops with multiple types of interested parties;
- Analysis of initial and ongoing results to redefine home designs, renovations, use of adaptive technology, or other identified issues;

- Observing and recording all findings from all other information and data collection activities that might include activities such as site visits, workshops, interviews or other data collection methods;
- Conducting and documenting cost analyses of planning, designing and implementing aesthetically pleasing accessible designs for existing housing, along with technological adaptations used in the designs analyzed in the study;
- Interviews, visual recording, measurement, and other data collection activities;
- Collection and organization of collected data in a manner making the data easily retrievable; documenting the research process, data and findings used in the demonstration, and
- Documenting the prototypes to the point of functionality for future testing with persons with disabilities in everyday domestic situations

C. Reporting.

Reporting. This activity includes the synthesis of the information gathered and analyzed for the purposes of conducting the research and demonstration of physical configurations and technological adaptations to make existing housing accessible for persons with disabilities, and the development of written products that clearly articulate the findings for a broad audience, including researchers, policy makers, architects, building contractors, care givers, family members, and the general public. The written products will be submitted to HUD for review and possible HUD publication. This activity also includes regular reporting to HUD's GTR on the status of the project. At a minimum this must include;

- Quarterly progress reports providing detailed updates on the work conducted and costs expended for the project during each month of the period of performance of the cooperative agreement;
- Development of annual and final reports synthesizing findings, information collection and analysis;
- Annual "snapshot" reports that describe the outcomes of the research and demonstration program for each year of program operation;
- Preparation of a set of regularly released reports documenting the analysis of all collected data and sufficient narrative and illustrative material to guide the reader in interpreting the material properly, and
- Development of short papers or policy briefs on specific findings, subject areas, or describing particular analysis activities.

D. Deliverables HUD is expecting:

HUD expects to work closely with the cooperative awardee, and anticipates the opportunity to review and comment on the following documents, at a minimum:

- Management & Work Plan that will depict the overall strategy for completing this research and demonstration effort within the budget and time frame allotted, including a description of the research and demonstration activities to be undertaken, the sequence of tasks, key milestone dates, and key staff engaging in each project activity.
- Development and management of an Interdisciplinary Advisory Team. This includes at a minimum a list of proposed individuals and organizations the grantee plans to approach to serve in the IAT, an outline of their role in providing advice and direction on the design, implementation and reporting of the research and deliverables. This will be accomplished, at a minimum, using semi-annual meetings, in person, by phone or internet, involving the Team's review and feedback to the Project Manager and GTR of project activities and deliverables,
- Drafts of all deliverables outlined in the cooperative agreement, research design and management and work plan, providing the GTR an opportunity to contribute to the shape and content of the deliverables, and
- Final review of all deliverables outlined in the cooperative agreement, research and demonstration design, and management and work plan.

(1) Objectives

The objectives of this assessment are to provide a picture of (1) the overall operations of HUD's Technical Assistance (TA) program(s) including the data systems that support HUD TA projects, the NOFA process, and the process by which TA funds are allocated. This objective may include an assessment of the utilization/uptake of each type of intervention and recommendations for change; it could also include evaluation of the demand-response construct; and (2) an in-depth analysis of three to four large, high priority TA projects. These twin overarching objectives will require a detailed accounting of the purposes to which TA funds are being allocated, the amount of money being spent on those purposes, and, for a selection of priority projects, an assessment of the effectiveness of the TA interventions. For the specific project assessments, the researcher should expect to provide a full assessment of the projects including the tasks undertaken, the types of TA provided, the amount of money spent, and the effectiveness of the technical assistance delivered.

This research work should focus primarily on FY2014 TA funding and priorities because FY2014 was the first year that HUD TA was organized under the Community Compass umbrella and the first year that most awardees and activities were tracked in the HUD administrative data systems specific to HUD TA: The HUD TA Portal and the Disaster Recovery Grant Reporting System (DRGR).

(2) Background

TA enables housing and community development providers to be more effective stewards of HUD funding by equipping them with the knowledge, skills and tools to better manage HUD programs. Recipients of TA include State and local governments, Tribes, Tribally-Designated Housing Agencies, Public Housing Authorities (PHAs), participating jurisdictions, housing counseling agencies, multifamily owners/operators, nonprofit organizations, and Continuums of Care (CoCs).

Through TA, HUD supports effective and efficient program administration, standardizes training and education, and provides support for implementation of new programs and processes.

a. Types of TA offered by HUD:

- Direct Technical Assistance and Capacity Building (CB): TA providers are tasked to work on site and/or remotely with HUD's customers to improve PHA operations, help implement new programs, train staff, and provide other technical assistance activities. These engagements are long term and often comprehensive.
- On-call TA: These engagements can be on-site and/or remote but are limited to a set number of hours and generally less than 16 hours of TA. They can serve the same purposes as direct TA.
- Needs assessments: This process helps to determine the nature and scope of TA and CB needed. Assessment requests can be generated by program grantees, the field office and/or the TA provider
- Tools and products: Materials developed to assist HUD customers with understanding complex program statutes and regulations and federal requirements. These products may take the form of web-based courses, trainings, videos and interactive tools.
- Self-directed and group learning: This TA is intended to increase capacity and close competency gaps among customers by equipping the grantees with the necessary program knowledge and skill sets needed to administer and manage HUD programs.
- Knowledge Management: This TA includes the development, operation, maintenance, and/or hosting of websites.
- Data reporting, analysis, and management: This TA includes analyzing data to better understand the impact of program, policy, and reporting changes on grantees, trends in grantee performance, and grantee technical assistance needs as well as assisting grantees with using and reporting data.
- Native American Housing Assistance and Self Determination Act (NAHASDA) allocation formula administration and negotiated rulemaking support: This TA includes administration of the allocation formula, assistance with formula determinations and census challenges, notification letters, data

corrections, and report preparation.

- Help Desk Support: Includes services such as Ask-A-Question.

b. FY2014 Sources of TA Funding:

This assessment will focus primarily on completed and ongoing TA projects being funded using FY14 TA funding. Specifically, the FY14 Community Compass NOFA combined and made \$51 million available through 5 appropriations accounts. These sources, purposes and amounts were:

- Departmental Funding (Transformation Initiative) TA: \$24 million (Departmental funding includes TA funding for the Community Planning and Development (CPD), Public and Indian Housing (PIH), Housing, and Fair Housing and Equal Opportunity (FHEO) offices);
- McKinney-Vento Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) TA: \$10 million;
- McKinney-Vento National Data Analysis Project (formerly Homeless Management Information System TA: \$6 million (also collectively known as SNAPs (Special Needs Assistance Programs TA),
- Public Housing Receivership and Recovery: \$3 million; and
- Native American Housing Assistance and Self Determination Act (NAHASDA) TA: \$8 million.

A complete description of the objectives, eligible activities, and desired outcomes from the FY14 TA awards can be found in the HUD Community Compass Technical Assistance and Capacity Building NOFA (FR-5800-N-12).

c. TA at HUD between 2010 and 2014

HUD TA has evolved over time from numerous program-specific TA funding streams and objectives to a cross-program community place-based approach to problem solving. The 2002 GAO report on HUD TA, “HUD Management: Impact Measurement Needed for Technical Assistance” (GAO-03-12), states that between 1998 and 2002, HUD was administering 20 different technical assistance programs through 5 offices. TA funding between 1998 and 2002 ranged between \$85 and \$148 million dollars with an average of \$124 million over these five years (not including Section 4 and Section 107 funds, which are not included in this evaluation). CPD’s 2010 Technical Assistance and Capacity Building Notice of Funding Availability (NOFA) began the TA transformation from “program-specific” TA to “cross-program” TA (Docket No. FR-5415-N-30). In this NOFA, CPD announced the OneCPD Integrated Practitioner Assistance System that “is intended as a collaborative effort among HUD, our state and local partners and successful applicants focused on building the kind of grantee management systems and functional capacity necessary to successfully carry out comprehensive and sustainable “place-based” development and revitalization strategies”.

The 2010 NOFA made \$23 million available for OneCPD and \$595K for “Core Curricula”, a program designed to “support the development and delivery of training courses and seminars to improve grantee skills in the areas of development finance, energy efficiency and green building, environmental review and compliance, asset management and preservation, and construction and rehabilitation management.” Other HUD programs issued their own TA NOFAs.

In FY2013, Public and Indian Housing and the Office of Housing started issuing their TA funding notices through the CPD NOFA and OneCPD became OneCPD+. The 2013 OneCPD+ NOFA made \$16.5 million dollars available for CPD, SNAPs, PIH and Housing programs. Indian program TA and Homeless program TA were still funded separately.

By FY2014, OneCPD+ transformed into Community Compass. The FY2014 Community Compass NOFA added two new TA funding streams: Native American Housing Assistance and Self Determination (NAHASDA) and McKinney-Vento funding (includes both Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) and National Data Analysis Project (NDAP – formerly HMIS)), making this NOFA inclusive of all HUD TA except Section 4 TA (Section 4 Capacity Building for Affordable

Housing and Community Development Program TA is not included in this evaluation effort). FY14 funding was \$51 million and FY15 funding was \$45 million. Also, during this period, HUD Exchange was created.

HUD Exchange is an online platform (website) for providing technical assistance tools and services to HUD's customers, including state and local jurisdictions, nonprofits, public housing authorities, and tribes. Between 2012 and 2014, HUD Exchange was created from OneCPD Resource Exchange, the Homelessness Resource Exchange, and the Neighborhood Stabilization Program (NSP) TA website. Late in this period, the TA needs of the Office of Housing, the Office of Public and Indian Housing and the Office of Fair Housing and Equal Opportunity were added to the site. HUD Exchange contains the Learning Management System and Training Calendar which provides information about what training is available and when, the "Ask a Question" function which allows HUD customers to submit their policy and technical questions about programs, systems, and crosscutting topics, the TA Portal which allows HUD customers to request technical assistance, and Auto-import of Reports and Plans, which makes reports accessible to the public by connecting a restricted access reporting system (e.g. IDIS) to the public-facing HUD Exchange.

In addition, new participants in the Community Compass TA omnibus, such as PIH, could now not take advantage of the cooperative agreement and demand-response funding management instead of having to let full contracts for this work. Cooperative agreements provide flexibility between HUD and providers to tailor responses to local needs and requirements. Demand-response funding management allows HUD to make assignments to TA providers based on priority projects and grantee needs. Large or complex projects can be scoped in phases. Needs assessments can be executed before projects are scoped if need be. And, for large, jurisdiction wide solutions that require local agencies or political commitment, MOUs can be developed and implemented before work begins.

d. Primary Sources of Administrative TA Data

TA Portal:

The TA Portal, which can be found on HUD Exchange, was developed to provide a central web-based location to document requests for TA, make TA provider assignments, develop work plans to deliver TA, and report on outcomes and outputs of TA. Through the TA Portal (<https://www.hudexchange.info/get-assistance/technical-assistance/>), HUD's customers can request in-depth, program assistance and capacity building to improve the design and delivery of programs and services funded by HUD (Direct and On-call TA), needs assessments, new materials and tools development, and training delivery. Through the TA Portal, HUD receives requests for TA, reviews and allocates those requests to the appropriate provider, assigns TA providers to TA requests, reviews and approves work plans and tracks work flow. Through the TA Portal, TA providers receive assignments, submit and revise work plans and report on work progress.

Some TA projects are not handled through the portal. Review of product development and training delivery TA as well as some larger TA projects such as Troubled PHA interventions will have to be conducted in cooperation with program offices, field offices and/or HQ.

- **The Disaster Recovery Grant Reporting System (DRGR):**

The Disaster Recovery Grant Reporting (DRGR) system was developed by HUD's Office of Community Planning and Development for the CDBG Disaster Recovery (CDBG-DR) program and other special appropriations such as the Neighborhood Stabilization Program (NSP). It is also now used for most of the funds awarded through the Community Compass NOFA. TA Providers use the system to: (1) identify staff rates and have HUD staff approve them in the Admin Module, (2) submit individual work plans in DRGR, including budget line items, staff hours and tasks (some of this information is also submitted through the TA portal), and (3) submit invoices in the Drawdown Module to be reviewed by HUD staff. These approvals are used to authorize payment of individual line items that each invoice represents. GTRs approve line item vouchers in DRGR, providing payment to the TA provider for technical assistance delivered. More information on the DRGR is available at: <https://www.hudexchange.info/programs/drgr/>.

The data available from these two systems overlaps significantly. However, each system has a primary function. TA Portal data provide details about project scope, work plans, tasks, and outcomes while DRGR data provide enhanced information about the financial details of each project. Table 1 shows what is available in each system.

TABLE 1

Work Plan Elements	TA Portal	DRGR
Basic Work Plan Information (Name, number, period of performance (POP), etc.)	X	X
Work Plan Level Budget	X	X
Work Plan Scope	X	
Proposed Outcomes	X	
Task Level Budget	X	X
Task Narratives	X	
Total Hours by Task	X	X
Number of Hours by Staff Type (Labor Category)	X	X
Number of Hours by Staff Rates/Individuals		X
Team Leads	X	X
Key Personnel	X	X
Travel Information	X	X
Other Costs (Telephone, shipping, etc.)		X

e. The Technical Assistance Process

- HUD TA funding is appropriated by Congress. Departmental TA is funded under the Research and Technology account managed by PD&R; other TA funds are allocated under various program accounts within PIH, CPD, FHEO, and Housing. In FY14 and FY15, Congress required HUD to submit its TA plan for review before Departmental funds were allocated to specific programs. This plan must declare how Departmental TA funds will be allocated to participating program offices. These allocations are worked out in advance by the TA Executive Committee.
- HUD issues the TA NOFA. The FY14 NOFA was issued under the HUD Community Compass Technical Assistance and Capacity Building Program NOFA structure.
- HUD selects TA providers from NOFA applicants and works with successful applicants under cooperative agreements.
- Through HUD Exchange and other outreach processes, HUD receives requests for help from HUD program offices and HUD partners.
- HUD field offices and HUD HQ evaluate the requests for TA. The review process differs depending on the office of interest (CPD, PIH, Housing, FHEO, ONAP) and the type of TA required. Details of the review process for CPD program can be found in the TA Portal Protocols and Procedures document. The review process for other offices may have to be discerned through interviews with program staff.
- Once a project is approved, HUD, TA providers and TA recipients work together to scope the project.

If the project is not well specified or the problem not well understood, a needs assessment might be conducted. Some large or complex projects are scoped in phases, starting with an assessment of grantee needs and issues affecting implementation and grants administrations. For especially large or comprehensive projects involving local jurisdictions, MOU may be required as evidence of intent to participate in the TA work. Providers then develop a work plan for the assignment. A number of different providers may be assigned to work together on a single assignment.

- Projects, assignments, work plans, and tasks are tracked through the TA Portal, a component of HUD Exchange, and the Disaster Recovery Grants Reporting system (DRGR). Currently, most TA funding is routed through DRGR.
- Work plans and tasks are accomplished.
- Monthly and periodic status reports are submitted via the TA portal and the DRGR.
- Projects are closed out in DRGR.

(3) Technical Assistance Research Objectives

The objective of this research is to assess the effectiveness of the HUD TA program at accomplishing its stated objectives. The FY14 Community Compass NOFA outlined the FY14 TA objectives as:

- Facilitate local collaboration, strategic planning, and service coordination among HUD customers and stakeholders, including jurisdictions, Continuums of Care, public housing authorities, and non-profit organizations and consultation with tribes. Planning may include input on and development of Consolidated Plans, Analyses of Impediments to Fair Housing, PHA plans, tribal plans, and other community planning processes, and should use data to inform decision-making.
- Develop and implement strategies to repair, preserve and recapitalize federally assisted rental housing, tribal housing, public housing, permanent supportive housing, transitional housing, and other multifamily and single family affordable housing that uses HUD grant funds such as HOME or CDBG.
- Improve financial, management, physical and governance deficiencies at public and tribal housing agencies and tribally-designated housing entities, state and local units of government, and non profit customers and build capacity to sustain these improvements in performance over the long term. Ensure that a PHA is financially and operationally viable and can provide safe, well-maintained housing units that are viable over the long term. Design and implement programs for affordable housing and community and economic development, including assessing local housing markets and effectively targeting resources.
- Provide housing and supportive services for special needs populations, including homeless individuals and families and those at risk of homelessness, elderly individuals, disabled individuals, persons with HIV/AIDS, veterans, and youth. Implement evidence-based practices around housing with supportive services, including targeting priority populations, leveraging a range of funds, and collaboration with federal and state-funded health services and community based health care services.
- Facilitate better delivery of housing counseling services, through networks of housing counseling agencies, improve accessibility of services to city and county residents, and increase awareness among nonprofits, city agencies, and the public that housing counseling services are available. Increase homebuyer knowledge by providing homebuyer education, individualized counseling, and access to information and resources.
- Increase understanding of strategies to reduce energy consumption, on-site renewable energy deployment and related financing to accelerate clean energy solutions. Track and benchmark energy and water usage in order to realize cost savings and improve energy and water efficiency through new and existing tools, such as EPA Portfolio Manager, the Physical Needs Assessment, or the Capital Needs Assessment.
- Improve management of HUD funding, including compliance with statutory and regulatory requirements and resolution of HUD monitoring findings and/or audit findings. Compliance includes all applicable fair housing and civil rights laws, including, but not limited to, the Fair Housing Act of 1968, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and title

II of the Americans with Disabilities Act.

- Develop and implement policies and procedures that support affirmatively furthering fair housing, per applicable federal regulations, and employment, training, and contracting opportunities to low- and very low-income persons and the businesses that employ them (Section 3, Housing and Urban Development Act of 1968).
- Ensure that Indian Housing Block Grant (IHBG) funds are used effectively and effective delivery of housing and NAHASDA eligible services, including providing access to housing that is safe and healthy, including mold prevention and remediation and improving air quality.
- Assist with IHBG formula administration, including managing formula-related correspondence with grantees, formula determinations, processing census challenges, data correction, reporting, and providing logistical and technical support for the Department's negotiated rulemaking with Indian tribes, and effective delivery of affordable housing, implementation of HUD's Indian programs, and consultation support.
- Develop and implement strategies for improved data collection, validity, analysis and use by customers for reporting, planning, decision making, measuring performance, and tracking outcomes, including data for the Annual Homeless Assessment Report (AHAR), Annual Performance Report, Consolidated Annual Performance and Evaluation Report (CAPER), Tribal Performance Assessments, Choice Neighborhoods reports, and other reports and analyses as assigned. Assist customers with using data to drive decision making and assess program effectiveness, and use data to identify trends and needs related to HUD's customers.
- Effective management, use, and reporting of HMIS data, including coordination and facilitation of federal partners and HMIS vendors, maintenance and support of reporting tools, distributed reporting models, mobile applications for data collection and reporting, identifying data gaps, opportunities to use and publish data to increase transparency, usability testing and user focus groups.
- Use technology and the internet for effective knowledge management to improve access to information and resources, build skills, reduce errors, enhance data collection, and streamline processing requests for assistance via websites, mobile applications, virtual help desks, remote and virtual learning modalities, and automated tools and calculators.

To assess the effectiveness of TA in achieving the stated objectives, research questions may include, but not limited to:

- Is there evidence that specific projects have achieved their stated objectives and improved program performance? Project/program-specific research questions may include, but are not limited to:
 - o What evidence is there that TA is helping HUD HOME and CDBG grantees develop strategies to repair, preserve and recapitalize federally assisted rental housing?
 - o Has there been improvement of services to special needs populations (homeless or at risk of homelessness, elderly, disabled, persons with HIV/AIDS, veterans, and youth) through TA projects?
 - o Is TA expanding access to and knowledge about housing counseling services? Are there populations or subpopulations for which such TA has been more or less effective to improve housing access or outcomes?
 - o Is understanding of strategies to reduce energy consumption and use renewable energy improving through TA? Are HUD partners increasing both their knowledge and use of energy reduction strategies?
 - o How is TA supporting HUD's efforts to roll out the AFFH rule and provide the tools necessary to comply? Is use of TA for this purpose cost effective?
 - o NAHASDA TA funds are meant to be used for improving delivery of safe, healthy affordable housing and help with the IHBG formula administration. Are these TA efforts helpful and effective?

- TA is provided for a number of data systems: Annual Homeless Assessment Report (AHAR), Annual Performance Report, Consolidated Annual Performance and Evaluation Report (CAPER), Tribal Performance Assessments, Choice Neighborhoods reports, Homeless Management Information System (HMIS), and other reports and analyses as assigned. How is TA being used for this support and what difference is it making?
- What are the perceptions of the HUD Exchange website from users? Do they find it helpful? Accessible? Properly organized?
- In what ways could HUD do follow-on research to provide evidence that HUD partners who have been recipients of HUD TA (PHAs, Tribes, state and local governments) have improved financial, management, physical and governance policies? In what ways could HUD improve existing TA-related reporting processes to improve TA implementation?
- One of the objectives of HUD TA is to standardize materials, learning, and responses to common questions or misunderstanding of HUD programs and policies. Are responses and training being standardized? Is this being done effectively even though many engagements are being addressed by different TA providers? Alternative questions here might be: How well are TA providers working together to accomplish HUD's objectives? What could TA providers or HUD do to reduce duplication or lack of standardization?
- The first objective of FY14 TA funding is to "Facilitate local collaboration, strategic planning, and service coordination among HUD customers and stakeholders..." This research could evaluate whether there is evidence that service providers such Continuums of Care, Public Housing Authorities, Non-profit organizations, and tribes are collaborating and coordinating services. If not, why not? If so, to what extent and to what effect?
- Programs allocate TA differently. For example, CPD responds to requests for help from troubled grantees (PJs) while PIH directs TA to troubled PHAs based on field office recommendations. Is there any indication that one process is more effective or efficient than the other? Is Community Compass, the current comprehensive TA NOFA, working for program offices (CPD, PIH, Housing, FHEO, SNAPS, ONAP)? What would program offices do to improve the TA funds allocation process?

(4) Eligible Activities

In support of this research effort, awardees may undertake a variety of research planning, data gathering, data analysis, and evaluation activities, from articulating research questions to conducting the research itself, to communicating research findings. Eligible activities include but may not be limited to:

a. Developing a work plan and research design. The work plan and research design will determine the nature and scope of the research and analysis needed to answer the critical research questions. 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 may include but not be limited to:

1. Articulating research questions and explaining their significance;
2. Conducting a literature review;
3. Expert consultation, including reasonable consultation fees;
4. Comparison of costs and benefits of different approaches;
5. Developing a research design;
6. Formulating a data collection plan(s), including sampling plans, surveys and pre-testing of survey instruments, detailed data system design and testing, as applicable;
7. Developing a plan to access administrative data that will support answering the research questions, and completing required protocols necessary for accessing administrative data not owned by HUD;
8. Developing a work plan, including task budgets, a timeline, and allocation of staff by task; including review and comment periods for HUD staff;
9. Completing OMB Paperwork Reduction Act, Privacy Impact Assessment, and System of Record

Notification documentation, as applicable;

10. Obtaining Institutional Review Board approval as needed to ensure human subjects research protections-if required -in accordance with federal requirements (see: <http://www.hhs.gov/ohrp/human-subjects/commonrule>);

b. Data and Information Collection and Analysis. This set of activities would include carrying out the methods described in the research design, gathering existing data and/or administrative data on HUD's TA programs and program participants, and collecting additional data using qualitative and/or quantitative methods that may be in-person, by mail, by phone, site visits, or via the Internet. If the research design and work plan identify circumstances requiring the 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 also undertake analysis of data to answer the research question(s). This activity may include:

- Preparing applications or paperwork required to access non-HUD administrative data, including the drafting of Data Use Agreements (DUAs) or Memorandums of Understanding (MOUs) as required by the administrators of the data sets needed for analysis;
- Merging, tabulating, analyzing, modeling, validating, graphing and presenting data from existing administrative data sources (including third-party sources, if applicable) and surveys (if applicable) to answer the questions as stated in the research design and work plan;
- Collecting primary data via survey administration, site visits, or telephone interviews;
- Synthesis and analysis of multiple sets of data; and
- Organization of data, evidence and information to facilitate analysis.

c. Reporting. This activity includes the synthesis of the information gathered and analyzed for the purposes of assessing HUD's TA program(s) and the development of written products that clearly articulate the research findings for a broad audience, including researchers, policy makers, administrators, program operators, and the general public. This activity also includes regular reporting to HUD on the status of the project. This activity may include:

- Development of short papers or policy briefs on specific topics or describing particular analysis activities;
- Development of an interim or final report synthesizing data collection and analysis;
- Preparation of a series of tables, charts, or graphs documenting the analysis of all collected data and including sufficient narrative material to guide the reader in interpreting the tables, charts, or graphs properly;
- Monthly progress reports which provide detailed updates on the work conducted for the project during each month of the period of performance of the cooperative agreement.

(5) Deliverables

HUD expects to work closely with the cooperative agreement awardee, and anticipates the opportunity to review and comment on the following documents, at a minimum:

- Management & Work Plan that will depict the overall strategy for completing this research effort within the budget and timeframe allotted, including a description of the research activities to be undertaken, the sequence of tasks, key milestone dates, and key staff engaging in each research activity.
- Research Design describing the key elements and approach for data collection and analysis, including the administrative data sources to be accessed and analyzed, the development and administration of primary data collection instruments, if warranted, an analysis strategy, and procedures for securely collecting and storing all study-related data.
- A preliminary analysis of the outcomes of this research for each project selected. The final content for these reports may be developed in partnership between the research team and HUD.
- A final analysis of the outcomes of this research for each project selected. The final content for these

reports may be developed in partnership between the research team and HUD.

- A summative final report that synthesizes the findings from the various research activities to be conducted under this research effort into an overall narrative regarding what we know about the outcomes of TA and recommendations for both future improvements and future research.
- Monthly progress reports.

2. Changes from Previous NOFA.

Two new projects are included in this NOFA:

1. Accessible Housing and Technology Research and Demonstration (HUD may award 1-4 grants, with the sum total of all awards not to exceed \$2,000,000).
2. Technical Assistance Assessment (1 award of approximately \$900,000).

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.1 of 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 IV.D.4. 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.

f. Research and evaluation – is defined as systematic efforts to establish or confirm facts, develop or support scientific theories, as well as develop technical information that would have cross-program application to build useful knowledge for developing, implementing, and improving the efficiency and effectiveness of programs administered by HUD and state and local program participants. 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 in providing policy guidance and improving public accountability.

g. Demonstration – is defined as applied research projects to evaluate the technical feasibility or application

of a new or improved procedure, method, technique, or system. Demonstrations completed under HUDRD will continue to strengthen HUD's capabilities for improving program effectiveness and efficiency.

h. Prototype - is defined as a working model of a product, built for demonstration purposes, or as part of a development process. The model is developed, tested, and then reworked, using acceptable, innovative approaches with the goal of achieving acceptable prototype(s) that can be used in separate but similar circumstances.

i. Cooperative agreements provide flexibility between HUD and providers to tailor responses to local needs and requirements.

B. Authority.

This program is authorized under Section 501 of the Housing and Urban Development Act of 1970 (12 U.S.C. §1701z-1) and the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2016 as included in the Consolidated Appropriations Act, 2016 (Public Law 114-113, enacted December 18, 2015).

II. Award Information.

A. Available Funds.

HUD is making available approximately **\$2,900,000** through this NOFA 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 is 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.

B. Number of Awards.

HUD expects to make approximately 5 awards from the funds available under this NOFA.

1. Accessible Housing and Technology Research and Demonstration (HUD may award 1- 4 grants, with the sum total of all awards not to exceed \$2,000,000).
2. Technical Assistance Assessment (1 award of approximately \$900,000).

C. Minimum/Maximum Award Information.

Estimated Total Funding:	\$2,900,000
Minimum Award Amount:	\$100,000 Per Project Period
Maximum Award Amount:	\$2,000,000 Per Project Period

D. Period of Performance.

Three years

Estimated Project Start Date:	06/05/2017
Estimated Project End Date:	06/04/2020
Length of Project Periods:	36-month project with three 12-month budget periods
Length of Project Periods	
Explanation of Other:	

E. Type of Funding Instrument.

Funding Instrument Type: Cooperative Agreement

All cooperative agreements will be guided by the following principles:

Substantial HUD involvement is required in all aspects of funded projects, including design, implementation, and reporting.

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 HUDRD 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.

III. Eligibility Information.

A. Eligible Applicants.

State governments

County governments

City or township governments

Public and State controlled institutions of higher education

Native American tribal governments (Federally recognized)

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:

Eligible applicants under the HUDRD NOFA include:

Public or private non-profit organizations or intermediaries, including institutions of higher education, area-wide planning organizations; for profit organizations; States, units of general local government, or Indian tribes; public housing agencies; and small businesses. Applicants must meet the specific requirements and qualifications specified in the NOFA, including expertise in housing and service programs for low-income households, specific knowledge of the HUD programs to be evaluated, and demonstrable experience in the particular research methods and functions needed to undertake each project.

Public Housing Authorities and Tribal Designated Housing Entities as defined by Section 4(22) of NAHASDA and Tribes as defined by Section 4(13) of NAHASDA.

Note: Providers of currently active HUD-funded technical assistance (TA) and providers of TA within the last 5 years, are not eligible applicants for Project 2 (Technical Assistance Assessment).

Individuals, foreign entities, and sole proprietorship organizations are not eligible to compete for, or receive, awards made under the announcement. HUD will not evaluate applications from ineligible applicants.

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

As required in the Code of Federal Regulations (CFR) at 2 CFR 25.200 and 24 CFR Part 5 Subpart K, all applicants for financial assistance 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) 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 for necessary form and content information.

B. Cost Sharing or Matching.

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

C. Other.

All applicants must comply with the following requirements, which may determine whether your application is reviewed or make your application ineligible for funding. Eligibility criteria for this competition include:

1. Threshold Requirements.

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated. See also Section I.A.3 Definitions.

a. Timely Submission of Applications – Applications submitted after the deadline stated within this NOFA and that do not meet the requirements of the grace period policy will be marked late. Late applications are deemed ineligible and will not be considered for funding. See also Section IV Application and Submission Information, part D.

b. Civil Rights Matters – Outstanding civil rights matters must be resolved prior to the application deadline.

(1) Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (a) – (e) that have not been resolved to HUD's satisfaction before or on the application deadline date are ineligible for funding.

(a) Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;

(b) Status as a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance pursuant to 42 U.S.C. 3614(a);

(c) Status as a defendant in any other lawsuit filed or joined by the Department of Justice alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, Title II of the Americans with Disabilities Act, or a claim under the False Claims Act related to fair housing, nondiscrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;

(d) Receipt of a letter of findings identifying systemic noncompliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or Title II of the Americans with Disabilities Act; or

(e) Receipt of a cause determination from a substantially equivalent state or local fair housing agency

concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

(2) HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the application deadline date are sufficient to resolve the matter. Examples of actions that may be considered sufficient to resolve the matter include, but are not limited to:

- (a) Current compliance with a voluntary compliance agreement signed by all the parties;
- (b) Current compliance with a HUD-approved conciliation agreement signed by all the parties;
- (c) Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;
- (d) Current compliance with a consent order or consent decree; or
- (e) Current compliance with a final judicial ruling or administrative ruling or decision.

2. Statutory and Regulatory Requirements.

a. Compliance with Nondiscrimination and Related Requirements.

b. HUD Agency Wide or Federal Government Wide Requirements.

(1) Outstanding Delinquent Federal Debts – It is HUD policy, consistent with the purposes and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), that applicants with outstanding delinquent federal debt will not be eligible to receive an award of funds, unless:

- (a) A negotiated repayment schedule is established and the repayment schedule is not delinquent, or
- (b) Other arrangements satisfactory to HUD are made prior to the award of funds by HUD. If satisfactory arrangements cannot be completed within 90 days of notification of selection, HUD will not make an award of funds to the applicant, and instead offer the award to the next eligible applicant. HUD may act earlier than the above stated 90 days to ensure, in HUD's determination, that the funds can be obligated in a timely manner. Applicants selected for funding, or awarded funds, must report any changes in status of current agreements covering federal debt. HUD may withhold funding, terminate an award, or seek other remedies from a grantee if a previously agreed-upon payment schedule has not been followed or a new agreement with the federal agency to which the debt is owed has not been signed.

(2) Pre-Award Accounting System Survey – HUD will not award or disburse funds to applicants that do not have a financial management system that meets federal standards. HUD may arrange for a pre-award survey of any such financial management system for applicants selected for award who have not previously received federal financial assistance, where HUD Program officials have reason to question whether a financial management system meets federal financial management standards, or for applicants considered high risk based upon past performance or financial management findings.

(3) Debarments and/or Suspensions – In accordance with 2 CFR part 2424, no award of federal funds may be made to debarred or suspended applicants, or those proposed to be debarred or suspended from doing business with the Federal Government.

(4) False Statements – A false statement in an application is grounds for denial or termination of an award and possible punishment, as provided in 18 U.S.C. 1001.

(5) Do Not Pay Website Review – As part of the Improper Payments Elimination and Recovery Improvement Act (IPERIA) of 2012, in making funding determinations HUD will look up applicant information on the Federal website <http://www.donotpay.treas.gov/>. The Do Not Pay Portal is intended to prevent improper payments and can be used by HUD to ensure that applicants that receive funding do not owe funds to the federal government; are not on the Excluded Parties List System (EPLS); the List of Excluded Individuals/Entities List (LEIE); the Social Security Administration (SSA) Death Master File (DMF); or other federal databases that would provide adverse information regarding the applicant. HUD reserves the right to:

- (a) Deny funding, or in the case of a renewal or continuing award, consider suspension or termination of an award immediately for cause,
- (b) Require the removal of any key individual from association with management or implementation of the award, and
- (c) Make appropriate provisions or revisions with respect to the method of payment or financial reporting requirements.

(6) Conducting Business in Accordance with Ethical Standards/Code of Conduct – Applicants are required to develop and maintain a written code of conduct in accordance with 2 CFR 200.112 and 200.318. Codes of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by officers, employees, or agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions available to remedy violations of such standards.

Pursuant to applicable Federal and HUD regulations, applicants must disclose in writing any potential conflict of interest and all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

Before entering into an agreement with HUD, applicants selected to receive funding under a Program NOFA must submit an up-to-date copy of their code of conduct. Applicants with codes already on file with HUD do not need to resubmit a new code unless the information on file has changed. New or updated submissions must be dated and signed by the Executive Director, or Chair, or equivalent official, of the governing body of the organization. Applicants must also describe the methods to be used to ensure that all officers, employees, and agents are aware of and have agreed to adhere to the code of conduct.

(7) Conflict of Interest of Consultants or Technical Experts Assisting HUD – Consultants and technical experts who assist HUD in rating and ranking applications for funding under published FY 2016 Program NOFAs are subject to 18 U.S.C. 208, the federal criminal conflict-of-interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, consultants and technical experts who have assisted or plan to assist applicants with preparing applications for FY 2016 Program NOFAs may not serve on a selection panel and may not serve as a technical advisor to HUD. Anyone involved in rating and ranking FY 2016 Program NOFA applications, including departmental staff, experts and consultants must avoid conflicts of interest or the appearance of such conflicts. These individuals must also disclose to HUD's Office of General Counsel Ethics Law Division the following information, if applicable:

- (a) How the selection or non-selection of any applicant under a FY 2016 Program NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208, or
- (b) How the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502.

The consultant or technical expert assisting HUD must disclose this information before participating in any matter regarding an FY 2016 program NOFA. Applicants with questions regarding these provisions or concerning a conflict of interest, please call the Office of General Counsel, Ethics Law Division, at (202) 708-3815 (this is not a toll-free number). The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service's teletype service at 1-800-877-8339.

(8) Prohibition Against Lobbying Activities – Applicants are subject to the provisions of Section 319 of Public Law 101-121, 31 U.S.C. 1352, (the Byrd Amendment) and 24 CFR part 87, which prohibit recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, loan, or cooperative agreement. In addition, applicants must disclose, using Standard Form LLL (SFLLL), "Disclosure of Lobbying Activities," any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, or congressional staff regarding specific grants or

contracts. Federally-recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally-recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established only under state law shall comply with this requirement. Applicants must submit the SFLLL if they have used or intend to use non-federal funds for lobbying activities.

(9) Consistency with the Consolidated Plan and Analysis of Impediments (AI)/Assessment of Fair Housing – Certain competitive Programs require applications to contain a certification of consistency with a HUD-approved Consolidated Plan. This certification means that the proposed activities are consistent with the jurisdiction's strategic plan, and the location of the proposed activities is consistent with the geographic areas specified in the Consolidated Plan. The Consolidated Plan also includes the jurisdiction's certification to affirmatively further fair housing which means, among other requirements, that the jurisdiction has conducted an AI/Assessment of Fair Housing. If a program NOFA requires a certification of consistency with the Consolidated Plan and you fail to provide the certification, and you do not cure the omission as a technical deficiency, HUD will not fund the application.

Under HUD's regulations at 24 CFR 91.2(d), an applicant's PHA Plan must include a certification by the appropriate state or local official that the PHA Plan is consistent with the applicable Consolidated Plan for the jurisdiction in which the PHA is located and must describe the manner in which the applicable contents of the PHA Plan are consistent with the Consolidated Plan. To the extent that a proposal funded under this NOFA is addressed or should be addressed in the PHA Plan, it must be certified to be consistent with the Consolidated Plan.

3. Program Specific Requirements.

Requests to Fund Ineligible Activities. Applications requesting funds for any ineligible activities listed in IV.F Funding Restrictions will be deemed ineligible and not considered for funding.

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 presentation 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 90 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).

1. **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 data set 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.
2. **Section 3.** The requirements of Section 3 of the Housing and Urban Development Act of 1968 (Section 3) may apply to funding under this NOFA, to the extent that HUDRD funds will be used for construction or rehabilitation activities. Even if Section 3 does not apply, the receipt of HUDRD funds 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.
3. **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.
 4. **Limited English Proficiency.** Executive Order 13166, “Improving Access to Services for Persons with Limited English Proficiency (LEP).” Executive Order 13166 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. For more information on LEP, please visit <http://www.hud.gov/offices/fheo/lep.xml>.
 5. **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, including those awarded and announced under the Department’s FY 2014 Program NOFAs that are not specifically exempted, 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); and (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.

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.

Applicants for HUDRD must follow all of the program requirements listed in paragraphs 1 through 5 below.

1. **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.

2. **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.
3. **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>).
4. **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.
5. **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. If a potential conflict of interest arises during the period of the award, perhaps based on a specific project being undertaken by the awardee, HUD may determine at that time that a conflict of interest exists, at which time the awardee will be unable to undertake that specific project. Greater specificity on the requirements related to conflicts of interest that awardees are required to follow are contained in Section III of the General Section to the Department's Fiscal Year 2016 NOFAs for Discretionary Programs.

4. Criteria for Beneficiaries.

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 at <http://www.grants.gov/applicants/apply-for-grants.html>. Except for Continuum of Care applications, or unless an applicant received a waiver for good cause, all applications must be submitted electronically via Grants.gov. 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. For example, a lack of available Internet access in the geographic area in which the applicant's business offices are located. 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, HUD must receive your paper application before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Madlyn Wohlman Rodriguez

Phone: (202) 402-5939

Email: madlyn.wohlmanrodriguez@hud.gov

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 Funding 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 box 11, 12, and 13 on the SF-424 submitted in the application.

1. Content

Forms for your package include the forms outlined below:

Additionally, your complete application must include the following narratives and non-form attachments. SF-424, Application for Federal Assistance (see General Section) (applicant must list the specific project they are applying for)

Faith-Based EEO Survey (SF424 Supplement, Survey on Ensuring Equal Opportunity for Applicants), if applicable

HUD Applicant Recipient Disclosure Report (HUD 2880)

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>.

Central Contractor Registration Requirement. See FY2016 General Section.

Debriefing. See FY2016 General Section.

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.

2. Format and Form.

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

Narrative 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 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.

One-Page Application Summary needs to include

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

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

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 HUD-424CBW

Budget submission (display of all anticipated costs during the 3-year performance period, including an indirect cost rate). See VI. Award Administration Information and the General Section for FY 2016 for more information on the budget setting process.

C. System for Award Management (SAM) and Dun & Bradstreet Universal Numbering System (DUNS) Number.

1. SAM Registration Requirement.

Applicants must be registered with SAM before submitting their application. In addition, applicants must continue to maintain an active SAM registration with current information at all times during which they have an active Federal award or an application or plan under consideration by HUD.

2. DUNS Number Requirement.

Applicants must provide a valid DUNS number in their application. DUNS numbers may be obtained for free at <http://fedgov.dnb.com/webform>.

D. Application Submission Dates and Times.

The application deadline is 11:59:59 p.m. Eastern time on **04/11/2017**. 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 Grants.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, Grants.gov will not send your application to HUD, and HUD will not review your application.** If your status is "validated" your application will be forwarded to HUD by Grants.gov.

1. Amending or Resubmitting an Application.

Before the submission deadline, applicants who choose to amend an application that has been validated by Grants.gov may resubmit a revised application containing the new or changed material. The resubmitted application must be received by the applicable deadline.

2. Grace Period for Grants.gov Submissions.

If an application is received by Grants.gov before the deadline, but is rejected with errors, applicants have a

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.

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.

4. Corrections to Deficient Applications.

Except as provided by the electronic submission grace period described in this notice, HUD may not consider any unsolicited information that applicants may want to provide after the application deadline. (Refer to 24 CFR part 4, subpart B.) In addition, HUD may not seek clarification of items or responses that improve the substantive quality of an applicant's response to any rating factors or which correct deficiencies which are in whole or part of a rating factor, including items that impact bonus points. HUD may contact the applicant to clarify other items in its application. In order not to unreasonably exclude applications from being rated and ranked in situations where there are curable deficiencies, HUD will notify applicants of each technical deficiency and will do so on a uniform basis.

If HUD finds a curable deficiency in an application, HUD will notify the applicant by email describing the clarification or technical deficiency. HUD will send an email to the person designated in item 8F of the SF424 and to the person listed as the authorized representative in item 21 of the SF424. Both email notifications will be sent from HUD with confirmation of delivery receipt requested. The email notifications will be the official notification of the need to cure a technical deficiency. It is the responsibility of applicants to provide accurate email addresses for receipt of these notifications and to monitor their email accounts to determine whether a cure letter has been received. The applicant must carefully review the request for cure of a technical deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Clarifications or corrections of technical deficiencies must be received by HUD within the time limits specified in the notification. In no case shall the time allowed to correct deficiencies exceed 14 calendar days or be less than 48 hours from the date of the email notification. The start of the cure period will be the date stamp on the email HUD sends to the applicant. If the deficiency cure deadline date falls on a Saturday, Sunday, federal holiday, or other day when HUD's Headquarters offices in Washington, DC, are closed, then the applicant's correction must be received on the next day that is not a Saturday, Sunday, or federal holiday, or other day when the HUD's Headquarters offices in Washington, DC, are closed.

Curable deficiency items must be submitted via email addressed to ApplicationSupport@hud.gov. When submitting technical deficiency cure items you must enter "Technical Cure" plus the Grants.gov application tracking number in the subject line of the email (e.g., Subject: Technical Cure - GRANT123456). 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.

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

E. Intergovernmental Review.

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

F. Funding Restrictions.

An organization may not conduct research or an evaluation of itself.

HUD will determine whether the salary rates are reasonable, customary for the skill set provided and the tasks to be conducted, and in accordance with federal legal requirements.

Funding may not be used for any form of construction of new housing, or renovation of existing housing, or any type of housing that may be used for residential purposes during or after the grant period. Any request for funding of this type will deem the application ineligible. Any construction or renovation paid for with these grant funds may only be used for the creation or renovation of testing units or rooms that will be used for research purposes only.

Ineligible activities include construction or renovation of new or existing housing that can or will be used for residential purposes.

Indirect Cost Rate

Indirect Cost Rate: No restrictions, applicants may use their negotiated rate or the *de Minimis* rate (10% of Modified Total Direct Costs).

G. Other Submission Requirements.

1. Discrepancies between the NOFA on Grants.gov and Other Documents.

The Program NOFA posted at the Grants.gov website is the official document HUD uses to solicit applications. Applicants are advised to review their application submission against the requirements in the posted Program NOFA. If there is a discrepancy between the Program NOFA posted on Grants.gov and other information provided in any other copy or version or supporting documentation, the posted Program NOFA located at www.Grants.gov prevails. If discrepancies are found, please notify HUD immediately by calling the program contact listed in the Program NOFA. HUD will post any corrections or changes to a Program NOFA on the Grants.gov website. Applicants who enroll an email address at the application download page will receive an e-mail alert from Grants.gov in the event the opportunity is changed.

2. Application Certifications and Assurances.

Applicants signing the SF424 cover page either through electronic submission or in paper copy submission (for those granted a waiver) affirm that the certifications and assurances associated with the application are material representations of the facts upon which HUD will rely when making an award to the applicant. If it is later determined that the signatory to the application submission knowingly made a false certification or assurance or did not have the authority to make a legally binding commitment for the applicant, the applicant may be subject to criminal prosecution, and HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to federally-recognized Indian tribes, and those applicable to applicants other than federally-recognized Indian tribes. All program-specific certifications and assurances are included in the program Instructions Download on Grants.gov.

3. Lead Based Paint Requirements

Not Applicable

4. Indirect Cost Rate (ICR)

If you are a governmental organization or agency that receives more than \$35 million in federal funding, you are required to request an Indirect Cost Rate from your cognizant agency (2 CFR 200 Appendix VII). If you have not requested an indirect cost rate or have not received a negotiated indirect cost rate, you may not claim indirect costs until you receive a negotiated rate.

Non-governmental organizations: If your organization has never had an indirect cost rate and wishes to use the *de minimis* rate, your application must include an attachment labeled "Indirect Costs" that clearly states you intend to use the *de minimis* 10% of MTDC. If you have a negotiated indirect cost rate, your application must include an attachment labeled "Indirect Costs" that clearly states the approved rate and distribution base and a letter or other documentation from the cognizant agency showing the approved rate.

Governmental organizations: If your organization has a negotiated indirect cost rate, your application must include an attachment labeled "Indirect Costs" that lists the negotiated rate and a letter or other documentation from the cognizant agency showing the negotiated rate. If your organization has prepared and maintains an indirect cost rate proposal and documentation but has not negotiated the rate with your cognizant agency, your application must include an attachment labeled "Indirect Costs" that lists the proposed indirect cost rate and applicable distribution base. State and local government departments that have never negotiated indirect cost rates with the Federal government and receive less than \$35 million in direct Federal funding per year may use the 10% *de minimis* indirect cost rate, and must keep the documentation of this decision on file. Federally recognized Indian tribes that have never negotiated an indirect cost rate with the Federal government may also use the 10% *de minimis* rate and must keep the documentation of this decision on file.

V. Application Review Information.

A. Review Criteria.

1. Rating Factors

Project 1: Accessible Housing and Technology Research and Demonstration	Maximum Points: 100
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The maximum number of points 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 35 points required for Factor 1 and 35 points for Factor 2.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Key Staff

Maximum Points: 50

Minimum Points needed for consideration is 35 of 50 possible maximum points for this Rating Factor.

a. Recent Experience and Performance (Maximum 25 points)

HUD will evaluate an applicant's past performance based on the applicant's descriptions of other recent research or data analysis projects that were either fully completed within the last 5 years, that demonstrate the applicant's ability to conduct a project that is comparable in size, scope and complexity to the proposed work. For each recent engagement, applicants should provide:

- (1) a statement of the objective of the project;
- (2) a description of the research and demonstration tasks included in the engagement that would be relevant to this engagement;

- (3) a synopsis of how the research and demonstration was conducted by the applicant, including the number of hours involved; methods used to develop innovative approaches to physical configurations, technological adaptations, or existing housing types; types of disabilities, accessibilities and technologies studied; methods used to carry out the research; methods used to record, analyze and develop final designs; and the total cost of the engagement;
- (4) the name, organization, and role of any key personnel who worked on the engagement that are proposed for the this accessible housing project;
- (5) a list of written products or demonstration efforts that were generated or published documenting the research and demonstration findings, and
- (6) the name and contact information of the funding agency that supported the research.

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

b. Key Personnel (Maximum 25 points)

Applicants will be assessed based on the extent to which the narrative identifies key personnel (inclusive of in-house staff, proposed subcontractors, or consultants) with demonstrated ability and success in research or demonstration, as well as accessible design testing. The narrative should include references for similar work - demonstrating the capacity and ability to conduct research and demonstration efforts of comparable size, scope, and complexity as the project for which the applicant is applying.

To be competitive, you must demonstrate the ability to assemble a skilled team to undertake project tasks. The proposed research team should include individuals with expertise comparable in size, scope and complexity to the engagements and demonstrations in this accessible housing project. Your application will be rated on the extent to which you can demonstrate a strong, experienced team with extensive experience conducting research and documenting the demonstration of similar projects, analyzing findings, integrating multiple literature review sources, and clearly and concisely communicating findings for a broad audience.

- (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, including the prior experience of the proposed project manager in managing a project that is comparable in size, scope and complexity in “Developing Innovative Approaches to the design and construction of affordable, accessible, and desirable housing for persons with disabilities”.
- (3) Proficiency in clearly and concisely communicating findings for a broad audience.
- (4) Subject matter expertise in: design and renovation of existing housing for accessibility; types of technology currently used in the home by persons with disabilities, and every day use of the home and technology by persons with disabilities.
- (5) Proficiency in clearly and concisely communicating findings for a broad audience.

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

Rating Factor 2: Soundness of Approach Maximum Points: 45

Minimum for Funding Eligibility is 35 out of 45 points.

a. Project Management & Work Plan (Maximum 20 points)

Applicants must produce a work plan for the project that is reasonable to undertake the work. The narrative should present a clear, practical, and forward-looking plan to undertake the work proposed. The

applicant should include a labor-loading chart, which shows the allocation of resources for this project by presenting total person hours, and the key personnel required for each project task. The applicant's proposed work plan must clearly explain how the applicant will manage these activities, including the processes for:

- (1) Assigning appropriately skilled and knowledgeable staff;
- (2) Choosing appropriately skilled and knowledgeable individuals to serve on the Interdisciplinary Advisory Team
- (3) Establishing a project schedule that documents the timeline for completion of the research effort, which allocates sufficient staff time to accomplish the various project tasks in the proposed timeframes;
- 4) Managing a thorough, comprehensive, effective and transparent demonstration quality control plan;
- (5) Managing communication with PD&R staff, including the provision of written monthly status reports describing project progress as well as budget tracking;
- (6) Conferring with and using the individuals of the Interdisciplinary Advisory Team to continually review and improve Grant activities and outcomes;
- (7) Resolving issues or overcoming obstacles that may affect progress or timeliness; and
- (8) Ensuring quality control.

The management and 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. Total direct and indirect costs should be included for each task in accordance with the proposed labor rates included in the budget description.

The plan shall set start dates, completion dates, and other major milestones for each task and sub-task. Where there are inter dependencies 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 Design (Maximum 25 points)

The proposed research design will be rated on technical quality, clarity, specificity, and feasibility. The applicant is expected to include a preliminary research design that addresses the research questions to be pursued in the design and technology testing of this accessible housing demonstration. The research design shall delineate the conceptual framework for the entire project. The research design shall specify the research questions, and combinations of accessible design and technology for incorporation into existing housing that is being tested, and the demonstration and/or testing that would be performed. The research design will be evaluated on the extent to which:

- (1) The proposal is grounded in an understanding of the challenges of modifying existing housing to incorporate innovative elements of accessibility required by persons with disabilities, and a comprehensive understanding of the research literature related to more recently adopted designs and technologies to promote accessibility in the home often involved in designing accessible home renovations that incorporate innovative accessible elements;
- (2) The proposal responds to the objectives listed in the project description, including addressing key research questions and identifying key research and demonstration questions and identifying clear, testable designs;
- (3) The proposal includes sound procedures for analyzing the design and technology test findings that are appropriate and thoroughly described;
- (4) The proposal identifies potential challenges in carrying out this research effort as described, and

appropriate and creative solutions are proposed;

(5) The proposed deliverables and written products to be produced are fully described.

(6) If the applicant proposes to use HUDRD funds for building construction or rehabilitation expenses, at least one point under this factor will be based on the proposal's description of how the successful applicant will conduct outreach to Section 3 persons and Section 3 businesses and how it will provide employment, training, contracting, and other economic opportunities pursuant to Section 3 of U.S. Department of Housing and Urban Development Act pursuant to HUD's rules at 24 CFR part 13. Any construction or renovation may only be used for the creation or renovation of testing units or rooms that will be used for research purposes only.

(7) At least one point under this factor will be based on the extent to which the project will affirmatively further fair housing. Indications of such include, but are not limited to, the extent to which the proposed activity would address a goal in HUD-accepted Assessments of Fair Housing pursuant to 24 CFR 5.154 or an impediment to fair housing choice under the jurisdiction's Analysis of Impediments to Fair Housing Choice; address a high priority need for housing for persons with disabilities in accordance with Consolidated Plans under 24 CFR part 91 or PHA Plans under 24 CFR part 903; or address accessibility needs in state or local Americans with Disabilities Act (ADA) plans.

Rating Factor 3: Achieving Results and Program Evaluation Maximum Points: 5

The applicant must describe the general methods and measures it will use to ensure quality control over all aspects of this research effort. HUD has identified the broad 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; quality control and security;

(2) Quality of the written products;

(3) Timeliness of performance and effectiveness of cost control measures;

(4) Extent to which information aspects of the demonstration provide for effective communications with persons with disabilities and provide information in languages other than English for persons with limited English proficiency – e.g., solicitations for contractors or subcontractors, solicitations for persons with disabilities to test the use of accessible features; and

(5) Extent to which applicable accessibility standards are met, as well as the extent to which persons with disabilities who need or would benefit from particular accessible features find such features aesthetically pleasing and functional.

Project 2: Technical Assistance Assessment

Maximum Points: 100

The maximum number of points that can be awarded to any application is 100. The minimum score for an application to be considered for funding is 75, with individual minimum scores of 35 points required for Factor 1 and 35 points for Factor 2.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Key Staff

Maximum Points: 50

Minimum Points needed for consideration is 35 of 50 possible maximum points for this Rating Factor.

a. Recent Experience and Performance (Maximum 25 points)

Applicants will be assessed based on the extent to which the narrative articulates that the applicant (inclusive of in-house staff, proposed subcontractors, or consultants) has demonstrated ability and success in research or program evaluation, as well as data analysis. The narrative should include references for similar work - demonstrating the capacity and ability to conduct research efforts of comparable size,

scope, and complexity as the project for which the applicant is applying.

HUD will evaluate an applicant's past performance based on the applicant's descriptions of other recent research or data analysis projects that were either fully completed within the last 5 years, or are still underway, that demonstrate the applicant's ability to conduct a project that is comparable in size, scope and complexity to the work required to evaluate TA. For each recent engagement, applicants should provide:

- (1) a statement of the objective of the project;
- (2) a description of the research/evaluation or data analysis tasks included in the engagement that would be relevant to this engagement;
- (3) a synopsis of how the research was conducted by the applicant, including the number of hours involved, data collected, methods of collection, and any administrative data sources analyzed; and the total cost of the engagement;
- (4) the name, organization, and role of any key personnel who worked on the engagement that are proposed with the Technical Assistance Assessment;
- (5) a list of written products that were generated or published documenting the research findings, and
- (6) the name and contact information for the funding agency that supported the research.

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

b. Key Personnel (Maximum 25 points.)

Applicants will be rated on the following basis:

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 team to undertake project tasks. The proposed research team should include individuals with expertise in project management, administrative data analysis, data management, program evaluation, 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 social science research and evaluation projects, analyzing administrative data, integrating multiple data sources, and clearly and concisely communicating research findings in writing for a broad audience.

- (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, including the prior experience of the proposed project manager in managing a project that is comparable in size, scope and complexity to HUD's Technical Assistance program.
- (3) Experience in analyzing administrative data and experience producing Micro Strategy Reports.
- (4) Proficiency in clearly and concisely communicating research findings in writing for a broad audience.
- (5) Subject matter expertise in analyzing the provision of technical assistance.

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

Rating Factor 2: Soundness of Approach Maximum Points: 45

Minimum for Funding Eligibility is 35 out of 45 points.

a. Project Management & Work Plan (Maximum 20 points)

Applicants must produce a work plan for the project that is reasonable to undertake the work. The narrative should present a clear, practical, and forward-looking plan to undertake the work proposed. The applicant should include a labor loading chart which shows the allocation of resources for this project by presenting total person hours and the key personnel required for each project task. The applicant's proposed work 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 project schedule that documents the timeline for completion of the research effort, which allocates sufficient staff time to accomplish the various project tasks in the proposed timeframes;
- (3) Managing a thorough, comprehensive, effective and transparent data quality control plan;
- (4) Managing communication with PD&R staff, including the provision of written monthly status reports describing project progress as well as budget tracking;
- (5) Resolving issues or overcoming obstacles that may affect progress or timeliness; and
- (6) Ensuring quality control.

The management and 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. 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. 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 Design (Maximum 25 points)

The proposed research design will be rated on technical quality, clarity, specificity, and feasibility. The applicant is expected to include a preliminary research design that addresses the research questions to be pursued in the outcomes evaluation of the Technical Assistance Assessment. The research design shall delineate the conceptual framework for the entire project. The research design shall specify the research questions being tested, the variables and measures required, and the analyses that would be performed. The research design will be evaluated on the extent to which:

- (1) The proposal is grounded in an understanding of HUD's Technical Assistance program and the program goals, and a comprehensive understanding of the research literature related to Technical Assistance among low-income households and place-based initiatives;
- (2) The proposal responds to the objectives listed in the project description, including addressing key research questions and identifying clear, testable hypotheses;
- (3) The statistical soundness of the procedures proposed for analyzing the administrative data are appropriate and thoroughly described;
- (4) The proposed approach for incorporating any and all program data to supplement the administrative data analysis is comprehensive yet feasible;
- (5) The proposal identifies potential challenges in carrying out this research effort as described, and appropriate and creative solutions are proposed;
- (6) The proposed deliverables and written products to be produced are fully described.

Rating Factor 3: Achieving Results and Program Evaluation Maximum Points: 5

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

- (1) Quality of the data collection;
- (2) Quality of data quality control and data security;
- (3) Quality of its data analysis;
- (4) Quality of its written product; and
- (5) Timeliness of performance and effectiveness of cost control measures.

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. Past Performance

In evaluating applications for funding HUD will take into account an applicant's past performance in managing funds, including, but not limited to: the ability to account for funds appropriately; the timely use of funds received from HUD or other federal, state, or local programs; the timely submission and quality of reports submitted to HUD; meeting program requirements; meeting performance targets as established in Logic Models or other performance evaluation tools approved as part of the grant agreement; the timelines for completion of activities and receipt of promised matching or leveraged funds; and the number of persons to be served or targeted for assistance. Before making a Federal award, HUD is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 note to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." HUD may consider other public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or hotline or other complaints that have been proven to have merit. In evaluating past performance, HUD may deduct points from the rating score or establish threshold levels as specified under the Factors for Award in the Program NOFAs. Each Program NOFA will specify how past performance will be rated.

2. Integrity

HUD evaluates the integrity of the applicant as reflected in government-wide websites, information in HUD's files, the federal Do Not Pay portal, public information and information received during HUD's Name Check Review process. If this integrity evaluation results in an adverse finding, HUD reserves the right to take any of the remedies provided in Section III.C.4.a.5, Do Not Pay website Review.

Not Applicable

C. Anticipated Announcement and Award Dates.

HUD anticipates an announcement of a cooperative agreement award approximately 45 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.

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. 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:

1. 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;
2. Travel costs related to administration of the award;
3. Administrative services performed under third-party contracts or agreements, such as general legal services, accounting services, and audit services;
4. 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: (a) the lease must be for an existing facilities not requiring rehabilitation or construction except for minimal alterations to make the facilities accessible for a person with disabilities; (b) no repairs or renovations of the property may be undertaken with funds provided und this NOFA; and (c) properties in the Costal Barrier Resources System designated under the Costal Barrier Resources Act (16 U.S.C. 3501) cannot be leased or rented with federal funds.

5. 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.

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/econduct.cfm>.

Central Contractor Registration Requirement. See FY2016 General Section.

Debriefing. See FY2016 General Section.

B. Administrative, National and Department Policy Requirements.

For this NOFA, the following requirements apply:

Ensuring the Participation of Small Disadvantaged Business, and Women-Owned Business.

HUD is committed to ensuring that small businesses, small disadvantaged businesses, and women-owned businesses participate fully in the direct contracting and contracting opportunities generated by HUD's financial assistance. State, local, and Indian tribal governments are required by 24 CFR 85.36(e) to take all necessary affirmative steps in contracting for the purchase of goods or services to assure that minority firms, women-owned business enterprises, and labor surplus area firms are used whenever possible or as specified in the Program NOFAs. Nonprofit recipients of assistance (grantees and subgrantees) are required by 24 CFR 84.44(b) to make positive efforts to utilize small businesses, minority-owned firms, and women's business enterprises, whenever possible.

Certain Administrative and National 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 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. After selection for funding but prior to award, applicants under the categories below must also submit financial and administrative information to comply with applicable requirements as follows:

- a. Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations are also subject to 2 CFR part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

1. For state and local governments, awards will be subject to 2 CFR part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
2. For commercial/for-profit organizations, awards will be subject to 2 CFR part 200 Uniform

3. In accordance with 24 CFR 50.19(b)(1), (2), (3) and (5), activities funded under this NOFA are categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C.4321) and are not subject to environmental review under the related laws and authorities.

Participation in a HUD-Sponsored Program Evaluation.

As a condition of the receipt of financial assistance under a Program NOFA, all successful applicants will be required to cooperate with all HUD staff, contractors, or designated grantees performing research or evaluation studies funded by HUD.

C. Reporting.

1. Race and Ethnicity Data Reporting Form. HUD requires grantees that provide HUD-funded program benefits to individuals or families to report data on the race and ethnicity of those individuals receiving such benefits. Grantees that provide benefits to individuals during the period of performance, whether directly or through subrecipients or contractors, must report the data using the Race and Ethnic Data Reporting Form found on Grants.gov. The form is a data collection based on the standards published by OMB on August 13, 2002.

2. Program Progress. Awardees will be required to submit Monthly 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, indicating the draw down toward each task and providing sufficient detail to enable the GTR to monitor tasks, effort, and invoices. At the GTR's request, the awardee will provide monthly budget reporting.

3. 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.fhrs.gov or its successor system.

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 System for Award Management (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. 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% 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% 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 subawards, 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 27 of 29

\$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.

4. 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 (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 the General Section may be issued when such regulations are promulgated. HUD anticipates that the terms and conditions to its FY2014 awards will contain requirements related to meeting FFATA and Section 872 requirements.

Please direct questions regarding specific reporting requirements to the point of contact listed in Section VII below.

D. Debriefing.

For a period of at least 120 days, beginning 30 days after the awards for a Program NOFA 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 or by email by the authorized official whose signature appears on the SF424 or by his or her successor in office, and be submitted to the person, organization, or email address identified as the contact under the section entitled Agency Contact(s) in the Program NOFA. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

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 for this NOFA should be directed to the point of contact listed below.

Madlyn Wohlman Rodriguez

(202) 402-5939

madlyn.wohlmanrodriguez@hud.gov

Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

VIII. Other Information.

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

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 for inspection at HUD's Funds Available web page at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.

Activities funded under this NOFA are categorically excluded from environmental review.

Accordingly, under 24 CFR **50.19(b)(1), (2), (3) and (5)**, this program is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).