

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-5415-N-23]

Notice of Public Interest (NOPI) for Fiscal Year 2010 Transformation Initiative: Homeless Families Demonstration Small Grant Research Program

AGENCY: Office of the Assistant Secretary for Policy Development and Research, HUD.

ACTION: Notice of Public Interest (NOPI)

SUMMARY: The purpose of this notice is to inform potential applicants that the Office of Policy Development and Research (PD&R) of the Department of Housing and Urban Development (HUD) is interested in receiving preliminary applications for grants to support research activities focusing on Homeless Families. This NOPI is governed by the information and instructions found in HUD's Fiscal Year 2010 Notice of Funding Availability (NOFA) Policy Requirements and **General Section** that HUD posted on June 7, 2010 (FR 5415-N-01).

APPLICATION DEADLINE DATE: The pre-application deadline date is **February 18th, 2011. Applications must be received by Grants.gov by the deadline date.** If the preliminary application is selected for further consideration, the applicant/researcher will be contacted within 30 days after the closing of this NOPI to submit a full application. Selected applicants will be given 30 days after notification to submit a full application. Criteria for the full application are included in this NOPI. Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Please allow time for this process to ensure that you meet the timely receipt requirements. Please see the 2010 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read the APPLICATION and the SUBMISSION INFORMATION in the 2010 **General Section**, posted on June 7, 2010 (FR 5415-N-01) for electronic application submission and receipt requirements. This section contains information for using the most current Adobe Reader, timely receipt policies, and other application information.

FOR FURTHER INFORMATION CONTACT: Questions regarding specific program requirements should be directed to the agency contact identified in Section VII of this program NOPI. Questions regarding the **General Section**, should be directed to the Office of Departmental Grants Management and Oversight at (202) 708-0667 (this is not a toll-free number) or the NOFA Information Center at (800) HUD-8929 (toll-free). Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Information Relay Service at (800) 877-8339. The NOFA Information Center is open between the hours of 10:00 a.m. and 6:30 p.m. eastern time, Monday through Friday, except federal holidays.

OVERVIEW INFORMATION

A. Federal Agency Name: Department of Housing and Urban Development, Office of Policy Development and Research, Research Evaluation and Monitoring (REM)

B. Funding Opportunity Title: Transformation Initiative: Homeless Families Demonstration Small Grant Research Program

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: FR-5415-N-23; OMB Approval Number is 2528-0265.

E. Catalog of Federal Domestic Assistance (CFDA) Number: The CFDA Number for this program is 14.525.

F. Dates: The pre-application deadline date is **February 18th, 2011**. **Applications must be received by Grants.gov by the deadline date.** If the preliminary application is selected for further consideration, the applicant/researcher will be contacted within 30 days after the closing of this NOPI to submit a full application. Selected applicants will be given 30 days after notification to submit a full application. Criteria for the full application are included in this NOPI. Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Applicants need to be aware of the requirement to register with Grants.gov. Registration requires a Dun and Bradstreet Universal Data Numbering System (DUNS) number, active registration in the Central Contractor Registration (CCR), Registration with Grants.gov, and authorization by the applicant organization eBusiness Point of Contact identified in the CCR registration to authorize the Authorized Organization Representative (AOR) to submit the application on behalf of the applicant. Failure to have a complete registration will result in your application being rejected by the Grants.gov system. Please allow time for the registration process and the Grants.gov system to ensure that you meet the timely receipt requirements. Please see the **2010 General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read the APPLICATION and the SUBMISSION INFORMATION in the **2010 General Section**, posted on June 7, 2010 (FR 5415-N-01). This section contains information for using the most current Adobe Reader, timely receipt policies, and other application information.

G. Additional Overview Content Information

1. Purpose of the Program. The purpose of this NOPI is to enhance the demonstration project conducted by the Office of Policy Development and Research (PD&R) that serves Homeless Families by providing a vehicle for conducting a number of small research projects aimed at collecting additional/supplemental information and analyses.

2. Award Information. In FY2010, approximately \$150,000 was made available for this effort by the Department of Housing and Urban Development Appropriations Act, 2010 (Pub. L. 111-117 approved December 16, 2009). This program is undertaken by HUD's research authority under the Transformation Initiative Fund. The maximum grant performance period is 3 years (36 months). The maximum amount that can be requested is \$75,000. Awards under this NOPI will be made in the form of a Cooperative Agreement. A Cooperative Agreement means the HUD will have substantial involvement during the performance of the research project.

3. Eligible Applicants. Nonprofit organizations, for profit organizations located in the U.S (HUD will not pay fee or profit for the work conducted under this NOPI), foundations, think tanks, consortia, Institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education, and other entities that will sponsor a researcher(s), expert or analyst.

FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

The purpose of this NOPI is to enhance the demonstration project conducted by the Office of Policy Development and Research (PD&R) that focuses on Homeless Families by providing a vehicle for conducting a number of small research projects aimed at collecting additional/supplemental information and analyses. PD&R is also conducting several other major demonstrations in the following areas: Family Self-Sufficiency; Pre-Purchase Homeownership Counseling; and Sustainable Building Practices in Indian Country. In the near future, Notices of Public Interest will be published requesting applications for grants to support the research obtained from these demonstrations.

A. Background

The research conducted under this NOPI must focus on serving Homeless Families. Below is background information regarding the current Homeless Families demonstration contract that HUD is funding:

HUD is supporting a contractual study on *The Impact of Various Housing and Service Interventions on Homeless Families*. This study will be the largest experimental study ever conducted in the field of homelessness research, and will provide critical information regarding outcomes for homeless families that are provided with different packages of housing and supportive services in an effort to identify “what works best and for whom.” The research design calls for up to 3,000 homeless families to be enrolled into the study in ten to twelve different communities and randomly assigned to one of four interventions: 1) subsidy only, defined as a permanent housing subsidy without supportive services; 2) project-based transitional housing, defined as temporary housing assistance offered for up to 24 months in transitional housing facilities combined with an intensive set of supportive services; 3) community-based rapid re-housing, defined as temporary rental assistance for a short duration in conventional, private-market housing, with a limited set of housing-focused services; and, 4) usual care, which represents the services that people would normally access on their own from a shelter in the absence of these other interventions. The contract to conduct this demonstration has been awarded. Enrollment of families into the study began in September of 2010 and is expected to continue through September 2011. Follow up surveys will be administered between March 2012 and March 2013. Follow up surveys will be administered between March 2012 and March 2013. Current sites include: Phoenix/Maricopa County; Alameda County/Oakland; Salt Lake City/County; Boston; Atlanta Tri-Jurisdiction; Denver; New Haven/Bridgeport; Honolulu/Partners in Care; Kansas City/Jackson County; and Minneapolis/Hennepin County.

B. Goals of this Research Program/Topic

The research funded under this program must focus on Homeless Families, should be state-of-the-art, and result in substantive contributions to scientific theory. The list below is not exhaustive, but is intended to demonstrate a possible range of policy-relevant issues or questions that could be the subject of a proposed research study. However, applicants are encouraged to be creative.

1. In-depth qualitative data collection from a subset (either geographic or categorical) of families enrolled in a study tracking their homeless histories prior to study enrollment;
2. Investigation into the obstacles and challenges that homeless families face when attempting to enter a lease using a housing voucher;
3. In-depth exploration of the service needs of the children in the families, and the ease or difficulty of accessing needed services; and
4. Study of families' interaction with the local school system and the impact of homelessness on children's school enrollment, performance, and mobility.

C. Authority

HUD's authority for making funding available under this NOPI is the Department of Housing and Urban Development Appropriations Act, 2010 (Pub. L. 111-117, approved December 16, 2009). This program is undertaken by HUD's research authority under the Transformation Initiative Fund. It is being implemented through this NOPI, which, among other things, establishes the policies governing its operation.

II. Award Information

In FY 2010, approximately \$150,000 was made available for this effort. An applicant can request up to \$75, 000 for a three-year (36 months) grant performance period. Awards under this NOPI will be made in the form of a Cooperative Agreement. A Cooperative Agreement means that HUD will have substantial involvement during performance of the contemplated research project.

III. Eligibility Information

A. Eligible Applicants

Nonprofit organizations, for profit organizations located in the U.S (HUD will not pay fee or profit for the work conducted under this NOPI), foundations, think tanks, consortia, institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education, and other entities that will sponsor a researcher, expert or analyst.

B. Cost Sharing or Matching. None Required.

C. Other

1. Eligible Activities. Grant funds awarded under this NOPI must be used to support direct and indirect costs incurred in the timely completion of the research product. Eligible costs include, but are not limited to, the researcher's salary; assistants to work on the project; protected release time for researchers who demonstrate the need for a period of intensive research; computer software; purchase of data; travel expenses to collect data or to make presentations at meetings; transcription services, and compensation for interviews.

2. Threshold Requirements Applicable to All Applicants. All applicants must comply with the threshold requirements as defined in the **General Section** and the requirements listed below.

Applications that do not meet these requirements will not be eligible to receive an award.

- a. The applicant must meet the eligibility requirements as defined in Section III. A, Eligible Applicants;
- b. All proposals must focus on Homeless Families;
- c. If selected for award, the official applicant shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the organization, from the organization to the approved researcher, and that further provides all required certifications and assurances;
- d. The applicant may not request more funding than the grant maximum allocated as outlined in Section II;
- e. Applications must receive a **minimum score of 75 points** to be considered for funding;
- f. The organization (the official applicant on behalf of the researcher) must have a DUNS number and an active registration at the Central Contractor Registration (CCR) to receive HUD grant funds (See the **General Section**); and
- g. To meet timely receipt requirements electronically, both preliminary and full applications must be **received** by Grants.gov no later than 11:59:59 p.m., eastern time on application deadline dates.

3. Other Requirements. All applicants must comply with the nondiscrimination and other requirements as defined in the **General Section** (and the requirements listed below).

a. Compliance with Civil Rights Laws.

(1) With the exception of federally recognized Indian tribes and their instrumentalities, (a) applicants and their sub recipients must comply with all applicable fair housing and civil rights requirements in 24 CFR 5.105(a), including, but not limited to, the Fair Housing Act; Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II of the American Disabilities Act; Section 109 of the Housing and Community Development Act of 1974; (b) if the applicant's state or local government has passed a law or laws proscribing discrimination in housing based on sexual orientation or gender identity, or a law or laws proscribing discrimination based on lawful source of income, the applicant and any proposed subrecipients must comply with those laws,

(2) If the applicant is conducting programs or activities with funds received under a HUD program NOPI in a state or local jurisdiction that has passed a law or laws proscribing discrimination in housing based upon sexual orientation or gender identity; or, a law or laws proscribing discrimination in housing based on lawful source of income, the applicant and its subrecipients must comply with those laws of the states or localities in which the programs or activities are conducted;

(3) If you are a federally recognized Indian tribe, you must comply with the

nondiscrimination provisions enumerated at 24 CFR 1000.12, as applicable.

b. Affirmatively Furthering Fair Housing Requirements. Under Section 808(e)(5) of the Fair Housing Act (42 U.S.C. 3608(e)(5)), HUD has a statutory duty to affirmatively further fair housing. HUD requires the same of its funding recipients. Applicants under this NOPI are not required to submit an affirmatively furthering fair housing plan for their proposed research activities. However, applicants are encouraged to review the Consolidated Plans and Analyses 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 to take into account impediments to fair housing choice in their proposed research).

c. 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/promotingfh/lep.cfm>.

d. Accessible Technology. Section 508 of the Rehabilitation Act (Section 508) requires HUD and other federal departments and agencies to ensure, when developing, procuring, maintaining, or using electronic and information technology (EIT), that the EIT allow, regardless of the type of medium, persons with disabilities to access and use information and data on a comparable basis as is made available to and used by persons without disabilities. Section 508's coverage includes, but is not limited to, computers (hardware, software, word processing, email, and Internet sites), facsimile machines, copiers, and telephones. Among other things, Section 508 requires that, unless an undue burden would result to the federal department or agency, EIT must allow individuals with disabilities who are federal employees or members of the public seeking information or services to have access to and use of information and data on a comparable basis as made available to employees and members of the public who are not disabled. Where an undue burden exists to the federal department or agency, alternative means may be used to allow a disabled individual use of the information and data. Section 508 does not require that information services be provided at any location other than one at which the information services are generally provided. HUD encourages its funding recipients to adopt the goals and objectives of Section 508 by ensuring, whenever EIT is used, procured, or developed, that persons with disabilities have access to and use of the information and data made available through the EIT on a basis comparable as is made available to and used by persons without disabilities. This does not affect recipients' required compliance with Section 504 of the Rehabilitation Act and, where applicable, the Americans with Disabilities Act. Applicants and recipients seeking further information on accessible technology should go to <http://www.section508.gov/>.

e. Conducting Business in Accordance with Core Values and Ethical Standards/Code of Conduct. Applicants subject to 24 CFR parts 84 or 85 (most nonprofit organizations and state, local, and Indian tribal governments or government agencies or instrumentalities that receive federal awards of financial assistance) are required to develop and maintain a written code of conduct (see 24 CFR 84.42 and 85.36(b)(3)). Consistent with regulations governing specific

programs, the code 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 your 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. Before entering into an agreement with HUD, an applicant awarded assistance under a HUD program NOPI issued in FY2010 will be required to submit a copy of its code of conduct and describe the methods it will use to ensure that all officers, employees, and agents of its organization are aware of its code of conduct policy. The code of conduct must be dated and signed by the Executive Director, or Chair of the governing body of the organization. The date of the document cannot be earlier than the date the program NOPI for FY2010 was published on Grants.gov. 27.

IV. Application and Submission and Timely Receipt Information

A. Instructions to Download Application Package.

Applications can be downloaded from the web at:

http://www.grants.gov/applicants/apply_for_grants.jsp. All applications must be submitted electronically. The information required to submit an application is contained in the program section of this NOPI and the **General Section**. See the **General Section** for specific procedures concerning the electronic application submission and timely receipt requirements.

Grants.gov Customer Support. Grants.gov provides customer support information on its website at <http://www.grants.gov/contactus/contactus.jsp>. Applicants having difficulty accessing the application and instructions or having technical problems can receive customer support from Grants.gov by calling (800) 518-GRANTS (this is a toll-free number), or by sending an email to support@grants.gov. The Grants.gov Help Desk can be reached twenty-four hours per day, seven days per week, except federal holidays. HUD recommends calling the Help Desk rather than emailing, because determining the basis for the problem may take some conversation with the Grants.gov Support Customer Service Representative. See the **General Section** for information regarding the registration process or ask for registration information from the Grants.gov Support Desk.

Applicants may request general information from the NOFA Information Center at (800) HUD-8929 or (800) HUD-8339 (TTY) between the hours of 10 a.m. and 6:30 p.m. eastern time, Monday through Friday, except on federal holidays. When requesting information, please refer to the name of the program you are interested in.

B. Application Content and Forms for Submission. The process of applying for a grant through this NOPI involves a two step process. Applicants are invited to submit a preliminary application for funding consideration. If the preliminary application is selected for further consideration, the applicant/researcher will be contacted within 30 days after the closing of this NOPI to submit a full application. Selected applicants will be given 30 days after notification to submit a full application. Criteria for the full application are included in this NOPI. The general process for downloading, completing, submitting, and tracking grant application packages is described at http://www07.grants.gov/applicants/apply_for_grants.jsp. Both the preliminary and full application must be submitted via Grants.gov

V. Application Review Information

A. Preliminary Applications. HUD will use the response to the factors below to rate, rank, and invite applicants to submit a full application. The responses provided to the factors in the preliminary application are the only source of information that will be utilized to invite an applicant to submit a full application. Applications must not identify the researcher, either directly or indirectly through citations. The project description in the application should not identify any participating researcher, any institutional affiliation of a participating researcher, or cite by name any paper written or co-authored by any participating researcher. Submissions that violate the preceding provision will be disqualified. A separate cover sheet with the name and contact information for the applicant shall be included. The application must not exceed 5 pages in length (excluding the cover sheet). In addition, the application must be submitted and formatted to fit an 8 ½ by 11-inch paper, double-spaced, with one-inch margins (for the top, bottom, left, and right sides of the document) and in standard Times New Roman 12-point font. Please do not include the name of the applicant on each page but make sure it is numbered. Note that although submitting pages in excess of the page limit will not disqualify the application, HUD will not consider the information on any excess page.

1. Criteria for Preliminary Review Factors:

a. Rating Factor 1: Policy Relevance Proposed Research (30 Points): This factor addresses the extent to which there is a need for the proposed research. Applicants must describe their proposed research and articulate how it informs local, state, or federal policy. They must be clear and precise about how their research will be exploited for the purpose of informing homelessness policy.

b. Rating Factor 2: Contribution of the Proposed Research (30 Points): Under this factor, the applicant must state the research question(s) and describe the specific contribution the research is expected to make. Please remember that the proposed research is expected to significantly enhance the existing pool of scientific theory and evidence on the effectiveness of public policy and, ideally, will also involve substantive advances in relevant methodologies.

c. Rating Factor 3: Technical Merit and Feasibility of the Proposed Research (30 Points): This factor addresses the technical merit and feasibility of the proposed research. Under this factor, applicants must describe the research design, including the scientific methods used, the data sources and data collection instruments utilized, or other observational techniques in addition to valid analytic methods for addressing research questions and hypotheses.

d. Rating Factor 4: Realism of the Proposed Schedule (10 Points): Under this factor, applicants must include a timeline for the expected completion of the proposed research. The proposed completion schedule must be appropriate for the methodology used. HUD expects that the proposed research should be completed within three years of the date of award.

2. Forms:

In addition, the following forms should also be included. Copies of the instructions and all forms

are available online at:

(1) **SF_424_Application_for_Federal_Assistance.** Please remember the following:

(i) The name of the official applicant for this program. Please make sure that the name of the applicant in box 8a is the applicant's legal name and that the DUNS number and address are listed on this form (not the researcher's information). When entering the zip code, be sure to enter the 9 digit zip code. Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact person. This is the contact at the organization **who will receive all pertinent information from HUD regarding this application; therefore, please ensure the accuracy of the information; this person must have knowledge of the content of the application submitted under this program.**

(ii) The total grant amount requested for the total performance period of the grant.

(iii) The organization's Employer Identification/Tax ID.

(iv) The DUNS Number associated to the applicant's legal name identified in Box 8a of the SF_424 form.

(v) The Catalog of Federal Domestic Assistance Number for the program is 14.525.

The signature of the Authorized Organization Representative (AOR) who by virtue of submitting an application via Grants.gov has been authenticated by the credential provider and approved by the organization's eBusiness Point of Contact to submit applications on behalf of the institution. If the AOR has not been granted approval to submit the application, the application will be rejected by the Grants.gov system. The AOR must be able to make a legally binding agreement.

B. Full Application Content and Form of Application Submission. The **full application** will be submitted by invitation only and must contain, at a minimum, the following elements: table of contents, executive summary, and narrative for the rating factors, budget, budget narrative, and additional forms. The full application will be posted at Grants.gov. Eligible applicants are only those invited by HUD to submit a full application. All other applications submitted will not be read and are ineligible for funding.

1. Table of Contents.

2. Executive Summary (700 words or less). The Executive Summary should, at a minimum, include a summary of the proposed research project with the following information:

(a) Overview of the proposed research (including title).

(b) The specific objective of the research that will be conducted.

(c) Problems/issues being addressed.

(d) Methodology being employed to conduct the research.

(e) Intellectual merit of conducting the research.

(f) The broader impact of conducting the research.

(g) How the researcher meets the eligibility criteria for the program.

(h) Researcher's address, telephone number, facsimile number, and e-mail address.

3. Narrative statement addressing the rating factors. HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank full applications. This step in the process has four rating factors that need to be addressed: (i) capacity of the applicant and relevant experience to do scientific research; (ii) need for proposed research; (iii) soundness of approach; and (iv) realism and value to the government. The narrative statement is the main source of information when rating and ranking applications. Therefore, it is very important that the researcher becomes fully familiar with the rating factors for the program. The narrative should be numbered in accordance with each factor and sub-factor. Make sure to address each factor

and sub-factor and provide sufficient information about every element. Do not include Social Security Numbers in the application. The application narrative, bibliographies, and any supporting references must not exceed 20 pages in length (excluding forms, assurances, budget narrative, table of contents, and executive summary), and must be submitted and formatted to fit an 8 ½ by 11-inch paper, double-spaced, with one-inch margins (for the top, bottom, left, and right sides of the document) in standard Times New Roman 12-point font. Each page must be numbered and the name of the applicant and researcher must be on each page. The double-spacing requirement applies to the narrative section of the application (excluding references and bibliographies). Submitting pages in excess of the page limit will not disqualify an application; however, HUD will not consider the information on any excess page. This exclusion may result in a lower score or failure to meet a threshold requirement. **Please do not attach responses to each factor separately. Please follow the instructions on use of zipped files, file extensions, and file names in the General Section. File names should not contain spaces, dashes, or special characters. Failure to follow the file name requirements can result in the application being rejected by the Grants.gov system.**

4. Budget. (This section must be resubmitted.) The budget submission must include the following:

(a) HUD_424_CB_Grant_Application_Detailed_Budget. This budget form shows the total budget by year (12 month period) and by line item for the program activities to be carried out with the proposed HUD grant. Make sure that the amount shown on the SF_424, HUD_424_CB, and budget narrative are consistent and the budget totals are correct. Remember to check addition in totaling the categories on the HUD_424_CB form so that all items are included in the total. The budget form must be fully completed. If there is any inconsistency between any required forms and/or budget narrative, the HUD_424_CB will be used. If this correction puts an application over the grant maximum, the researcher will not be able to correct the amount requested and the application will be disqualified. If an application is selected for award, the researcher may be required to provide greater specificity to the budget during grant agreement negotiations.

(b) Budget Narrative. A narrative must be submitted that explains how the researcher arrived at the cost estimate for each line item. The proposed cost should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed. The researcher must pay close attention to accurately estimating costs, determining the necessity for and reasonableness of costs proposed, and correctly computing all budget items and totals.

(c) Indirect costs. Indirect costs, if applicable, are allowable based on an established approved indirect cost rate. **Applicants must have on file, and submit to HUD if selected for award, a copy of their approved indirect cost rate agreement.** Applicants that are selected for funding but do not have an approved indirect cost rate agreement established by the cognizant federal agency, will be required to establish a rate. In such cases, HUD will issue an award with a provisional rate and assist applicants with the process of establishing a final rate.

5. Appendix. The appendix section of an application must not exceed five (5) pages in length (excluding forms, budget narrative, resumes, back up material, letters of reference, and assurances). Each page must be numbered and include the researcher's name and the name of the organization (official applicant).

6. Form. All forms listed below must be placed in the appendix section of the application. The following forms are needed for submission:

(1) SF_424_Supplement_Survey_on_Ensuring_Equal_Opportunities_for_Applicants (Faith_Based_EEO_Survey (SF_424 SUPP)).

(2) SF_LLL_Disclosure_of_Lobbying_Activities, if applicable.

(3) HUD_2880_Applicant/Recipient_Disclosure/Update Report

(4) HUD_Applicant_Recipient_Disclosure_Report), if applicable

(5) HUD_2993_Acknowledgement_of_Applicant_Receipt. Applicants/researchers/faculty members are not required to include this form, for electronic applications as they can track their application on line by going to www.grants.gov and clicking on “Track My Application”. Applicants that have requested a waiver and are approved for the submission of a paper application and use this form to obtain a receipt approved. Please include in your application with the name and address completed.

(6) HUD_96010_Program_Outcome_Logic_Model; and

(7) HUD_96011_Third_Party_Documentation_Facsimile_Transmittal (Facsimile_Transmittal_Form on Grants.gov). This form must be used as the cover page to transmit third party documents and other information. Applicants are advised to download the application package and complete the SF_424, which will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please do not use your own fax sheet. HUD will not read any faxes that are sent without the HUD_96011 fax transmittal cover page. **Note: In order for the application to be transmitted you must complete this form even if you are not faxing any documents. In the section of the form titled “Name of Document Transmitting,” enter the words “Nothing Faxed with this Application.” Complete the remaining highlighted fields and enter the number “1” in the section of the form titled “How many pages (including cover) are being faxed?” It is important that you read the General Section for other specifics.**

4. **Certifications and Assurances.** Please read the **General Section** for detailed information on all Certifications and Assurances.

When submitting attachment files, please pay close attention to the requirements for naming the attachment files. Attachment file names cannot have spaces, dashes, special characters or be longer than 50 characters in length. Failure to follow these directions will result in a “VIRUSDETECT” error message and your application being rejected by the Grants.gov system.

C. Submission Date and Timely Receipt Requirements for Full Applications.

Electronic applications must be received by Grants.gov on or before 11:59:59 p.m. eastern time on the application deadline date. Once received applications go through a validation process. Applicants must allow time for the validation process. Please see the 2010 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants can then track their applications by clicking on the “Track My Application” link and logging on using their Password and ID. HUD urges applicants to submit applications early.

D. Intergovernmental Review

This program is excluded from the Intergovernmental Review process.

E. Funding Restrictions

1. Funding will only be provided to researchers who meet the standards for eligible applicants outlined in Section III.
2. Grant funds awarded under this NOPI may not be used to pay for computer hardware and/or meals.
3. Fee or profit will not be paid for work done under this NOPI.
4. Dissertation support is not eligible under this program.
5. Applicants must comply with the Delinquent Federal Debt Requirement as defined in the **General Section**.

F. Other Submission Requirements

1. Application Submission and Timely Receipt Instructions

Applications under this NOPI for both steps in the process must be received electronically through the Federal website Grants.gov unless a waiver of this requirement is granted in accordance with the instructions below. See the **General Section** for additional information on the electronic process requirements and how to request a waiver from the requirement if necessary. Applicants requesting a waiver must submit their requests in writing no later than 15 days prior to the preliminary application deadline date. The letter must be addressed to Dr. Raphael W. Bostic, Assistant Secretary for Policy Development and Research, and be submitted via e-mail or fax to:

Michael Morse
Office of Research, Evaluation, and Monitoring
E-mail: Michael.T.Morse@hud.gov
FAX: (202) 619-8360

Paper applications will not be accepted from applicants that have not been granted a waiver. If an applicant is granted a waiver, the approval notice will provide instructions for application submission and receipt requirements. **All applications in paper format must have received a waiver to the electronic application requirement and must be received no later than 3:59:59 p.m., close of business, on the application deadline date. Applicants that receive a waiver to submit a paper application are not exempt from the requirement to have a DUNS number and active registration in CCR.**

The preliminary application deadline for receipt of HUD applications via Grants.gov is 11:59:59 p.m. eastern time on **February 18th, 2011**. If the preliminary application is selected for further consideration, the applicant/researcher will be contacted within 30 days after the closing of this NOPI to submit a full application. Selected applicants will be given 30 days after notification to submit a full application. Applications must be received by Grants.gov by the deadline in order to meet the program deadline. Received means that the application has been successfully uploaded to the Grants.gov server and the applicant has received confirmation of successful submission to Grants.gov. Applicants should be aware that hitting the “sign and submit” button to transmit the application does not mean the application has been successfully uploaded to Grants.gov. Only when the upload is complete, the application date and time stamped by the Grants.gov system. An application that has been rejected by Grants.gov is not deemed to have

been received by Grants.gov. (Please see the **General Section** for a detailed explanation of Timely Receipt Requirements and Proof of Timely Receipt.) As in the past, HUD encourages applicants to submit their applications early and with sufficient time to address any issues that might affect the applicant's ability to have an application successfully uploaded and received by Grants.gov.

G. Criteria for Full Application

1. Rating Factor 1: Capacity of the Applicant and Relevant Experience (25 Points).

In reviewing this factor, HUD will determine the extent which the applicant clearly addresses the following:

- a. Describe the skills and expertise possessed to conduct research. Research skills and expertise will be judged in terms of how recent they are. Research skills and expertise developed within the last two (2) years will be considered recent.
- b. List and identify key project team members/staff and partners, include their title and name, respective roles, and the amount of time each individual will be involved in the project.
- c. Describe the knowledge and experience possessed by all parties involved (as outlined above) to undertake the proposed research. Knowledge and experience will be judged in terms of how relevant it is to the research proposed (e.g., course work, teaching, research projects, and presentations). Knowledge and experience developed within the last five (5) years in the area of proposed research will be considered relevant.
- d. Provide a detailed list that outlines the preliminary steps that were taken to identify the proposed research question in relation to the above-mentioned demonstration projects.

2. Rating Factor 2: Need for the Research (10 Points). This factor addresses the extent to which there is a need and a demand for funding the proposed research. HUD encourages researchers to undertake research that will assist the Department in implementing its policy priorities and that help the Department achieve the goals of its Strategic Plan for FY 2010- FY 2015. In reviewing this factor, HUD will determine the extent to which the researcher clearly addresses the following:

- a. Describe the need for funding the proposed research (i.e., based on questions derived from identified gaps in the literature or knowledge from professional practice or the public record).
- b. Describe the significance of the work, including its relationship to past research. Reviewers will look at the clarity and how compelling a case the researcher makes for this project in the context of the existing literature and knowledge base for the topic proposed.
- c. Discuss the results or findings the proposed research is expected to produce, including the broader impact expected, and explain why the information will be generally accepted by researchers and practitioners in your field and other related disciplines.
- d. Explain the direct relationship between the proposed research and HUD's Strategic Goals. If an applicant proposes a topic not covered by HUD's Strategic Goals, the applicant must explain the relevance of that topic to HUD's Strategic Plan for FY 2010 – FY 2015, and how the proposed research will assist HUD in meeting its strategic goals and success measures contained in the HUD Strategic Plan. For a full list and explanation of the annual goals and objectives, please refer to the **General Section**.

3. Rating Factor 3: Soundness of Approach (45 Points). This factor addresses the relationship between the need proposed in Factor 2, the quality and effectiveness of the proposed research, and methodology and actions proposed. This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

a. (25 Points) Quality of Research.

(1) State the proposed research question/hypothesis and how it relates to the need described in Factor 2;

(2) Describe in detail the proposed research design as it relates to the question/hypothesis stated above;

(3) Explain how the proposed methodology will be used to complete the proposed research;

(4) explain why the proposed research methodology is feasible, given the specifics about the demonstration available;

(5) Identify potential obstacles in completing the research, including challenges of collecting reliable data and discuss how they will be handled. If the research product is dependent on any data sources that are not readily attainable and require obtaining permission to access them, please outline the alternatives that will be utilized to complete the research should access to the data sources not be obtained; and

(6) Describe the quality assurance mechanisms that will be integrated into the proposed research design to ensure the validity and quality of the results.

b. (18 Points) Specific Activities. The research schedule must identify all the major tasks/benchmarks involved in completing the proposed research project. The tasks/benchmarks must be presented in a logical sequence of steps and phases, with individual tasks described for each, as well as plans for data management and analysis.

(1) Indicate the sequence in which these tasks/benchmarks will be performed;

(2) The sequence and duration of this effort should be presented in quarterly (3 month) intervals for the entire life of the grant (use of a milestone chart to present this information is preferred);

(3) Describe the plan that will be used to manage and analyze the data; and

(4) Identify any key individuals assisting in the proposed activities.

Individuals who propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of site visits within the grant period) will be determined less feasible for completion within the allotted grant performance period. For example, if the proposed methodology is based on information that may not be publicly available until after the end of the grant period (e.g., Census information), or a data collection plan that will take longer than the allotted grant performance period, zero points will be awarded for this factor.

c. (2 Points) HUD Policy Priorities. As described in the **General Section**, HUD is encouraging applicants to undertake programs and projects consistent with the HUD Strategic Plan for FY 2010 - FY 2015. HUD's Policy Priorities have been established to encourage applicant to take additional actions to help achieve HUD's strategic goal. As outlined in the **General Section**, this year each NOPI will specify which Policy Priorities are applicable to receive points under the specific program, as well as the total number of possible points that may be awarded. Under this program NOPI applicants can only receive two (2) points and must respond to one of the following two policy priorities: 1) Capacity Building and Knowledge Sharing, or 2) Expand Cross-Cutting Policy Knowledge. Each policy priority listed has a value of up to two (2) points associated with the priority. It is up to the applicant to determine which of the policy priorities

outlined below (and only the priorities listed below) they will address in order to receive the available two (2) points.

(1) Capacity Building and Knowledge Sharing- Applicants requesting the policy priority points must demonstrate the proposed direct impact their research can have in their field. To receive the full two (2) points under this policy priority an applicant must respond to at least one or more of the activities listed below and explain how success will be measured during the grant performance period:

a. Activities

- Implementation of a research dissemination plan.
- Integration of the research findings with other researchers or practitioners in the related field of study.
- Presentation of research findings at an academic or professional conference.

b. Measures of success:

- Development of at least one (1) new activity by partner organizations as a result of the outcomes of the research to enhance current program. Examples may include needs assessments, data analysis utilization of technology, performance management and evaluation specific to the programmatic purpose of the grant.
- Presentation of research finding at two (2) or more academic or professional conferences in the related field of study.

(2) Expand Cross-Cutting Policy Knowledge- To receive the full two (2) points under this policy priority an applicant must respond to at least one or more of the activities listed below and explain how success will be measured during the grant performance period:

a. Activities:

- Identify partnerships/relationships that will be established with other entities to capture and track the data collected as a result of the research conducted.
- Meet with representatives from State and local government to share research findings.
- Conduct presentations of research to policymakers or decision makers to enhance knowledge of housing issues.

b. Measure of Success:

- Development of at least two (2) partnerships/relationships to capture and track data collected as a result of the research conducted.
- Development of a publishable document that will serve as a guide to implement a reliable cross cutting program as related to housing issues and possible modifications to existing policies.
- Presentation of research findings at one (1) or more conferences/gathering to State and local government representatives.

Applicants that just list a priority, select priorities other than those listed above, or fail to address the minimum required items outlined, will receive no points under this subfactor. Please refer to the General Section for additional information about HUD's policy priorities.

4. Rating Factor 4: Realism and Value to Government (10 Points). In assessing this factor, HUD will consider the likelihood that the goals of the proposed project will be realized given (1) the total budget, (2) the time budgeted for the Principal Investigator, (3) the time budgeted for other personnel, (4) the demonstrated capability of other personnel, (5) overhead and travel costs, (6) scheduling of tasks, and (7) resources provided by sources other than HUD. HUD will also

consider whether the level of funding requested is too large, given the most probable results from the research.

5. Rating Factor 5: Achieving Results and Program Evaluation (10 Points). This factor reflects HUD’s goal to embrace high standards of management and accountability. It measures the researcher’s commitment to assess their performance to complete their proposed research within the grant performance period. Researchers are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring performance and determining the outputs to achieve their proposed outcome(s). The Logic Model is a summary of the narrative statements presented in Factors 1 through 4. Therefore, it should be consistent with the information contained in the narrative statements.

In evaluating this factor, HUD will assess the extent to which the researcher demonstrates how results of completing the research will be measured as outlined in the proposed work plan. To meet this factor requirement, researchers must submit a completed HUD_96010 Program-Outcome-Logic-Model. Researchers must select from the list of activities and outcomes to determine their specific methods and measures that will be used to assess progress and evaluate program effectiveness. If an item is not found on the list of activities or outcomes, applicants can select “other” and then insert the activity and/or outcome and unit of measurement. Researchers can use the “other” option for up to three activities and three outcomes. See the instructions tab in the Logic Model for further details. HUD will not accept activities or outcomes selected as “other” that do not contain an identified statement of the activities/outcomes or units of measurement. Utilizing this form will help researcher to ensure that performance measures are being met and achievable realistic goals are being established.

a. Logic Model instructions (using a Microsoft Excel[®] form) are provided on the Logic model form that can be downloaded from http://www07.grants.gov/applicants/apply_for_grants.jsp. Researchers who do not have access to Microsoft Excel[®] 2003 or 2007, should contact the NOFA Information Center at (800) HUD-8929. Individuals with hearing or speech impairments may access this number via the toll-free Federal Information Relay Service at (800) 877-8339. **NOTE: A narrative response is not required for this factor as all applicants must use the Logic Model form to respond to this factor.** However, if a narrative is included, these pages will be included in the page count. HUD has developed a new approach to completing this form. Applicants should also review the Logic Model training, which can be found online at <http://www.hud.gov/webcasts/index.cfm>.

b. HUD will review the outputs and outcomes in relation to the needs identified. “**Outcomes**” are ultimate goals. A researcher must clearly identify the outcomes to be measured and achieved. Examples of outcomes are the completion of the research, the plan to disseminate the research, and the benefits of the research study to HUD’s policy priorities and annual goals and objectives.

In addition, a researcher must establish outputs that lead to the ultimate achievement of the outcomes. “**Outputs**” are the direct benchmarks and indicators that will allow a student to measure their performance. Performance indicators should be objectively quantifiable and measure actual achievements. At a minimum, the researcher must address the following activities in the evaluation plan:

- (1) Identify benchmarks that will be used to track the progress of the research study; and

(2) Indicate the sequence in which tasks will be performed. Researchers must also reference policy priorities, as stated in their response to Factor 3, and relate them to the completion of the research project.

HUD will evaluate the Logic Model in accordance with the matrix provided in Attachment 1 of the **General Section**.

B. Review and Selection Process.

1. Application Selection Process.

Three types of reviews will be conducted:

- a. A threshold review to determine an applicant's basic eligibility;
- b. An initial review for all applications that pass the threshold review, to determine which applicants will be requested to submit a full proposal; and
- c. Technical Review that will rate and rank all full proposals based on the "Rating Factors" listed in this NOPI.

Only those preliminary applicants invited to submit a full application will receive a technical review and be rated and ranked.

2. Rating Panels. To review and rate applications, HUD may establish panels that may include experts or consultants not currently employed by HUD. These individuals may be included to obtain certain expertise.

3. Ranking. HUD will fund applications in rank order, until all available program funds are awarded. **In order to be considered for funding, an applicant must receive a minimum score of 75 points** out of a possible 100 points for Factors 1 through 5. The **RC_EZ_EC_II** communities' two bonus points described in the **General Section** do not apply to this NOPI. If two or more applications have the same number of points, the application with the most points for Factor 3 shall be selected. If there is still a tie, the application with the most points for Factor 4 shall be selected. If there is still a tie, the application with the most points for Factors 1 and then 2 shall be selected, in that order, until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees.

HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down an award offer, HUD will make an award to the next highest-ranking application.

HUD will not fund any portion of an application that is not eligible for funding under regulatory requirements and that does not meet the requirements of the NOPI.

4. Correction to Deficient Applications. See the **General Section**.

C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before **June 1st, 2011**.

VI. Award Administration Information

A. Award Notices

After all selections have been made, HUD will notify all winning official applicants (not researchers) in writing. HUD may require winning applicants and researchers to participate in

additional negotiations before receiving an official award. For further discussion on this matter, please refer to the **General Section**.

B. Administrative and National Policy Requirements. Refer to the **General Section**.

1. Debriefing. The **General Section** provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted within 30 days of receipt of comments to Mr. David Chase, Office of Research, Evaluation and Monitoring, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 8126, Washington, DC 20410-6000. Applicants may also write to David Chase via e-mail at David.E.Chase@hud.gov.

2. Environmental Requirements. The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under 24 CFR 50.19(b)(1) and (b)(9).

3. Administrative. Grants awarded under this NOPI will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations), OMB Circular A-21 (Cost Principles for Educational Institutions) and OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

C. Reporting Requirements

1. All researchers that receive grant funds under this program NOPI are required to submit quarterly progress reports which describe the progress of the effort and the likelihood that it will be completed on time and a financial status report (using the form SF-425). Reports must be submitted electronically.

At the end of the grant performance period, researcher must submit to HUD two copies and a CD-ROM containing an electronic copy of the paper documenting the research finding in its final version, as well as a final report which summarizes the entire work and achievements conducted under this award.

2. Applicants selected for funding should also be aware that they will be required to report sub-award information within 30 days of making a sub-award in an amount of \$25,000 or greater as required by the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). Referred to as the Transparency Act and by the acronym FFATA. The Federal Funding Accountability and Transparency Act of 2006 calls for the establishment of a central Web site that makes available to the public full disclosure of all entities receiving federal funds.

Applicants should be aware that the law requires the information provided on the federal web site to include the following elements related to all sub-award transactions \$25,000 or greater.

- a. The name of the entity receiving the award;
- b. The amount of the award;
- c. Information on the award, including the transaction type, funding agency, the North American Industry Classification System code or Catalog of Federal Domestic Assistance number (where applicable), program source, and an award title descriptive of the purpose of each funding action;
- d. The location of the entity receiving the award and primary location of performance under the award, including the city, state, congressional district, and country/parish;

- e. A unique identifier (DUNS number) of the entity receiving award and of the parent entity of the recipient (DUNS number of the parent entity) should the entity be owned by another entity;
- f. Federal parent award number and sub-award grant number,
- g. The tier level the sub-award was made at; and
- h. Any other relevant information specified by OMB.

There are exceptions for sub-awards less than \$25,000 made to individuals or to an entity whose annual expenditures are less than \$300,000.

Applicants should also be aware that the sub-award provision carries to all tiers (e.g. a direct award is made by HUD to an organization that in turn makes an award to another organization that then makes another award and so on). Collection of the tier level at which the award is made as well as federal parent award number can help in tracing the sub-award data as it tiers down several levels. OMB has published Interim Final Guidance to agencies regarding the FFATA subrecipient reporting requirements in the Federal Register on September 14, 2010 (75FR55663.)

3. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as "Section 872." Section 872 requires the establishment of a government-wide data system 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. It is anticipated that the federal data system will be known as the Federal Awardees Performance and Integrity Information System (FAPIIS). Only federal officials and the entity will be able to view the information in the FAPIIS system. In furtherance of requirements of Section 872, each recipient of federal funds with a cumulative value greater than \$10 million and their direct (i.e., first-tier) subrecipients would be required to report to the Federal Awardee Performance and Integrity Information System (FAPIIS). The data collection requirements includes information about certain civil judgments, criminal convictions, and outcomes of administrative proceedings that reached final disposition within the most recent 5-year period and were connected with the award or performance of a federal or state award. Recipients and first-tier subrecipients must report information at least semi annually to maintain the currency of the information. Section 872 also requires that an entity be allowed to submit comments to the data system about any information that system contains about the entity. Use of the FAPIIS system requires a DUNS number and current valid registration in the CCR for HUD awardees and first-tier subrecipients. OMB issued a proposed rule for compliance with Section 872 and other matters on February 18, 2010. Comments were received and OMB is expected to issue a final rule in the near future. The terms and conditions to the award will contain requirements for meeting the reporting requirements of the Transparency Act and Section 872.

VII. Agency Contacts

Applicants may contact Michael Morse at (202) 402-5738 or David Chase at (202) 402-5733. Persons with speech or hearing impairments may call the Federal Information Relay Service TTY at (800) 877-8339. Except for the "800" number, these numbers are not toll-free. Applicants may also reach Mr. Morse via e-mail at Michael.T.Morse@hud.gov or Mr. Chase at David.E.Chase@hud.gov.

VIII. Other Information:


A. Proprietary Information

Because it is the intent of this program to accelerate the use of the information provided, any information or research results which the researcher proposes to remain proprietary, must be discussed in their application. Since it is important that the information received be made available, such request for retention of proprietary information would be considered during the review process.

B. Paperwork Reduction Act. The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0265 for the Transformation Initiative: Homeless Families Demonstration Small Grant Research Program. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to **average 59** hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly reports, and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

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

Dated: JAN 08 2011



Raphael W. Bostic
Assistant Secretary for
Policy Development and Research

[FR-5415-N-23]