

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
[Docket No. FR-5415-N-23A]
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

SUMMARY: This notice is to inform selected applicants that applied under competition FR-5415-N-23 for the Office of Policy Development and Research (PD&R) of the Department of Housing and Urban Development (HUD) grants to support research activities focusing on Homeless Families of the opportunity to submit their full applications for consideration. This Notice 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) and the initial request for applications in FR-5415-N-23.

FOR FURTHER INFORMATION CONTACT: Questions regarding specific program requirements should be directed to the agency contact identified in Section VII of this Notice. 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, Request for full applications.

C. Announcement Type: Full Application announcement.

D. Funding Opportunity Number: FR-5415-N-23A; 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 full application deadline date is **May 11, 2011. Applications must be received by Grants.gov by the deadline date.** 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 INSTRUCTIONS 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. (Please see: http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

G. Additional Overview Content Information

- 1. Purpose of the Program.** The purpose of this Notice is to notify applicants that had submitted applications for funding under HUD's funding opportunity Notice of Public Interest (NOPI) for Fiscal Year 2010 Transformation Initiative: Homeless Families Demonstration Small Grant Research Program (FR-5415-N-23) that their preliminary application has been accepted for further consideration and HUD is asking for a full application as required under that NOFA.
- 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). A Technical Correction added an additional \$125,000 in FY2010 funding for a new total of \$275,000. Funding for this effort is made available 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 Notice will be made in the form of a Cooperative Agreement. A Cooperative Agreement means HUD will have substantial involvement during the performance of the research project.
- 3. Eligible Applicants.** Eligibility for funds under this Notice is restricted to applicants who have been preliminarily selected and are now invited to submit a full proposal based on a preliminary proposal that was submitted in response to HUD's Notice of Public Interest (NOPI) for Fiscal Year 2010 Transformation Initiative: Homeless Families Demonstration Small Grant Research Program (FR-5415-N-23). See listing of eligible applicants below.

FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

The purpose of this Notice is to notify applicants that submitted applications under HUD's funding opportunity Notice of Public Interest (NOPI) for Fiscal Year 2010 Transformation Initiative: Homeless Families Demonstration Small Grant Research Program (FR-5415-N-23) that their preliminary application has been reviewed and they are now invited to submit a full application for consideration.

A. Background

HUD issued its funding opportunity Notice of Public Interest (NOPI) for Fiscal Year 2010 Transformation Initiative: Homeless Families Demonstration Small Grant Research Program (FR-5415-N-23) on January 3, 2011. That Notice requested preliminary applications for research to focus on serving Homeless families. The evaluation of those applications has been completed and HUD is now requesting successful applicants to submit their full application in accordance with the requirements set forth in Notice FR-5415-N-23.

B. Goals of this Research Program/Topic

The research funded under this program must focus on Homeless Families and enhance the contractual study HUD is supporting called *The Impact of Various Housing and Service Interventions on Homeless Families*. The goal of this Notice is to provide a vehicle for conducting a number of small research projects aimed at collecting additional/supplemental information and analyses.

C. Authority

HUD's authority for making funding available under this Notice 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 Notice, which, among other things, establishes the policies governing its operation.

II. Award Information

In FY 2010, approximately \$275,000 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 Notice 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

Eligibility for funds under this Notice is restricted to applicants who have been selected to submit full applications under the funding opportunity Notice of Public Interest (NOPI) for Fiscal Year 2010 Transformation Initiative: Homeless Families Demonstration Small Grant Research Program (FR-5415-N-23). Selected applicants are eligible to submit a full application based on their preliminary application. The list of eligible applicants is restricted to the following:

Cathy Hinko, Executive Director, Metropolitan Housing Coalition, Inc., PO Box 4533, Louisville, KY 40204-4533 for a full proposal based on the preliminary proposal titled "The

Impact of Various Housing and Service Interventions on Homeless Children’s Educational Outcomes” (Grant Tracking Number 10811436)

Dr. Richard Koenig, President, RK Development Solutions, Inc., 2075 Windy Hill Lane Oakland, MI 48363-2941, for a full proposal based on the preliminary proposal titled “Assisting Homeless Families with Housing Vouchers: Market, Political, and Social Factors” (Grant Tracking Number 10811912)

Ms. Amber Fink, University of Minnesota, 450 McNamara Alumni Center, 200 Oak Street SE Minneapolis, MN 55455 for a full proposal based on the preliminary proposal titled “The evaluation of educational and child welfare experiences of homeless youth” (Grant 10812246) and for a full proposal based on the preliminary proposal titled “The effects of housing and service interventions on academic achievement and school factors for children experiencing homelessness” (Grant Tracking Number 10812256)

Ms. Elaine de Coligny, Executive Director, EveryoneHome, a project of the Tides Center PO Box 29907, San Francisco, CA 94129-0907 for a full proposal based on the preliminary proposal titled “Alameda County Expansion (ACE) Study: A comprehensive, local expansion on the national study of the Impact of Various Housing and Services Interventions on Homeless Families” (Grant Tracking Number 10812780)

Mr. Patrick Moynahan, Executive Vice President, Cloudburst Consulting Group, Inc. 8100 Corporate Drive, Suite 320, Landover, MD 20785-2231 for a full proposal based on the preliminary proposal titled “Homeless Families, Preschool Enrollment, and Housing Stability” (Grant Tracking Number 10810009)

B. Cost Sharing or Matching

None Required.

C. Other

1. Eligible Activities. Grant funds awarded under this Notice 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. Eligible activities are those identified in FR-5415-N-23.

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 be based upon the preliminary application submitted to and accepted by HUD under the initial announcement. Preliminary application tracking numbers are listed with the name of the applicant that have been approved by HUD for further funding consideration
- c. If selected for award, the selected 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. Full 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 Americans with 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, 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 Notice and the **General Section**. See the **General Section** for specific procedures concerning the electronic application submission and timely receipt requirements, on the web at: <http://www.hud.gov/offices/adm/grants/nofa10/gensec.pdf>.

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

The process of applying for a grant through this Notice involves two steps. The first step was submission of preliminary applications; this step is now closed. Eligible applicants (see list above) are now invited to submit a full proposal for funding consideration based on their previously reviewed preliminary proposal. The general process for downloading, completing, submitting, and tracking grant application packages is described at http://www07.grants.gov/applicants/apply_for_grants.jsp. The full application must be submitted as a new application via Grants.gov.

V. Full Application Review Information

A. Full Application Content and Submission Forms

The **full application** 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. 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. Forms. 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. After being uploaded to Grants.gov applications go through a validation process. Applicants must allow time for the validation process. Applications are not considered “received” until 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, is 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.

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.

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 Notice 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 Notice.
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 Notice 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:

Elizabeth Rudd
 Division of Program Evaluation
 E-mail: Elizabeth.C.Rudd@hud.gov
 FAX: (202) 708-4250

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.**

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 to 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. HUD encourages 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 applicants 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 findings 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**.

H. Review and Selection Process

1. Application Selection Process. Two types of reviews will be conducted: a. threshold review to determine an applicant’s basic eligibility; and b. technical review that will rate and rank all full proposals based on the “Rating Factors” listed in this Notice.

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 Notice. 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**.

I. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before **June 11, 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 grantees that receive grant funds under this program NOPI are required to submit quarterly progress reports which describe the progress of the researcher's 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, the grantee must submit to HUD two copies and a CD-ROM containing an electronic copy of the researcher's 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. Recipient Reporting to Meet the Requirements of the Federal Financial Assistance Accountability and Transparency Act of 2006, as amended.

(a) **Prime Awardee Reporting.** Prime recipients of HUD financial assistance are required to report subawards made either as pass-through awards, subrecipient awards, or vendor awards in the federal governmentwide website www.fsr.gov or its successor system.

Starting with awards made October 1, 2010, prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subawards, including awards made as pass-through awards or awards to vendors, where both the initial award is \$25,000 or greater or the cumulative award will be \$25,000 or greater if funding incrementally as directed by HUD in accordance with OMB guidance. 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. The Transparency Act requires the creation of a public governmentwide website in which the following subaward data will be displayed:

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

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

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

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

(c) Subaward Executive Compensation Reporting. Prime awardees must also report in the governmentwide website the total compensation and names of the top five executives in the subawardees, pass-through or vendor organization if:

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

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

3. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as “Section 872.” Section 872 requires the establishment of a governmentwide 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 Awardee Performance and Integrity Information System (FAPIIS). Only federal officials and the entity will be able to view the information in the FAPIIS system.

Further, 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 FAPIIS system. The data collection requirements include 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.

Prior to making a funding decision, the federal official authorized to make the award is required to determine whether the entity is qualified to receive an award, taking into consideration any information about the entity that is in the data system. OMB is in the process of issuing regulations regarding federal agency implementation of Section 872 requirements. A proposed rule was published in the Federal Register on February 18, 2010, by OMB seeking public comments no later than April 19, 2010.

HUD's terms and conditions to its FY2010 awards will contain requirements related to meeting Section FFATA and Section 872 requirements.

VII. Agency Contacts

Applicants may contact Elizabeth Rudd at (202) 402-7607. 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 Dr. Rudd via e-mail at Elizabeth.C.Rudd@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).

4-8-11

Date



Raphael W. Bostic
Assistant Secretary for Policy Development
And Research

[FR-5415-N-23A]