

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-5415-N-42]

### Notice of Funding Availability (NOFA) for Fiscal Year (FY) 2010 Transformation Initiative: Sustainable Construction in Indian Country Small Grant Program

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

**ACTION:** Notice of Funding Availability (NOFA) for Fiscal Year (FY) 2010 Transformation Initiative: Sustainable Construction in Indian Country Small Grant Program.

**SUMMARY:** This NOFA announces the availability of funding of approximately \$125,000 for the Transformation Initiative: Sustainable Construction in Indian Country Small Grant Program. This NOFA 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 to [www.Grants.gov](http://www.Grants.gov) on June 7, 2010 (FR 5415-N-01).

**APPLICATION DEADLINE DATE:** Applications must be received by **Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date.** The application deadline date is **November 15, 2011.** 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 HUD's timely receipt and grace period policies.

**FOR FURTHER INFORMATION CONTACT:** Questions regarding specific program requirements should be directed to the agency contact identified in Section VII of this program NOFA. 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 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, Affordable Housing Research and Technology Division

**B. Funding Opportunity Title:** Transformation Initiative: Sustainable Construction in Indian Country Small Grant Program.

**C. Announcement Type:** Initial announcement.

**D. Funding Opportunity Number:** FR-5415-N-42; OMB Approval Number is 2528-0274.

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

**F. Dates:** The application deadline is **November 15, 2011. Applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application 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. 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.

### **G. Additional Overview Content Information**

**1. Purpose of the Program.** To develop, deploy, and disseminate innovative approaches of Sustainable Construction methods or practices that are suitable for Indian Country.

**2. Award Information.** In Fiscal Year (FY) 2010, approximately \$125,000 was made available for this program by the Department of Housing and Urban Development Appropriations Act, 2010 (Pub. L. 111-117 approved December 16, 2009). This program is approved under HUD's authority via the Transformation Initiative Fund. The maximum grant performance period is 24 months. An award can range from a minimum of \$50,000 to a maximum of \$125,000, depending on the scope and merit of the proposed effort. Awards under this NOFA will be made in the form of a Cooperative Agreement. A Cooperative Agreement means that HUD will have substantial involvement during the performance of the effort that may include, but will not be limited:

1. Review and suggestion of amendments to the effort, including objectives, work plan, and deliverables.
2. Review and provision of preliminary deliverables in response to quarterly progress reports.
3. Review and provision of final deliverables.

**3. Eligible Applicants.** Tribes and tribal organizations, nonprofit organizations, foundations, think tanks, consortia, institutions of higher education accredited by a national or regional accrediting agency and recognized by the U.S. Department of Education, and other entities that will sponsor a researcher, expert(s) or analyst(s). HUD will not directly fund individual researchers.

## **FULL TEXT OF ANNOUNCEMENT**

### **I. Funding Opportunity Description**

HUD invites applicants to submit proposals for funding to develop and disseminate one or more sets of "Lessons Learned" that will inform Native American communities of the issues to be considered when taking on sustainable construction efforts. HUD is looking for

applications that can provide Native American communities with information from Native American communities that have undertaken some level of Sustainable Construction, and to use their experience to inform other communities as they consider undertaking similar activity in four broad areas: moisture management, retrofit strategies, home performance verification, and sustainable construction fundamentals.

### **A. Background**

HUD's objective in issuing this NOFA is to support tribes seeking to develop, implement and enforce **culturally relevant** green building codes, policies and programs leading to healthier, more sustainable communities as well as increased self-sufficiency on all levels. The Fiscal Year 2010 budget provided funding for "a demonstration of sustainable building practices on Native American lands." This NOFA responds to the appropriation and builds on previous work by HUD and others. Sustainable construction means that the structure and building process is environmentally responsible and resource-efficient throughout a building's life-cycle: from siting and design, to construction, operation, maintenance, renovation, and demolition. This practice expands and complements the classical building design standards of economy, utility, durability, and comfort. The issues noted in the HUD study suggest the need for sustainable construction to improve tribal housing and ensure durability. Currently there are many stakeholders working independently to build the capacity of Native American Tribes and tribally designated housing entities (TDHEs) to successfully conduct sustainable construction on tribal lands. Several tribes have been successful in developing sustainable housing. For example, the Penobscot Indian Nation of Indian Island, Maine constructed 6 new Leadership in Energy and Environmental Design (LEED) Gold Certified housing units that are aesthetically pleasing. As a part of the certification, solar hot water heaters, Energy Star rated appliances, Light-emitting Diode (LED) light fixtures, programmable thermostats and energy efficient furnaces were installed in all of the units. These homes have reduced their electricity consumption by 66% and their fuel consumption by more than 50%. Successful innovative strategies such as these need to be identified and disseminated within Indian Country by key players in the Native American community.

### **B. Goals of Effort**

Activities performed under the Sustainable Construction in Indian Country Small Grant Program should document the impact of one or more innovative approaches to sustainable construction in Indian Country, identify a set of lessons learned, and then develop, deploy or [distribute](#) a tool highlighting those lessons. The mediums may include, but are not limited to, a blog, DVD, publication, video, and website.

### **C. Topics and Dissemination Tools**

The following list is intended to demonstrate the range of issues that may be the type of information disseminated in this effort. However, HUD is interested in proposals that highlight issues specific to the intended target community. The following topics are suggested, and omission of a topic does not indicate that HUD would have no interest in funding it. Possible subject areas and specific topics include:

- 1) Moisture Management
  - Effective insulation strategies
  - Permanent installation of the vapor barrier
  - Spot ventilation strategies
  - Moisture reduction strategies
- 2) Retrofit Strategies
  - Durable retrofit strategies
- 3) Home Energy Performance Verification
  - Methods to verify a home's performance (energy, durability, indoor air quality)
  - Field testing of new and rehabilitated tribal housing
- 4) Sustainable Construction Fundamentals – may include various training tools that cover the development, marketing, and implementation of energy-efficient and “green” technologies.

Dissemination tools include electronic dissemination, websites, blogs, or written dissemination in brochures, written analyses of “Lessons Learned” or other culturally relevant dissemination devices.

### **D. Authority**

HUD's authority for making funding available under this NOFA is the U.S. Department of Housing and Urban Development Appropriations Act, 2010 (Pub. L. 111-117 approved December 16, 2009). This program is sanctioned by HUD's authority under the Transformation Initiative Fund. It is being implemented through this NOFA and the policies governing its operation are contained herein.

### **II. Award Information**

In FY 2010, approximately \$125,000 was made available for the Office of Policy Development and Research's (PD&R) Sustainable Construction in Indian Country Small Grant program. An award can range from one to two grants with a minimum of \$50,000 to a maximum of one grant for \$125,000. The maximum grant performance period for an award under this program is 24 months. Awards under this NOFA will be made in the form of Cooperative Agreements. A Cooperative Agreement means that HUD will have substantial involvement during the performance of the effort may include, but will not be limited to:

1. Review, negotiation, and suggestion of amendments to the effort, including project objectives, the work plan, budget, and deliverables.
2. Review and provision of preliminary deliverables in response to quarterly progress reports.
3. Review and provision of final deliverables.

### III. Eligibility Information

**A. Eligible Applicants.** Nonprofit organizations, foundations, think tanks, consortia, institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. HUD will not directly fund individual researchers.

**B. Cost Sharing or Matching.** None Required.

#### C. Other

**1. Eligible Activities.** Grant funds awarded under this NOFA must be used to develop, deploy, or disseminate innovative approaches of sustainable construction methods or practices that are suitable for Indian Country.

**2. Eligible Costs.** Eligible costs include but are not limited to: salaries; travel expenses and per diem, training materials, and approved overhead expenses. Equipment costs shall not exceed 10% of the requested amount. The following expenses are not eligible costs: food and construction costs.

**3. 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 be considered ineligible for funding and will not be eligible to receive an award:**

- a. The applicant must meet the eligibility requirement as defined in Section III. A.
- b. The applicant may not request more funding than the grant maximum allocated as outlined in Section II and not less funding than the grant minimum.
- c. Applications must receive **a minimum score of 75 points** to be considered for funding.
- d. The applicant (represented as the official organization) 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
- e. To meet timely receipt requirements electronic applications must be received by Grants.gov no later than 11:59:59 p.m. Eastern Time by the application deadline date. **See the General Section regarding timely receipt and grace period policies.**

**4. 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 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 NOFA are not required to submit an affirmatively furthering fair housing plan for their proposed 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 activities will take place in order to take into account impediments to fair housing choice in their proposed effort.

**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](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 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.** If awarded assistance under this NOFA, prior to entering into a cooperative agreement with HUD, you will be required to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are

aware of your code of conduct. See the FY 2010 **General Section** for information about conducting business in accordance with HUD's core values and ethical standards.

**f. If selected for an award, the official applicant shall be a nonprofit organization, foundation, think tank, consortia, institution of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education, and other organizational entities that will sponsor a researcher, expert or analyst.** The applicant entity will be required to enter into a Cooperative Agreement with HUD that provides for payment by HUD to the applicant organization as the grantee. The grantee will be expected to either directly hire the researcher as salaried staff or enter into a consultant or subcontractor arrangement. Payments to the researcher (or researchers) are to be made by the grantee organization to the approved researcher(s) as subrecipient(s). All threshold requirements applicable to the grantee will tier down to subrecipients, including all certifications for compliance. However, subrecipients at the present time do not have to be registered in CCR, but merely have to have a DUNS number so that the grantee can comply with the subrecipient reporting requirements of the Transparency Act (See Section VI. C.2 Transparency Act Reporting).

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

##### **A. Instruction to Download Application Package.**

Copies of the NOFAs and application forms for HUD programs may be downloaded from the **Grants.gov** website. Applicants can find this funding opportunity and link to the application and Instructions Download with additional forms at

[http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp). If you have difficulty accessing the information you may receive customer support from Grants.gov by calling their Support Desk at (800) 518-GRANTS, (TTY:1-800-877-8339) or sending an email to [support@grants.gov](mailto:support@grants.gov). The customer support center is open twenty-four hours a day, seven days per week, except federal holidays. Applicants should ask for a Grants.gov call center ticket number if not provided one by the call center customer service representative. In case of issues, HUD relies on Grants.gov call center ticket logs as part of the review of records. Applicants not familiar with Grants.gov registration requirements should first read the FY2010 General Section to HUD's NOFAs.

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

**1. Application Content.** Applications must consist of the following elements: a table of contents; an executive summary; a narrative for the rating factors; a budget; budget narrative; and additional forms. Before submitting your application, please read the General Section regarding use of Adobe Reader, file naming conventions, and other information to help you avoid problems.

**a. SF424 Application for Federal Assistance.** (Please remove special characters add spaces from form names. You can create spaces by using underscores). Please remember the following:

(1) The name of the official applicant for this program. Please make sure that the name of the organizational applicant in box 8a is the organization's legal name and that the organization's 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.

(2) 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. Please be sure the email account will accept messages from HUD.gov.**

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

(4) The organizational applicant's Employer Identification/Tax ID.

(5) The DUNS Number associated to the applicant's legal name identified in Box 8a of the SF\_424 form.

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

(7) 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 organizational applicant's eBusiness Point of Contact to submit applications on behalf of the organization. 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 for the sponsoring organizational entity.

**b. Table of Contents.**

**c. Executive Summary (One page or less).** The Executive Summary should, at a minimum, include a summary of the proposed effort project that addresses the following information:

(1) Overview of the proposed effort (including title).

(2) The specific objective of the effort that will be conducted.

(3) Problems/issues being addressed.

(4) The broader impact of conducting the effort.

(5) How the organization meets the eligibility criteria for the program.

(6) Each identified organization's address, telephone number, facsimile number, and e-mail address.

**d. Narrative statement addressing the rating factors.** HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. This step in the process has five rating factors that need to be addressed: (1) capacity of the applicant and relevant experience to conduct the proposed effort; (2) need for proposed effort; (3) soundness of approach; (4) broader impacts; and (5) achieving results and program evaluation. The narrative statement is the main source of information when rating and ranking applications. Therefore, it is very important that the grantee 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 and any supporting references must not exceed ten (10) 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 with the name of the grantee and applicant visible 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 additional 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. Follow the instructions on the 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. Please be sure to open and review the attached narrative response to ensure that you have attached the final version of what you want to submit and all the rating factors have been addressed in the document.**

**e. Budget.** The budget submission must include the following:

(1) 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. Please be sure that the budget matches the information contained in the SF424. The budget form must be fully completed. If there is inconsistency between any required forms and/or budget narrative, the HUD\_424\_CB will be used. If this correction puts an application under the minimum amount or over the cooperative agreement maximum amount (see Section II.C.2), the grantee will not be able to correct the amount requested and the application will be disqualified. If an application is selected for award, the grantee may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) Budget Narrative. A narrative must be submitted that explains how the applicant arrived at the cost estimate for each line item. The proposed cost should be reasonable (e.g., propose local prevailing salaries for similar applicants, or transcription services providers, etc.) for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed. The grantee 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.

(3) 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.

**2. Forms.** All forms listed below must be placed in an appendix section of the application. The following forms are needed for submission:

a. SF\_424\_Supplement\_Survey\_on\_Ensuring\_Equal\_Opportunities\_for\_Applicants (Faith\_Based\_EEO\_Survey (SF\_424\_SUPP)).

b. SF\_LLL\_Disclosure\_of\_Lobbying\_Activities, if applicable.

c. HUD\_2880\_Applicant/Recipient\_Disclosure/Update\_Report (HUD\_Applicant\_Recipient\_Disclosure\_Report), if applicable.

d. HUD\_2993\_Acknowledgement\_of\_Applicant\_Receipt. Applicants are not required to include this form for electronic applications, as they can track their application on line by going to [www.grants.gov](http://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 can use this form to obtain a receipt. Please include the full name and complete address in your application.

e. HUD\_96010\_Program\_Outcome\_Logic\_Model; and

f. 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 as the first page of the transmittal. (See the General Section for detailed directions). **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.**

**3. 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 or dashes or 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. Receipt Dates and Times.**

A complete application must be received by Grants.gov no later than 11:59:59 p.m. eastern time by **November 15, 2011**. Following receipt the application will go through a validation process. If the application fails the Grants.gov validation process, it will be rejected. Please see the 2010 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read the section titled “INSTRUCTIONS ON HOW TO DOWNLOAD AND APPLICATION PACKAGE AND APPLICATION INSTRUCTIONS” in the 2010 **General Section**. This section contains information on using Adobe Reader, HUD’s timely receipt policies, and other application information. Applicants should be aware that the latest version of Adobe Reader being used by Grants.gov is Adobe Reader 9.4. Adobe Reader 9.0 is compatible with Adobe Professional versions 8.0 and higher.

#### **D. Intergovernmental Review.**

This program is excluded from the Intergovernmental Review process covered by Executive Order 12372 “Intergovernmental Review of Federal Programs”.

#### **E. Funding Restrictions.**

1. Grant funds awarded under this NOFA may not be used to pay for activities outside the scope of this NOFA
2. Funding will only be provided to entities who meet the standards for eligible applicants outlined in Section III. A.
3. Grant funds awarded under this NOFA may not be used to pay for computer hardware and/or meals.
4. Honorariums cannot be charged against grants under this program.

5. Fee or profit will not be paid for work done under this NOFA.
6. Applicants must comply with the Delinquent Federal Debt Requirement as defined in the **General Section**.
7. Award funds may not be used specifically for dissertation support internationally oriented for effort, or construction projects.

## **F. Other Submission Requirements.**

### **1. Application and Timely Receipt Instructions**

Applications under this NOFA must be received electronically through the federal website **Grants.gov** unless a waiver of this requirement is granted in accordance with the instructions below. Applicants are required to submit applications electronically via the website [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). 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 application deadline date. The letter must be addressed to Raphael W. Bostic, Ph.D., Assistant Secretary for Policy Development and Research and be submitted via e-mail or fax to:

Mike Blanford  
 Affordable Housing Research and Technology Division  
 Office of Policy Development and Research  
 E-mail: Michael.D.Blanford@hud.gov  
 Fax: (202) 402-5728

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 submission. **All applications in paper format must have received a waiver to the electronic application requirement and the application must be received by HUD no later than 3:59:59 p.m. Eastern Standard Time by 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.

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

### **A. Criteria**

**1. Rating Factor 1: Capacity to do the Effort (20 Points).** In reviewing this factor, HUD will determine the extent to which the applicant describes the qualifications of the key personnel conducting the work. The applicant must clearly address the following:

- a. Describe the skills and expertise of each key staff person involved in the proposed project. Skills and expertise developed within the last 5 years will be considered recent.
- b. Describe the knowledge, past employment and experience that each key person possesses to undertake the proposed effort. Knowledge and experience will be judged in terms of relevance to the proposed effort. Knowledge and experience developed within the last five (5) years in related technical fields will be considered relevant.

- c. Provide a detailed list that outlines the preliminary steps that were taken to identify the proposed topic.
- d. Describe the ability of the organization to manage the project and identify the methods used to track the project's progress in the form of quarterly reports that will meet all HUD reporting requirements.

**2. Rating Factor 2: Need for the Effort (20 Points).** This factor addresses the extent to which there is a need and a demand for funding the proposed effort. In reviewing this factor, HUD will determine the extent to which the applicant's proposal clearly addresses the following:

- a. Describe the need for funding the proposed effort.
- b. Describe the significance of the work, including its relationship to past effort and proposed use in the future. Reviewers will consider the clarity and how compelling a case the applicant makes for this project in the context of the existing literature, similar projects, data and information gathered, and knowledge base for the proposed project.
- c. Discuss the results the proposed effort is expected to produce, including the broader impact expected, practical implications, and explain why the information will be generally accepted by relevant stakeholders in other Tribes.

**3. Rating Factor 3: Soundness of Approach (30 Points).** This factor addresses the relationship between the need proposed in Factor 2, the quality and effectiveness of the proposed effort, and methodology and actions regarding HUD's policy priorities. This factor will be evaluated based on the extent to which the proposed work plan demonstrates the following:

**a. (20 Points) Quality of Effort.**

- (1) Clearly state the objectives of the proposed effort and how it relates to the statement of need described in Factor 2;
- (2) Describe in detail the proposed project as it relates to stated objectives described above;
- (3) Describe and explain how the methodology will be used to complete the proposed effort;
- (4) Describe and explain how the project and methodology proposed are most appropriate and will produce information that will successfully promote sustainable construction in Indian Country;
- (5) Identify potential obstacles in completing the effort, including challenges of collecting reliable information and discuss how these challenges will be addressed. If the product deliverable is dependent on any information or 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 work should access to the information or data sources not be obtained; and
- (6) Describe the quality assurance mechanisms that will be integrated into the proposed effort design to ensure the validity and quality of the results.

**b. (8 Points) Specific Activities.** The proposal must include a schedule of deliverables that describes specific tasks and activities involved in the proposed project. The schedule must identify all the major tasks involved in completing the proposed effort. The tasks must be presented in a logical sequence of steps and phases, with individual tasks described for each, as well, if necessary, as plans for data management and analysis.

- (1) Indicate the sequence in which these tasks will be performed and benchmarks achieved;

(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 information and data; and

(4) Identify the key individuals responsible for carrying out each of the specific tasks or activities outlined in the schedule.

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 FY2010 - FY2015 Strategic Plan. HUD's Policy Priorities have been established to encourage applicants to take additional actions to help achieve HUD's strategic mission. As outlined in the **General Section**, this year each NOFA 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 NOFA applicants can only receive (two) 2 points and must respond to one (1) 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) that will be addressed in order to receive the available (two) 2 points.

(1) Capacity Building and Knowledge Sharing: Applicants addressing this policy priority must demonstrate the impact their work will have in their field or area of expertise. To receive the full 2 points under this policy priority, an applicant must respond to at least one of the activities listed below and explain how success will be measured during the grant performance period:

a. Activities

- Integration of the existing products or deliverables in coordination with practitioners in the related field of expertise.
- Presentation of project findings at two (2) or more academic and/or professional conferences.
- White papers produced from the work that may be published in a qualified journal in the relevant field of expertise.

b. Measures of success:

- Development of at least one new activity by partner organizations as a result of the outcomes of the effort to enhance current program. Examples may include needs assessments, data analysis and utilization of technology, market development research, diffusion analysis, performance management and evaluation specific to the programmatic purpose of the grant.

(2) Expand Cross-Cutting Policy Knowledge: To receive the full two points under this policy priority, an applicant must respond to at least one (1) 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 obtain and track the data collected as a result of the effort conducted. Explain how quality control or assurance measures will be implemented to track and maintain data overtime.
- Meet with representatives from tribal governments, tribally designate housing entities, and locally based federal officials involved in Indian housing issues, e.g. Bureau of Indian

Affairs in the Department of Interior, or offices in the Department of Agriculture that address Indian housing issues to share effort findings.

- Make at least one (1) presentation to policymakers and field stakeholders to enhance knowledge of housing issues and to inform policy outcomes.

b. Measure of Success:

- Produce and submit a data collection plan with quality control measures.
- Development of a publishable document that will serve as a guide to implement a reliable cross cutting program related to Indian housing issues with policy recommendations.

**Applicants that just list a priority, select priorities other than those listed above, and/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: Broader Impact (20 Points).** This factor addresses the broader impact that the proposed effort will have. In reviewing your responses under this rating factor HUD will assess the degree to which your responses indicate your potential for a successful project that will achieve program objectives:

a. Describe how the proposed effort will advance sustainable construction in Indian Country while promoting, teaching, training, and learning;

b. Explain how your project may provide greater housing choices in Indian Country;

c. Explain the extent to which the effort will enhance the infrastructure for further study and education or information sharing, such as networks, and partnerships; and

d. Explain how the proposed project advances affordable housing goals and reduces operating costs for housing to preserve affordability over time.

**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 grantee's commitment to assess both their performance and the performance to complete the proposed effort within the grant performance period, and to assess the effectiveness of the project in attaining the stated goals. Applicants are required to develop an effective, quantifiable, and outcome-oriented evaluation plan for measuring performance and for determining the outputs to achieve their proposed outcome(s) and to present this in the HUD Logic Model. The Logic Model is a summary of the narrative statements presented in Factors 1 through 5. 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 applicant demonstrates how results of completing the effort will be measured as outlined in the proposed schedule. To meet this factor requirement, applicants are required to submit a completed

HUD\_96010\_Program-Outcome\_Logic\_Model. Applicants 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. Applicants 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 the grantee to ensure that performance measures are being met and achievable realistic goals are being established

a. Logic Model instructions (using a Microsoft Excel<sup>®</sup> form) are provided on the Logic model form that can be downloaded from [http://www07.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www07.grants.gov/applicants/apply_for_grants.jsp). Grantees who do not have access to Microsoft Excel<sup>®</sup> 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 Relay Service at (800) 877-8339.

**NOTE: A narrative response is not required for this factor. 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 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. An applicant must clearly identify the outcomes to be measured and achieved. Examples of outcomes are the completion of the effort, the plan to disseminate the effort, and the benefits of the proposed project to HUD’s policy priorities and annual goals and objectives.

In addition, an applicant must establish outputs that lead to the ultimate achievement of the outcomes. “**Outputs**” are the direct benchmarks and indicators that will allow the applicant(s) to measure performance. Performance indicators should be objective, quantifiable, and measure actual achievements such as number of manuscripts written. At a minimum, the applicant must address the following activities in the evaluation plan:

(1) Identify benchmarks that will be used to track the progress of the study; and  
 (2) Indicate the sequence in which tasks will be performed. Grantees must also reference policy priorities, as stated in their response to Factor 3, and relate them to the completion of the project. HUD will evaluate the Logic Model in accordance with the matrix provided in Appendix B of the **General Section**.

## **B. Review and Selection Process.**

**1. Application Selection Process.** Two types of reviews will be conducted:

- a. A threshold review to determine an applicant’s basic eligibility; and
- b. A technical review for all applications that pass the threshold review, to rate and rank the application based on the “Rating Factors” listed in Section V.A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

**2. Corrections to Deficient Applications.** The **General Section** provides the procedures for correcting deficient applications.

**3. Rating and Ranking.** Awards will be made in rank order, within the limits of funding availability for the program. In order to be funded, **an application must receive a minimum score of 75 points** out of a possible 100 for Factors 1 through 5. The **RC\_EZ\_EC\_II** communities’ two bonus points described in the **General Section** do not apply to this NOFA.

- a. HUD will fund applications until all available program funds are awarded.

b. If two or more applications in the funding range have the same number of points, the application with the higher points for Factor 3, shall be selected. If there is still a tie, the application with the higher points for Factor 4, shall be selected. If there is still a tie, the application with the higher points for Factors 1, then 2 and then 3 shall be selected until the tie is broken. HUD reserves the right to make selections out of rank order to provide for geographic distribution of grantees.

c. **Partial Funding.** In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award.

d. **Remaining Funds.** See the **General Section** for HUD's procedures if funds remain after all selections have been made.

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

Announcements of awards are anticipated on or before **January 2012**.

## **VI. Award Administration Information**

### **A. Award Notices**

After all selections have been made, HUD will notify all selected applicants in writing. HUD may require selected applicants to participate in additional negotiations before receiving an award. If negotiations cannot be successfully completed, HUD may offer an award of funds to the next applicant on the selection listing. 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 rejection to Mike Blanford, Affordable Housing Research and Technology, Office of Policy Development and Research, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 8134, Washington, DC 20410-6000. Applicants may also write to Mr. Blanford via e-mail at [Michael.D.Blanford@hud.gov](mailto:Michael.D.Blanford@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 NOFA 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), Office of Management and Budget (OMB) Circular A-21 codified at 2 CFR part 220 (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

1. All applicants that receive grant funds under this program NOFA are required to submit a quarterly progress report that describes 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 to HUD. In addition, grant recipients must submit a HUD-96010-Program\_Outcome\_Logic\_Model annually, which identifies their program's output and outcome achievements and responds to the Management Questions.

At the end of the grant performance period, grantees must submit two copies and a CD-ROM containing an electronic copy of the paper documenting the effort finding in its final version and a final report which consists of a final financial report and a final LogicModel report. These copies must be submitted to HUD.

2. Transparency Act Reporting.

a. Recipient Reporting to Meet the Requirements the Federal Financial Assistance Accountability and Transparency Act of 2006 as amended.

(1) 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](http://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:

- (a) Name of entity receiving award;
- (b) Amount of award;
- (c) Funding agency;
- (d) North American Industry Classification System (NAICS) code for contracts/CFDA program for financial assistance awards;
- (e) Program source;
- (f) Award title descriptive of the purpose of the funding action;
- (g) Location of the entity (including Congressional district);
- (h) Place of Performance (including Congressional district);
- (i) Unique identifier of the entity and its parent; and
- (j) Total compensation and names of top five executives.

For the purposes of reporting into the FFATA Subaward 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.

(2) 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:

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

(b) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

(3) 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:

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

(b) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

(4) Transparency Act Reporting Exemptions. The Transparency Act exempts any sub-award from reporting any awards made to an individual, 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 Mike Blanford, Affordable Housing Research and Technology, Office of Policy Development and Research, at (202) 402-5728. Persons with speech or hearing impairments may call the Federal Relay Service TTY at 800-877-8339. Except for the "800" number, these telephone numbers are not toll-free. Individuals may also reach Mr. Blanford via e-mail at Michael.D.Blanford@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 effort results, which the grantee 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 will be considered during the review process.

**B. Paperwork Reduction Act.** The information collection requirements contained in this document has been approved by the OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0274. 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 42** 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 NOFA 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 NOFA is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

Dated: 9/13/2011

  
 Erika C. Poethig, Deputy Assistant Secretary  
 Office of Policy Development

[FR-5415-N-42]