

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-5499-N-01]

### Notice of Funding Availability (NOFA) for Neighborhood Stabilization Program Technical Assistance and Capacity Building; Request for Qualifications

- A. Federal Agency Name:** Department of Housing and Urban Development (HUD)
- B. Funding Opportunity Title:** HUD NSP Technical Assistance and Capacity Building.
- C. Announcement Type:** Initial Announcement.
- D. Funding Opportunity Number:** The funding opportunity number for this NOFA is FR-5499-N-01. The OMB Approval Number for this NOFA is: 2506-0190.
- E. Catalog of Federal Domestic Assistance (CFDA) Numbers:** 14.264
- F. Dates:** The application deadline date is **November 21, 2011**. Applications must be received by Grants.gov by 11:59:59 p.m. eastern time on the deadline date. All information required to complete the application is in the **General Section** and this NOFA. Applicants may download the application and instructions from the Grants.gov website at [http://www07.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www07.grants.gov/applicants/apply_for_grants.jsp). Please carefully read HUD's Fiscal Year (FY) 2011 Notice of Funding Availability (NOFA) Policy Requirements and General Section for Discretionary Programs, published on Grants.gov on April 4, 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 sufficient time for this process by submitting early to ensure that you meet the timely receipt requirements.
- G. Additional Overview Information:** NSP TA will follow the new delivery model which is modeled after the *OneCPD Integrated Practitioner Assistance System* (OneCPD), which itself built on the delivery system of the initial round of NSP TA. This model represents a fundamental change in the way HUD's traditional "program-specific" technical assistance has been structured and delivered over the years to state and local government grantees, and nonprofits. Beyond improving the effectiveness of current technical assistance efforts by adopting a "cross-program" approach, OneCPD is a collaborative effort among HUD, our state and local partners and successful applicants focused on building the kind of grantee management systems and functional capacity necessary to successfully carry out comprehensive and sustainable "place-based" development and revitalization strategies. Just as importantly, this model allows grantees to "tell their story" of accomplishment by measuring not only the outputs of this technical and capacity building assistance but the outcomes and the impact on communities as well.

NSP TA will be structured and operated as an assessment-based and outcome-focused delivery system with the following key objectives: (1) improve grantees' ability to assess conditions in the affordable segment of their local housing market consistent with the jurisdiction's Consolidated Plan and Analysis of Impediments; (2) improve grantees' ability

to design and appropriately implement neighborhood stabilization programs based upon an accurate assessment of the affordable segment of their local housing market; (3) increase organizational capacity to leverage private and public dollars; and (4) improve grantees' understanding of and compliance with statutory and regulatory requirements. Teams of providers with a broad range of complementary skills and expertise, working collaboratively, will be selected through this NOFA. They will be deployed in each region of the country to achieve these objectives. NSP TA will be built on and extend the foundation established by previous technical assistance programs and HUD's ongoing risk assessment, compliance monitoring, technical assistance and oversight activities - the core functions and responsibilities of HUD field staff.

During the current nationwide economic retrenchment, of HUD's state and local government partners have lost at least some of the capacity, resources and skills necessary to assess and understand changes in conditions in the affordable segment of their local housing market. This may keep them from properly designing and implementing programs that most effectively address their community's neighborhood stabilization needs. Consequently, under the NSP TA approach, initial needs assessments performed by the provider team will be used to determine the exact nature and scope of the capacity and technical assistance needs of the grantee. Decisions can then be made as to whether technical assistance is justified and, if so, which type and what level would be most effective. The needs assessment will lead to the development of a comprehensive technical assistance plan customized for the individual grantee and designed to achieve the overall objectives of the Neighborhood Stabilization Program. This comprehensive technical assistance plan will then be carried out under a Memorandum of Agreement executed by HUD, the provider team, and the grantee that, among other things, specifies the responsibilities of each of the parties to the agreement.

Activities under this NOFA will support achievement of goals and the use of strategies that were established in the *HUD Strategic Plan, FY 2010-2015*, as well as in related federal strategic efforts, including *Opening Doors: The Federal Strategic Plan for Preventing and Ending Homelessness*, and *The National HIV/AIDS Strategy for the United States*.

## **FULL TEXT OF ANNOUNCEMENT**

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

#### **A. Program Description.**

Through this NOFA/Request for Qualifications, HUD is announcing the availability of approximately \$20 million to fund NSP TA. All organizations that are experienced and successful in providing program, technical, planning, financial, and organizational capacity building assistance, or consulting in such areas as community development, affordable housing, organizational management, financing and underwriting, construction and rehabilitation management, landbanking, project management and strategic planning, are encouraged to apply. Applicants should be aware that HUD neither accepts applications from nor directly funds individuals in the competitive NOFA review process. If an individual attempts to submit an application, it will be rejected by Grants.gov. HUD will also reject applications from individuals without acknowledging receipt or review. Additional funds may become available under this

NOFA as a result of HUD's effort to recapture unused funds or to utilize carry-over funds; their use being subject to applicable statutory constraints. No cost sharing is required.

Applicants for NSP TA funding are required to submit a single application regardless of the number of programs or areas of expertise for which they propose to provide technical and capacity building assistance. Applicants are encouraged to partner with other organizations in an effort to expand geographic coverage or bring other areas of expertise to their application. Awards made under this NOFA for NSP TA will be administered under cooperative agreements with significant HUD involvement (see Section II.B).

HUD defines *technical assistance* as guidance which enables grantees and their partners to overcome a lack of specific skills or knowledge of the associated HUD programs and, by doing so, results in the successful performance of those programs. *Capacity building* is a sub-category of technical assistance which increases the ability of program grantees and their partners to organize and independently undertake or expand affordable housing, community development, and economic development programs using assistance provided under one or more HUD programs going forward.

**1. NSP TA.** The purpose of NSP TA is to provide state government, local government and nonprofit recipients of federal NSP funding with the assessment tools and technical and capacity building assistance needed to fully understand their local market conditions, to increase their capacity to successfully carry out federal assistance programs while leveraging other public and private resources, and to achieve positive and measurable outcomes. Under NSP TA, technical assistance will involve the delivery of expert statutory, regulatory, and technical support that improves the program knowledge, skills and capacity of NSP grantees and their partners. Capacity building efforts will be directed at advancing the efficiency and performance of grantees and their partners (e.g., for-profit and public or private non-profit organizations) in the administration of NSP, the leveraging of other resources and the furthering of key Departmental objectives, including, but not limited to, energy efficiency and green building.

NSP TA will be centrally managed by HUD Headquarters with extensive involvement of the forty-three HUD field offices. Field offices will be responsible for managing the day-to-day operations of NSP TA, including: establishing the technical assistance and capacity building needs of the grantees based on assessments; negotiating and finalizing the individual work plans with the TA provider(s); achieving specified outcome/performance goals; ensuring the timely submission and approval of TA deliverables; and evaluating the performance of the TA provider(s).

All efforts under NSP TA will be 'place-based' (i.e., focusing resources from various programs and leverage sources in targeted locations and focused on achieving measurable results and positive outcomes on the ground. A provider may be required to work under the direction of multiple field offices to address the needs of several grantees under one or more NSP programs simultaneously. The Office of Block Grant Assistance and the NSP are supported under NSP TA.:

Information about NSP, including its missions, goals, and activities, can be accessed through the HUD web site at [www.hud.gov](http://www.hud.gov).

**B. Authority.** NSP TA is authorized under the section 1497 of the Wall Street Reform and Consumer Protection Act of 2010 (Pub. L. 111-203, approved July 21, 2010)..

## **II. Award Information**

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

**1. NSP TA.** Approximately \$20 million is available through NSP TA. NSP TA funds are not designated as either national or local (Field Office) technical assistance funds. HUD Headquarters will administer all NSP TA funds. However, field offices will also have responsibility for assessing grantee performance, identifying and prioritizing technical assistance and capacity building needs in their area, working with the selected TA providers to facilitate delivery, ensuring that identified outputs and outcomes for the TA are achieved, and evaluating the performance of the TA providers.

All awards are subject to the funding restrictions described in detail in Section IV, Subpart E of the General Section.

**B. Type of Assistance Instrument.** NSP TA will be awarded under a Cooperative Agreement. All cooperative agreements will be guided by the following principles:

- 1.** TA activities are administered by a Government Technical Representative (GTR) and Government Technical Monitor(s) (GTM) at HUD Headquarters. Significant HUD involvement is required in all aspects of TA planning, delivery, and follow-up.
- 2.** Awards will be for a period of 24 months to 36 months, depending on such factors as the TA provider's past performance, breadth of proposed geographic coverage, and qualitative skills and expertise. HUD reserves the right to determine the award period based on any or all of these factors.
- 3.** HUD reserves the right to withdraw funds from any TA provider if HUD determines that: (a) the TA provider's performance is duly found to be substandard or unacceptable; (b) the need for a particular type of assistance is found not to be commensurate with the award; or (c) the need for assistance proves greater in areas not served by the TA provider. HUD will make this determination on a case-by-case basis and will provide a 30-day notice and a reasonable opportunity to respond. Should HUD withdraw funds from a TA provider, it may reallocate those funds to a TA provider that is meeting performance goals and is capable of providing the particular type of assistance required or is in the area of identified need. HUD will only reallocate these funds up to the amount of assistance requested by the TA provider in its application.

## **III. Eligibility Information**

**A. Eligible Applicants.** The chart below lists the eligible applicants for funding through NSP TA . In accordance with the faith-based initiative, HUD welcomes the participation of eligible faith-based and other community organizations in these programs.

<b>Eligible NSP TA Applicants</b>
<ul style="list-style-type: none"> <li>• A State or unit of general local government;</li> <li>• A public housing authority;</li> <li>• A public or private nonprofit organization or intermediary, including educational institutions and area-wide planning organizations; or Indian tribes; and</li> <li>• For-profit organizations.</li> <li>• A combination of any of the above applying together in a joint application.</li> </ul>



NSP TA applicants are encouraged to partner with other organizations that may serve other geographic or programmatic areas or bring other subject matter expertise to the proposal in such areas as planning, citizen participation, organizational management, energy conservation, fair housing, and change management. Alternatively, applicants may bring such expertise to their proposal through the use of subcontractors or consultants. Any organization participating as a joint applicant in a single application may not submit a separate application of its own. Each joint application must designate one organization as the lead entity. The lead entity must submit the application and, if selected, execute the cooperative agreement with HUD and assume responsibility for the award on behalf of the group. If funded, the lead entity must enter into a separate agreement with each organization that is a part of the joint application within 30 days of award notification. Extensions may be granted by HUD for good cause. The agreement must include the requirements of the NSP TA cooperative agreement between HUD and the lead entity, and set forth the organization's responsibilities for compliance with these programs. The agreement will make clear that other entities that make up the applicant team must adhere to statutory, regulatory, and NOFA/RFQ requirements also. The lead entity is responsible for ensuring compliance by other entities that comprise the team.

Since the diversity of activities carried out and work products developed under NSP TA will be extensive, collaboration and coordination among providers is essential. Consequently, one of the successful applicants may be selected by HUD to assist it in performing this coordination function for the entire NSP TA network of providers. Two or more successful applicants may be asked to collaborate as a team in providing necessary technical and capacity building assistance to specific grantees, as HUD may determine to be appropriate to the need.

In acknowledgement that knowledge of certain HOME program requirements supports compliant NSP implementation, applicants must have a minimum of one technical assistance and capacity building staff on their team who has passed, with a score of 80 or higher, the Certified HOME Program Specialist – Regulations training exam (HOME Program Certified). This may be an in-house staff person for the applicant, or the lead applicant in the case of a joint application, who is HOME Program certified. The applicant must be able to document the staff certifications claimed in their application. In addition to the in-house staff, applicants may

include HOME Program certified individuals as subcontractors, consultants or contract with other entities that have HOME certified staff, such as local TA providers that may already be operating under previous or existing CD-TA cooperative agreements.

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

**C. Objectives and Eligible TA Activities**

**1. Objectives**

NSP TA seeks to identify gaps in grantee knowledge and skills, and provide them with the capacity necessary to create efficient, effective and compliant housing and community development programs that are aligned with local market and community needs. To achieve this goal, NSP TA will address the following key objectives:

- a. Improve grantees' ability to assess conditions in the affordable segment of their local housing market;
- b. Improve grantees' ability to design and appropriately implement neighborhood stabilization programs based upon an accurate assessment of the affordable segment of their local housing market;
- c. Increase organizational capacity to leverage private and public dollars; and
- d. Improve grantees' understanding of and compliance with statutory and regulatory requirements.

**2. Eligible Activities:**

In support of the above goal and objectives, HUD will ask applicants to undertake a variety of technical assistance and capacity building activities. NSP TA applicants may be asked to develop and deliver new training products, or to maintain and deliver existing products. The following chart highlights the eligible activities. A more detailed narrative is included below.

<b>NSP TA</b>	
<u>New Products</u>	<u>Maintenance of Existing Products</u>
Conduct Needs Assessments	NSP Resource Exchange
Direct Technical Assistance and Capacity Building	NSP Toolkits and Resource Library Documents
Develop Tools and Products	NSP Training materials
Self-Directed and Group Learning	
Information Management	
Virtual Help Desk	

**a. Eligible NSP TA Activities.** For each of the following activities, HUD will be collecting and reporting performance data on the outputs and outcomes achieved:

(1) Conduct Needs Assessments. Needs assessments of NSP grantees will determine the nature and scope of technical assistance or capacity building needed, including those related to other federal requirements such as applicable civil rights requirements including Affirmatively

Further Fair Housing. Skilled program and technical experts will collect information about an expressed or implied TA need to improve current program performance or correct program deficiencies. The needs assessment will involve the use of multiple types of information collection and analysis to develop custom analytics, to quantify the impact of community and economic development engagements, to improve foreclosure response analysis, and to identify local market conditions so that program resources may be better targeted and leveraged. Needs assessments may include self-assessment by the grantee or a field office assessment so long as they are sufficiently comprehensive and, when taken together with any outside expert assessment, provide a satisfactory ‘overarching’ basis for determining the scope and scale of the follow-on technical and capacity building assistance.

(2) Direct Technical Assistance and Capacity Building - Skilled program and technical experts will be dispatched to work one-on-one with the grantee staff responsible for managing and carrying-out NSP. Direct TA will be provided to grantees and program partners throughout the country at varying intervals via in-person meetings and on-call services (i.e. via electronic media such as web conferencing). Direct TA engagements will be prioritized based on need, and categorized depending on the extent of the TA. Direct TA is essential to develop skills and for meaningful knowledge transfer when working to prevent or correct complicated, specific problems related to a grantee’s management and performance. Under NSP TA, direct TA may not use pass-through to cover costs necessary to provide temporary staffing needs.

(3) Develop Tools and Products – Tools and products will be developed to assist NSP grantees and other partners to understand complex NSP statutes and regulations, as well as the other Federal requirements (e.g. Davis-Bacon), as applicable. Where appropriate, NSP and other Federal requirements will be integrated into comprehensive products that will serve the technical assistance needs of a broad range of program partners. The tools and products will take several forms, such as web-based training modules and model documents, that will enable grantees and other partners to better understand and carry out their programs. In some instances, existing materials will be combined and modified to encompass the “place-based” approach of NSP TA. Training materials and model written materials for grantees to use in carrying out their programs will be made available informs that are effective for persons with disabilities and provides access to information for persons with Limited English Proficiency. All products and tools developed will comply with Section 508 accessibility requirements.

CPD strongly believes that the ability to develop new -- or modify existing field-proven - tools and products is essential to address the constantly changing needs of grantees, and to ensure that NSP grantees understand and can successfully manage the requirements of multiple Federal programs.

(4) Self-Directed and Group Learning Sessions – Like all aspects of the NSP TA approach, group learning is intended to increase capacity and close competency gaps of participants by equipping them with the necessary program knowledge and skill sets needed to administer and manage their programs. Specifically, group learning will take two forms:

(a) Introductory Program Learning – A provider(s) will develop and offer an introductory program on the statutory and regulatory requirements of NSP. There is a continual need for

basic program training to address frequent turnover at the grantee level. The courses will be targeted to grantee staff with little or no experience or knowledge of CPD programs, Community Development Block Grant, or NSP. The introductory program learning is necessary to build the foundation for the more advanced program certification;

(b) Instruction on the Administration and Management of NSP - To ensure that grantees and their program partners possess the essential knowledge and management skills needed to effectively carry out NSP, assistance through NSP TA will be used to develop and deliver guidance on skill-based topics that cut across CDBG and NSP, such as: subsidy layering, energy efficiency, financial management, property management, non-profit management, affirmatively furthering fair housing, other civil rights and accessibility requirements, and the Uniform Relocation Act. This may be accomplished through delivery of Core Curriculum courses.

CPD will consult internally with other HUD offices, such as the Office of Fair Housing and Equal Opportunity (FHEO), to assess functional training needs related to NSP.

(5) Information Management. Develop, maintain or improve information management, including maintaining and enhancing the NSP Resource Exchange, and coordinating with other TA providers, such as those funded through OneCPD, HEARTH TA and the Section 4 Capacity Building initiative, to eliminate redundancy of effort and to achieve economies of scale in TA delivery; and

(6) Virtual Help Desks. Support the CPD-sponsored NSP virtual help desk through which technical inquires from specific CPD program grantees will be managed.

### 3. Threshold Requirements.

- a. The applicant must meet the threshold requirements of the **General Section**, including the Civil Rights threshold in Section III.C.
- b. Each applicant must qualify as an eligible applicant under this NOFA and must have met the timely receipt requirements. See the **General Section**.
- c. False statements or claims intentionally made in an application constitute grounds for denial or termination of an award, and may lead to penalties or prosecution as provided in 18 U.S.C. 1001.
- d. Dun and Bradstreet Data Universal Numbering System (DUNS) Number Requirement. Refer to the **General Section, Section III.C.2.b** for information regarding the DUNS requirement. Additional information on obtaining a DUNS number is available at <http://www.hud.gov/grants/index.cfm>. You will need to obtain a DUNS number to receive an award from HUD.
- e. Central Contractor Registration Requirement. You will need to register or update a current registration in the Central Contractor Registration to receive funding from HUD. Information on CCR registration is available at <http://www.ccr.gov/Renew.aspx> and <http://www.ccr.gov/Help.aspx>.
- f. All applicants are required to submit a one-page application summary cover page with the application as described in Section V below. Although this capacity and funding summary will not be rated, the summary is a submission requirement for NSP TA.
- g. The minimum score for an application to be considered for funding is 75 with a minimum of 45 points on Factor 1.

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

Applicants for NSP TA must follow all ten of the program requirements listed below:

**a. Demand-Response System.** All successful applicants must operate within the structure of the ‘demand-response system.’ Under the demand-response system, HUD identifies technical assistance and capacity building needs and prioritizes them based on Departmental, programmatic and jurisdictional priorities. Successful applicants are then tasked with responding to identified needs. Successful applicants may not respond to direct requests for technical assistance from grantees or subgrantees. HUD is solely responsible for determining the entities to be assisted, the location, and the nature of the assistance to be provided, which must be part of a previously established HUD TA plan for the area. Under the demand-response system, TA providers are required to:

- (1) Promptly respond to requests for assistance from the GTM or GTR;
- (2) When requested by a GTM or GTR, conduct a needs assessment to identify the type and nature of the assistance needed by the recipient of the assistance;
- (3) Coordinate TA plans and activities with other providers that may offer additional expertise on a given topic, or that are currently active in providing assistance in a jurisdictional area, such as those providers funded under OneCPD or Section 4 TA; and
- (4) Attend joint training sessions, workshops or conferences with other TA providers as may be requested by a GTM or GTR.

**b. Needs Assessments** of NSP grantees will be conducted as prescribed by HUD, but may include any or all of the following: self-assessment, field office assessment and TA provider assessment.

**c. Direct TA** will only be conducted upon completion of a needs assessment and approval by HUD. Direct TA may include the use of scholarships to enable grantee or nonprofit staff to attend specialized skills training, such as single family or multifamily underwriting, that may otherwise not be available under NSP TA.

**d. Materials, Tools and Courses**, either existing or developed under the award, must be approved by HUD before dissemination or use by TA providers. New courses must be accompanied by trainer notes so that HUD and other CPD TA providers may “step in” to deliver the trainings. Materials must be provided in electronic format and must be made available to the GTM/GTR with sufficient time for review and concurrence from the GTM and GTR on the content and quality of the materials. Ideally, HUD prefers to have 2 months for review prior to establishing a firm date for publication or posting, course delivery or group learning session. To support NSP, with its tight statutory deadlines, review periods must often be compressed, putting more pressure on NSP TA providers to submit high quality, final-quality products.

**e. Group Learning** deliveries must have prior approval from HUD Headquarters. TA providers must arrange for joint delivery of the training with HUD participation when requested by the GTR; and send trainers to approved “train-the-trainers” sessions. Train-the-trainer sessions are intended to demonstrate to those who will be delivering the training the new materials that have been developed specifically for that course, the recommended structure of the delivery, and the training objectives to be achieved. The cost associated with attending these required train-the-

trainer sessions will be eligible administrative costs under the cooperative agreement executed with HUD.

**f. Affirmatively Furthering Fair Housing (AFFH).** Under Section 808(e)(5) of the Fair Housing Act, HUD has a statutory duty to affirmatively further fair housing. Successful applicants will affirmatively further fair housing through activities as may be directed by HUD under the demand-response system. Applicants should indicate applicable fair housing expertise as part of the narrative submitted in response to the rating factors indicated in Section V.A. of this NOFA and as part of HUD Form 40040 (TA Expertise Matrix).

The requirements of Section 3 of the Housing and Urban Development Act of 1968 (section 3) do not apply to funding under this NOFA since no Section 3 covered activity will be undertaken with these TA funds. The vicinity hiring requirement of section 1497(a)(8) of the Dodd-Frank Act will not apply to funding under this NOFA because HUD has determined that it is not feasible to provide technical assistance to localities to address target neighborhoods that lack capacity by requiring the TA providers (who will be national or regional experts) to attempt to hire generally non-existent neighborhood technical assistance experts before providing such assistance. This does not affect grantees' existing responsibilities to affirmatively further fair housing or provide training, employment, and other economic opportunities pursuant to Section 3 or vicinity hiring that result from their receipt of other HUD funding.

**g. Additional Nondiscrimination Guidance.** Please refer to the **General Section** for additional nondiscrimination and civil rights guidance (Section III.C.5).

**h. Environmental Review.** Activities under NSP TA are categorically excluded and not subject to environmental review under 24 CFR 50.19(b)(9) or (13).

**i. Effective Communication.** Successful applicants must ensure that all notices of and communication during all training sessions shall be provided in a manner that is effective for persons with hearing, visual and other communications-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973. See 24 CFR 8.6.

**j. Accessibility of Training Facilities.** All TA providers and their subcontractors must use training facilities and services that are physically accessible to persons with disabilities in compliance with Section 504 and, as applicable, the Americans with Disabilities Act. Where physical accessibility is not achievable, TA providers and subcontractors must give priority to alternative methods of product delivery that offer programs and activities to qualified individuals with handicaps in the most integrated setting appropriate to the needs of qualified individuals with disabilities in accordance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. §794) and its implementing regulations at 24 CFR Part 8, and Title III of the Americans with Disabilities Act. See the Accessible Technology requirements in Section III.C.5 of the **General Section**.

## IV. Application and Timely Receipt Information

**A. Addresses to Request Application Package.** See the **General Section** for specific procedures concerning the electronic application submission and timely receipt requirements. Copies of the published NOFAs and application forms for HUD programs announced through NOFAs may be downloaded from the grants.gov website at [http://www07.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www07.grants.gov/applicants/apply_for_grants.jsp) ; if you have difficulty accessing the information, you may receive customer support from Grants.gov by calling its Support Desk at 800-518-GRANTS, or by sending an email to [support@grants.gov](mailto:support@grants.gov). The Grants.gov help desk is open 7 days a week, 24 hours a day, except federal holidays.

You may request general information from the NOFA Information Center at 800-HUD-8929 or 800-HUD-2209 (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. The NOFA Information Center opens for business simultaneously with the publication of the General Section.

**B. Content and Form of Application.** Eligible applicants may submit only one application. A complete submission will consist of the application signed by an authorized official of the applicant, or lead entity in the case of a joint application, and contain all relevant sections of the application, as shown in the checklist in Section IV.B.4 below.

**1. Number of Copies.** HUD requires TA providers applying for assistance under this NOFA to apply electronically through Grants.gov. An applicant may request in writing a waiver to the electronic submission requirement for good cause in accordance with 24 CFR 5.1005 (see the **General Section** for more information). Should HUD grant a waiver of the electronic submission requirement, the waiver approval letter will note the number of paper copies the applicant must send to HUD.

**2. Page Limitation, Font Size and Format for Naming of Files.** Narratives addressing Factors 1-3 must be formatted so that the total number of pages submitted are equal to or no more than 25 single-sided pages of text based on 8.5 by 11 inch paper, using a standard 12 point font. Reviewers will not review more than 25 pages for all the factors combined. The one-page funding and capacity summary, the skills and experience matrices, budget discussion and required HUD forms are not included in the 25 page limit. See the **General Section** for guidance on the format for the naming of the files for the narratives.

**3. Prohibition on Materials Not Specifically Requested.** Materials other than what is specifically requested by HUD in this NOFA should not be submitted. Reviewers will not consider resumes, charts, letters, or any other documents attached to the application not specifically requested by HUD.

**4. Checklist for Application Content.** The following checklist is provided as a guide to help ensure that your application contains all the required elements. For applicants receiving a waiver of the electronic submission, the paper application must be in the order provided below. All applicants must enter the applicant name, DUNS number, and page numbers on the narrative

pages of the application. The DUNS number provided must be for the entity that is to receive the award of funds from HUD. All forms are available when you download the application and instructions from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). You have only to enter the CFDA Number **or** Funding Opportunity number **or** Funding Opportunity Competition ID for the respective program. Entering more than one of these IDs will result in an error message that the application cannot be found.

#### Application Checklist

- SF424, Application for Federal Assistance (see **General Section**);
- The one-page application summary described in Section V below;
- Narratives addressing Factors 1-3;
- Experience Matrix (including geographic location and coverage of staff and subcontractors) (Form 40044.1 from <http://www.hud.gov/offices/adm/hudclips/forms/hud4.cfm>);
- Skills/Expertise Matrix (Form 40040.1 from <http://www.hud.gov/offices/adm/hudclips/forms/hud4.cfm>);
- Budget submission (as described below);
  - A display of costs that are not subject to change during a minimum 2-year performance period, such as an indirect cost rate. See Section VI.A of this NOFA for more information on the budget setting process.
- SFLLL, Disclosure of Lobbying Activities (see **General Section**);
- HUD2880, Applicant/Recipient Disclosure/Update Report (“HUD Applicant Recipient Disclosure Report” on Grants.gov) (see **General Section**);
- Acknowledgment of Application Receipt (HUD2993), for applicants submitting paper applications only;
- SF424, Supplement, Survey on Equal Opportunity for Applicants (“Faith Based EEO Survey (SF424 SUPP)” on Grants.gov) (to be completed by private nonprofit organizations only); and
- Form HUD96011, Third Party Documentation Facsimile Transmittal (“Facsimile Transmittal Form” on Grants.gov) to be used as the cover page to transmit third party documents and other information designed for each specific application for tracking purposes. HUD will not be able to match faxes to an application if the application does not contain the HUD-96011 fax cover page, and each fax submitted does not use the HUD-96011 as the cover page to the facsimile transmission.

**C. Timely Receipt Requirements.** Your completed application must be received by Grants.gov no later than 11:59:59 p.m. eastern time on **November 21, 2011** the application deadline date. 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 2011 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. HUD encourages applicants to submit their applications early, at least 48 hours prior to the deadline and when the Grants.gov Help Desk is open to address any issues that might affect validation. Applicants should carefully read the section titled “INSTRUCTIONS ON HOW TO DOWNLOAD AN APPLICATION PACKAGE AND APPLICATION INSTRUCTIONS” in the 2011 **General Section**. This section contains information on using Adobe Reader, HUD’s timely receipt policies, and other application information.

**D. Intergovernmental Review.** Intergovernmental review is not applicable for this program NOFA.

**E. Funding Restrictions.** An organization may not provide assistance to itself. An organization may not provide assistance to another organization with which it contracts or sub-awards funds to carry out activities under the TA award. No fee or profit may be paid to any recipient or contractor of an award under this NSP TA NOFA. Contractors providing TA/capacity building services/products are not consultants and thus are not subject to the salary provisions applicable to consultants in the **General Section**. HUD will determine whether the salary rates are reasonable and customary for the skill set provided and the area(s) being served. While TA funds may not be used to train HUD staff, the presence of HUD staff at training deliveries to monitor and carry out their oversight responsibilities is permitted. In accordance with section 1497(a)(7)(A) of the Dodd-Frank Act, none of the amounts made available by this section shall be distributed to: (i) any organization which has been convicted for a violation under Federal law relating to an election for Federal office; or (ii) any organization which employs applicable individuals.

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

**Waiver of Electronic Submission Requirements.** Applicants interested in applying for funding under this NOFA must submit their applications electronically via Grants.gov or request a waiver from the Community Development Technical Assistance Division. You must follow the procedures for electronic submission of applications contained in HUD's General Section unless a waiver for good cause in accordance with HUD's waiver policy of 24 CFR 5.1005 is approved by HUD. Applicants should submit their waiver requests by email or in writing. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted by email to [Julie.D.Hovden@hud.gov](mailto:Julie.D.Hovden@hud.gov) or in writing to Julie Hovden, Director, Office of Technical Assistance and Management, Community Planning and Development, Department of Housing and Urban Development, 451 7<sup>th</sup> Street SW, Room 7218, Washington, DC 20410. Written waiver requests must be postmarked no later than 15 days prior to the application deadline date. HUD only provides waivers for cause under the waiver provisions of 24 CFR 5.110. Instructions regarding the number of copies to submit and the address where they must be submitted will be contained in any approval of the waiver request. Paper submissions must be received at the appropriate HUD office(s) no later than midnight on the deadline date. Paper applications will not be accepted from applicants that have not been granted a waiver. **All applications in paper format must have received a waiver to the electronic application requirement and the application must be received by HUD on or before the application deadline date in accordance with the notification approving the waiver. The waiver approval will identify where to submit the application and deadline time.**

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

All applicants are required to submit a one-page application summary cover page with the application for NSP TA. This summary will not be rated. The one-page application summary must identify:

- For which of the four eligible activities {needs assessments, direct TA and capacity

building, materials/tools development (including course development), group learning delivery } does the applicant claim the expertise to provide assistance.

- The amount of funds requested. The requested funding amount should be based on the number of available staff, the range and quality of their skills and knowledge, and the ability of the applicant to manage these resources to successfully execute multiple TA or capacity building engagements involving several covered programs simultaneously over a two- to three-year period.
- The geographic coverage area of TA or capacity building assistance proposed by the applicant (i.e., national, specific regions and/or specific states).

**A. Criteria.** The maximum number of points that can be awarded to any application is 100. The minimum score for an application to be considered for funding is 75 with a minimum of 45 points required for Factor 1. NSP TA is not subject to bonus points, as described in the **General Section**.

Points are assigned on three factors. Applicants should review the factors carefully as the criteria have changed significantly from prior years' requirements. When addressing the three factors, applicants should include the relevant skills, knowledge and experience of their organization, other organizations that are party to the application, and any individual staff and subcontractors that are part of the submission. Joint applications - consisting of a number of national, state-wide and regional organizations that together provide greater overall capacity and broader geographic coverage - are strongly encouraged by HUD to improve coordination of effort and the overall effectiveness of TA or capacity building delivery. A specific contractor or consultant may be included in more than one application. Applicants should also address the overall management of the award including policies and quality-control procedures for ensuring that all NSP TA requirements are met and quality products are developed and delivered. Please note that Factor 2 – Need– and Factor 4 – Leveraging Resources as identified in the **General Section** do not apply under NSP TA. The following rating factors apply to applicants for NSP TA.

**1. Rating Factor 1: Applicant's Capacity and Relevant Experience (60 points) (Minimum for Funding Eligibility is 45 points)**

**a. (30 points) Recent experience and performance of the applicant organization(s).** In both narrative form and by completing the Experience Matrix that accompanies this NOFA, indicate your organization's recent experience (within the last 18 months) managing technical assistance and capacity building activities that are the same or similar to those required under this NOFA. (Instructions for completing the Matrix accompany the form.) The narrative must identify all technical or capacity building assistance awards currently under contract, including award date, award amount, name of awarding organization and description of activities. For each active grant, the name, phone number and email address of the client manager (e.g., COTR, Government Technical Representatives (GTRs) and Monitors (GTMs)), and a brief description of any outstanding performance or timeliness issues should be included. The narrative should also describe the applicant's experience operating under a demand-response type system. Please make certain to discuss in the narrative the specific topics covered in your recent consulting or technical assistance engagements, showing the connection to eligible activities under this NOFA,

the method of delivery (e.g., training, direct technical assistance, etc.), beneficiaries served, and any quantifiable outputs and outcomes achieved. All applicants must provide at least two references that can provide feedback on the applicant's prior technical assistance and capacity building efforts. In evaluating this sub-factor, HUD may interview GTRs and GTMs, obtain customer feedback and recommendations from HUD field and program offices, and from offices in other agencies or from grantees.

Applicants will be assessed based upon the extent to which they have: (1) demonstrated ability and success in providing technical or capacity building assistance to diverse entities under different programs, and for a range of NSP related topics; (2) managed multiple, large and/or complex technical assistance and capacity building activities, including delivering activities simultaneously in multiple jurisdictions and/or developing products on multiple NSP related topics; and (3) complied with cooperative agreement provisions, financial and performance reporting requirements, timeliness of drawdown of funds, and close-out of expired grants.

**b. (30 points) Organizational capacity – Key Personnel.** In both narrative form and by completing the Expertise Matrix that accompanies this NOFA, applicants must indicate the technical assistance and capacity building experience of key personnel. (Instructions for completing the Matrix accompany the form.) For the purposes of responding to this sub-factor, 'key personnel' is defined as all in-house staff of the lead applicant, co-applicants, contractors and consultants who will be developing technical assistance or capacity building assistance products and/or delivering training courses, conferences, or direct TA. Applicants must indicate in the narrative the primary geographic location, home base (include zip code+4) or coverage area for key personnel, and provide a detailed description for each key staff person of their relevant experience, skills and knowledge. When applicable, applicants must identify key personnel who have passed the '*Certified HOME Specialist – Regulations*' training examination (HOME Program Certified) with a score of 80 or higher. Joint applications consisting of a number of national, state-wide and regional organizations applying together may receive higher scores for this factor since they are likely to provide a greater range of skills and expertise, and broader geographic coverage.

In evaluating this sub-factor, HUD will assess the experience, NSP-related program knowledge, and skills of key personnel, and the geographic coverage they provide. The NSP-related program knowledge and skills of key personnel should clearly support the range of possible technical assistance and capacity building activities for which the applicant claims qualification.

Applicants will be rated on the following basis: (1) demonstrated staff experience and expertise in HUD, CPD, and other Federal cross-cutting program requirements related to NSP; (2) proven skills and ability in developing and/or delivering technically accurate technical and capacity building assistance in an effective manner where and when called upon to do so; and (3) for applicants claiming knowledge of the HOME program specifically, HUD will measure that applicant's HOME program knowledge, in part, by the number of key staff identified in the application as HOME Program Certified.

## **2. Rating Factor 2: Soundness of Approach (25 points)**

**a. (15 points) Management.** Present a clear, practical plan for: (1) managing multiple, large and/or complex technical assistance and capacity building activities, including delivering assistance simultaneously in multiple jurisdictions and/or developing products, including training courses, on multiple topics; and (2) implementing a multi-disciplinary approach to the development and delivery of TA or capacity building assistance to maximize effectiveness. The policies and procedures must clearly explain how the applicant will manage TA activities within the demand-response system, including the processes for consulting with HUD field offices and managing the formal TA requests from HUD Headquarters; assigning appropriately skilled and knowledgeable staff to develop or provide TA or capacity building assistance across program areas; prioritizing and managing multiple TA or capacity building assistance engagements, with multiple entities, in multiple jurisdictions; coordinating and collaborating with other TA providers active in the area; managing the overall operation with a focus on delivering results; providing feedback to HUD on progress and outcomes; and resolving issues or overcoming obstacles that may affect progress. In rating this factor, HUD will evaluate the comprehensiveness of the response provided, and the likely effectiveness of the approach described for each element of the plan specified above.

**b. (2 points) HUD Policy Priorities and Potential Outcomes.**

(1) Describe the connection between the following HUD policy priority and potential outcomes of the TA and capacity building effort and the TA or capacity building activities that the applicant is prepared to carry out under this NOFA, being as specific as possible as to potential outcomes: ‘Capacity Building and Knowledge Sharing.’ (See **General Section** for a full description of this policy priority.)

**c. (8 points) Quality control.** Present a clear plan for ensuring that all TA or capacity building materials and products developed or delivered under NSP TA are accurate and of the highest quality. Specifically, applicants must present a detailed quality control plan for ensuring that they are providing the most up-to-date and accurate statutory, regulatory, and other program and capacity building guidance in all written, electronic, and in-person activities. The applicant’s quality control plan must also describe how they will ensure that only eligible NSP program beneficiaries are served. The applicant should also include a course of action for curing any eligibility or product quality issues that may arise. In rating this factor, HUD will review the applicant’s quality control plan for thoroughness and effectiveness, and the likelihood that such procedures will ensure that the intended outcomes of the TA activities are achieved.

**3. Rating Factor 3: Program Evaluation and Achieving Results (15 points)**

**a. (10 points) – Outcomes.** For each of the four TA or capacity building activities under NSP TA (i.e., needs assessment, direct TA and capacity building, development of learning tools and group learning), or any of the items under ‘maintenance of existing products’ for which the applicant is proposing to provide assistance, the applicant must identify at least two quantifiable place-based ‘outcomes’ by which success will be measured. **An outcome is defined as the results achieved or benefits derived from the technical assistance or capacity building which supports the objectives of HUD and NSP.** ‘Outputs’ (e.g., the number of TA engagements performed or courses delivered) are not acceptable and will result in a lower score. In rating this factor, HUD will evaluate whether the outcomes identified by the applicant are both measurable and appropriately related to HUD or the NSP programs.

**b. (5 points) – Evaluation.** For each of the four eligible TA or capacity building activities, describe the general methods and measures the applicant will use to evaluate the effectiveness of its TA or capacity building activities. While the specific TA or capacity building tasks to be undertaken by successful applicants will be identified post-award through the demand-response system, HUD has identified the broad eligible activities that encompass technical assistance or capacity building. The applicant must present a clear plan for evaluating the effectiveness of each of the possible TA or capacity building activities the applicant may be asked to undertake and for which it is expected to deliver results. In rating this factor, HUD will assess, based upon criteria developed from past experience managing TA grants, whether the TA evaluation methods described by the applicant will successfully measure the effectiveness of each eligible TA or capacity building activity identified.

### **C. Review and Selection Process**

**1. Review Types.** Two types of reviews will be conducted. First, HUD will review each application to determine whether it meets threshold eligibility requirements. Second, HUD will review and assign scores to applications using the Factors for Award noted in Section V.A.

#### **2. Ranked Order.**

After scores have been assigned, applications will be listed in ranked order. The amount awarded to applications ranked within the fundable range (i.e., a score of 75 or more points overall with 45 or more points for Factor 1) will be determined according to the factors described below in No. 4 – Funding Decisions.

**3. Threshold Eligibility Requirements.** To be reviewed, scored and ranked, an applicant requesting funding to provide NSP TA must be in compliance with the threshold requirements of the **General Section** and the eligibility requirements listed in Section III of this NOFA. Any application that does not meet one or more of these threshold or eligibility requirements, and any application received after the deadline (see Section IV.C of the **General Section**), will be considered ineligible for funding.

**4. Funding Decisions.** In determining the amount awarded to a successful applicant, HUD will take into consideration the amount of funds available; the applicant's current organizational capacity to effectively deliver the assistance requested by HUD, where and when required, as presented in the application, including, among other things, the number, location, quality and experience of their key personnel; the final score assigned to the application by HUD reviewers; and the applicant's past performance in managing and/or delivering technical assistance or capacity building that is the same or similar to the activities described in this NOFA. There may be insufficient funds available to make an award to every application scoring within the fundable range.

**5. Corrections to Deficient Applications.** Applicants will have 14 calendar days in which to provide missing information requested by HUD. Instructions on submission of cures for deficiencies will be provided by HUD with the request for the deficiency. See Section V.B.2. of the **General Section** for additional information on the process to be followed for corrections to deficient applications.

## **VI. Award Administration Information**

**A. Award Notices.** HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application, as described below in Sections VI.A.1 through 3., and Sections VI.B and C.

**1. Budget.** Applicants submitting their qualifications to participate in demand-response training will not know at the time of application the specific activities they will be asked to carry out over the course of the performance period, the location of the engagements or their duration. Therefore, applicants are only required to submit as part of their application a budget limited to those costs not subject to change during the term of the award, such as indirect cost rates. A cooperative agreement without a formal budget can be executed so long as HUD has other specific information (e.g., the grant amount and the activities that the applicant has the capacity to carry out.) In cases where HUD cannot successfully conclude negotiations on a cooperative agreement with a selected applicant or a selected applicant fails to provide HUD with requested information as part of the negotiation process, an award will not be made to that applicant. In this instance, HUD may offer an award and proceed to negotiate with the next highest-ranking applicant.

**2. Code of Conduct.** After selection, but prior to award, applicants selected for funding will be required to provide HUD with their written Code of Conduct if they have not previously done so and it is not recorded on the HUD website at:

<http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>

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

**4. Debriefing.** See **General Section**.

**B. Administrative and National Policy Requirements.** After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements. These requirements are found in 24 CFR part 84 for all organizations, except states and local governments whose requirements are found in 24 CFR part 85. Cost principles requirements are found at OMB Circular A-122 for nonprofit organizations, OMB Circular A-21 for institutions of higher education, OMB Circular A-87 for states and local governments, and at 48 CFR 31.2 for commercial organizations. Applicants must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability.

See the **General Section** for requirements for Procurement of Recovered Materials.

### **C. Reporting.**

**1. Program Progress.** Awardees will be required to report to the GTR no less often than quarterly unless otherwise specified in the cooperative agreement. As part of this required report to HUD, award recipients will update the Disaster Recovery Grant Reporting (DRGR) system (used in lieu of the Logic Model (HUD 96010), a post-award required submission) with actual outputs and data related to outcomes achieved, and a narrative explanation of any disparity between projected and actual results.

**2. Federal Funding Accountability and Transparency Act of 2006.** Applicants selected for funding will be required to report first sub-grant award and executive compensation information, where their initial award is \$25,000 or greater, as required by the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). The prime grant awardees will have until the end of the month plus one additional month after an award or sub-grant is obligated to fulfill the reporting requirement. The Federal Funding Accountability and Transparency Act (FFATA) of 2006 calls for the establishment of a publicly available web site to disclose the use of Federal finance assistance.

**a.** The Act requires the reporting of the following data for first-tier sub-grants of \$25,000 or more:

- (1) Name of entity receiving award
- (2) Amount of award
- (3) Funding agency
- (4) NAICS code for contracts / CFDA program number for grants
- (5) Program source
- (6) Award title descriptive of the purpose of the funding action
- (7) Location of the entity (including congressional district)
- (8) Place of performance (including congressional district)
- (9) Unique identifier of the entity and its parent; and
- (10) Total compensation and names of top five executives (same thresholds as for

primes)

**b.** The Transparency Act also requires the reporting of the Total Compensation and Names of the top five executives in either the prime awardee or a sub-awardee's organization if:

- (1) More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually; and
- (2) Compensation information is not already available through reporting to the SEC.

The statute exempts from reporting any sub-awards less than \$25,000 made to individuals or to an entity whose annual expenditures are less than \$300,000. OMB has published Interim Final Guidance to agencies regarding the FFATA subrecipient reporting requirements in the Federal Register on September 14, 2010 (75FR55663.)

## VII. Agency Contacts

**A. For Assistance.** Applicants should contact Julie Hovden, Director, Technical Assistance Division, HUD Headquarters, by e-mail at [Julie.D.Hovden@hud.gov](mailto:Julie.D.Hovden@hud.gov). 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. Information may also be obtained through the HUD website on the Internet at [www.hud.gov](http://www.hud.gov).

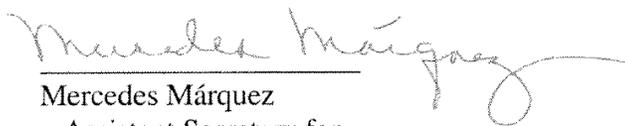
## VIII. Other Information

**A. 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 2506-0190. 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 60 hours for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data. 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.

**B. HUD Reform Act.** The provisions of the HUD Reform Act of 1989 that apply to the NSP TA program are explained in the **General Section**.

**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:     OCT 19 2011    

  
Mercedes Márquez  
Assistant Secretary for  
Community Planning and Development