

1 **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**
2 **[Docket No. FR-5415-N- 42]**

3
4 **Notice of Funding Availability (NOFA) for Fiscal Year (FY) 2010 Transformation**
5 **Initiative: Sustainable Construction in Indian Country Small Grant Program**
6

7
8 **AGENCY:** Office of the Assistant Secretary for Policy Development and Research, HUD.
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11 **ACTION:** Notice of Funding Availability (NOFA) for Fiscal Year (FY) 2010 Transformation
12 Initiative: Sustainable Construction in Indian Country Grant Program.
13

14 **SUMMARY:** This NOFA announces the availability of funding for approximately \$125,000 for
15 the Transformation Initiative: Sustainable Construction in Indian Country Grant Program. This
16 NOFA is governed by the information and instructions found in HUD’s Fiscal Year 2010 Notice
17 of Funding Availability (NOFA) Policy Requirements and **General Section** that HUD posted to
18 www.Grants.gov on June 7, 2010 (FR 5415-N-01).
19

20 **APPLICATION DEADLINE DATE:** The application deadline date is **11:59:59 p.m. Eastern**
21 **time on xxxxx, 2011.** The application deadline is XXXDAY, DATE, 2011. Applications must
22 be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline
23 date. Applicants need to be aware that following receipt, applications go through a validation
24 process in which the application may be accepted or rejected. Please allow time for this process
25 to ensure that you meet the timely receipt requirements. Please see the 2010 General Section for
26 HUD’s timely receipt and grace period policies.
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1 **FOR FURTHER INFORMATION CONTACT:** Questions regarding specific program
2 requirements should be directed to the agency contact identified in Section VII of this program
3 NOFA. Questions regarding the **General Section** should be directed to the Office of
4 Departmental Grants Management and Oversight at (202) 708-0667 (this is not a toll-free
5 number) or the NOFA Information Center at (800) HUD-8929 (toll-free). Persons with hearing
6 or speech impairments may access these numbers via TTY by calling the Federal Information
7 Relay Service at (800) 877-8339. The NOFA Information Center is open between the hours of
8 10:00 a.m. and 6:30 p.m. eastern time, Monday through Friday, except federal holidays.

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10 **OVERVIEW INFORMATION**

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12 **A. Federal Agency Name:** Department of Housing and Urban Development, Office of Policy
13 Development and Research (PDR).

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

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

19

20 **D. Funding Opportunity Number:** FR-5415-N-42; OMB Approval Number is xxx-xxxx.

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

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F. Dates:

The application deadline is XXXDAY, DATE, 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. The purpose of this effort is to develop, deploy, and disseminate methods of Sustainable Construction suitable for Indian Country.

2. Award Information. In Fiscal Year 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 effort authority via the Transformation Initiative Fund. The maximum grant performance period is 24 months. An applicant can request \$25,000 to \$40,000 per award, depending on the scope 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 project.

1 **3. Eligible Applicants.** Tribes and tribal organizations, nonprofit organizations, foundations,
2 think tanks, consortia, institutions of higher education accredited by a national or regional
3 accrediting agency recognized by the U.S. Department of Education, and other entities that will
4 sponsor a researcher, expert or analyst.

5

6 **FULL TEXT OF ANNOUNCEMENT**

7 **I. Funding Opportunity Description**

8

9 HUD invites applicants to submit proposals for funding to develop, deploy, and
10 disseminate methods of sustainable construction suitable for use in Native American housing.
11 HUD is looking for applications on curriculum development/training and information
12 dissemination related to sustainable construction in four broad areas: moisture management,
13 retrofit strategies, home performance verification, and sustainable construction fundamentals.

14

15 **A. Background**

16 HUD's objective in issuing this NOFA is to identify and promote the use of sustainable
17 construction in tribal housing. The Fiscal Year 2010 budget provided funding for "a
18 demonstration of sustainable building practices on Native American lands." This NOFA
19 responds to the appropriation and builds on previous work by HUD and others. Sustainable
20 construction means the structure and building process is environmentally responsible and
21 resource-efficient throughout a building's life-cycle: from siting to design, construction,
22 operation, maintenance, renovation, and demolition. This practice expands and complements the
23 classical building design concerns of economy, utility, durability, and comfort.

1 In 1996 HUD conducted a needs assessment of Native American housing¹. That study
2 found that,

- 3 • “The housing problems of American Indians and Alaska Natives remain considerably
4 more severe than those of non-Indians in all parts of America. This is particularly so in
5 reservations and other Tribal Areas...”
- 6 • “Even among Tribal Areas, there is tremendous diversity, ranging from extremely
7 isolated and poor tribes to somewhat better-off tribes located nearer metropolitan labor
8 and housing markets.”
- 9 • “Housing produced under HUD’s Indian housing programs does have defects, but its
10 availability has substantially improved living conditions for thousands of families. This
11 housing stock accommodates about one fourth of all Native American households living
12 in Tribal Areas.”

13 The issues noted in the HUD study suggest the need for sustainable construction to improve
14 tribal housing. Currently there are many stakeholders working independently to build the
15 capacity of Native American Tribes and tribally designated housing entities (TDHEs) to
16 successfully conduct sustainable construction on tribal lands. Several tribes have been
17 successful in developing sustainable housing. For example, the Penobscot Indian Nation of
18 Indian Island, Maine constructed 6 new Leadership in Energy and Environmental Design
19 (LEED) Gold Certified housing units that are aesthetically pleasing. As a part of the
20 certification, solar hot water heaters, energy star appliances, Light-emitting Diode (LED) light
21 fixtures, programmable thermostats and energy efficient furnaces were installed in all of the

1 ¹ Kingsley, Thomas G., et al. 1996. “Assessment of American Indian Housing Needs and Programs: Final Report,” pp.
2 xii-xiii.

1 units. These homes have reduced their electricity consumption by 66% and their fuel
2 consumption by more than 50%.

3

4 **B. Goals of Effort**

5 Activities performed under the Sustainable Construction in Indian Country Grant
6 Program should be original and result in contributions to promote sustainable construction in
7 Indian Country. Preference will be given to proposals aimed at addressing current challenges
8 that Native American communities face in light of the current housing, energy, and economic
9 crises.

10

11 **C. Topics**

12 The following list of potential sustainable construction related topics is intended to
13 demonstrate the range of issues that may be the subject of effort. Omission of a topic does not
14 indicate that HUD would have no interest in funding it. Possible topics include:

15 • Curriculum development/training and information dissemination

16 - Training tools – methods accessible to the target audience

17 - Green curricula

18 • Moisture management

19 - Effective insulation strategies

20 - Permanent installation of the vapor barrier

21 - Spot ventilation strategies

22 - Moisture reduction strategies

23 • Retrofit strategies

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- 1 - Durable retrofit strategies
- 2 • Performance verification
- 3 - Methods to verify a home's performance (energy, durability, indoor air quality)
- 4 - Field testing of new and rehabilitated tribal housing
- 5 • Sustainable construction fundamentals

6

7 **D. Authority**

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

13

14 **II. Award Information**

15

16 In FY2010, approximately \$125,000 was made available for the Office of Policy
17 Development and Research (PD&R) Sustainable Construction in Indian Country Grant program.
18 An award can range from a minimum of \$25,000 to a maximum of \$40,000, depending on the
19 scope and merit of the proposed effort. Awards under this NOFA will be made in the form of
20 Cooperative Agreements. A Cooperative Agreement means that HUD will have substantial
21 involvement during the performance of the effort project may include, but will not be limited to:

- 22 1. Review and suggestion of amendments to the effort, including: objectives; work plan;
23 and deliverables.

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1 2. Review and provision of preliminary deliverables in response to quarterly progress
2 reports.

3 3. Review and provision of final deliverables.

4 The maximum grant performance period for an award under this program is 24 months.

5 **III. Eligibility Information**

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7 **A. Eligible Applicants.**

8 Nonprofit organizations, foundations, think tanks, consortia, institutions of higher education
9 accredited by a national or regional accrediting agency recognized by the U.S. Department of
10 Education, and other entities that will sponsor a researcher or researchers, expert(s) or analyst(s).
11 HUD will not directly fund individual researchers.

12

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

14

15 **C. Other**

16

17 **1. Eligible Activities.** Grant funds awarded under this NOFA must be used to support
18 direct and indirect costs incurred in the timely completion of the effort product.

19 **2. Eligible Costs.** Eligible costs include but are not limited to: the researcher's salary;
20 graduate assistants to work on the project; projected/release time for researchers who
21 demonstrate the need for a period of intensive research focus as a means of enhancing their
22 research career computer software; purchase of data; travel expenses to collect data or to make
23 presentations at meetings; transcription services, and compensation for interviews.

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2 **3. Threshold Requirements Applicable to All Applicants.** All applicants and senior level
3 researchers must comply with the threshold requirements as defined in the **General Section** and
4 the requirements listed below. **Applications that do not meet these requirements will be**
5 **considered ineligible for funding and will not be eligible to receive an award:**

6 a. The grantee must meet the eligibility requirement as defined in Section III. A.

7 b. The applicant may not request more funding than the grant maximum allocated
8 as outlined in Section II and not less funding than the grant minimum.

9 c. Applications must receive a **minimum score of 75 points, including any bonus points** to be
10 considered for funding.

11 d. The organization (the official applicant on behalf of the researcher) must have a DUNS
12 number and an active registration at the Central Contractor Registration (CCR) to receive HUD
13 grant funds (see the **General Section**); and

14 e. To meet timely receipt requirements electronic applications must be **received** by Grants.gov
15 no later than 11:59:59 p.m. Eastern Time on the application deadline date. **See the General**
16 **Section regarding timely receipt and grace period policies.**

17

18 **4. Other Requirements.** All applicants must comply with the nondiscrimination and other
19 requirements as defined in the **General Section** and the requirements listed below.

20 a. **Compliance with Civil Rights Laws.**

21 (1) With the exception of federally recognized Indian tribes and their instrumentalities, (a)
22 applicants and their sub recipients must comply with all applicable fair housing and civil rights
23 requirements in 24 CFR 5.105(a), including, but not limited to, the Fair Housing Act; Title VI of

1 the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II of the
2 Americans with Disabilities Act; Section 109 of the Housing and Community Development Act
3 of 1974; (b) if the applicant’s state or local government has passed a law or laws proscribing
4 discrimination in housing based on sexual orientation or gender identity, or a law or laws
5 proscribing discrimination based on lawful source of income, the applicant and any proposed
6 subrecipients must comply with those laws;

7 (2) If you are a federally recognized Indian tribe, you must comply with the
8 nondiscrimination provisions enumerated at 24 CFR 1000.12, as applicable.

9 **b. Affirmatively Furthering Fair Housing Requirements.** Under Section 808(e)(5) of the Fair
10 Housing Act (42 U.S.C. 3608(e)(5), HUD has a statutory duty to affirmatively further fair
11 housing. HUD requires the same of its funding recipients. Applicants under this NOFA are not
12 required to submit an affirmatively furthering fair housing plan for their proposed activities.
13 However, applicants are encouraged to review the Consolidated Plans and Analyses of
14 Impediments to Fair Housing Choice (for example, HUD’s regulations at 24 CFR 91.225 (a)) in
15 the jurisdiction in which their activities will take place in order to take into account impediments
16 to fair housing choice in their proposed effort.

17 **c. Executive Order 13166, “Improving Access to Services for Persons with Limited English**
18 **Proficiency (LEP).”** Executive Order 13166 seeks to improve access to federally assisted
19 programs and activities for individuals who, as a result of national origin, are limited in their
20 English proficiency. Applicants obtaining federal financial assistance from HUD shall take
21 reasonable steps to ensure meaningful access to their programs and activities to LEP individuals.
22 As an aid to recipients, HUD published *Final Guidance to Federal Financial Assistance*
23 *Recipients: Title VI Prohibition Against National Origin Discrimination Affecting Limited*

1 *English Proficient Persons* (LEP Guidance) in the Federal Register on January 22, 2007 (72 FR
2 2732). For assistance and information regarding LEP obligations, go to
3 http://www.justice.gov/crt/lep/guidance/HUD_guidance_Jan07.pdf . For more information on
4 LEP, please visit <http://www.hud.gov/offices/fheo/promotingfh/lep.cfm>.

5 **d. Accessible Technology.** Section 508 of the Rehabilitation Act requires HUD and other
6 federal departments and agencies to ensure, when developing, procuring, maintaining, or using
7 electronic and information technology (EIT), that the EIT allow, regardless of the type of
8 medium, persons with disabilities to access and use information and data on a comparable basis
9 as is made available to and used by persons without disabilities. Section 508's coverage
10 includes, but is not limited to, computers (hardware, software, word processing, email, and
11 Internet sites), facsimile machines, copiers, and telephones. Among other things, Section 508
12 requires that, unless an undue burden would result to the federal department or agency, EIT must
13 allow individuals with disabilities who are federal employees or members of the public seeking
14 information or services to have access to and use of information and data on a comparable basis
15 as made available to employees and members of the public who are not disabled. Where an
16 undue burden exists to the federal department or agency, alternative means may be used to allow
17 a disabled individual use of the information and data. Section 508 does not require that
18 information services be provided at any location other than one at which the information services
19 are generally provided. HUD encourages its funding recipients to adopt the goals and objectives
20 of Section 508 by ensuring, whenever EIT is used, procured, or developed, that persons with
21 disabilities have access to and use of the information and data made available through the EIT on
22 a basis comparable as is made available to and used by persons without disabilities. This does
23 not affect recipients' required compliance with Section 504 of the Rehabilitation Act and, where

1 applicable, the Americans with Disabilities Act. Applicants and recipients seeking further
2 information on accessible technology should go to <http://www.section508.gov/>.

3 **e. Conducting Business in Accordance with Core Values and Ethical Standards/Code of**

4 **Conduct.** If awarded assistance under this NOFA, prior to entering into a cooperative agreement
5 with HUD, you will be required to submit a copy of your code of conduct and describe the
6 methods you will use to ensure that all officers, employees, and agents of your organization are
7 aware of your code of conduct. See the FY 2010 **General Section** for information about
8 conducting business in accordance with HUD’s core values and ethical standards.

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

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23 **IV. Application and Submission Information**

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2 **A. Address to Request Application Package.**

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4 Copies of the published NOFAs and application forms for HUD programs announced through
5 NOFAs may be downloaded from the Grants.gov website. Applicants can find this funding
6 opportunity and link to the application and Instructions Download with additional forms at
7 http://www.grants.gov/applicants/find_grant_opportunities.jsp If you have difficulty accessing
8 the information you may receive customer support from Grants.gov by calling their Support
9 Desk at (800) 518-GRANTS, (TTY:1-800-877-8339) or sending an email to
10 support@grants.gov. The customer support center is open twenty-four hours a day, seven days
11 per week, except federal holidays. Applicants should ask for a Grants.gov call center ticket
12 number if not provided one by the call center customer service representative. In case of issues,
13 HUD relies on Grants.gov call center ticket logs as part of the review of records. Applicants not
14 familiar with Grants.gov registration requirements should first read the FY2010 General Section
15 to HUD's NOFAs.

16

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

18

19 **1. Application Content.**

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

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

4 (1) The name of the official applicant, i.e., the organization sponsoring the researcher(s), for
5 this program. Please make sure that the name of the organizational applicant in box 8a is the
6 organization's legal name and that the organization's DUNS number and address are listed on
7 this form (not the researcher's information). When entering the zip code, be sure to enter the 9
8 digit zip code.

9 (2) Include the name, title, address, telephone number, facsimile number, and e-mail address
10 of the designated contact person. This is the contact at the organization **who will receive all**
11 **pertinent information from HUD regarding this application; therefore, please ensure the**
12 **accuracy of the information; this person must have knowledge of the content of the**
13 **application submitted under this program. Please be sure the email account will accept**
14 **messages from HUD.gov.**

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

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

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

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

20 (7) The signature of the Authorized Organization Representative (AOR), who by virtue of
21 submitting an application via Grants.gov, has been authenticated by the credential provider and
22 approved by the organizational applicant's eBusiness Point of Contact to submit applications on
23 behalf of the organization. If the AOR has not been granted approval to submit the application,

1 the application will be rejected by the Grants.gov system. The AOR must be able to make a
2 legally binding agreement for the sponsoring organizational entity.

3 b. Table of Contents.

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

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

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

8 (3) Problems/issues being addressed.

9 (4) Intellectual merit of conducting the effort.

10 (5) The broader impact of conducting the effort.

11 (6) How the organization meets the eligibility criteria for the program.

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

14 d. Narrative statement addressing the rating factors. HUD will use the narrative response to the
15 "Rating Factors" to evaluate, rate, and rank applications. This step in the process has five rating
16 factors that need to be addressed: (1) capacity of the applicant and relevant experience to do the
17 proposed effort; (2) need for proposed effort; (3) soundness of approach; (4) broader impacts;
18 and (5) achieving results and program evaluation. The narrative statement is the main source of
19 information when rating and ranking applications. Therefore, it is very important that the
20 grantee becomes fully familiar with the rating factors for the program. The narrative should be
21 numbered in accordance with each factor and sub-factor. Make sure to address each factor and
22 sub-factor and provide sufficient information about every element. The application narrative and
23 any supporting references must not exceed 10 pages in length (excluding forms, assurances,

1 budget narrative, table of contents, and executive summary), and must be submitted and
2 formatted to fit an 8 ½ by 11-inch paper, double-spaced, with one-inch margins (for the top,
3 bottom, left, and right sides of the document) in standard Times New Roman 12-point font.
4 Each page must be numbered with the name of the grantee and applicant visible on each page.
5 The double-spacing requirement applies to the narrative section of the application (excluding
6 references and bibliographies). Submitting pages in excess of the page limit will not disqualify
7 an application; however, HUD will not consider the information on any excess page. This
8 exclusion may result in a lower score or failure to meet a threshold requirement. **Please do not**
9 **attach responses to each factor separately. Please follow the instructions on the use of**
10 **zipped files, file extensions, and file names in the General Section. File names should not**
11 **contain spaces, dashes, or special characters. Failure to follow the file name requirements**
12 **can result in the application being rejected by the Grants.gov system. Please be sure to**
13 **open and review the attached narrative response to ensure that you have attached the final**
14 **version of what you want to submit and all the rating factors have been addressed in the**
15 **document.**

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

17 (1) HUD_424_CB Grant_Application_Detailed_Budget. This budget form shows the total
18 budget by year (12 month period) and by line item for the program activities to be carried out
19 with the proposed HUD grant. Make sure that the amount shown on the SF_424, HUD_424_CB
20 and budget narrative are consistent and the budget totals are correct. Remember to check
21 addition in totaling the categories on the HUD_424_CB form so that all items are included in the
22 total. Please be sure that the budget matches the information contained in the SF424. The
23 budget form must be fully completed. If there is inconsistency between any required forms

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1 and/or budget narrative, the HUD_424_CB will be used. If this correction puts an application
2 under the minimum amount or over the cooperative agreement maximum amount (see Section
3 II.C.2), the grantee will not be able to correct the amount requested and the application will be
4 disqualified. If an application is selected for award, the grantee may be required to provide
5 greater specificity to the budget during grant agreement negotiations.

6 (2) Budget Narrative. A narrative must be submitted that explains how the grantee arrived at the
7 cost estimate for each line item. The proposed cost should be reasonable (e.g., propose local
8 prevailing salaries for similar grantees, or transcription services providers, etc.) for the work to
9 be performed and consistent with rates established for the level of expertise required to perform
10 the work proposed. The grantee must pay close attention to accurately estimating costs,
11 determining the necessity for and reasonableness of costs proposed; and correctly computing all
12 budget items and totals.

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

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

- 21 (1) SF_424_Supplement_Survey_on_Ensuring_Equal_Opportunities_for_Applicants
- 22 (Faith_Based_EEO_Survey (SF_424_SUPP).
- 23 (2) SF_LLL_Disclosure_of_Lobbying_Activities, if applicable.

1 (3) HUD_2880_Applicant/Recipient_Disclosure/Update_Report (HUD_Applicant_Recipient
2 Disclosure_Report), if applicable.

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

8 (5) HUD_96010_Program_Outcome_Logic_Model; and

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

1 g. Certifications and Assurances. Please read the **General Section** for detailed information on
2 all Certifications and Assurances.

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

7
8 **C. Receipt Dates and Times.**

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

20 **D. Intergovernmental Review.**

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

23

1 **E. Funding Restrictions.**

- 2 1. Funding will only be provided to entities who meet the standards for eligible applicants
3 outlined in Section III. A.
- 4 2. Grant funds awarded under this NOFA may not be used to pay for computer hardware and/or
5 meals.
- 6 3. Honorariums cannot be charged against grants under this program.
- 7 4. Fee or profit will not be paid for work done under this NOFA.
- 8 5. Applicants must comply with the Delinquent Federal Debt Requirement as defined in the

9 **General Section.**

- 10 6. Award funds may not be used specifically for dissertation support internationally oriented for
11 effort, or construction projects.

12 **F. Other Submission Requirements.**

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

14 Applications under this NOFA must be received electronically through the federal
15 Website Grants.gov unless a waiver of this requirement is granted in accordance with the
16 instructions below. Applicants are required to submit applications electronically via the website
17 http://www.grants.gov/applicants/apply_for_grants.jsp. See the **General Section** for additional
18 information on the electronic process requirements and how to request a waiver from the
19 requirement if necessary. Applicants requesting a waiver must submit their requests in writing
20 no later than 15 days prior to the application deadline date. The letter must be addressed to Dr.
21 Raphael W. Bostic, Assistant Secretary for Policy Development and Research and be submitted
22 via e-mail or fax to:

23

1 Mike Blanford
2 Affordable Housing Research and Technology Division
3 E-mail: Michael.D.Blanford@hud.gov
4 Fax: (202) 402-5728
5

6 Paper applications will not be accepted from applicants that have not been granted a waiver. If
7 an applicant is granted a waiver, the approval notice will provide instructions for submission.
8 **All applications in paper format must have received a waiver to the electronic application**
9 **requirement and the application must be received by HUD no later than 3:59:59 p.m.**
10 **Eastern Standard Time on the application deadline date.** Applicants that receive a waiver to
11 submit a paper application are not exempt from the requirement to have a DUNS number and
12 active registration in CCR.

13
14 **V. Application Review Information:**

15
16 **A. Criteria**

17
18 **1. Rating Factor 1: Capacity to do the Effort (20 Points).** In reviewing this factor, HUD will
19 determine the extent to which the applicant identifies the researcher(s) to be doing the work. The
20 applicant must clearly address the following:

21 a. Describe the research skills and expertise each researcher possesses to conduct the proposed
22 research. Research skills and expertise will be judged in terms of how recent they are. Research
23 skills and expertise developed within the last 5 years will be considered recent.

- 1 b. Describe the knowledge, past employment and experience each researcher possesses to
2 undertake the proposed research. Knowledge and experience will be judged in terms of
3 relevance to the proposed research (e.g., course work, teaching, research projects completed in
4 the recent past, and presentations). Knowledge and experience developed within the last five (5)
5 years in the area of the proposed research will be considered relevant.
- 6 c. Each researcher's graduate and post-graduate background, publications, books, referred
7 journals articles, chapters contributed to books, articles in issued proceedings, and any other
8 articles, text and poster presentations made during the last 5 years, and grants and awards
9 received during the last 5 years.
- 10 d. Provide a detailed list that outlines the preliminary steps that were taken (e.g., literature
11 review, research hypothesis, questions to be answered) to identify the proposed topic/hypothesis.
- 12 e. Each researcher must have two letters of reference. (Please place letters in the appendix; these
13 will not be included in the page count.)
- 14 f. The ability of the sponsoring organization's ability to manage the project and what methods
15 they are using to track the grantee's progress, progress reports expected to meet HUD reporting
16 requirements.

17

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

- 21 a. Describe the need for funding the proposed effort (i.e., based on questions derived from
22 identified gaps in the literature, and/or knowledge from professional practice).

- 1 b. Describe the significance of the work, including its relationship to past effort and proposed use
2 in the future. Reviewers will look at the clarity and how compelling a case the effort makes for
3 this project in the context of the existing literature and knowledge base for the topic proposed.
- 4 c. Discuss the results or findings the proposed effort is expected to produce, including the
5 broader impact expected, practical implications, and explain why the information will be
6 generally accepted by efforters and practitioners in your field and other related disciplines.
- 7 d. Explain the direct relationship between the proposed effort and HUD's Strategic Goals. If an
8 applicant proposes a topic not covered by HUD's Strategic Goals, the applicant must explain the
9 relevance of that topic to HUD's FY2010 - FY2015 Strategic Plan and how the proposed effort
10 will assist HUD in meeting its strategic goals and success measures contained in the strategic
11 plan. For a full list and explanation of the annual goals and objectives, please refer to the
12 **General Section.**

13

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

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

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

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

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

1 (4) Explain why the effort design and methodology proposed are most appropriate and
2 will produce data and information that will successfully answer the proposed effort hypothesis;

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

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

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

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

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

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

18 (4) Identify the specific efforters involved and any key individuals assisting the efforters
19 in carrying out the proposed activities.

20 Individuals who propose extremely complex and time-consuming data collection efforts (e.g.,
21 major longitudinal studies or a very large number of site visits within the grant period) will be

1 determined less feasible for completion within the allotted grant performance period. For
2 example, if the proposed methodology is based on information that may not be publicly available
3 until after the end of the grant period (e.g., Census information), or a data collection plan that
4 will take longer than the allotted grant performance period, zero points will be awarded for this
5 sub-factor.

6 **c. (2 Points) HUD Policy Priorities.** As described in the **General Section**, HUD is encouraging
7 applicants to undertake programs and projects consistent with the HUD FY2010 - FY2015
8 Strategic Plan. HUD's Policy Priorities have been established to encourage applicant to take
9 additional actions to help achieve HUD's strategic goal. As outlined in the **General Section**,
10 this year each NOFA will specify which Policy Priorities are applicable to receive points under
11 the specific program, as well as the total number of possible points that may be awarded. Under
12 this program NOFA applicants can only receive 2 points and must respond to one of the
13 following two policy priorities: 1) Capacity Building and Knowledge Sharing, or 2) Expand
14 Cross-Cutting Policy Knowledge. Each policy priority listed has a value of up to 2 points
15 associated with the priority. It is up to the applicant to determine which of the policy priorities
16 outlined below (and only the priorities listed below) they will address in order to receive the
17 available 2 points.

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

22 (a) Activities

- 23 • Implementation of a effort dissemination plan.

1 • Integration of the effort findings with other efforters and/or practitioners in the related field of
2 study.

3 • Presentation of effort findings at an academic and/or professional conference.

4 (b) Measures of success:

5 • Development of at least one new activity by partner organizations as a result of the outcomes
6 of the effort to enhance current program. Examples may include needs assessments, data
7 analysis and utilization of technology, performance management and evaluation specific to the
8 programmatic purpose of the grant.

9 • Presentation of effort findings at two or more academic and/or professional conferences in the
10 related field of study.

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

14 (a) Activities:

15 • Identify partnerships/relationships that will be established with other entities to capture and
16 track the data collected as a result of the effort conducted.

17 • Meet with representatives from tribal governments, tribally designate housing entities, and
18 locally based federal officials involved in Indian housing issues e.g. Bureau of Indian Affairs in
19 Department of Interior, probably USDA deals with Indian housing issues to share effort findings.

20 • Conduct presentations of effort to policymakers and/or decision makers to enhance knowledge
21 of housing issues.

22 (b) Measure of Success:

- 1 • Development of at least two partnerships/relationships to capture and track data collected as a
2 result of the effort conducted.
- 3 • Development of a publishable document that will serve as a guide to implement a reliable
4 cross cutting program as related to housing issues and possible modifications to existing policies.
- 5 • Presentation of effort findings at least one conferences/gathering to tribal governments,
6 tribally designate housing entities, and locally based federal officials involved in Indian housing
7 issues e.g. Bureau of Indian Affairs in Department of Interior, probably USDA deals with Indian
8 housing issues

9

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

14

15 **4. Rating Factor 4: Broader Impact (20 Points).** This factor addresses the broader impact that
16 the proposed effort will have. In reviewing your responses under this rating factor HUD will
17 assess the degree to which your responses to the following impact statements indicates your
18 potential for a successful effort project that will achieves program objectives:

19 a. Describe how the proposed effort will advance discovery and understanding while promoting,
20 teaching, training, and learning;

21 b. Explain how the proposed effort activity broadens the participation of underrepresented
22 groups (e.g., gender, ethnicity, disability, geographic, etc.);

- 1 c. Explain how your effort activity may broaden housing opportunities for persons with
- 2 disabilities and provide greater housing choices in Indian Country.
- 3 d. Explain the extent to which the effort will enhance the infrastructure for further study and
- 4 education, such as facilities, instrumentation, networks, and partnerships; and
- 5 e. Outline the mentoring activities that will be provided to junior efforters.
- 6 f. Broadening affordable housing and reducing the cost of operating costs for housing to
- 7 increase affordability.

8

9 **5. Rating Factor 5: Achieving Results and Program Evaluation (10 Points).** This factor
10 reflects HUD’s goal to embrace high standards of management and accountability. It measures
11 the grantee’s commitment to assess both their performance and the performance of the
12 researcher’s involved in the project not only to complete the proposed effort within the grant
13 performance period, but also to assess the effectiveness of the effort in attaining the stated goals
14 of the study. Grantees are required to develop an effective, quantifiable, and outcome-oriented
15 evaluation plan for measuring performance and determining the outputs to achieve their
16 proposed outcome(s) and to present this in the HUD Logic Model. The Logic Model is a
17 summary of the narrative statements presented in Factors 1 through 4. Therefore, it should be
18 consistent with the information contained in the narrative statements.

19 In evaluating this factor, HUD will assess the extent to which the grantee demonstrates
20 how results of completing the effort will be measured as outlined in the proposed schedule. To
21 meet this factor requirement, grantees must submit a completed HUD_96010_Program-
22 Outcome_Logic_Model. Grantees must select from the list of activities and outcomes to
23 determine their specific methods and measures that will be used to assess progress and evaluate

1 program effectiveness. If an item is not found on the list of activities or outcomes, applicants
2 can select “other” and then insert the activity and/or outcome and unit of measurement. Grantees
3 can use the “other” option for up to three activities and three outcomes. See the instructions tab
4 in the Logic Model for further details. HUD will not accept activities or outcomes selected as
5 “other” that do not contain an identified statement of the activities/outcomes or units of
6 measurement. Utilizing this form will help the grantee to ensure that performance measures are
7 being met and achievable realistic goals are being established

8 a. Logic Model instructions (using a Microsoft Excel® form) are provided on the Logic model
9 form that can be downloaded from http://www07.grants.gov/applicants/apply_for_grants.jsp.

10 Grantees who do not have access to Microsoft Excel® 2003 or 2007, should contact the NOFA
11 Information Center at (800) HUD-8929. Individuals with hearing or speech impairments may
12 access this number via the toll-free Federal Information Relay Service at (800) 877-8339.

13 **NOTE: A narrative response is not required for this factor as all applicants must use the**
14 **logic model form to respond to this factor.** However, if a narrative is included, these pages
15 will be included in the page count. HUD has developed a new approach to completing this form.
16 Applicants should review the Logic Model training, which can be found online at
17 <http://www.hud.gov/webcasts/index.cfm>.

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

22 In addition, a grantee must establish outputs that lead to the ultimate achievement of the
23 outcomes. “**Outputs**” are the direct benchmarks and indicators that will allow the grantee(s) to

1 measure performance. Performance indicators should be objective, quantifiable, and measure
2 actual achievements such as number of manuscripts written. At a minimum, the grantee must
3 address the following activities in the evaluation plan:

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

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

8 HUD will evaluate the Logic Model in accordance with the matrix provided in Appendix B of
9 the **General Section**.

10

11 **B. Review and Selection Process.**

12

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

15 2. Rating and Ranking. Awards will be made in rank order, within the limits of funding
16 availability for the program. In order to be funded, **an application must receive a minimum**
17 **score of 75 points** out of a possible 100 for Factors 1 through 5. The **RC_EZ_EC_II**

18 communities' two bonus points described in the **General Section** do not apply to this NOFA.

19 3. HUD will fund applications receiving 75 points or more until all available program funds are
20 awarded.

21 4. If two or more applications in the funding range have the same number of points, the
22 application with the higher points for Factor 3, shall be selected. If there is still a tie, the
23 application with the higher points for Factor 4, shall be selected. If there is still a tie, the

1 application with the higher points for Factors 1, then 2 and then 3 shall be selected until the tie is
2 broken. HUD reserves the right to make selections out of rank order to provide for geographic
3 distribution of grantees.

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

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

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

11 Announcements of awards are anticipated on or before Month xxx, 2011.

12

13 **VI. Award Administration Information**

14

15 **A. Award Notices**

16 After all selections have been made, HUD will notify all selected applicants in writing.
17 HUD may require selected applicants to participate in additional negotiations before receiving an
18 award. If negotiations cannot be successfully completed, HUD may offer an award of funds to
19 the next applicant on the selection listing. For further discussion on this matter, please refer to
20 the **General Section**.

21

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

23 **1. Debriefing.** The **General Section** provides the procedures for requesting a debriefing. All
24 requests for debriefings must be made in writing and submitted within 30 days of receipt of

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1 rejection to Mike Blanford, Affordable Housing Research and Technology, Department of
2 Housing and Urban Development, 451 Seventh Street, SW, Room 8134, Washington, DC
3 20410-6000. Applicants may also write to Mr. Blanford via e-mail at
4 Michael.D.Blanford@hud.gov.

5
6 **2. Environmental Requirements.** The provision of assistance under this program is
7 categorically excluded from environmental review under the National Environmental Policy Act
8 of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental
9 authorities under 24 CFR 50.19(b)(1) and (b)(9).

10

11 **3. Administrative.** Grants awarded under this NOFA will be governed by the provisions of 24
12 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and Other
13 Non-Profit Organizations), Office of Management and Budget (OMB) Circular A-21 codified at
14 2 CFR part 220 (Cost Principles for Educational Institutions) and OMB Circular A-133 (Audits
15 of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB
16 circulars at the White House Web site at: <http://www.whitehouse.gov/omb/circulars/index.html>.

17

18 **C. Reporting**

19 1. All applicants that receive grant funds under this program NOFA are required to submit a
20 quarterly progress report that describes the progress of the effort and the likelihood that it will be
21 completed on time and a financial status report (using the form SF-425). Reports must be
22 submitted electronically (to where? Are you going to tell them in the terms and conditions to the
23 award? If so indicate that here). In addition, grant recipients must submit a HUD-96010-

1 Program_Outcome_Logic_Model annually, which identifies their program’s output and outcome
2 achievements and responds to the Management Questions. .

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

7 **2. Transparency Act Reporting.**

8 **a. Recipient Reporting to Meet the Requirements the Federal Financial Assistance**

9 **Accountability and Transparency Act of 2006 as amended.**

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

13 Starting with awards made October 1, 2010 prime financial assistance awardees receiving
14 funds directly from HUD are required to report subawards and executive compensation
15 information both for the prime award and subawards, including awards made as pass-through
16 awards or awards to vendors, where both the initial award is \$25,000 or greater or the cumulative
17 award will be \$25,000 or greater if funding incrementally as directed by HUD in accordance
18 with OMB guidance. The reporting of award and subaward information is in accordance with
19 the requirements of Federal Financial Assistance Accountability and Transparency Act of 2006,
20 as amended by section 6202 of Public Law 110-252, hereafter referred to as the “Transparency
21 Act” and OMB Guidance issued to the Federal agencies on September 14, 2010 (75 FR 55669)
22 and in OMB Policy guidance. The prime awardee will have until the end of the month plus one
23 additional month after a subaward or pass-through award is obligated to fulfill the reporting

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1 requirement. The Transparency Act requires the creation of a public governmentwide website in
2 which the following subaward data will be displayed:

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

14 For the purposes of reporting into the FFATA Subaward Reporting System (FSRS)
15 reporting site, the unique identifier is the DUN and Bradstreet Universal Numbering System
16 (DUNS) number the entity has obtained from Dun and Bradstreet, and for Prime awardees the
17 DUNS number registered in the Central Contractor Registration as required by HUD regulation
18 24 CFR 5.1004.

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

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

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

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

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

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

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

18 **3. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act**
19 **for Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as “Section 872.”** Section 872
20 requires the establishment of a governmentwide data system to contain information related to the
21 integrity and performance of entities awarded federal financial assistance and making use of the

1 information by federal officials in making awards. It is anticipated that the federal data system
2 will be known as the Federal Awardee Performance and Integrity Information System (FAPIIS).
3 Only federal officials and the entity will be able to view the information in the FAPIIS system.

4 Further, each recipient of federal funds with a cumulative value greater than \$10 million and
5 their direct (i.e., first-tier) subrecipients would be required to report to the FAPIIS system. The
6 data collection requirements include information about certain civil judgments, criminal
7 convictions, and outcomes of administrative proceedings that reached final disposition within the
8 most recent 5-year period and were connected with the award or performance of a federal or state
9 award. Recipients and first-tier subrecipients must report information at least semi annually to
10 maintain the currency of the information. Section 872 also requires that an entity be allowed to
11 submit comments to the data system about any information that system contains about the entity.
12 Use of the FAPIIS system requires a DUNS number and current valid registration in the CCR for
13 HUD awardees and first-tier subrecipients.

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

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

22

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1 **VII. Agency Contacts**

2 Applicants may contact Mike Blanford, Affordable Housing Research and Technology, at
3 (202) 402-5728. Persons with speech or hearing impairments may call the Federal Information
4 Relay Service TTY at 800-877-8339. Except for the “800” number, these telephone numbers are
5 not toll-free. Individuals may also reach Mr. Blanford via e-mail at
6 Michael.D.Blanford@hud.gov.

7
8 **VIII. Other Information:**

9
10 **A. Proprietary Information.** Because it is the intent of this program to accelerate the use of
11 the information provided, any information or effort results, which the grantee proposes to remain
12 proprietary, must be discussed in their application. Since it is important that the information
13 received be made available, such request for retention of proprietary information will be
14 considered during the review process.

15
16 **B. Paperwork Reduction Act.** The information collection requirements contained in this
17 document have been approved by the OMB under the Paperwork Reduction Act of 1995 (44
18 U.S.C. 3501-3520) and assigned OMB control number XXX. In accordance with the Paperwork
19 Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a
20 collection of information unless the collection displays a currently valid OMB control number.
21 Public reporting burden for the collection of information is estimated to **average 28** hours per
22 annum per respondent for the application and grant administration. This includes the time for
23 collecting, reviewing, and reporting the data for the application, quarterly reports, and final

1 report. The information will be used for grantee selection and monitoring the administration of
2 funds. Response to this request for information is required in order to receive the benefits to be
3 derived.

4

5 **C. Environmental.** This NOFA does not direct, provide for assistance, or loan and mortgage
6 insurance for, or otherwise govern or regulate, real property acquisition, disposition, leasing,
7 rehabilitation, alteration, demolition, or new construction, or establish, revise, or provide for
8 standards for construction or construction materials, manufactured housing, or occupancy.

9 Accordingly, under 24 CFR 50.19(c) (1), this NOFA is categorically excluded from
10 environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

11

12 Dated: _____

13

14

15

16

Raphael W. Bostic

17

Assistant Secretary for

18

Policy Development and Research