DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-5700-N-19]

Notice of Funding Availability (NOFA) for Fiscal Year 2013
OneCPD *Plus*: Technical Assistance and Capacity Building under the Transformation Initiative

A. Federal Agency Name: Department of Housing and Urban Development (HUD)

B. Funding Opportunity Title: OneCPD *Plus:* HUD Technical Assistance and Capacity Building (OneCPD+).

C. Announcement Type: Initial Announcement.

D. Funding Opportunity Number: The funding opportunity number for this NOFA is FR-5700-N-19. The OMB Approval Number for this NOFA is **PENDING OMB APPROVAL**.

E. Catalog of Federal Domestic Assistance (CFDA) Numbers: 14.259

F. Dates: The application deadline date is **XXXXX XX, 2013**. 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 FY2013 **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. Please carefully read HUD's Fiscal Year (FY) 2013 Notice of Funding Availability (NOFA) Policy Requirements and General Section for Discretionary Programs, published on Grants.gov on August 8, 2012. 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: This NOFA is designed as a cross-program, assessment-based and impact-focused delivery system. OneCPD+ is intended as a collaborative effort among HUD, our customers – state and local grantees, public housing agencies, owners and managers of HUD-assisted housing, Continuums of Care (CoCs), non-profit grantees, HUD-approved housing counseling agencies and counselors, and other stakeholders – and successful applicants focused on building the kind of management systems and functional capacity necessary to successfully carry out comprehensive and sustainable "place-based" development and revitalization strategies. Just as importantly, OneCPD+ will allow customers to showcase accomplishments by measuring not only the outputs of this technical and capacity building assistance but the outcomes and the impact on communities as well.

Through OneCPD+, HUD can develop a new level of technical assistance and capacity building to meet the challenges facing its customers during the current nationwide economic retrenchment. Many of HUD's state and local government grantees, owners of assisted rental properties, and public housing agencies have lost some of the capacity, resources, and skills necessary to administer HUD programs within the contexts of their local markets. Additionally, many of HUD's customers are facing changing economic, demographic, and regulatory contexts in which they operate their programs, requiring them to learn new laws and rules, and to more effectively coordinate across sectors.

HUD's role in administering grants is two-fold: (1) build the capacity of grantees to support local decision-making with federal grants, and (2) conduct monitoring and oversight to ensure compliance with applicable regulations and to ensure appropriate use of funding. To address both purposes, OneCPD+

will focus on skills, planning, and innovation to build the capacity of HUD's customers to successfully carry out HUD programs and policy objectives *and* comply with regulatory requirements.

The selection process under this NOFA may include providers with a broad range of skills and expertise as well as providers with more focused or targeted skills and expertise. Selected providers will work collaboratively in teams and will be deployed as HUD deems most necessary across the country to achieve these objectives.

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.

FULL TEXT OF ANNOUNCEMENT

I. FUNDING OPPORTUNITY DESCRIPTION

A. Program Description.

Through this NOFA, HUD is announcing the availability of approximately $16.5 million to fund OneCPD+. All organizations experienced and successful in providing any of the items listed below are encouraged to apply:

- Capacity building assistance in the areas of program design, technical execution, planning, financial management, organizational structure, using and reporting data, and regulatory compliance.

- Consulting on community development, affordable housing including the low income tax credit program, strategies to preserve the affordability of assisted housing, public housing programs, economic development, regional planning, organizational management, financing and underwriting, recapitalization, construction and rehabilitation management, project management, housing counseling, strategic planning, energy efficiency, fair housing, and housing and services for special needs populations, including homeless persons and those at risk of homelessness, persons with HIV/AIDS, veterans, the elderly, and persons with disabilities.

- Facilitating and fostering local collaboration, strategic planning, and service coordination among HUD stakeholders and non-profit organizations and within local political structures.

- Knowledge management including developing, hosting and/or managing of websites, blogs, help desks and resources, and tracking Technical Assistance engagements, outputs, and outcomes, including related program outcomes.

- Preparing policy guidance and tools or materials for HUD approval.

- Improving the overall performance of a public housing agency by addressing deficiencies in the financial management and administration of HUD-funded programs (including but not limited to public housing, Housing Choice Vouchers, and mixed finance development), providing repositioning options, and providing capacity building for PHA staff and boards.

- Preserving and recapitalizing distressed assets or those with expiring rental assistance contracts and/or affordability use agreements, as well as long term asset management, including physical or capital needs assessments.

- Leveraging funds, raising private equity investment, pre-development capital, preservation capital, or bank capital, and deal-structuring.

- Evaluating program design and effectiveness.

- Assessing performance measurement, including establishing outcomes or benchmarks.

- Integrating housing and supportive services and facilitating collaboration among housing providers and community-based healthcare providers.

- Reducing energy consumption in public or HUD-assisted properties.

- Workforce capacity and development for HUD customers.

Applicants for OneCPD+ funding are required to submit a single application regardless of the number of areas of expertise for which they propose to provide technical and capacity building assistance. Awards made under this NOFA will be administered under cooperative agreements with significant HUD involvement (see Section II.B).

HUD defines *technical assistance* as guidance which enables HUD's customers (including grantees, subrecipients and subgrantees of funds, state and local governments, public housing agencies, CHDOs or other non-profit organizations, owners and managers of HUD-assisted housing, project sponsors, etc.) and staff to overcome a lack of specific skills or knowledge of the associated HUD programs and, by doing so, results in the successful performance and compliance of those programs. *Capacity building* means assistance which increases the ability of HUD's customers and their partners to organize and independently undertake or expand affordable housing, community development, and economic development programs with funding provided under one or more HUD programs and other public or private funding going forward.

1. OneCPD+.

OneCPD+ is centrally managed by HUD Headquarters with extensive involvement of the HUD field offices in identifying customers needing technical assistance and capacity building, participating in the review and recommendation processes for requests, participating in meetings and discussions with customers, TA providers and other stakeholders, and reviewing reports and recommendations. All efforts under OneCPD+ are place-based (i.e., focusing resources from various programs in targeted locations in order to leverage investments), and focused on achieving measurable impacts on the ground. The following HUD offices and programs are included under FY2013 OneCPD+:

PROGRAM OFFICE	PROGRAM(S)
CPD, Office of Affordable Housing Programs	HOME, CHDO
CPD, Office of Block Grant Assistance	CDBG
CPD, Office of HIV/AIDS Housing	HOPWA
CPD, Office of Special Needs Assistance Programs	Homeless Assistance Programs (Continuum of Care, Emergency Solutions Grants and Rural Housing Stability)
CPD, Office of Economic Development	Economic development initiatives; Brownfields Economic Development and Rural Housing and Economic Development Programs, Rural Innovation Fund program

Office of Public and Indian Housing	All programs operated by the Office of Public and Indian Housing, including but not limited to Public Housing programs, Housing Choice Voucher programs, mixed finance development, and Native American Programs
Office of Housing	Housing Counseling; Multifamily Housing (Section 202 Supportive Housing for the Elderly, Section 811 Supportive Housing for Persons with Disabilities Supportive Housing, Section 202 Direct Loan program, Section 236 program, Section 8 and other project based rental assistance, and Section 8 conversions under the Rental Assistance Demonstration)

Information about these programs, including their missions, goals, and activities, can be accessed through the HUD web site at www.hud.gov.

a. Annual Priorities. The following information relative to priorities is provided for guidance purposes only. HUD expects to allocate approximately the percentages shown to the various types of technical assistance and capacity building functions, but reserves the right to make changes based on new information about customer needs, market conditions, opportunities, and other factors relevant to the management of HUD programs.

- Needs Assessments and Direct TA – 50%
- Tools and Product Development – 30%
- Group Learning Delivery – 20%

B. Authority. The OneCPD+ program is authorized under HUD's *Transformation Initiative*, contained in the Full-Year Continuing Appropriations Act, 2013 (Public Law 113-6, approved March 26, 2013.)

II. AWARD INFORMATION

A. Available Funds.

1. OneCPD *Plus* (OneCPD+). Approximately $16.5 million is available through OneCPD+. OneCPD+ funds are not designated as either national or local (Field Office) technical assistance funds; nor are they designated for a specific HUD program.

2. Additional funds may become available under this NOFA as a result of HUD's efforts to recapture unused funds or to utilize carry over funds or other appropriated funds; their use will be subject to statutory constraints. 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. OneCPD+ funds will be awarded by 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 36 months.

3. HUD reserves the right to reduce an award of funds to 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.

III. ELIGIBILITY INFORMATION

A. Eligible Applicants.

Eligible OneCPD+ applicants are:

- A state or unit of general local government;
- A public housing authority;
- A public or private nonprofit organization or intermediary, including educational institutions and area-wide planning organizations or Indian tribes;
- For-profit organizations.

In accordance with the faith-based initiative, HUD welcomes the participation of eligible faith-based and other community organizations in these programs. Applicants should be aware that HUD does not provide any funding to nor does it accept applications from individuals through its competitive NOFA process.

Any organization submitting an application under this NOFA may not be included as a subcontractor or consultant in any other application. Subcontractors and consultants may be included in more than one application.

Since the diversity and intensity of activities carried out and work products developed under OneCPD+ may be extensive, collaboration and coordination among providers is essential. For example, HUD may task two or more successful applicants to collaborate as a team in providing necessary direct technical and capacity building assistance to specific customers or in developing products and tools or group learning materials. Furthermore, HUD may select a successful applicant to conduct overall coordination for the OneCPD+ TA network.

Awardees tasked to provide technical assistance or capacity building to HOME and/or CHDO grantees must have at least one (1) Certified HOME Program Specialist who has passed the Regulations Training exam with a score of 80 or higher available to conduct the work tasked, unless HUD determines that a HOME Certified Specialist is not necessary for the engagement. The Certified HOME Program Specialist(s) may be in-house staff of the applicant, subcontractor staff or consultant(s).

B. Cost Sharing or Matching. None required.

C. Objectives and Eligible TA Activities

1. Objectives

OneCPD+ seeks to identify gaps in the knowledge and skills of HUD's customers and raise their capacity to enable them to create efficient, effective and compliant housing and establish housing,

5

community and economic development programs that are aligned with local market and community needs and raise capacity for oversight, guidance, and compliance monitoring. To achieve this goal, OneCPD+ will address the following key objectives:

a. Improve customers' ability to assess conditions in the affordable segment of their local housing markets and commercial real estate markets, business and employment trends, and other public and private investments known to be underway in their areas;

b. Improve customers' ability to design, implement, and leverage housing and community and economic development programs based upon an accurate assessment of their local markets and investment landscape;

c. Improve the overall performance of public housing agencies through targeted assistance to address financial, management, physical, and governance deficiencies and to ensure sustainability of operations and affordable housing for the community;

 d. Prepare public housing agencies, private owners, and grantees to develop and implement strategies to repair, preserve, and recapitalize federally assisted rental housing;

e. Assist customers, particularly those that use HUD's Section 202 and Section 811 programs, with implementing evidence-based practices around housing with supportive services, including targeting priority populations, effectively coordinating with community based health care services, and leveraging a range of funds;

f. Build the capacity of housing counseling agencies to effectively serve their customers through education, individualized counseling, and access to information and resources;

g. Assist customers in assuring timely and effective performance, including sound financial management and governance and effective project tracking and monitoring methodologies;

h. Improve customers' understanding of and compliance with statutory and regulatory requirements; and

i. Foster innovation in housing and community and economic development program design, finance, implementation, and outcomes, and disseminate best practices or proven approaches.

2. Eligible Activities:

        In support of the above objectives, HUD will ask awardees to undertake a variety of technical assistance and capacity building activities. OneCPD+ awardees may be directed to conduct needs assessments or direct TA engagements, develop and deliver new training products, or to maintain and deliver existing products or conduct group learning sessions. The following list highlights the eligible activities with a non-inclusive list of examples under each. A more detailed narrative follows the list.

Conduct Needs Assessments
- Intensive on-site
- Remote

Direct Technical Assistance and Capacity Building Engagements
- Blended, targeted or innovative
- Policy/protocols

- Multi-stakeholder facilitation
- Program/skills specific
- Help Desks

Develop and Maintain Tools and Products
- Program performance reporting
- Manage websites, portals, and help desks
- Toolkit development
- Course development
- Training on e-tools, such as the Consolidated Plan Tool, Capital Needs Assessment tool, and others
- Technical writing/guidebooks
- Research and evaluation
- Data reporting systems and data analysis
- Civil rights and other regulatory compliance

Self-Directed and Group Learning
- Certification training delivery
- Instructor-led training
- Peer-to-peer learning
- HUD systems training delivery (e.g. e-snaps, IDIS, DRGR, PIH systems)

a. Eligible OneCPD+ Activities. For each of the following activities, HUD will be collecting and reporting performance data on the accomplishments achieved.

(1) Conduct Needs Assessments. Needs assessments of customers will determine the nature and scope of technical assistance and capacity building needed. In some instances, self-assessment by the customer or a field office assessment may provide a satisfactory basis for determining the scope and scale of technical and capacity building assistance. In other cases, awardees will conduct onsite or remote needs assessments to collect information about the capacity gaps of the identified customer. The needs assessment will involve the use of multiple types of information collection and analysis, such as the Consolidated Plan and Analysis of Impediments to fair housing choice (AI), HUD monitoring results, funds obligation and expenditures, CPD maps, and other analytics to develop custom analytics, to quantify the impact of community and economic development initiatives, and to identify local market conditions so that program resources may be better targeted and leveraged. The culmination of an onsite needs assessment will be a detailed report and recommended scope of work.

(2) Deliver Direct Technical Assistance and Capacity Building. Based on needs assessments, awardees will be dispatched to work onsite and/or remotely with customers responsible for managing and carrying-out HUD's programs: including grantees, subrecipients, CHDOs, public housing agencies, affordable housing owners and managers, service providers, housing counseling agencies, state housing finance agencies, etc. Direct TA engagements will be prioritized based on criteria established by HUD. An engagement may consist of *Blended TA* related to multiple HUD programs and/or multiple issue areas, *Targeted TA* related to a single program or focused issue area or *Innovative TA* related to program redesign or restructure or furthering innovative practices. Direct technical assistance may also include the operation of one or more virtual help desks, or addressing questions and issues raised by customers, other stakeholders, and the general public.

(3) Develop Tools and Products. Tools and products will be developed to assist HUD customers to understand complex program statutes and regulations, as well as the other Federal requirements (e.g., Davis-Bacon wage rates, civil rights compliance, environmental justice and environmental standards,

accessibility for persons with disabilities, etc.) that often apply to these programs. These products might take the form of web-based trainings and webinars that address the constantly changing needs of customers and program requirements. Tools and product development may also include the creation of templates, desk guides, and toolkits that improve the program management and operations, the development and administration of websites, evaluation, and performance measurement. Where appropriate, HUD program and other Federal requirements, such as affirmatively furthering fair housing, will be integrated into comprehensive products that will serve the technical assistance needs of a broad range of program partners. All products and tools developed will comply with Section 508 accessibility requirements.

(4) Deliver Self-Directed and Group Learning Sessions. Like all aspects of the proposed OneCPD+ 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 HUD programs.

 (a) Peer-to-Peer Assistance. In some instances, TA providers may be asked to facilitate peer-to-peer exchanges for grantees with similar local market contexts, challenges and opportunities, and community needs.

3. Threshold Requirements.

a. All applicants must meet the threshold requirements in the FY 2013 **General Section**, *including the civil rights threshold set forth at Section III.C.2.d.*

b. Each applicant must qualify as an eligible applicant under this NOFA and must have met the timely receipt requirements. See the FY 2013 **General Section**.

c. No applicant may propose to provide assistance that is in violation of this NOFA, Section IV.D. Funding Restrictions.

d. 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.

e. To the extent that the applicant has experienced a recapture of funds under an open cooperative agreement or contract with a government entity in the last five (5) years, the applicant(s) must disclose this information and address how these issues were resolved. Failure to disclose past performance issues will result in disqualification.

f. Dun and Bradstreet Data Universal Numbering System (DUNS) Number Requirement. Refer to the FY2013 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.

g. **Registration at SAM.gov Requirement.** Applicants must register or update a current registration in the Central Contractor Registration now part of the System for Award Management (SAM), found at https://www.sam.gov/portal/public/SAM/ . Applicants must have an active registration to receive funding from HUD.

       The **System for Award Management** (SAM) is a free web site that consolidates the capabilities you used to find in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

Frequently Asked Questions can be found at https://www.fsd.gov/app/answers/list

h**.** All applicants are required to submit a one-page application summary with the application as described in Section V below. Although this application summary will not be rated, the summary is a submission requirement for OneCPD+.

i. 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 OneCPD+ must follow all ten of the program requirements listed in paragraphs a through j below:

a. Demand-Response System. All successful applicants must operate within the structure of the 'demand-response system.' Under the demand-response system, HUD, its customers and/or its partners identify technical assistance and capacity building needs. HUD prioritizes the identified needs 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 HUD customers. 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 an approved HUD TA work plan for each engagement. 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 NSP TA, Section 4 TA, CD-TA, PIH Integrated TA, Choice Neighborhoods TA, Preservation of Affordable Housing TA, Supportive Housing TA, Housing Counseling TA, Sustainable Communities TA, the Strong Cities, Strong Communities National Resource Network, or McKinney-Vento 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 customers will be conducted as prescribed by HUD.

c. Direct Technical Assistance and Capacity Building will only be conducted upon completion of a needs assessment and approval by HUD.

d. Tools and Products Development, 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 OneCPD+ 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 – i.e.,

typically 2 months prior to establishing a firm date for publication or posting, course delivery, or group learning session.

e. Self-Directed and 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 train-the-trainer sessions are not intended to train TA provider staff on program rules, requirements and regulations so will only be available to TA provider staff with adequate knowledge of the subject program(s). 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 must indicate any applicable fair housing expertise in the narratives submitted in response to the rating factors indicated in Section V.A. of this NOFA.

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. This does not affect grantees' existing responsibilities to affirmatively further fair housing or provide training, employment, and other economic opportunities pursuant to Section 3 that result from their receipt of other HUD funding.

g. Additional Nondiscrimination and Equal Opportunity Requirements Please refer to the **FY2013 General Section** for fair housing and other and civil rights requirements (Section III.C.4.a)

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

i. Effective Communication. Successful applicants shall take appropriate steps to ensure that all notices of and communications are being 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 Titles II and III of the Americans with Disabilities Act. See the Accessible Technology requirements in Section III.C.5 of the FY2013 **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; 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. The Grants.gov help desk is open 7 days a week, 24 hours a day, except federal holidays.

B. Content and Form of Application. Applicants may submit only one application for OneCPD+. A complete submission will consist of the application signed by an authorized official of the applicant 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 all TA providers seeking funding 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 45 single-sided pages of text based on 8.5 by 11 inch paper, using a standard 12-point font with at least .5" margin. Reviewers will not review more than 45 pages for all the factors combined. The one-page application summary and required HUD forms are not included in the 4-page limit. See the FY 2013 **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. You only have 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**);
- One-page application summary described in Section V below;
- Narratives addressing Factors 1-3;
- Budget submission (display of costs that are not subject to change during a 3-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 FY2013 **General Section**);

- HUD2880, Applicant/Recipient Disclosure/Update Report ("HUD Applicant Recipient Disclosure Report" on Grants.gov) (see FY2013 **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

- SF424 CBW Budget Worksheet

- 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. Receipt Dates and Times. Completed applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on 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 FY2013 **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 FY2013 **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.

1. 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 OneCPD+ 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 FY2013 **General Section**. HUD will determine whether the salary rates are reasonable and customary for the skill set provided and the area(s) being served.

2. HUD has established a $750,000 minimum funding amount for successful OneCPD+ applicants.

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 Technical Assistance Division in the Office of Community Planning and Development. 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. Waiver requests must be submitted in writing, either via email or mail. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted via email to julie.d.hovden@hud.gov or in writing to Julie Hovden, Director, Technical Assistance Division, Community Planning and Development, Department of Housing and Urban Development, 451 7th 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 identifying the required information listed below. The one-page application summary must:

1. Indicate if applicant organizations designated as disadvantaged (e.g., 8(a) business) or small businesses by U.S. Small Business Administration; and

2. Provide funding request in whole dollar amount. The amount requested should be based on the number of available personnel, 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 three-year period.

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. The OneCPD+ program 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, subcontractors, and consultants that are part of the submission. Applicants should also address the overall management of the award including policies and quality-control procedures for ensuring that all OneCPD+ program 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 FY2013 **General Section** do not apply under the OneCPD+ program. The following rating factors apply to applicants for OneCPD+.

1. Rating Factor 1: Organizational Capacity and Experience and Key Personnel (60 points) (Minimum for Funding Eligibility is 45 points)

a. (30 points) Recent experience and performance.

Applicants will be assessed based upon the extent to which the narrative articulates that personnel (in-house, subcontractor, or consultants) have demonstrated ability and success in providing technical assistance and capacity building activities, including documented improvements in outcomes by

13

recipients and compliance with the provisions of award agreements (grant, contract, or cooperative agreements). HUD will consider the degree to which the narrative is clear, concise, well organized, and proofread (i.e., free of grammatical errors, etc.). For past awardees, HUD will also rate the past performance of applicants through evaluations from Contracting Officer (CO), Government Technical Representative (GTR), Government Technical Monitor (GTM), and other HUD staff as appropriate that have worked with the applicant on HUD cooperative agreement(s) or contract(s) during the past 18 months. Organizations that have not received a HUD TA award within the past 2 years must provide three (3) references HUD may use to rate past performance. The list of references should include the name of the award, the name of the awarding organization, and the name, phone, and email for the Contracting Officer or Government Technical Representative.

Applicants should describe **two** recent engagements (within the last 18 months) conducting technical assistance and capacity building activities that are the same or similar to those eligible under this NOFA. Applicants should include (1) a description of the technical assistance and capacity building tasks included in the engagement, and the method the applicant used to determine those tasks were necessary; (2) a synopsis of how the TA was delivered by the applicant, including the number of hours involved, the number of trips to visit the assisted entity, if applicable, and the total cost of the engagement; (3) the name, organization, and role of up to 5 key staff, subcontractors, or consultants that worked on the engagement; (4) an explanation on the applicant's compliance with award provisions, including financial and performance reporting requirements and timely drawdown of funds, and delivered quality products and services, including meeting work plan deadlines, delivering products and services with high levels of accuracy, and taking corrective actions if poor performance has occurred; (5) the name, phone number, and email address for a reference with the entity served by the engagement who can discuss the engagement with HUD; and (6) a list and description of the applicant's accomplishments for each engagement by including relevant measureable outcome(s) associated with each engagement and how each outcome was measured. If the engagement is still underway, describe the anticipated outcomes and how they will be measured. An output is defined as a TA product or service provided, such as specific number of TA engagements, site visits, products, or courses. An outcome is defined as the results achieved or benefits derived from the TA, such as a measurable increase in learning or performance. If an applicant provides descriptions for more than two recent engagements, HUD will only review the first two in the application.

Applicants should note that while an applicant's response may not demonstrate ability and success in providing technical assistance and capacity building activities to diverse entities for multiple programs and for a range of topics; management of multiple, large and/or complex technical assistance and capacity building activities, including delivering activities simultaneously in multiple jurisdictions and/or developing products on multiple topics; or experience, capacity and/or relationships with organizations serving underserved populations or geographic areas, HUD may consider these factors when determining the size of an applicant's award.

b. (30 points) Key Personnel.

Applicants will be rated on the following basis: (1) demonstrated personnel (in-house, subcontractor and consultant staff) experience and expertise in HUD, CPD, public and affordable housing, including preservation of existing affordable housing, housing counseling, and housing with supportive services, and other Federal cross-cutting program requirements; (2) the depth and breadth of staff skills in the essential subject matters covered by OneCPD+, such as those listed in A. Program Description; and (3) whether program knowledge and skills clearly support the range of possible technical assistance and capacity building activities for which the applicant claims qualification.

Applicants should indicate the expertise and knowledge level of up to their top 25 key personnel in the essential subject matters covered by OneCPD+. Applicants should submit a brief description of each key staff person. Each description should not exceed 100 words. Where applicable, applicants should highlight diversity, language skills, and cultural competency. For the purposes of responding to this sub-factor, 'key personnel' is defined as the applicant's in-house staff, subcontractors, and/or consultants for whom a contract or agreement already exists, who are expected to actually be tasked with developing technical assistance or capacity building assistance products, and/or delivering training courses, needs assessments, or direct TA. Each description must also identify organization name(s), role(s)/title(s), and timeframe(s) in which the expertise or knowledge was gained.

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

a. (8 points) Management.

In rating this factor, HUD will evaluate the likely effectiveness of the approach including the approach for coordinating and collaborating with other TA providers, as directed by HUD, and to deliver high quality comprehensive service according to HUD's determination of need.

The application should identify key management staff responsible for overall management and administration of the award. Key management staff is defined as any individual with decision-making authority related to financial or task management, performance reporting or overall coordination of the award. The narrative must include the names, roles, and responsibilities of the key management staff as well as their recent and relevant experience (within 18 months of this NOFA) managing people and tasks within a demand-response or client-driven environment. The narrative should present a clear, practical, and forward-looking plan to deliver these products in the context of engagements that may include the deployment of multiple technical assistance and capacity building activities in the same communities, coordinated across disciplines and technical assistance participant organizations for better overall impact. The applicant's plan must clearly explain how the applicant will manage these activities within the demand-response system, including the processes for:

(1) Consulting with multiple HUD field offices and managing formal TA requests from HUD Headquarters;

(2) Assigning appropriately skilled and knowledgeable staff in response to work tasked by HUD;

(3) Prioritizing and managing multiple TA, capacity building assistance, or curriculum delivery engagements, with multiple entities, in multiple jurisdictions;

(4) Coordinating and collaborating with other TA providers active in the area and/or on the development and/or delivery of tools, products, courses, group learning sessions, etc.;

(5) Managing the overall operation with a focus on delivering results;

(6) Meeting accessibility and effective communications requirements;

(7) Providing monthly status including progress and accomplishments; and

(8) Resolving issues or overcoming obstacles that may affect progress.

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

To the extent that the applicant addresses the HUD policy priority of Capacity Building and Knowledge Sharing for OneCPD+, the applicant may receive up to 2 points for this sub-factor. The applicant must identify two activities that will increase the skills or expertise of grantees, subrecipients, and other stakeholders to effectively, efficiently, and appropriately use grant funds in their communities. Applicants should select two of the activities listed below and select an outcome for each activity, describing the connection between the activity and the outcome. (See FY2013 **General Section,** for a full description of the Capacity Building and Knowledge Sharing policy priority.)

Activities:
- Financial and Grants Management
- Project Management
- Program Design
- Performance Measurement/Evaluation
- Planning and Coordination
- Staffing
- Reporting and Monitoring

Outcomes:
- Improved timeliness or expenditure rates
- Reduced monitoring or audit findings or concerns
- Increased collaboration or coordination among stakeholders
- Increased number of affordable housing units
- Reduction in number of homeless persons

c. (15 points) Technical Assistance and Capacity Building Scenario (*select one*).

In rating this factor, HUD will evaluate the applicant's ability to develop a direct technical assistance and capacity building work plan, based on one of the three scenarios described below. The applicant shall choose the scenario for which it prefers to provide a response. Based on the description provided in the applicant's chosen scenario, please develop a 6- to 12-month work plan with up to five main tasks that address the most critical needs for this hypothetical grantee. For each task, please describe: (1) a *summary* of the work that would be performed; (2) an *explanation as to why* each task was chosen, including what data was used and how the data impacted decisions, if applicable, and what issues the work would address; (3) a *description of the staff persons* the applicant would have work on this task (the applicant may describe specific persons the applicant would assign to complete this work or may provide a general description of the type of person(s) and their experience that would be assigned by the applicant to this work); (4) the *number of hours* the applicant would expect for each principal staff person involved to dedicate to this task; and (5) the applicant's expectation of the *grantee's increase in capacity* after this task would conclude.

The applicant must provide a clear, concise, well organized, and proofread (i.e., free of grammatical errors, misspellings, etc.) description of how it would address the issues described in the scenario. Specifically, the applicant must present a reasonable plan that explains the level of staffing and time it considers reasonable for these tasks, a sensible rationale for choosing particular tasks, and a description of how the grantee's capacity and/or performance will be improved by the engagement. Applicants should provide a response to only one of the three scenarios. If an applicant provides a response to each scenario, HUD will only review the first response included in the application.

Scenario 1: The City of Sherman Bay

The City of Sherman Bay is a large urban area that covers approximately 125 square miles of land. The City has a population of approximately 650,000 as of July 2010, according to the U.S. Census Bureau. The City has experienced the second-highest population growth and growth in housing units in the State between the 2000 and 2010 census counts. The City anticipates receiving an estimated $32 million dollars in Fiscal Year 2013 from HUD's formula grant programs – CDBG, HOME, ESG, and HOPWA funds. This is only a slight reduction from the $33.5 million it received in FY2012 formula grant funding, but significantly reduced from the FY2011 amount of $48 million. In addition, the State has provided to the City up to $9 million annually in funds to address homelessness, but this funding has been eliminated this year.

The City's Department of Housing and Community Development (HCD) is responsible for providing financial support for housing and community development projects and services within the City. Over the past several years, HCD has faced several challenges, including turnover of key leadership, reductions in staffing and administration budgets, and retirement of most of the experienced program staff. HCD currently administers several complex programs, including phased, multi-year economic development and infrastructure projects that rely extensively on subrecipients. The Department has not made any significant changes to these programs for several years, even though it has consistently struggled with program administration. The current Department Director is capable and experienced in housing and community development programs, but she has only been in her current position for four months. The Department's program staff is competent and dedicated, but they do not have the requisite knowledge to administer complex programs and do not fully understand their roles and responsibilities. A recent HUD monitoring concluded with multiple findings in financial management and subrecipient management.

The City has multiple financial systems to track the same information. However, these systems do not agree on the amount of funding that has been expended or the amount committed to current projects. Repayments to subrecipients for incurred expenses and administrative tasks such as environmental review and underwriting often experience severe bottlenecks during processing. HCD developed a Policies and Procedures Manual in 1996, and it was never fully implemented.

The City provides its funds to subrecipient partners through a Notice of Funding Availability (NOFA), but the process lacks transparency. In past years, HCD has funded some projects in excess of the amount needed for development, while other projects have been underfunded. Several multifamily housing projects funded just a few years ago are already in financial distress. The current Housing Director has expressed significant interest in making changes to the current process. Additionally, while the City has several large nonprofit organizations, it has only one experienced nonprofit housing developer. There are several successful for profit developers in the City, but none have experience in developing affordable housing.

Additionally, the City has a substantial number of affordable Section 236 rental properties that are coming to the end of their terms and will default to market rent at the expiration of their contract. Given the area's high demand for affordable housing, the City would like to prevent the loss of these affordable units to the market through preservation-eligible prepayment. Many of these properties are in desirable locations within the city; the current rents are likely less than the "market comparable" rents. The administrative and fiscal challenges faced by the City as well as the lack of high capacity nonprofit developers with whom to partner presents a challenge to the preservation of these important affordable rental assets for the City.

Scenario 2: Koneka County Continuum of Care

Koneka County has long been overshadowed by its larger neighbor, the City of Koneka. Similarly, problems with the Koneka County Continuum of Care (CoC) have not received much attention because of the struggles the City CoC has faced. The management and planning challenges of the CoC have become increasingly prominent over the past few years, and the CoC has recently been identified as a candidate for intensive technical assistance.

In Koneka County, almost 30% of the 375,000 residents live below the poverty line, with a median household income of $26,126. The most recent Point-In-Time (PIT) count results found 2,204 homeless persons in the County with 185 unsheltered and 1,304 sheltered. Of those, the unsheltered count, 371 were homeless veterans, 397 were chronically homeless persons, and 9 were unaccompanied youth. The majority of sheltered persons were persons in families (1,150). The Housing Inventory indicates that the County has 1,109 emergency beds, 312 transitional housing beds and 158 permanent housing beds. There is a strong belief that many of the persons served in Koneka County came from the City of Koneka and/or neighboring counties. Likewise, many CoC members believe the residents of Koneka County seek housing and services in the City.

The CoC is led by a part-time volunteer. The completion of the annual CoC application is done by one of the member organizations on a rotating basis. The staff from the CoC's lead organization is competent and dedicated, but they do not have strong knowledge of the new CoC program rules and do not fully understand their roles and responsibilities. They also lack a clear understanding of state, local, and federal requirements. The lead organization staff has a poor relationship with the HMIS lead agency and do not coordinate with the agencies that administer the County's other homeless programs, even though the County receives funding through the Emergency Solutions Grant (ESG) and Housing Opportunities for Persons with AIDS (HOPWA) programs. This is partly a result of local turf issues between the CoC lead organization and some of the CoC members, arising out of the deficiencies of written standards for providing CoC assistance. The CoC governance and structure does not meet interim CoC program regulation requirements, and no homeless or formerly homeless persons are represented on the CoC Board.

Many of the organizations and projects that serve homeless subpopulations in Koneka County – such as veterans, chronically homeless persons, and families with children – are not part of the CoC. There is little data sharing among providers. Homeless persons in some subpopulations are on long waitlists, while other subpopulations do not even have a wait list to join. Although the last PIT count identified 185 unsheltered homeless persons, at least two organizations consistently return CoC funds to HUD each year. This year, the CoC applied for $248,000 less than it is eligible to receive.

The CoC lacks both an agreement on overall goals and outcomes, as well as system-wide outcomes measures. The CoC does not measure the performance of organizations applying for CoC funds. Homelessness prevention is not well-integrated into the CoC planning process, and every organization does its own assessment. There are different assessment practices for different organizations at different points of entry, and there is no differentiation between crisis assessment, housing stability assessment, and client assessment. Most of the emergency shelters and food kitchens are operated by faith-based service providers.

Scenario 3: Stephens Housing Authority

Stephens Housing Authority (SHA) is an independent public housing agency (PHA) created by state law with 65 employees. It is responsible for the operation and management of nine low-rent and mixed income properties and a scattered site program with a total of approximately 1,000 units under an

Annual Contributions Contract (ACC) with HUD. Many of the units are located in high crime and high poverty pockets of the community. It also administers more than 1,300 Housing Choice Vouchers, 250 Project-Based Vouchers, and 200 Moderate Rehabilitation (Mod Rehab) units. SHA has a five-member Board of Commissioners appointed by the Mayor of Stephens for staggered five-year terms.

SHA has been challenged by governance and operational issues and a series of troubled, substandard, and near troubled Public Housing Assessment System (PHAS) scores in the areas of physical, financial, management and capital fund and troubled and near troubled Section 8 Management Assessment System (SEMAP) scores for several fiscal years from 2008 to the present. HUD has noted that the Board of Commissioners does not provide sufficient oversight of the agency's Executive Director, who appears not to have the skill sets needed to properly manage the agency's staff and programs, including the Public Housing program, the Housing Choice Voucher program, and HOPE VI and mixed-finance development projects. SHA has numerous key program and administrative staff vacancies including a program director and management and line staff. Further, the Board lacks understanding of its role and does not provided sufficient oversight of SHA's finances.

Specifically, SHA has been cited for unauthorized interfund transfers, lack of internal controls, outdated policies, inconsistent application of policies, unresolved compliance findings in all areas, failure to implement asset management requirements, to address physical deficiencies, and to improve maintenance and occupancy rates of its public housing units. Other deficiencies include failure to complete Housing Quality Standard (HQS) inspections and to achieve utilization goals in its Voucher program, inadequate use and knowledge of its management software, stalled progress in HOPE VI implementation, and inability to provide complete financial, contracting, and program records. Recommendations from HUD and the HUD Office of Inspector General (OIG) for all program areas have included repayment of funds, writing and adoption of new policies, staff training, technical assistance, and contracting out of program functions to an alternate management agency. In addition, HUD has attempted to raise the attention of the Mayor to the governance and management issues of SHA's Board and Executive Director. As a last resort, HUD has considered placing SHA in administrative receivership due to the extent and recurrence of its performance and compliance failures

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

a. (8 points) – Evaluation.

For each of the four technical assistance and capacity building activities under the OneCPD+, 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.

b. (7 points) – Outcomes.

For each of the tasks the applicant is proposing to provide assistance under the Scenario from Factor 2c, the applicant must identify at least two quantifiable 'outcomes' by which success will be measured and how the applicant would measure the outcomes. **An outcome is defined as the results achieved or benefits derived from the technical assistance or capacity building which supports the objectives of HUD programs.** '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 the assistance described for HUD programs.

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 that meet threshold eligibility requirements using the Factors for Award noted in Section V.A.

2. **Ranked Order**. Once 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.** All applicants requesting funding to provide TA or capacity building under the OneCPD+ program must be in compliance with the threshold requirements found in the FY2013 **General Section** and the eligibility requirements listed in Section III of this NOFA in order to be reviewed, scored, and ranked. Applications that do not meet one or more of these threshold requirements, and applications that were received after the deadline (see Section IV.C of the FY2013 **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, 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. HUD will also take into account the agency's overall technical assistance needs to establish a range of subject matter expertise, geographic coverage, and capacity to serve particular underserved communities or populations benefitting from HUD programs. 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. See Section V.B.2 of FY2013 **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 and 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 another applicant.

HUD requires that selected applicants participate in negotiations to determine an administrative budget. The administrative budget must clearly identify the labor, associated indirect, travel, and material and supply costs associated with the provider's management of the award. The administrative budget must track the different sources of funding and associate administrative costs to each source.

Administrative costs mean reasonable direct and associated indirect costs of overall TA award management and evaluation, including:

(1) Salaries, wages, benefits, and related costs for developing and negotiating the budget, developing systems and schedules for ensuring compliance with the award, preparing reports required under the award, attending HUD-required training, submitting billing information, and management or supervision of persons carrying out the TA activities;

(2) Travel costs related to administration of the award;

(3) Administrative services performed under third-party contracts or agreements, such as general legal services, accounting services, and audit services;

(4) Other costs for goods and services required for the administration of the award, including rental or purchase of equipment, insurance, utilities, office supplies, and rental and maintenance of office space. Rental and maintenance of office space is allowed only under the following conditions:

(5) The lease must be for existing facilities not requiring rehabilitation or construction except for minimal alterations to make the facilities accessible for a person with disabilities;

(6) No repairs or renovations of the property may be undertaken with funds provided under this NOFA;

(7) Properties in the Coastal Barrier Resources System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased or rented with federal funds.

Administrative costs shall be segregated in a separate cost center within the awardee's accounting system. When developing the administrative budget for the award, the administrative costs are limited depending on the total award amount. Administrative costs associated with the management of the award are capped as listed below:

AWARD AMOUNT	MAXIMUM ADMINISTRATIVE COSTS
$1,000,000 and over	10% of award

$750,000 – $999,999	15% of award

Costs may be denied or modified if HUD determines that they are not allowable, allocable, and/or reasonable. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to the applicant. In this instance, HUD may offer an award and proceed with negotiations with another 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 FY2013 **General Section.**

4. Debriefing. See FY2013 **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 as follows:

- For Non-Profit Organizations awards will be governed by 24 CFR part 84 Uniform Administrative Requirements.

- For Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 2 CFR part 215 (also known as OMB Circular A-110); OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations; and the cooperative agreement provisions.

For state and local governments, awards will be governed by 24 CFR part 85 Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally Recognized Indian Tribal Governments; OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations; and the cooperative agreement provisions.

For commercial/for-profit awardees, awards will be governed by24 CFR part 84 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (HUD as the federal awarding agency applies part 84 to for-profits; 2 CFR part 215 (also known as OMB Circular A-110); OMB Circular A-133 (HUD's audit requirements for commercial/for-profit recipients are covered by A-133); and the cooperative agreement provisions.

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.   Non-compliance of the applicable uniform administrative requirements and implementation of those requirements along with the cooperative agreement provisions, may cause HUD to impose sanctions, restrictions, or terminate the award.

C. Reporting.

1. Program Progress. Awardees will be required to submit Quarterly Performance Reports in a manner specified by HUD, with actual outputs and outcomes achieved, and a narrative explanation of any disparity between projected and actual results.

2. Recipient Reporting to Meet the Requirements of the Federal Funding Accountability and Transparency Act of 2006, as amended.

(a) Prime Grant Awardee Reporting. Prime recipients of HUD financial assistance are required to report certain subawards in the federal government-wide website www.fsrs.gov or its successor system.
          Starting with awards made October 1, 2010 prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subaward recipients, including awards made as pass-through awards or awards to vendors, if (1) the initial prime grant award is $25,000 or greater, or the cumulative prime grant award will be $25,000 or greater if funded incrementally as directed by HUD in accordance with OMB guidance; and (2) the sub-award is $25,000 or greater, or the cumulative subaward will be $25,000 or greater. For reportable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the SAM system, the prime recipient is not required to report this information.

          The reporting of award and subaward information is in accordance with the requirements of Federal Financial Assistance Accountability and Transparency Act of 2006, as amended by section 6202 of Public Law 110-252, hereafter referred to as the "Transparency Act" and OMB Guidance issued to the Federal agencies on September 14, 2010 (75 FR 55669) and in OMB Policy guidance. The prime awardee will have until the end of the month plus one additional month after a subaward or pass-through award is obligated to fulfill the reporting requirement. Prime recipients are required to report the following information for applicable subawards. The information will be displayed on a public government website pursuant to the Transparency Act:

(i)   Name of entity receiving award;

(ii)   Amount of award;

(iii) Funding agency;

(iv)   North American Industry Classification System (NAICS) code for contracts/CFDA program for
           financial assistance awards;

(v)   Program source;

(vi)   Award title descriptive of the purpose of the funding action;

(vii) Location of the entity (including Congressional district);

(viii) Place of Performance (including Congressional district);

(ix)   Unique identifier of the entity and its parent; and

(x)   Total compensation and names of top five executives.

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

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

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

(c) Subaward Executive Compensation Reporting. Prime grant awardees must also report in the government-wide website the total compensation and names of the top five executives in the subawardees if:

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

(ii) This required compensation information is not readily available through reporting to the Securities and Exchange Commission (SEC.) For applicable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the Central Contractor Registration (CCR) system, the prime recipient is not required to report this information.

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

3. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act of Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as "Section 872" Section 872 requires the establishment of a government wide data system – the Federal Awardee Performance and Integrity Information System (FAPIIS) - to contain information related to the integrity and performance of entities awarded federal financial assistance and making use of the information by federal officials in making awards. OMB is in the process of issuing regulations regarding federal agency implementation of section 872 requirements. A technical correction to the General Section may be issued when such regulations are promulgated. HUD anticipates that the terms and conditions to its FY2013 awards will contain requirements related to meeting FFATA and Section 872 requirements.

VII. AGENCY CONTACTS

Applicants should contact Julie Hovden, Director, Technical Assistance Division, HUD Headquarters, by e-mail at Julie.D.Hovden@hud.gov. Questions regarding the FY2013 **General Section** should be directed to the Grants Management Office 202-708-0667 (this is not a toll-free number) Persons with hearing or speech impairments may access this number via TTY by calling the Federal Relay Service at 800-877-8339.

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 <mark>**PENDING OMB APPROVAL**</mark>. 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, and 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 OneCPD+ NOFA are explained in the **General Section**.

C. Environmental. A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR part 50, which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The FONSI is available on HUD's website at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail under the FY 2013 listing for this program.

Dated: _____

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                                         Mark Johnston
                                         Deputy Assistant Secretary for
                                         Special Needs

[FR-5700-N-19]