



**U.S. Department of Housing and Urban Development**

Policy Development and Research

HUDRD - Qualitative Data Collection for Cohort 2 MTW Expansion- Rent Reform Experiment

FR-6600-N-29D

07/07/2022

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**Program Office:**

Policy Development and Research

**Funding Opportunity Title:**

HUDRD - Qualitative Data Collection for Cohort 2 MTW Expansion- Rent Reform Experiment

**Funding Opportunity Number:**

FR-6600-N-29D

**Assistance Listing Number:**

14.536

**Due Date for Applications:**

07/07/2022

**Summary**

The U.S. Department of Housing and Urban Development (HUD) Strategic Plan sets the direction and focus of our programs and staff to create strong, sustainable, inclusive communities and quality, affordable homes for all.

**HUD's Strategic Goals**

HUD's FY 2022-2026 Strategic Plan lays out this administration's strategy for ensuring everyone has an affordable, healthy place to live. Over the course of the next four years HUD will pursue two overarching priorities focused on increasing equity and improving customer experience across all HUD programs. Five strategic goals undergird the Plan as follows:

- Strategic Goal 1: Support Underserved Communities
- Strategic Goal 2: Ensure Access to and Increase the Production of Affordable Housing
- Strategic Goal 3: Promote Homeownership
- Strategic Goal 4: Advance Sustainable Communities
- Strategic Goal 5: Strengthen HUD's Internal Capacity

The five goals of the FY 2022-2026 Strategic Plan present the core vision of what we hope to accomplish, the strategies to accomplish those objectives, and the indicators of success.

**Overview**

The U.S. Department of Housing and Urban Development (HUD) issues this Notice of Funding Opportunity (NOFO) to invite applications from eligible applicants for the program and purpose described within this NOFO. Prospective applicants should carefully read all instructions in all sections to avoid sending an incomplete or ineligible application. HUD funding is highly competitive. Failure to respond accurately to any submission requirement could result in an incomplete or noncompetitive proposal.

During the selection process HUD is prohibited from disclosing 1) information regarding any applicant's relative standing, 2) the amount of assistance requested by an applicant, and 3) any information contained in the application. Prior to the application deadline, HUD may not disclose the identity of any applicant or the number of applicants that have applied for assistance.

For Further Information Regarding this NOFO: Please direct questions regarding the specific

requirements of this NOFO to the office contact identified in Section VII.

**Paperwork Reduction Act Statement.** The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). 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 valid OMB control number. Each NOFO will identify its applicable OMB control number unless its collection of information is excluded from these requirements under [5 CFR part 1320](#).

**OMB Approval Number(s):**  
2528-0299

## **I. FUNDING OPPORTUNITY DESCRIPTION.**

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

- **Purpose**

This NOFO announces the availability of \$1,000,000 for qualitative research that will document how low-income renters understand and respond to the new rent policies being tested in the Moving to Work (MTW) Stepped and Tiered Rent Demonstration (STRD). The research funded under this NOFO will contribute to general knowledge of low-income households' experiences with alternative rent policies that are intended to promote self-sufficiency. The research proposal must describe how such knowledge will contribute to housing assistance policy that is designed to promote greater self-sufficiency for assisted households, whether such policy is developed by HUD, housing authorities, or other entities.

### **Overview**

In the Stepped and Tiered Rent Demonstration (STRD), ten public housing agencies (PHAs) will test new rent policies known as stepped rents and tiered rents. Under the **standard rent policy**, HUD-assisted households pay 30% of their monthly adjusted income towards rent. Under a **stepped rent policy**, a household's rent will increase modestly each year, independent of their income. Under a **tiered rent policy**, households are assigned to income-based tiers, and all households within a specific tier pay the same amount towards rent.

Five STRD PHAs will implement a stepped rent, and five will implement a tiered rent. They will do so in a randomized controlled trial, to permit rigorous evaluation of the impact of the new rent policies. HUD has plans, already underway, to conduct a long-term impact evaluation. But additional research, using qualitative methods, is needed to better understand the alternative rent policies from the perspective of participating households.

### **Background**

Moving to Work (MTW) is a demonstration program that gives PHAs flexibility to test innovative strategies to use Federal assistance for the public housing and Housing Choice Voucher programs more efficiently, help residents pursue self-sufficiency, and increase housing choices for low-income families. MTW agencies can get waivers from certain HUD rules, including those governing how rents are set in HUD programs.

The Consolidated Appropriations Act, 2016 authorized HUD to award MTW authority to 100 additional housing agencies and required that this expansion involve rigorous research on the effects of the new policies implemented by those PHAs. HUD is implementing the MTW

expansion by awarding MTW authority in cohorts, with each cohort testing a specific policy. The second cohort of the MTW expansion—the STRD—is testing alternative rent policies known as stepped rents and tiered rents.

There are two main reasons for exploring alternative rent policies: 1) providing incentives for assisted households to increase their earnings, and 2) simplifying the administration of housing assistance programs. The standard income-based rent policy sets a household’s total tenant payment (TTP) at 30 percent of their adjusted income. When a household’s income increases, 30 percent of the additional income continues to go towards TTP, which means a TTP increase to the household. (Conversely, if a household’s income decreases, the household’s TTP decreases.) These rent changes might be a disincentive that makes assisted households less likely to increase their income. Alternative rent policies may be able to remove or mitigate this disincentive while still preserving protections for assisted households that experience a loss of income. Regarding simplification, the standard income-based rent policy is complex and challenging to administer. It requires regular (typically annual) income examinations in which PHAs must document and verify all income for the assisted household, consider a long list of income exclusions and deductions, and calculate the corresponding TTP. Through STRD, HUD seeks to test whether these alternative rent policies change a household’s incentive to increase earned income or reduce the administrative burden of assisted housing for both PHA staff and assisted households.

In the STRD, 10 PHAs will establish and implement alternative rent policies. Five PHAs will implement a stepped rent, under which a household’s TTP will increase modestly each year independent of their income. Five PHAs will implement a tiered rent, under which households are assigned to income-based tiers and their TTP is set based on the tier. Under both policies, households could increase their income without causing an immediate TTP increase. Both policies include hardship provisions to prevent high rent burdens, and both policies include less frequent income reexaminations, to reduce the amount of PHA staff time required to administer the program. Table 1 lists the 10 PHAs participating in the STRD and the rent policy being tested in each.

The STRD impact evaluation will examine the effects of the new rent policies using a randomized controlled trial (RCT). Eligible households—non-elderly, non-disabled households in the public housing and housing choice voucher (HCV) programs—at each of the participating PHAs will be randomly assigned to either the treatment group (paying under the new rent rules) or the control group (paying under the standard rent rules). Eligible households will include those already receiving assistance (people who should be familiar with the standard income-based rent policy), and new households admitted off the waiting list (people who may be less familiar with the traditional income-based rent policy). All eligible households will be asked to provide informed consent and to complete a baseline survey. If a household does not provide consent, they will still be randomly assigned but will not be part of HUD’s evaluation.

<b>Table 1. PHAs Participating in the MTW STRD</b>		
<b>PHA</b>	<b>Location</b>	<b>Rent Policy Being Tested</b>
Akron Metropolitan Housing Authority	Akron, Ohio	Tiered Rent

Housing Authority of Washington County	Hillsborough, Oregon	Tiered Rent
Everett Housing Authority	Everett, Washington	Tiered Rent
Charleston-Kanawha Housing Authority	Charleston, West Virginia	Tiered Rent
Houston Housing Authority	Houston, Texas	Tiered Rent
Housing Authority of the County of Kern	Bakersfield, California	Stepped Rent
Fort Wayne Housing Authority	Fort Wayne, Indiana	Stepped Rent
Asheville Housing Authority	Asheville, North Carolina	Stepped Rent
Housing Connect (Housing Authority of the County of Salt Lake)	Salt Lake City, Utah	Stepped Rent
Portsmouth Redevelopment and Housing Authority	Portsmouth, Virginia	Stepped Rent

HUD has contracted with MDRC, an independent research firm, to implement the first phase of the STRD and lay the foundation for a long-term impact evaluation. The STRD impact evaluation will focus mostly on two confirmatory outcome measures: 1) whether households in the treatment group have higher cumulative earnings than households in the control group, and 2) whether total housing subsidy varies for treatment and control group households. The STRD impact evaluation will also explore other outcomes, such as tenant hardships, PHA costs, and variation in impact across different subgroups.

The STRD impact evaluation will focus on quantitative outcome measures. The evaluation will include some qualitative data collection and analysis, but these qualitative inquiries will focus on the experiences of the PHA staff implementing the new rent policies. The STRD impact evaluation will also include brief surveys of the households participating in the demonstration to capture some descriptive data on the participating households, but the evaluation does not include additional qualitative data collection such as in-depth interviews, direct observation, or focus groups with households participating in the demonstration.

[Form HUD-50058 MTW](#) Expansion collects administrative data on all households and individuals participating in the public housing and Housing Choice Voucher programs at the PHAs participating in the STRD evaluation. Successful applicants to this solicitation will receive access to HUD administrative data through a Data Use Agreement (DUA), should such data access be required.

As of March 2022, the PHAs in the STRD are preparing to implement the new rent policies. It is expected that enrollment in the STRD will begin around August 2022, and the new rent policies will take effect around December 2022.

The purpose of this NOFO is to complement HUD's STRD impact evaluation by supporting research related to the implementation of the new stepped and tiered rent policies, with a particular emphasis on how the rent policies are experienced by assisted households participating in the demonstration.

### **Research Objectives**

With this NOFO, HUD seeks to learn more about how low-income renters in the STRD experience the new rent policies. Research questions of interest include, but are not limited to, the following types of questions:

1. How do households perceive the traditional income-based rent policy? Do they understand that an increase in income causes an increase in TTP (under the traditional rent policy)? Are they aware that certain childcare expenses can be deducted from their income? Does the traditional income-based rent policy influence individual and household decisions around employment, such as their willingness to work, work more hours, or seek higher-paying work?
2. Do households understand the alternative (stepped or tiered) rent policy?
  - a. How well do households understand the incentives presented by the alternative (stepped or tiered) rent policy? Are they aware that the alternative rent policy allows them to increase their income for a period of time without causing their rent to increase?
  - b. For those under the stepped rent policy, are they aware that rent increases each year regardless of their income?
  - c. How well do households understand the hardship provisions that are intended to protect them from hardships under the alternative rent policy?
3. Do households like the alternative rent policy? Do they think the new policy is fair?
  - a. What specific features of the policy do they like?
  - b. What specific features of the policy do they dislike?
4. How is the new rent policy affecting the lives of participating households?
  - a. Are household members working more and/or earning more? Do different household members (e.g. head of household vs. other adults in the household) respond differently?
  - b. Has the new rent policy changed their budgeting and spending decisions in major ways (e.g. spending on health care, education, medicine, food, childcare, etc.)?
  - c. Are households experiencing hardships, such as difficulty paying the new rent or other essential household costs? Do any such hardships stem directly from the new rent policy or are they caused by other challenges?
5. What other factors and household characteristics relate to the households' experience of the new rent policy? For example:
  - a. Do families with children experience the new rent policy differently from households without children?
  - b. Do households respond differently to the new rent policy depending on the extent of their labor market engagement (e.g. households who work consistently vs. those who do not)?



- c. Do households respond differently to the new rent policy depending on their physical and mental health/well-being?
- d. How does the experience of the new rent policy vary for participants in the public housing and housing choice voucher programs? Are there aspects of the new rent policy that are particularly beneficial or particularly challenging for one program but not the other?
- e. How does the experience of the new rent policy vary for new admissions (households coming off the waiting list) and households already receiving housing assistance at the time of enrollment?

HUD does not expect each research grant to address all of the research questions in the preceding list. Furthermore, this list is not exhaustive; there may be other important questions to explore. Applicants may propose their own research questions to meet the NOFO objectives.

### **Additional Research Considerations**

HUD intends to fund proposals that use rigorous qualitative methods to discover how HUD-assisted households at PHAs participating in the STRD experience the stepped and tiered rents. The proposed research to be funded under this NOFO is expected to complement the independent impact evaluation already being supported by HUD. Applicants must provide evidence that their approach is unquestionably rigorous, and the research team is experienced in this form of data collection and analysis. HUD also expects this research to emphasize depth over breadth. HUD envisions funding projects that include researchers located in close proximity to study sites to facilitate fieldwork that may include ethnographic observation, informal interactions, and more structured data collection.

It is expected that enrollment in the STRD impact evaluation will begin around August 2022 and continue for one year. Households will be enrolled on a rolling basis throughout the year. During the impact evaluation enrollment process, all households will be asked to provide consent to participate in HUD's evaluation efforts. A household may not opt out of the new rent policy, but they may opt out of participating in the evaluation. After a household is assigned to a tiered or stepped rent policy, the tiered or stepped rent will take effect 90-120 days later, so the earliest that any household will pay a tiered or stepped rent is November or December 2022. The impact evaluation enrollment process will be led by MDRC (the impact evaluation contractor) and the PHAs. Researchers funded under this NOFO will not contact any HUD-assisted household before that household completes the enrollment process with the PHA/MDRC. Researchers funded under this NOFO can expect to receive information from HUD/MDRC or a participating PHA to help identify and recruit participants for qualitative research.

HUD expects this research to involve direct in-person interaction with HUD-assisted households, however, if public health measures because of the COVID-19 pandemic require it, remote data collection, such as by phone or videoconference, may be permitted. Applicants should explain how they plan to conduct on-site and in-person fieldwork despite the pandemic and how they plan to overcome constraints imposed by public health measures and still develop an in-depth understanding of how HUD-assisted households experience the STRD.

Applicants may propose to focus their research efforts in a single community with program participants at a single PHA, in a select set of communities with program participants of multiple PHAs, or with all ten communities and with program participants of all participating PHAs.

HUD encourages applicants to include in their research ways of engaging HUD-assisted households that go beyond the usual roles of research subjects as respondents and key informants. See, for example, “Resident experts: The potential of critical Participatory Action Research to inform public housing research and practice.”<sup>[1]</sup> HUD’s policy statement on program evaluation published August 13, 2021, encourages efforts to engage studied populations. The policy statement also encourages disseminating research findings to HUD-assisted households, especially those who participate in the research. HUD’s program evaluation policy statement is available here: <https://www.federalregister.gov/documents/2021/08/13/2021-17339/hud-program-evaluation-policy-policy-statement>.

HUD will not prescribe specific information collection approaches, protocols, or instruments. Any information collection efforts conducted by a grantee to address the NOFO objectives will not be subject to the Paperwork Reduction Act.

Research funded under this NOFO will take place while HUD’s impact evaluation is ongoing. The impact evaluation will use rigorous, experimental methods to determine the impacts of the STRD on various outcomes of interest. Research grantees under this NOFO will need to avoid unintentionally influencing the internal or external validity of the impact evaluation. In their narrative response to the rating factors, applicants should explain how they will minimize the influence of their qualitative research on the impact evaluation. More information about HUD’s impact evaluation of the STRD can be found here: <https://www.huduser.gov/portal/mtw/expansion.html>. More information about the overall expansion of the MTW program can be found here: [https://www.hud.gov/program\\_offices/public\\_indian\\_housing/programs/ph/mtw/expansion](https://www.hud.gov/program_offices/public_indian_housing/programs/ph/mtw/expansion).

### **Eligible Activities**

Eligible activities include all research, regulatory, and project management activities that contribute to meeting the NOFO objectives and research needs at a high-quality level, and specifically to complete the funded research. Eligible activities include, but are not necessarily limited to the following:

- All research activities required to complete the funded research, from the articulation of research questions (including literature reviewing) through the development of research design, data collection and analysis plans, to the analysis of data, and finally including the writing of publication-quality research reports and formal presentations and briefings on findings
- Regular communication with HUD staff on all project deliverables, as required by HUD’s substantial involvement under the cooperative agreement
- Consulting with experts on any aspect of the research as needed to bring expertise to enhance the research team’s knowledge in critical areas
- Meeting regulatory requirements for research such as the engagement of an Institutional Review Board to review and approve data collection instruments and Informed Consent materials for study participants

- Project management activities, including required project management tools (Opening Meeting, Management and Work Plan and Budget, Quality Control Plan, and Quarterly Progress Reports) and regular communication with HUD staff for monitoring purposes
- Travel to study locations where the STRD is being implemented
- Incentive payments to study respondents as a token of appreciation for their time.
- Dissemination of research findings to study participants

### **Deliverables**

HUD’s Cooperative Agreements require certain deliverables as part of the project management system, including the following: (1) Opening meeting with HUD, (2) a Management and Work Plan providing a detailed outline of specific tasks, a project timeline, staffing and management responsibilities, and the allocation of resources, (3) a Quality Control Plan that documents all necessary measures taken by the Grantee to assure that the quality of an end product of service shall meet the requirements outlined in the Cooperative Agreement, and (4) Quarterly Progress Reports. Please note that the Management and Work Plan is the document that will govern HUD’s monitoring of the project activities.

Project deliverables will include the following documents, each of which must be approved by the Government Technical Representative assigned to the project: (1) a Research Design that shall serve as a technical blueprint for all research activities that will be undertaken to address the research objectives, (2) a Data Collection and Analysis Plan that includes data collection instruments and/or protocols, informed consent materials, and an analysis plan for any data collected, (3) a draft and final report that documents the data collection efforts and the results of the data analyses, and (4) two final briefings on the study findings: one for HUD staff, and one for the relevant STRD PHAs to share the findings of the study, and (5) discussion with HUD-assisted households about the research findings.

The Governmental Technical Representative and other HUD staff will work closely with grantees to define deliverables.

Final work products shall be well-written, and the final research report must be of publishable quality and shall conform to HUD’s formatting requirements. HUD intends to publish the final research report on our website at [www.huduser.gov](http://www.huduser.gov).

[1] Thurber, Amie, Leslie Collins, and Marilyn Greer. 2018. The potential of critical Participatory Action Research to inform public housing research and practice. *Action Research* 0(0): 1-19. DOI: 10.1177/1476750317725799.

- **Changes from Previous NOFO.**

This is a new NOFO.

- **Definitions.**

a. Standard Definitions

**Affirmatively Furthering Fair Housing (AFFH).** Affirmatively Furthering Fair Housing (AFFH) means taking meaningful actions, in addition to combating discrimination to overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to

opportunity based on protected characteristics. Specifically, affirmatively furthering fair housing means taking meaningful actions that, taken together, address significant disparities in housing needs and in access to opportunities, replacing segregated living patterns with truly integrated and balanced living patterns, transforming racially and ethnically concentrated areas of poverty into areas of opportunity, and fostering and maintaining compliance with civil rights and fair housing laws. The duty to affirmatively further fair housing extends to all program participant's activities and programs relating to housing and urban development.

**Assistance Listing number** refers to the publicly available listing of Federal assistance programs managed and administered by the General Services Administration, formerly known as the Catalog of Federal Domestic Assistance (CFDA). Assistance Listing is a unique number assigned to identify a Federal Assistance Listings, formerly known as the CFDA

**Authorized Organization Representative (AOR)** is the person authorized to submit applications on behalf of the organization via Grants.gov. The AOR is authorized by the E-Biz point of contact in the System for Award Management. The AOR is listed in item 21 on the SF-424.

**Consolidated Plan** is a document developed by states and local jurisdictions. This plan is completed by engaging in a participatory process to assess their affordable housing and community development needs and market conditions, and to make data-driven, place-based investment decisions with funding from formula grant programs. (See [24 CFR part 91](#) for HUD's requirements regarding the Consolidated Plan and related Action Plan).

**Contract** means, for the purpose of Federal financial assistance, a legal instrument by which a recipient or subrecipient purchases property or services needed to carry out the project or program under a federal award. For additional information on contractor and subrecipient determinations, see [2 CFR 200.331](#).

**Contractor** means an entity that receives a contract as defined above and in [2 CFR 200.1](#).

**Deficiency** is information missing or omitted within a submitted application. Examples of deficiencies include missing documents, information on a form, or some other type of unsatisfied information requirement. Depending on specific criteria, deficiencies may be either Curable or Non-Curable.

- *Curable Deficiencies* may be corrected by the applicant with timely action. To be curable the deficiency must:
- Not be a threshold requirement, except for documentation of applicant eligibility;
- Not influence how an applicant is ranked or scored versus other applicants; and
- Be remedied within the time frame specified in the notice of deficiency.

**Non-Curable Deficiencies** cannot be corrected by an applicant after the submission deadline. Non-curable deficiencies are deficiencies that, if corrected, would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination.

**Environmental Justice** is the fair treatment and meaningful involvement of all people, regardless of race, color, national origin, or income, with respect to the development,

implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no population bears a disproportionate share of negative environmental consequences resulting from industrial, municipal, and commercial operations or from the execution of federal, state, and local laws; regulations; and policies. Meaningful involvement requires effective access to decision makers for all, and the ability in all communities to make informed decisions and take positive actions to produce environmental justice for themselves.

**DUNS Number** is the nine-digit Dun and Bradstreet Data Universal Number System identification number assigned to a business or organization by Dun & Bradstreet and provides a means of identifying business entities on a location-specific basis.

**E-Business Point of Contact (E-Biz POC)** A user registered as an organization applicant who is responsible for the administration and management of grant activities for his or her organization. The E-Biz POC is likely to be an organization's chief financial officer or authorizing official. The E-Biz POC authorizes representatives of their organization to apply on behalf of the organization (see Standard AOR and Expanded AOR). There can only be one E-Biz POC per DUNS Number.

**Eligibility requirements** are mandatory requirements for an application to be eligible for funding.

**Expanded Authorized Organization Representative (AOR)** An AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov on behalf of the organization. An applicant user with the Expanded AOR role is authorized to submit any applications on behalf of the organization and has privileges that allow the user to modify organization-level settings in Grants.gov.

**Federal Financial Assistance** means assistance that entities received or administer in the form of:

1. Grants;
2. Cooperative agreements (which does not include a cooperative research and development agreement pursuant to the Federal Technology Transfer Act of 1986, as amended (15 U.S.C. 3710a)).
3. Loans;
4. Loan guarantees;
5. Subsidies;
6. Insurance;
7. Food commodities;
8. Direct appropriations;
9. Assessed and voluntary contributions; and
10. Any other financial assistance transaction that authorizes the non-Federal entity's expenditure of Federal funds.
11. Federal financial assistance does not include amounts received as reimbursement for services rendered to individuals as described in section [200.502\(h\)](#) and (i). ([2 CFR 200.1](#))

**Federal award**, has the meaning, depending on the context, in either paragraph (i) or (ii) of this definition:

1. (i) The Federal financial assistance that a recipient receives directly from a Federal awarding agency or a subrecipient receives indirectly from a pass-through entity, as described in [2 CFR §200.101](#); or
  - ii. The cost-reimbursement contract under the Federal Acquisition Regulations that a non-Federal entity receives directly from a federal awarding agency or indirectly from a pass-through entity, as described in [2 CFR §200.101](#).
2. The instrument setting forth the terms and conditions. The instrument is the grant agreement, cooperative agreement, other agreement for assistance covered in paragraph (2) of the definitions of Federal financial assistance in [2 CFR §200.1](#), and this NOFO, or the cost-reimbursement contract awarded under the Federal Acquisition Regulations.
3. Federal award does not include other contracts that a Federal agency uses to buy goods or services from a contractor or a contract to operate Federal Government owned, contractor operated facilities (GOCOs).
4. See also definitions of Federal financial assistance, grant agreement, and cooperative agreement in [2 CFR 200.1](#).

**Grants.gov** is the website serving as the Federal government's central portal for searching and applying for Federal financial assistance throughout the Federal government. Registration on Grants.gov is required for submission of applications to prospective agencies unless otherwise specified in this NOFO.

**Historically Black Colleges and Universities (HBCUs)** The Higher Education Act of 1965, as amended, defines an HBCU as: "...any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary of Education to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation." HBCUs offer all students, regardless of race, an opportunity to develop their skills and talents.

**Non-Federal Entity (NFE)** means a state, local government, Indian tribe, Institution of Higher Education (IHE), or non-profit organization that carries out a federal award as a recipient or subrecipient.

**Point of Contact (POC)** is the person who may be contacted with questions about the application submitted by the AOR. The POC is listed in item 8F on the SF-424.

**Recipient** means an entity, usually but not limited to non-Federal entities, that receives a federal award directly from HUD. The term recipient does not include subrecipients or individuals that are beneficiaries of the award.

**Small business** is defined as a privately-owned corporation, partnership, or sole proprietorship that has fewer employees and less annual revenue than a corporation or regular-sized business. The definition of "small"—in terms of being able to apply for government support and qualify for preferential tax policy—varies by country and industry. The U.S. Small Business Administration defines a small business according to a set of standards based on specific industries. See [13 CFR Part 121](#).

**Standard Authorized Organization Representative (AOR)** An AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov on behalf of the organization. An applicant user with the Standard AOR role can only submit applications when they are a Participant of that workspace.

**Subaward** means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

**Subrecipient** means an entity, usually but not limited to non-Federal entities, that receives a subaward from a pass-through entity to carry out part of a federal award but does not include an individual that is a beneficiary of such award. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.

**System for Award Management (SAM)** is the Federal Repository into which an entity must provide information required for the conduct of business as a recipient. Registration with SAM is required for submission of applications via Grants.gov. You can access the website at <https://www.sam.gov/SAM/>. There is no cost to use SAM.

**Threshold Requirements** are an eligibility requirement that must be met for an application to be reviewed. Threshold requirements are not curable, except for documentation of applicant eligibility and are listed in Section III.D Threshold Eligibility Requirements. Similarly, there are eligibility requirements under Section III.E, Statutory and Regulatory Requirements Affecting Eligibility.

**Unique Entity Identifier (UEI)** means the identifier assigned by SAM to uniquely identify business entities.

- Program Definitions.

None

## **B. Authority.**

The program is authorized by Sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. §1701z-1 and §1701z-2) and funding is provided by recaptured funds carried forward from FY 2021, as authorized by Section 232 of Division K of the Consolidated Appropriations Act, 2017 (P.L. 115-31, approved May 5, 2017) and Section 229 of Division L of the Consolidated Appropriations Act, 2018 (P.L. 115-141, approved March 23, 2018).

## **II. Award Information.**

### **A. Available Funds**

Funding of approximately **\$1,000,000** is available through this NOFO.

### **B. Number of Awards.**

HUD expects to make approximately 3 awards from the funds available under this NOFO.

### **C. Minimum/Maximum Award Information**

Estimated Total Funding:

\$1,000,000

Minimum Award Amount:

\$200,000

Per Project Period

Maximum Award Amount:

\$1,000,000

Per Project Period

### **D. Period of Performance**

Estimated Project Start Date:

10/01/2022

Estimated Project End Date:

10/01/2025

Length of Project Periods:

36-month project period and budget period

Length of Periods Explanation of Other:

### **E. Type of Funding Instrument.**

Funding Instrument Type:

CA (Cooperative Agreement)

### **III. Eligibility Information.**

#### **A. Eligible Applicants.**

00 (State governments)

01 (County governments)

02 (City or township governments)

04 (Special district governments)

05 (Independent school districts)

06 (Public and State controlled institutions of higher education)

07 (Native American tribal governments (Federally recognized))

11 (Native American tribal organizations (other than Federally recognized tribal governments))

12 (Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education)

13 (Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education)

20 (Private institutions of higher education)

22 (For profit organizations other than small businesses)



23 (Small businesses)

### **Additional Information on Eligibility**

#### **B. Ineligible Applicants.**

Individuals, foreign entities, and sole proprietorship organizations are not eligible to compete for, or receive, awards made under this announcement. HUD will not evaluate applications from ineligible applicants.

#### **C. Cost Sharing or Matching.**

This Program does not require cost sharing or matching.

#### **D. Threshold Eligibility Requirements.**

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated.

**1. Resolution of Civil Rights Matters.** Outstanding civil rights matters must be resolved before the application deadline. Applicants, who after review are confirmed to have civil rights matters unresolved at the application deadline, will be deemed ineligible. Their applications will receive no further review, will not be rated and ranked, and they will not receive funding.

- a. Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (1) – (5) that have not been resolved to HUD’s satisfaction before or on the application deadline date are ineligible for funding. Such matters include:
  1. Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;
  2. Status as a defendant in a Fair Housing Act lawsuit filed by the United States alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance under 42 U.S.C. 3614(a);
  3. Status as a defendant in any other lawsuit filed or joined by the Department of Justice, or in which the Department of Justice has intervened, or filed an amicus brief or statement of interest, alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, the Americans with Disabilities Act or a claim under the False Claims Act related to fair housing, non-discrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;
  4. Receipt of a letter of findings identifying systemic non-compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or the Americans with Disabilities Act; or
  5. Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law

prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

- b. HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the application deadline date will resolve the matter. Examples of actions that may be sufficient to resolve the matter include, but are not limited to:
1. Current compliance with a voluntary compliance agreement signed by all the parties;
  2. Current compliance with a HUD-approved conciliation agreement signed by all the parties;
  3. Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;
  4. Current compliance with a consent order or consent decree;
  5. Current compliance with a final judicial ruling or administrative ruling or decision; or
  6. Dismissal of charges.

**2. Affirmatively Furthering Fair Housing.** With some exceptions for federally recognized Indian tribes and their instrumentalities, the application must discuss how the applicant will carry out the proposed activities in a manner that affirmatively furthers fair housing in compliance with the Fair Housing Act and its implementing regulations. Applicants may propose activities that are consistent with their jurisdiction's Analysis of Impediments (AI), an Assessment of Fair Housing (AFH), or other means of fair housing planning that meaningfully supports their AFFH certification.

If the applicant will carry out proposed activities in a jurisdiction with an accepted Assessment of Fair Housing (AFH), the proposed activities should be consistent with the AFH's fair housing goals and with fair housing strategies specified in the jurisdiction's Consolidated Plan or Public Housing Agency Plan.”

**3. Timely Submission of Applications.** Applications submitted after the deadline stated within this NOFO that do not meet the requirements of the grace period policy will be marked late. Late applications are ineligible and will not be considered for funding. See Section IV. D. Application Submission Dates and Times.

**3. Completeness of Application.** Applications must be complete, including all required forms, assurances, certifications, narratives, and non-form attachments. Incomplete applications are ineligible and will not be considered for funding. See Section IV.B. Content and Form of Application Submission.

## **E. Statutory and Regulatory Requirements Affecting Eligibility.**

### **Eligibility Requirements for Applicants of HUD's Grants Programs**

The following requirements affect applicant eligibility. Detailed information on each requirement is posted on [HUD's Funding Opportunities Page](#).

- Active Prime and Sub Recipient registration with SAM.gov
- Outstanding Delinquent Federal Debts
- Debarments or Suspensions, or both
- Pre-selection Review of Performance

- Sufficiency of Financial Management System
- False Statements
- Mandatory Disclosure Requirement
- Prohibition Against Lobbying Activities
- In addition, each applicant under this NOFO must have the necessary processes and systems in place to comply with the Award Term in Appendix A of [24 CFR part 170](#) if the applicant receives an award, unless an exception applies as provided in [2 CFR 170.110](#).

#### **F. Program-Specific Requirements.**

None

#### **G. Criteria for Beneficiaries.**

None

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

#### **A. Obtaining an Application Package.**

##### **Instructions for Applicants.**

You must download both the Application Instructions and the Application Package from Grants.gov. You must verify that the Assistance Listing Number and Assistance Listing Description on the first page of the Application Package, and the Funding Opportunity Title and the Funding Opportunity Number match the Program and NOFO to which you are applying.

The Application Package contains the portable document forms (PDFs) available on Grants.gov, such as the SF-424 Family. The Instruction Download contains official copies of the NOFO and forms necessary for a complete application. The Instruction Download may include Microsoft Word files, Microsoft Excel files, and additional documents.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission, for example, a lack of available Internet access in the geographic area in which your business offices are located. Lack of SAM registration or valid DUNS/UEI is not good cause. If you cannot submit your application electronically, you must ask in writing for a waiver of the electronic grant submission requirements. HUD will not grant a waiver if the Applicant fails to submit to HUD in writing or via email a request for a waiver at least 15 calendar days before the application deadline. If HUD grants a waiver, a paper application must be received before the deadline for this NOFO. To request a waiver, you must contact:

Name:

Kinnard Wright

Email:

Kinnard.d.wright@hud.gov

HUD Organization:

PD&R

Street:

451 7th Street, SW

City:

Washington

State:  
 DC DISTRICT OF COLUMBIA  
 Zip:  
 20410

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

You must verify that boxes 11, 12, and 13 on the SF-424 match the NOFO for which you are applying. If they do not match, you have downloaded the wrong Application Instruction and Application Package.

Submission of an application that is otherwise sufficient, under the wrong Assistance Listing and Funding Opportunity Number is Non-Curable unless otherwise stated under the Threshold requirements section.

**1. Content.**

Forms/Assurances/Certifications	Submission Requirement	Notes/Description
HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report	Submission is required for all applicants by the application due date.	
Application for Federal Assistance (SF424)	Submission is required for all applicants by the application due date.	Required for all applications.
Disclosure of Lobbying Activities (SFLLL), if applicable	HUD will provide instructions to grantees on how the form is to be submitted.	If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the applicant shall complete and submit the SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its

Forms/Assurances/Certifications	Submission Requirement	Notes/Description
		instructions. Applicants must furnish an executed copy of the Certification Regarding Lobbying prior to award.

Additionally, your complete application must include the following narratives and non-form attachments.

- Abstract - One-page application summary as described in 2. Format and Form below.
- Narrative statement addressing ratings factors.
- Appendix containing up to 5 resumes of key personnel.
- Appendix listing names and contact information for each organization included as part of the primary research team for this proposal (i.e., grantee and subgrantees if there are any) and a brief statement of each entity's qualifications
- Appendix containing a list of references for the projects listed under past performance, including at least one, but no more than two references for each project, outlining the applicant's performance of recent (within five years) and relevant social science research or program evaluations.
- Budget submission (display of all anticipated costs during the performance period, including an indirect cost rate).
- Code of Conduct. 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>

**2. Format and Form.**

Narratives and other attachments to your application must follow the following format guidelines.

25 Pages maximum length of narratives

Double spaced 12-point (minimum) Times Roman font on letter sized paper (8 1/2 x 11 inches) with at least 1-inch margins on all sides

- a. Narrative addressing rating factors should not exceed 25 pages. The narrative page limits do not include required forms, assurances and certifications, appendices, the budget narrative, and the one-page abstract. The narrative must be formatted to fit an 8 1/2 by 11-inch page, double-spaced (information requirements), with one-inch margins, using standard Times New Roman 12-point font. Resumes are subject to a separate 20-page limit as follows:
  - i. the application shall include resumes for no more than 5 key personnel; and
  - ii. no individual resume shall exceed 4 pages. Submitting pages in excess of page limits will not disqualify an applicant; however, HUD will not consider the information on any excess pages. This exclusion may result in a lower score.
- b. Abstract - One-page application summary needs to include:
  - i. A brief description of the proposed research and/or evaluation project; and

ii. Provide funding request in whole dollar amount. The amount requested should be based on the scope of the project, personnel rates, other direct costs, as well as administrative costs, etc.

### **C. System for Award Management (SAM) and Unique Entity Identifier (UEI) Dun and Bradstreet Universal Numbering System (DUNS) Number.**

#### **1. SAM Registration Requirement.**

Applicants must be registered with <https://www.sam.gov/> before submitting their application. Applicants must maintain current information in SAM on immediate and highest-level owner and subsidiaries, as well as on all predecessors that have been awarded a federal contract or grant within the last three years, if applicable. Information in SAM must be current for all times during which the applicant has an active Federal award or an application or plan under consideration by HUD.

#### **2. UEI/DUNS Number Requirement.**

Applicants must provide a valid UEI/DUNS number, registered and active at [/www.sam.gov/](https://www.sam.gov/) in the application.

The DUNS number remains the official identifier for doing business with the U.S. Government only until April 4, 2022. As of April 4, 2022, entities doing business with the federal government must use the Unique Entity Identifier created in SAM.gov.

#### **3. Requirement to Register with Grants.gov.**

Anyone planning to submit applications on behalf of an organization must register at grants.gov and be approved by the E-Biz POC in SAM to submit applications for the organization. Registration for SAM and grants.gov is a multi-step process and can take four (4) weeks or longer to complete if data issues arise. Applicants without a valid registration cannot apply through grants.gov. Complete registration instructions and guidance are provided on grants.gov.

### **D. Application Submission Dates and Times.**

#### **Application Due Date Explanation**

The application deadline is 11:59:59 PM Eastern Standard time on 07/07/2022

Submit your application to Grants.gov unless a waiver has been issued allowing you to submit a paper application. Instructions for submitting your paper application will be contained in the waiver of electronic submission.

"Received by Grants.gov" means the applicant received a confirmation of receipt and an application tracking number from Grants.gov. Grants.gov then assigns an application tracking number and date-and timestamp each application upon successful receipt by the Grants.gov system. A submission attempt not resulting in confirmation of receipt and an application tracking number is not considered received by Grants.gov.

Applications received by Grants.gov must be validated by Grants.gov to be received by HUD.

"Validated by Grants.gov" means the application has been accepted and was not rejected with errors. You can track the status of your application by logging into Grants.gov, selecting

"Applicants" from the top navigation, and selecting "Track my application" from the dropdown list. If the application status is "rejected with errors," you must correct the error(s) and resubmit the application before the 24-hour grace period ends. Applications in "rejected with errors" status after the 24-hour grace period expires will not be received by HUD. Visit Grants.gov for a complete description of processing steps after applying.

HUD strongly recommends you submit your applications at least **48 hours before the deadline** and during regular business hours to allow enough time to correct errors or overcome other problems.

**Grants.gov Customer Support.** Grants.gov provides customer support information on its website at <https://www.grants.gov/web/grants/support.html>. Applicants having difficulty accessing the application and instructions or having technical problems can receive customer support from Grants.gov by calling (800) 518-GRANTS (this is a toll-free number) or by sending an email to [support@grants.gov](mailto:support@grants.gov). The customer support center is open 24 hours a day, seven days per week, except Federal holidays. The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service's teletype service at (800)-877-8339.

You can verify the contents of your submitted application to confirm Grants.gov received everything you intended to submit. To verify the contents of your submitted application:

- Log in to Grants.gov.
- Click the Check Application Status link, which appears under the Grant Applications heading in the Applicant Center page. This will take you to the Check Application Status page.
- Enter search criteria and a date range to narrow your search results.
- Click the Search button. To review your search results in Microsoft Excel, click the Export Data button.
- Review the Status column, to view more detailed submission information, click the Details link in the Actions column.
- To download the submitted application, click the Download link in the Actions column.

Please make note of the Grants.gov tracking number, it will be needed by the Grants.gov Help Desk if you seek their assistance.

HUD may extend the application deadline for any program if Grants.gov is offline or not available to applicants for at least 24 hours immediately prior to the deadline date, or the system is down for 24 hours or longer and impacts the ability of applicants to cure a submission deficiency within the grace period.

HUD may also extend the application deadline upon request if there is a presidentially declared disaster in the applicant's area.

If these events occur, HUD will post a notice on its website establishing the new, extended deadline for the affected applicants. HUD will also include the fact of the extension in the program's NOFO required to be published in the Federal Register.

In determining whether to grant a request for an extension based on a presidentially declared disaster, HUD will consider the totality of the circumstances including the date of an applicant's

extension request (how closely it followed the basis for the extension), whether other applicants in the geographic area are similarly affected by the disaster, and how quickly power or services are restored to enable the applicant to submit its application.

**PLEASE NOTE:** Busy servers, slow processing, large file sizes, improper registration or password issues are not valid circumstances to extend the deadline dates or the grace period.

1. Amending or resubmitting an application.

Before the submission deadline, you may amend a validated application through Grants.gov by resubmitting a revised application containing the new or changed material. The resubmitted application must be received and validated by Grants.gov by the applicable deadline.

If HUD receives an original and a revised application for a single proposal, HUD will evaluate only the last submission received by Grants.gov before the deadline.

2. Grace Period for Grants.gov Submissions.

If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of 24 hours after the application deadline to submit a corrected, received, and validated application through Grants.gov. The date and time stamp on the Grants.gov system determines the application receipt time. Any application submitted during the grace period not received and validated by Grants.gov will not be considered for funding. There is no grace period for paper applications.

3. Late Applications.

An application received after the NOFO deadline date that does not meet the Grace Period requirements will be marked late and will not be reviewed by HUD for funding consideration. Improper or expired registration and password issues are not sufficient cause to allow HUD to accept applications after the deadline date.

4. Corrections to Deficient Applications.

HUD will not consider information from applicants after the application deadline except for curable deficiencies.

HUD will uniformly notify applicants of each curable deficiency. See curable deficiency in the definitions section (Section I.A). Examples of curable (correctable) deficiencies include inconsistencies in the funding request and failure to submit required certifications. These examples are non-exhaustive.

When HUD identifies a curable deficiency, HUD will notify the authorized organization representative identified on the SF-424 Application for Federal Assistance via email. This email is the official notification of a curable deficiency.

Applicants must email corrections of Curable Deficiencies to [applicationsupport@hud.gov](mailto:applicationsupport@hud.gov) within the time limits specified in the notification. The time allowed to correct deficiencies will be no less than 48 hours and no more than 14 calendar days from the date of the email notification. The start of the cure period will be the date stamp on the email sent from HUD. If the deficiency cure deadline date falls on a Saturday, Sunday, Federal holiday, or on a day when HUD's Headquarters are closed, then the applicant's correction must be received on the next business day HUD Headquarters offices in Washington, DC are open.



The subject line of the email sent to [applicationsupport@hud.gov](mailto:applicationsupport@hud.gov) must state: Technical Cure and include the Grants.gov application tracking number or the GrantSolutions application number (e.g., Subject: Technical Cure - GRANT123456 or Technical Cure - XXXXXXXXXXXX). If this information is not included, HUD cannot match the response with the application under review and the application may be rejected due to the deficiency.

Corrections to a paper application must be sent in accordance with and to the address indicated in the notification of deficiency. HUD will treat a paper application submitted in accordance with a waiver of electronic application containing the wrong UEI/DUNS number as having a curable deficiency. Failure to correct the deficiency and meet the requirement to have a UEI/DUNS number and active registration in SAM will render the application ineligible for funding.

5. **Authoritative Versions of HUD NOFOs.** The version of these NOFOs as posted on Grants.gov are the official documents HUD uses to solicit applications.
6. **Exemptions.** Parties that believe the requirements of the NOFO would impose a substantial burden on the exercise of their religion should seek an exemption under the Religious Freedom Restoration Act (RFRA).

#### **E. Intergovernmental Review.**

This program is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

#### **F. Funding Restrictions.**

An organization may not conduct research or an evaluation of itself. HUD will determine whether the salary rates are reasonable, customary for the skill set provided and the tasks to be conducted, and in accordance with federal legal requirements.

#### **Indirect Cost Rate.**

Normal indirect cost rules under [2 CFR part 200, subpart E](#) apply. If you intend to charge indirect costs to your award, your application must clearly state the rate and distribution base you intend to use. If you have a Federally negotiated indirect cost rate, your application must also include a letter or other documentation from the cognizant agency showing the approved rate. Successful applicants whose rate changes after the application deadline must submit the new rate and documentation to assure the award agreement incorporates the applicable rate.

Applicants other than state and local governments. If you have a Federally negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and must include a letter or other documentation from the cognizant agency showing the approved rate. If your organization does not have a current negotiated rate (including provisional) rate and elects to use the de minimis rate, your application must clearly state you intend to use the de minimis rate of 10% of Modified Total Direct Costs (MTDC). As described in [2 CFR 200.403](#), costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. Once elected, the de minimis rate must be applied consistently for all Federal awards until the organization chooses to negotiate a rate, which the organization may apply to do at any time. Documentation of the decision to use the de minimis rate must

be retained on file for audit.

State and local governments. If your department or agency unit has a Federally negotiated indirect cost rate, your application must include that rate, the applicable distribution base, and a letter or other documentation from the cognizant agency showing the negotiated rate. If your department or agency unit receives more than \$35 million in direct Federal funding per year, you may not claim indirect costs until you receive a negotiated rate from your cognizant agency for indirect costs as provided in Appendix VII to [2 CFR Part 200](#).

If your department or agency unit receives no more than \$35 million in direct Federal funding per year and your department or agency unit has developed and maintains an indirect cost rate proposal and supporting documentation for audit in accordance with 2 CFR Part 200, Appendix VII, you may use the rate and distribution base specified in that indirect cost rate proposal. Alternatively, if your department or agency unit receives no more than \$35 million in direct Federal funding per year and does not have a current negotiated rate (including provisional) rate, you may elect to use the de minimis rate of 10% of MTDC. As described in [2 CFR 200.403](#), costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. Once elected, the de minimis rate must be applied consistently for all Federal awards until your department or agency chooses to negotiate for a rate, which you may apply to do at any time. Documentation of the decision to use the de minimis rate must be retained on file for audit.

## **G. Other Submission Requirements.**

### **Application, Assurances, Certifications and Disclosures.**

**Standard Form 424 (SF-424) Application for Federal Assistance** is the government-wide form required to apply for Federal assistance programs, discretionary Federal grants, and other forms of financial assistance programs. Applicants for this Federal assistance program must submit all required forms in the SF-424 Family of forms, including SF-424B (Assurances of Non construction Programs) or SF-424D (Assurances for Construction Programs). Applications receiving funds for both non-construction programs and construction programs must submit both the SF-424B and SF-424D.

By signing the forms in the SF-424 either through electronic submission or in paper copy submission (for those granted a waiver), the applicant and the signing authorized organization representative affirm that they have reviewed the certifications and assurances associated with the application for Federal assistance and (1) are aware the submission of the SF-424 is an assertion that the relevant certifications and assurances are established and (2) acknowledge that the truthfulness of the certifications and assurances are material representations upon which HUD will rely when making an award to the applicant. If it is later determined the signing authorized organization representative to the application made a false certification or assurance, caused the submission of a false certification or assurance, or did not have the authority to make a legally binding commitment for the applicant, the applicant and the individual who signed the application may be subject to administrative, civil, or criminal action. Additionally, HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application

submission, including those applicable to all applicants, those applicable only to Federally recognized Indian tribes, or Alaskan native villages and those applicable to applicants other than federally recognized Indian tribes or Alaskan native villages.

**Assurances.**

By submitting your application, you provide assurances that, if selected to receive an award, you will comply with U.S. statutory and other requirements, including, but not limited to civil rights requirements. Upon receipt of an award, you, and any recipients and subrecipients of the award are also required to submit assurances of compliance with federal civil rights requirements. *See, e.g.,* Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments Act of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975; *see also* [24 C.F.R. §§ 1.5; 3.115; 8.50](#); and [146.25](#). HUD accepts these assurances in the form of the SF-424B and SF-424D, which also require compliance with all general federal nondiscrimination requirements in the administration of the grant.

**Applicant Disclosure Report form 2880.**

Required for each applicant applying for assistance within the jurisdiction of HUD to any housing project subject to Section 102(d). Assistance is provided directly by HUD to any person or entity, but not to subrecipients. It includes assistance for the acquisition, rehabilitation, operation conversion, modernization, renovation, or demolition of any property containing five or more dwelling units that is to be used primarily for residential purposes. It includes assistance to independent group residences, board and care facilities, group homes and transitional housing but does not include primarily nonresidential facilities such as intermediate care facilities, nursing homes and hospitals. It also includes any change requested by a recipient in the amount of assistance previously provided, except changes resulting from annual adjustments in Section 8 rents under Section 8(c)(2)(A) of the United States Housing Act of 1937 ([42 U.S.C. 1437f](#)). [See HUD Reform Act regulation for additional information.](#)

**V. Application Review Information.**

**A. Review Criteria.**

**1. Rating Factors.**

**Rating Factors Score Summary Chart:**

<b>STRD Qualitative NOFO Points by Factor</b>		
<b>Rating Factor #</b>	<b>Description</b>	<b>Points</b>
Rating Factor 1	Need for the Research	10
Rating Factor 2	Organizational Capacity and Experience and Key Personnel	35
Rating Factor 3	Soundness of Approach	55
NOFO Preference Points	Historically Black Colleges and Universities	2
<b>Total Points Possible</b>		<b>102</b>

The maximum number of points from the rating factors that can be awarded to any application is

102. The minimum score for an application to be considered for funding is 75 points.

**Rating Factor 1: Need for the Research (Maximum Points: 10)**

The minimum points in this rating factor needed for funding consideration is 5 out of 10 points. The narrative must explain how the proposed research would address the objectives and goals described in this NOFO [specify the sections of the NOFO that contain this information], and you will be assessed based on the extent to which the project would generate insights into how the rent policies being tested are experienced by assisted households participating in the demonstration.

**Rating Factor 2: Organizational Capacity and Experience and Key Personnel (Maximum Points: 35)**

The minimum points in this rating factor needed for funding consideration is 25 out of 35 points.

a. Recent Experience and Performance

HUD will evaluate your organization's recent experience and past performance designing, conducting, and reporting rigorous qualitative research. Past performance will be assessed based on your descriptions of recent (within the past 5 years) research or evaluation projects that were fully completed and demonstrate your organization's ability to conduct the applicable functions. At a minimum, these projects must be comparable in size, scope, and complexity to the proposed work. For each recent project, applicants should provide: (a) Project name, funder, budget, and period of performance; (b) Name and contact information for an individual at the funding organization who oversaw the work; (c) A description of the research/evaluation tasks performed that would be relevant to this NOFO, with emphasis on any qualitative research methods used; (d) Names of key personnel, and any other staff who worked on the project and are proposed for the work under this NOFO. Note: Past performance will be verified with third-party references, including GTRs/COTRS, GTMs and Grants Management Officers. If you are listing research done for an academic thesis, please provide contact information for your academic advisors. Note: Past performance will be verified with third-party references, to the extent applicable.

b. Key Personnel

Key personnel is defined as up to five individuals who will have key responsibilities related to managing or carrying out the proposed work. Key personnel must include, at a minimum, the Principal Investigator and Project Manager/Director. Key personnel may be in-house staff, subgrantees and/or consultants for whom a contract or agreement already exists; however, the Principal Investigator and Project Manager/Director must be in-house staff. Applicants will be evaluated based on the extent to which proposed key personnel demonstrate subject matter expertise and the ability to carry out the required tasks.

**Rating Factor 3: Soundness of Approach (Maximum Points: 55)**

The minimum points in this rating factor needed for funding consideration is 40 of 55 possible points.

a. Management Work Plan

Applicants must produce a management work plan for the project that is reasonable to undertake the work. The narrative should present a clear, practical, and forward-looking plan to deliver the

research products outlined in this NOFO. As such, the narrative should include a staffing chart showing the allocation of resources for this project by presenting total person hours for each of the key personnel by year by project task. The proposed work plan must clearly explain how the applicant will manage these activities, including the anticipated approach to:

- Managing communication with HUD staff, including providing quarterly status reports that include progress, accomplishments, and budget tracking;
- Establishing a timeline for the completion of the research effort;
- Ensuring overall project quality control and identifying points in the schedule where a quality control lapse is most likely to occur, and the impact on deliverables to HUD;
- Resolving issues or overcoming obstacles that may affect progress;
- Identifying costs related to data sets to be used for the research;
- Setting start dates, completion dates, and other major milestones for each task and subtask.

b. Research Design

The proposed research design will be rated on methodological soundness, clarity, and feasibility. Specifically, the research design must include:

- Understanding of the context, including the traditional income-based rent policy, the alternative rent policies, and the framework of the HUD impact evaluation being carried out independent of this NOFO.
- The research questions that the applicant will focus on, including a discussion of why the applicant has chosen to focus on those questions.
- The proposed research methods, with special attention to meeting high standards for rigor in the design, collection and analysis of qualitative data, including methods for identifying and recruiting participants, collecting rich and credible qualitative information from participants, and analyzing that information systematically, and presenting the results of the study in a comprehensive and impactful way. The applicant should clearly explain and justify specific methods (e.g., individual interviews, group interviews, focus groups, direct observation).
- Demonstrated capacity to collect and manage sensitive data from individuals while protecting the privacy of individuals and complying with all relevant rules and regulations related to the protection of the rights and welfare of human research subjects.

**Maximum Points:** 100

**2. Other Factors.**

This program does not offer points for Section 3.

**Preference Points**

HUD encourages activities in support of the interdepartmental initiatives. HUD may award no more than two (2) points for any of the four (4) preferences (Climate Change, Environmental Justice, Promise Zones (PZ) or Historically Black Colleges and Universities (HBCU). Each preference is worth two (2) points and only one preference can apply to any situation. For

example, points may be awarded for Climate Change or Environmental Justice, or Promise Zones or HBCUs. Meaning applicants will be awarded up to four (4) preference points for Climate, Environmental, PZ or involving HBCUs.

### **HBCU.**

An applicant designated by the U.S. Department of Education as a Historically Black College or University (HBCU) will receive up to two (2) preference points when the application includes documentation of the applicant's status as an HBCU. [Click here to view the list of accredited HBCU's](#)

### **Promise Zones**

This program does not offer Promise Zone preference points.

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

### **1. Past Performance**

In evaluating applications for funding, HUD will consider an applicant's past performance in managing funds. Items HUD will consider include, but are not limited to:

The ability to account for funds in compliance with applicable reporting and recordkeeping requirements;

Timely use of funds received from HUD;

Timely submission and quality of reports submitted to HUD;

Meeting program requirements;

Meeting performance targets as established in the grant agreement;

The applicant's organizational capacity, including staffing structures and capabilities;

Timely completion of activities and receipt and expenditure of promised matching or leveraged funds;

The number of persons served or targeted for assistance;

Promoting self-sufficiency and economic independence

Producing positive outcomes and results.

HUD may reduce scores based on the past performance review, as specified under V.A. Review Criteria. Whenever possible, HUD will obtain past performance information. If this review results in an adverse finding related to integrity of performance, HUD reserves the right to take any of the remedies provided in Section III E., Statutory and Regulatory Requirements Affecting Eligibility, "[Pre-selection Review of Performance](#)".

### **2. Assessing Applicant Risk.**

In evaluating risks posed by applicants, HUD may use a risk-based approach and may consider any items such as the following:

- Financial stability;
- Quality of management systems and ability to meet the management standards prescribed in this part;

- History of performance. The applicant's record in managing Federal awards, if it is a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, failing to make significant progress in a timely manner, failing to meet planned activities in a timely manner, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
- Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audits; and
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

Two types of reviews will be conducted:

1. A threshold review to determine an applicant's eligibility; and
2. A technical review for all applications that pass the threshold review, to rate and rank the application based on the "Rating Factors" listed in Section V.A.

Only those applications that pass the threshold review will receive a technical review and be rated and ranked. Applicants will be selected based on highest score.

## **VI. Award Administration Information.**

### **A. Award Notices.**

Following the evaluation process, HUD will notify successful applicants of their selection for funding. HUD will also notify other applicants, whose applications were received by the deadline, but have not been chosen for award. Notifications will be sent by email to the person listed as the AOR in item 21 of the SF-424.

**Final Grant.** After HUD has made selections, HUD will finalize specific terms of the award and budget in consultation with the selected applicant. If HUD and the selected applicant do not finalize the terms and conditions of the award in a timely manner, or the selected applicant fails to provide requested information, an award will not be made to that applicant. In this case, HUD may select another eligible applicant.

HUD may impose specific conditions on an award as provided under [2 CFR 200.208](#):

- Based on HUD's review of the applicant's risk under [2 CFR 200.206](#);
- When the applicant or recipient has a history of failure to comply with the general or specific terms and conditions of a Federal award;
- When the applicant or recipient fails to meet expected performance goals contained in a federal award; or
- When the applicant or recipient is not otherwise responsible.

**Adjustments to Funding.** To ensure the fair distribution of funds and enable the purposes or requirements of a specific program to be met, HUD reserves the right to fund less than the amount requested in an application.

a. HUD will fund no portion of an application that:

- (1) Is not eligible for funding under applicable statutory or regulatory requirements;

- (2) Does not meet the requirements of this notice; or
- (3) Duplicates other funded programs or activities from prior year awards or other selected applicants.
- b. If funds are available after funding the highest-ranking application, HUD may fund all or part of another eligible fundable application. If an applicant turns down an award offer, or if HUD and an applicant do not finalize the terms and conditions of the award in a timely manner, HUD may withdraw the award offer and make an offer of funding to another eligible application.
- c. If funds remain after all selections have been made, remaining funds may be made available within the current FY for other competitions within the program area, or be held for future competitions, or be used as otherwise provided by authorizing statute or appropriation.
- d. If, after announcement of awards made under the current NOFO, additional funds become available either through the current appropriations, a supplemental appropriation, other appropriations or recapture of funds, HUD may use the additional funds to provide additional funding to an applicant awarded less than the requested amount of funds to make the full award, and/or to fund additional applicants that were eligible to receive an award but for which there were no funds available.

**Funding Errors.** If HUD commits an error that when corrected would cause selection of an applicant during the funding round of a Program NOFO, HUD may select that applicant for funding, subject to the availability of funds. If funding is not available to award in the current fiscal year, HUD may make an award to this applicant during the next fiscal year, if funding is available.

## **B. Administrative, National and Department Policy Requirements and Terms for HUD Recipients Financial Assistance Awards**

For this NOFO, the following [Administrative, National and Department Policy Requirements and Terms for HUD Financial Assistance Awards](#) apply.

1. Unless otherwise specified, these non-discrimination and equal opportunity authorities and other requirements apply to all NOFOs. Please read the following requirements carefully as the requirements are different among HUD's programs.
  - Improving Access to Services for Persons with Limited English Proficiency (LEP) See [https://www.hud.gov/program\\_offices/fair\\_housing\\_equal\\_opp/limited\\_english\\_proficiency](https://www.hud.gov/program_offices/fair_housing_equal_opp/limited_english_proficiency).
  - Accessible Technology. See <https://www.hud.gov/sites/dfiles/OCIO/documents/s508103017.pdf>
2. Ensuring the Participation of Small Disadvantaged Business, and Women-Owned Business.
3. Equal Participation of Faith-Based Organizations in HUD Programs and Activities.
4. Participation in HUD-Sponsored Program Evaluation.
5. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
6. Drug-Free Workplace.
7. Safeguarding Resident/Client Files.
8. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L.109-282) (Transparency Act), as amended.
9. Eminent Domain.
10. Accessibility for Persons with Disabilities. See



[https://www.hud.gov/program\\_offices/fair\\_housing\\_equal\\_opp/disability\\_overview](https://www.hud.gov/program_offices/fair_housing_equal_opp/disability_overview)  
11. Conducting Business in Accordance with Ethical Standards/Code of Conduct.

### **Environmental Review**

In accordance with 24 CFR 50.19(b)(1) activities funded under this NOFO are exempt or categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to environmental review under related laws and authorities.

### **Prohibition on Surveillance**

[2 CFR 200.216](#) Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment

### **Remedies for Noncompliance**

[2 CFR 200.340](#) *Termination* A Federal award may be terminated in whole or in part if the grantee fails to comply with the terms and conditions of the award or if HUD determines the award no longer effectuates the program goals or agency priorities.

### **Lead Based Paint Requirements.**

Not Applicable

## **C. Reporting.**

HUD requires recipients to submit performance and financial reports under OMB guidance and program instructions.

**1. Recipient Integrity and Performance Matters.** Applicants should be aware that if the total Federal share of your federal award includes more than \$ 500,000 over the period of performance, the award will be subject to post award reporting requirements reflected in Appendix XII to Part 200 Award Terms and Conditions for Recipient Integrity and Performance Matters.

**2. Race, Ethnicity and Other Data Reporting.** HUD requires recipients that provide HUD-funded program benefits to individuals or families to report data on the race, color, religion, sex, national origin, age, disability, and family characteristics of persons and households who are applicants for, participants in, or beneficiaries or potential beneficiaries of HUD programs in order to carry out the Department’s responsibilities under the Fair Housing Act, Executive Order 11063, Title VI of the Civil Rights Act of 1964, and Section 562 of the Housing and Community Development Act of 1987.

**3. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109-282) as amended (FFATA).** FFATA requires information on federal awards be made available to the public via a single, searchable website, which is [www.USASpending.gov](http://www.USASpending.gov). Accordingly, each award HUD makes under this NOFO will be subject to the requirements provided by the Award Term in Appendix A to [2 CFR Part 170](#), “REPORTINGSUBAWARD AND EXECUTIVE COMPENSATION INFORMATION,” unless the Federal funding for the award (including funding that may be added through amendments) is not expected to equal or exceed \$30,000. Requirements under this Award Term include filing subaward information in the Federal Funding Accountability and Transparency Act (FFATA) Sub-award Reporting

System (FSRS.gov) by the end of the month following the month in which the recipient awards any sub-grant equal to or greater than \$30,000.

#### **4. Program-Specific Reporting Requirements**

**Performance Reporting.** All HUD-funded programs, including this program, require recipients to submit, not less than annually, a report documenting achievement of outcomes under the purpose of the program and the work plan in the award agreement.

*Quarterly Progress Reports:* Quarterly Progress Reports will document activities completed in the most recent reporting period, planned activities for the upcoming reporting period, and budget expenditures by line item (including hours worked for specific staff). Progress reports must be submitted quarterly and should be aligned with the submission of drawdown requests.

*Final Report:* The Final Report must summarize the work conducted over the course of the project, present the study objectives, data sources, analysis methods, and results. The Final Report is the key deliverable of the study and must serve as a standalone document that meets the overall objective of this project. The Final Report should be edited and prepared for publication in accordance with HUD's Guidelines for Preparing a Report for Publication ([https://www.huduser.gov/portal/About/GTR\\_Guide1.pdf](https://www.huduser.gov/portal/About/GTR_Guide1.pdf)).

#### **D. Debriefing.**

For a period of at least 120 days, beginning 30 days after the public announcement of awards under this NOFO, HUD will provide a debriefing related to their application to requesting applicants. A request for debriefing must be made in writing or by email by the authorized organization representative whose signature appears on the SF-424 or by his or her successor in office and be submitted to the POC in Section VII Agency Contact(s), below. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which funding was approved or denied.

#### **VII. Agency Contact(s).**

HUD staff will be available to provide clarification on the content of this NOFO.

Questions regarding specific program requirements for this NOFO should be directed to the POC listed below.

Name:

Kinnard Wright

Phone:

202-402-7495

Email:

Kinnard.d.wright@hud.gov

Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Relay Service at 800-877-8339. Please note that HUD staff cannot assist applicants in preparing their applications.

#### **VIII. Other Information.**

##### **1. National Environmental Policy Act.**

This NOFO does not direct, provide for assistance or loan and mortgage insurance for, or otherwise govern or regulate, real property acquisition, disposition, leasing (other than tenant-based rental assistance), rehabilitation, demolition, or new construction, or establish revise or provide for standards for construction or construction materials, manufactured housing, or occupancy. Accordingly, under [24 CFR 50.19\(c\)\(1\)](#), this NOFO is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

## 2. Web Resources.

- [Affirmatively Furthering Fair Housing](#)
- [Code of Conduct list](#)
- [Assistance Listing \(formerly CFDA\)](#)
- [Dun & Bradstreet/Unique Entity Identifier](#)
- [Equal Participation of Faith-Based Organizations](#)
- [Federal Awardee Performance and Integrity Information System](#)
- [FFATA Subaward Reporting System](#)
- [Grants.gov](#)
- [HBCUs](#)
- [Healthy Homes Strategic Plan](#)
- [Healthy Housing Reference Manual](#)
- [HUD's Strategic Plan](#)
- [HUD Grants](#)
- [Limited English Proficiency](#)
- [NOFO Webcasts](#)
- [Procurement of Recovered Materials](#)
- [Promise Zones](#)
- [Section 3 Business Registry](#)
- [State Point of Contact List](#)
- [System for Award Management \(SAM\)](#)
- [Uniform Relocation Assistance and Real Property Acquisition Act of 1970 \(URA\)](#)
- [USA Spending](#)

## 3. Program Relevant Web Resources

Website of the MTW Expansion:

[https://www.hud.gov/program\\_offices/public\\_indian\\_housing/programs/ph/mtw/expansion](https://www.hud.gov/program_offices/public_indian_housing/programs/ph/mtw/expansion)

Website of the STRD Evaluation: <https://www.huduser.gov/portal/mtw/cohort2.html>

## APPENDIX