

**U.S. Department of Housing and Urban Development**  
**Policy Development and Research (PD&R)**  
**Office of University Partnerships**  
**Terms and Conditions for Grants and Cooperative Agreements**

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## GRANT/COOPERATIVE AGREEMENT

### **PROVISIONS - GENERAL**

The Grant/Cooperative Agreement (also referred to as an award document) consists of the form HUD-1044, including any special conditions, and these Grant/Cooperative Agreement Provisions. The Grantee must comply with the requirements and conditions established in the Grant/Cooperative Agreement.

#### **A. Overview of Award Implementation**

This instrument reflects the acceptance of the budget, key personnel and basic conditions of the Applicant's approved general proposal, or any subsequent revision, submitted in response to the applicable funding notice.

For the Department of Housing and Urban Development, Office of Policy Development and Research Grant Programs, the NOFA name and number are indicated on the HUD-1044 cover page.

As a condition of accepting the grant award, the Grantee and sub-recipients, as applicable, agree to the following:

The Grantee must complete and submit a revised management and work plan (MWP) that details deliverables, outcomes, and the project budget within thirty (30) calendar days of the effective date. These revisions shall update the general/basic plan submitted with the proposal and include any negotiated changes to the work plan and budget. Revisions should be developed according to the instructions provided by the assigned Government Technical Representative (GTR). If identified issues are not addressed satisfactorily, the Grantee's grant may be terminated based on failure to successfully conclude negotiations or to provide HUD with requested information, in accordance with the General Section of the NOFA (D. Other Guidance and Notifications., 2. Negotiation) for which the Grantee applied.

#### **B. Definitions**

**"Allocable Costs"** as defined in 2 CFR §200.405, are costs that are allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received. This standard is met if the cost: (1) is incurred specifically for the Federal award; (2) benefits both the Federal award and other work of the Grantee and can be distributed in proportions that may be approximated using reasonable methods; and (3) is necessary to the overall operation of the Grantee and is assignable in part to the Federal award in accordance with the principles in 2 CFR Part 200, subpart E – Cost Principles. All activities that benefit from the Grantee's indirect costs, including unallowable activities and services donated to the Grantee by third parties, will receive an appropriate allocation of indirect costs. Any cost allocable to a particular Federal award or cost objective may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons.

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**“Contract”** as defined in 2 CFR §200.22 means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award.

**“Contractor”** means an entity that receives a contract as defined in 2 CFR §200.22 Contract.

**“Direct Costs”** as defined in 2 CFR §200.413 are those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Typical direct costs chargeable to Federal awards are: Compensation of employees for the time devoted and identified specifically to the performance of those awards; Cost of materials acquired, consumed, or expended specifically for the purpose of those awards; Equipment and other approved capital expenditures; and travel expenses incurred specifically to carry out the award. Any direct cost of a minor amount may be treated as an indirect cost for reasons of practicality where such accounting treatment for that item of cost is consistently applied to all cost objectives. A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost. **Refer to the Notice of Funding Availability (NOFA) for specific information regarding what constitutes Direct Costs for your and any applicable programmatic requirements you must adhere to.**

**“Disallowable Costs”** means those charges to an award that HUD determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.

**“Effective Date”** is the date the grant is effective as stated in block 5 on the HUD-1044 form.

**“Government Technical Representative”** (GTR) means the HUD Official who is responsible for the technical administration of the grant, the evaluation of performance under the grant the acceptance of technical reports or projects, and other such specific responsibilities as may be stipulated in the grant.

**“Grant Award” “Cooperative Agreement” or “Federal Award”** means the award document consisting of the HUD-1044 form, including any special conditions; these award provisions refer to either a grant or a cooperative agreement instrument.

**“Grantee” or “Recipient”** as defined in 2 CFR §200.86, means non-Federal entity that expends Federal awards received directly from a Federal awarding agency to carry out an activity under a Federal program.

**“Grant Officer”** means the official authorized by HUD to execute and/or administer this grant. This term also refers to a Cooperative Agreement Officer when the instrument is a cooperative agreement.

**“HUD”** means the U.S. Department of Housing and Urban Development.

**“Indirect (Facilities & Administrative (F&A)) Costs”** as defined in 2 CFR §200.56 means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be

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necessary to establish a number of pools of indirect (F&A) costs. Indirect (F&A) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.

The term applies to costs of this type originating in the Grantee's organizational unit, as well as those incurred by other organizational units or other entities in supplying goods, services, and facilities. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect costs within a Grantee's organizational unit or in other agencies providing services to a Grantee's organizational unit. Indirect cost pools should be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.

**"Modified Total Direct Cost (MTDC)"** as defined in 2 CFR §200.68 means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

**"Must"** or **"Shall"** means a requirement of the Terms and Conditions in association with the HUD-1044 form for the grant or cooperative agreement.

**"NOFA"** means the Notice of Funding Availability that announced the availability of funding for this award.

**"PD&R"** means the HUD Office of Policy Development and Research.

**"Pass-Through Entity"** as defined in 2 CFR §200.74, means a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program.

**"Publication"** includes: (a) any document containing information for public consumption; or (b) the act of, or any act which may result in, disclosing information to the public.

**"Quality Control Lapse"** means any failure by the Grantee to produce accurate, reliable, timely, and clear results because of a deficiency in oversight, coordination, or communication within the Research Team.

**"Research"** as defined in 2 CFR §200.87, means a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. "Development" is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

**"Research and Evaluation"** is defined, by the NOFA, as structured efforts to establish or confirm facts, develop or support scientific theories, or otherwise build useful knowledge to establish or confirm facts, develop or support scientific theories, or otherwise build useful knowledge for developing, implementing, and improving the efficiency and effectiveness of programs administered by HUD and state and local partners. Research and evaluation projects examine current HUD programs and their operating environments to determine their effectiveness and to provide critical information for improving them. Program evaluation is critical to ensuring that HUD programs have desired impacts and deploy scarce

resources cost-effectively. The research and evaluation completed under HUDRD will continue to strengthen HUD's capabilities for evaluating and improving program effectiveness and efficiency. "Research and Evaluations" also encompasses evaluations of current programs to provide policy guidance and/or improve public accountability.

**"Research Team"** means all persons, named or unnamed, who have received or will receive compensation in whole, or in part, under the Direct Costs in the budget.

**"Should"** means the best practices or recommended approach of the Terms and Conditions in association with the HUD-1044 form for the grant or cooperative agreement.

**"Subrecipient"** or **"Subgrantee"** as defined in 2 CFR §200.23 means an entity that receives a contract. A "contract" is defined in 2 CFR §200.22 as a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in 2 CFR Part 200 and in these Terms & Conditions does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward (see §200.92 Subaward).

### **C. Changes to Reporting - Transparency Act Reporting**

1. Recipient Reporting to Meet the Requirements of the Federal Financial Assistance Accountability and Transparency Act of 2006 (FFATA), as amended.
  - a. **Recipient Reporting.** Recipients and other prime awardees of HUD financial assistance are required to report sub-awards in the Federal Subaward Reporting System (FSRS) website: <https://www.fsrs.gov> or its successor system. Prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the award and subawards, where both the initial award is \$25,000 or greater or the cumulative award will be \$25,000 or greater if funding incrementally as directed by HUD in accordance with OMB guidance. The reporting of award and subaward information is in accordance with the requirements of the FFATA, as amended by section 6202 of Public Law 110-252, 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 is obligated to fulfill the reporting requirement. The FFATA requires the creation of a public government wide website in which the following subaward data will be displayed:
    - Name of entity receiving award;
    - Amount of award;
    - Funding agency;
    - North American Industry Classification System (NAICS) code for contracts, or Catalog of Federal Domestic Assistance (CFDA) program for financial assistance awards;
    - Program source;
    - Award title descriptive of the purpose of the funding action;
    - Location of the entity (including Congressional district);

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- Place of Performance (including Congressional district);
- Unique Entity Identifier(s) of the entity and its parent; and
- 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 ENTITY identifier is the identifier used by 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.

The Grantee shall submit the Federal Financial Report (FFR) (Standard Form 425) for each project or program annually. A final FFR shall be required at the completion of the award agreement and shall use the end date of the project or grant period as the reporting end date.

HUD requires recipients to submit the FFR no later than ninety (90) calendar days after the end of each specified reporting period for annual reports. Final reports shall be submitted no later than ninety (90) calendar days after the project or grant period end date. Extensions of reporting due dates may be approved by HUD upon request of the recipient.

- b. Prime Awardee Executive Compensation Reporting. Recipients and other 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:
- More than 80% of the annual gross revenues are from the Federal Government, and those revenues are greater than \$25 million annually; and
  - Compensation information is not readily available through reporting to the Securities and Exchange Commission (SEC).
- c. Sub-award Executive Compensation Reporting. Recipients and other Prime Awardees must also report in the government wide website the total compensation and names of the organization if:
- More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and
  - Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)
- d. The FFATA Reporting Exemptions. The FFATA exempts any sub-awards less than \$25,000 made to individuals and any sub-wards less than \$25,000 made to an entity whose annual expenditures are less than \$300,000. Subawards with a cumulative total of \$25,000 or greater are subject to subaward reporting beginning the date the subaward total award amount reaches \$25,000. Any other exemptions to the requirements must be approved by the Office of Management and Budget. **If you have any problems or issues**

**regarding FFATA, please notify the Grants Management and Oversight Division of HUD by calling 202-708-0667. The phone number 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.**

- e. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417), (Section 872). Section 872 requires the establishment of a government-wide data system, the Federal Awardee Performance and Integrity Information System (FAPIIS), which contains 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.
2. Further, each recipient of federal funds with a cumulative value greater than \$10 million and their direct (i.e., first-tier) subrecipients must report to FAPIIS, with the data collection requirements including information about certain civil judgments, criminal convictions, and outcomes of administrative proceedings that reached final disposition within the most recent 5-year period and were connected with the award or performance of a federal or state award. Recipients and first-tier subrecipients must report information at least semiannually to maintain the currency of the information. Section 872 also requires that an entity be allowed to submit comments to the data system about any information that system contains about the entity. Use of the FAPIIS system requires a DUNS number and current valid registration in the System for Award Management (SAM). SAM is the Official U.S. Government system that consolidated the capabilities of CCR/FedReg, ORCA, and EPLS. Entities may register at no cost directly from: <https://www.sam.gov/portal/SAM/#1> /.
3. For more information, grantees may use the following websites below:
  - FFATA Information System  
<https://www.fsrs.gov/>
  - FFATA Sub-award Reporting System  
<https://www.fsrs.gov/>
  - Federal Subaward Reporting System (Contractor User Guide 1.0)  
[https://www.fsrs.gov/documents/fsrs\\_contractor\\_user\\_guide\\_1.0.pdf/](https://www.fsrs.gov/documents/fsrs_contractor_user_guide_1.0.pdf/)
  - Grants.gov (Training Webinars)  
<http://www.grants.gov/web/grants/learn-grants/grant-reporting.html/>

#### **D. English Language**



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The English language will be used in the Terms and Conditions as defined in 2 CFR §200.111 as stated below:

- All Federal financial assistance announcements and Federal award information must be in the English language. Applications must be submitted in the English language and must be in the terms of U.S. dollars. If the Federal awarding agency receives applications in another currency, the Federal awarding agency will evaluate the application by converting the foreign currency to United States currency using the date specified for receipt of the application.
- Non-Federal entities may translate the Federal award and other documents into another language. In the event of inconsistency between any terms and conditions of the Federal award and any translation into another language, the English language meaning will control. Where a significant portion of the non-Federal entity's employees who are working on the Federal award are not fluent in English, the non-Federal entity must provide the Federal award in English and the language(s) with which employees are more familiar.

**E. Conflict of Interest**

“**Conflict of Interest (COI)**” as defined by 2 CFR §200.112, means the non-Federal entity must disclose in writing any potential conflict of interest to the Federal awarding agency or pass-through entity in accordance with applicable Federal awarding agency policy. HUD is in the process of establishing the conflict of interest policy for the Awardees to follow. ***The Grantees will be notified in writing of the COI Policy within 60 calendar days of implementation by HUD.***

**F. Certification Regarding Lobbying**

In accordance with Section 1352, title 31, U.S. Code, applicants, except federally recognized Indian Tribes, must submit a signed Certification Regarding Lobbying. This requirement is different and separate from the requirement to report lobbying activities using the SF-LLL form.

**PROGRAM REQUIREMENTS (Articles)**

**1. Administrative Costs**

**The Research and Evaluation, Demonstration, and Data Analysis and Utilization NOFA grants:**

Administrative costs must be clearly identified in the budget. Administrative costs shall be segregated in a separate cost center within the awardee's accounting system. Administrative costs are limited depending on the total award amount. Administrative costs associated with the management of the award are capped at 15 percent for the first \$1 million of an award and 10 percent for award amounts greater than \$1 million. Administrative costs mean reasonable direct and associated indirect costs of overall research award management and evaluation, including:

- a. Salaries, wages, benefits and related costs for developing and negotiating the budget, developing systems and schedules for ensuring compliance with the award, preparing management/progress reports required under the award, attending HUD-required meetings or training, submitting billing information, and management or supervision of persons carrying out the research activities;
- b. Travel costs related to administration of the award;

c. Administrative services performed under third-party contracts or agreements, such as general legal services, accounting services, and audit services;

d. 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:

(1) 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;

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

(3) 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.

## **2. Administrative Requirements**

For all grantees, awards will be governed by 2 CFR Part 200 and these grant/cooperative agreement provisions. See also **Article 32, “Notification of OMB Uniform Guidance Change: Cost Principles, Audit, and Administrative Requirements for Federal Awards,”**

## **3. Advance Payment by Treasury Check or Electronic Funds Transfer**

Advance payments by Treasury check or electronic funds transfer are authorized under this grant. HUD may provide to the Grantee a one-time cash advance that shall not exceed 10 percent of the grant amount and shall be limited to the minimum amount needed for the actual, immediate cash requirements of the Grantee in carrying out the startup activities of this agreement and as agreed to by the Grant Officer. Per 2 CFR §200.305, to the extent available, the non-Federal entity must disburse funds available from program income (including repayments to a revolving fund), rebates, refunds, contract settlements, audit recoveries, and interest earned on such funds before requesting additional cash payments. The non-Federal entity must maintain advance payments of Federal awards in interest-bearing accounts, unless the following apply: (i) The non-Federal entity receives less than \$120,000 in Federal awards per year; (ii) The best reasonably available interest-bearing account would not be expected to earn interest in excess of \$500 per year on Federal cash balances; (iii) The depository would require an average or minimum balance so high that it would not be feasible within the expected Federal and non-Federal cash resources; or (iv) A foreign government or banking system prohibits or precludes interest bearing accounts.

Should the Grantee demonstrate an unwillingness or inability to establish procedures that will minimize the time elapsing between advances and disbursements or fail to provide any required progress report in a timely manner, the authorization for advance payments may be revoked. The Grantee may then be required to finance the project with its own working capital, and payment to the Grantee may be made by Treasury check or electronic funds transfer, at HUD’s discretion, to reimburse the Grantee for actual cash disbursements.

## **4. Allowable Costs**

This is a cost reimbursement award. Except as described in **Article 3, “Advance Payment by Treasury Check or Electronic Funds Transfer,”** the Grantee shall be reimbursed for costs incurred in the performance of work in an amount not to exceed the total obligated amount shown in block 14 on the HUD-1044 form, Assistance Award/Amendment. In the event the Grantee incurs costs in excess of the

prescribed amount, the excess shall be borne entirely by the Grantee. HUD shall reimburse the Grantee for costs incurred in the performance of this award which are determined by the GTR/Grant Officer to be allowable, allocable, and reasonable in accordance with applicable Federal cost principles as permitted by 2 CFR Part 200.

## **5. Amendments**

The Grant Officer may issue administrative changes unilaterally. Administrative changes include such matters as changes in appropriation data, format requirements of Grantee progress or financial reports, and requirements with respect to photocopying, mailing, scanning or otherwise submitting progress reports. Additionally, this Grant may be modified unilaterally by the Grant Officer at any time by amendment pursuant to written request from the Grantee (i.e., budget revisions, no-cost extensions, and minor modifications to the scope of work, etc.).

## **6. Amount of Cost Share**

The estimated cost for the performance of this grant is the “Total HUD Amount” in block 14 on the HUD-1044 form, Assistance Award/Amendment. The Grantee shall be reimbursed by HUD for 100% of allowable costs incurred in the performance of this grant. HUD shall not reimburse the Grantee in excess of the “Total HUD Amount” on the HUD-1044. HUD reserves the right to withhold ten-percent (10%) of the Federal award amount pending the receipt and approval of a Final Report (with supporting documentation) prepared in accordance with the GTRs instructions.

The proposed match contribution to supplement HUD funds is the “Recipient Amount” specified on the HUD-1044. The Grantee agrees to bear without reimbursement by HUD the “Recipient Amount” of the total costs. The Grantee is not obligated to contribute more than the “Recipient Amount.” However, the Grantee shall be solely responsible for any costs in excess of the estimated cost of the “Total HUD Amount.” The Grantee shall submit to the GTR, as an attachment to the SF-425 (Federal Financial Report), verification of eligible match sources and verifiable documentation for eligible match activities to substantiate the match (recipient match) reflected on the SF-425 as part of the quarterly report.

For verification of the eligible match source(s) and verification of match for eligible program activities, the Grantee shall submit a letter on letterhead signed by the Authorized Official. The letter shall include the following:

- Name of match source
- Amount of match
- Type of match (cash or in-kind)
- Description and purpose of eligible program activities performed as a result of receipt of the match
- Documentation to substantiate the match from the matching organization/entity

The match from the matching organization may include:

- Cash Contributions, verified by:
  - General ledger entries;
  - Expenditure reports;
  - Invoices;

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- Signed contracts/agreement;
- Timesheets;
- Activity Report, etc.
- In-Kind (Including third part contributions), verified by:
  - Identification of donated equipment, supplies, volunteer's services, etc.;
  - Fair Market Determination;
  - Invoices;
  - Timesheets and/or Activity Reports;

The Grantee must satisfy all statutory matching requirements in the NOFA. If the Grantee's actual matching contribution is less than "Recipient Amount" on the HUD-1044 form, the Government reserves the right to negotiate new line items and/or amounts to satisfy the Grantee's match, or to reduce the Government's share proportionally, or to require the Grantee to reimburse the Government from non-federal funds the amount of eligible match not met. The Grantee shall notify the Government at any time it believes it will not meet its match by the completion of the grant. If the Grantee has a request to reduce match, the Grantee shall provide a revised SF-425, a revised form HUD 424 CBW, and a revised budget narrative. In addition, a justification is required. All forms must include the grant number.

## **7. Budget**

The Grantee shall incur costs in conformance with the original or negotiated budget, presented with the proposal for this grant. The Grantee shall not commingle any funds computed under this grant with any other existing or future operating accounts held by the Grantee.

The Grantee shall submit to the GTR on a quarterly basis a SF-425 form that details match or in-kind contributions. **See Article 39, "Project Management System" for more instructions.** PD&R must receive a signed original document. A Final Narrative Report (along with a final SF- 425 form) is due no later than 90 calendar days after the end of the period of performance. **See Article 6, "Amount of Cost Share,"** regarding the holdback of 10% of the Federal amount pending the receipt and approval of the Final Narrative Report. The Final Narrative Report should detail the progress made in achieving the purpose of the grant and adequate documentation of the total funds expended in support of the activities to achieve this purpose (Federal, leverage and in-kind statutory percent match amounts). Failure to submit a Final Narrative Report within 90-days from the end of the grant period of performance may result in the grant being administratively closed and all outstanding funds recaptured by HUD or the Treasury.

## **8. Certifications and Assurances**

The certifications and assurances submitted in the Grantee's application are incorporated into this award document. They include, but are not limited to:

- a. Standard Form 424 (SF-424), Application for Federal Assistance
- b. Certification and Disclosure Form Regarding Lobbying (SF-LLL)
- c. Applicant/Recipient Disclosure Update Report (HUD-2880)
- d. Certification Regarding Parties Excluded from Procurements (HUD Form 5071)

## **9. Changes to Award Agreement**

In accordance with 2 CFR Part 200 as applicable grantees/recipients and subgrantees must obtain the prior approval of the awarding agency whenever any programmatic changes are anticipated to include the following:

- a. Any revision of the scope or objectives of the project (e.g., major methodology changes, or changes in deliverables, etc.)
- b. Regardless of whether there is an associated budget revision requiring prior approval; Need to extend the period of performance/availability of funds;
- c. Budget revisions that are 10% or more of the cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions, or activities which exceed or are expected to exceed ten percent of the current total approved budget.
- d. Changes in key personnel as specified in an application or a grant award. In research projects, a change in the project director or principal investigator always requires approval;
- e. Contracting out, sub-granting (if authorized by law) or otherwise obtaining the third party (e.g. vendors) to perform activities that are central to the purposes of the award.

## **10. Closeout**

The Grantee shall provide the closeout documentation to the GTR within ninety (90) calendar days after the end of the performance period, consisting of the following elements:

- a. Final Narrative Report. Final breakdown and justification of budget categories including direct costs, administrative costs, match/cost share and indirect cost rate, if applicable;
- b. PD&R's Final Federal Financial Report Form (SF-425); provided by the GTR, and;
- c. Final invoice for incurred expenses.

HUD will notify the Grantee in writing when the Grant/Cooperative Agreement is closed. The Grantee has three areas of continuing responsibility after closeout of award:

- a. Records and materials must be kept in a safe place and be accessible to HUD, auditors and other government officials for a period of at least 3 years from the end of the award's period of performance. This requirement also extends to all sub-grants/sub-wards and subcontracts the Grantee has executed.
- b. Accountability for property continues as long as the Grantee holds the property, or for the period of time established by the award document. Disposal of property must be in accordance with 2 CFR §200.310-§200.316. See **Article 38, "Program Income,"** "regarding use of those funds.
- c. Notification to the GTR and Grant Officer if at any time during the three-year period after the period of performance, the Grantee organization is discontinued or changes location. The GTR and Grant Officer shall be notified immediately of the new address or the address of the party retaining all records.

## **11. Conduct of Work (if applicable)**

During the effective period of this grant, the Government Technical Representative shall be responsible for monitoring the technical effort of the Grantee. The Grantee **must** allow and fully cooperate with both remote monitoring requests and on-site monitoring visits. Failure to comply with a request associated with remote monitoring within a reasonable timeframe (As set by the GTR or Grant Officer) may result in “High Risk” designation, suspension, or termination of grant. **See Article 48,” Suspension and Termination (For Cause).”**

The Grantee or Subgrantee shall not engage in any unethical activities during the grant/cooperative agreement performance period. If HUD makes a determination that the Grantee or Subgrantee has engaged in unethical activities, the Grantee or Subgrantee will be subject to “High Risk” designation or suspension until such time as the activities have ceased and assurance acceptable to HUD is given that no further activities will occur; in addition, HUD may take enforcement action under 2 CFR §200.338.

**Mandatory Disclosure Requirements:** Mandatory disclosures must be in accordance with CFR §200.113. The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in §200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

## **12. Collection of Data**

Collection of data from ten or more respondents and sponsored by HUD shall be subject to the Paperwork Reduction Act (44 U.S.C. 3501-3520). If a survey instrument for a collection of data sponsored by HUD is proposed, it will be subject to review and approval by the Office of Management and Budget (OMB). Such review and approval must be obtained prior to the use of the survey instrument. Also, the approval time may considerably lengthen the time required for completion of the proposed project. The Grantee shall give careful consideration to requiring the use of a survey or other information collection sponsored by HUD. The collection of data is deemed to be sponsored by HUD only under the following conditions (5 CFR 1320.3):

- a. The Grantee is conducting the collection of information at the specific request of HUD;  
or
- b. The terms and conditions of the grant require specific approval by HUD of the collection of information or collection procedures. (Note that if the Grantee decides on its own to collect information and it does not need HUD approval to do so, then HUD is not the “sponsor” of the information collection).

The Grantee shall cooperate fully with any research or evaluation sponsored by HUD or another government agency associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This

also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in the original proposal. Participant data shall be subject to the Privacy Rule of the Health Insurance Portability and Accountability Act of 1996 (HIPAA). HIPAA and the Privacy Rule can be found at <http://www.hhs.gov/ocr/privacy/>.

### **13. Contact Information Updates**

The Grantee must inform the GTR/ GO of any changes in contact information, including the organization's name, address, telephone, e-mail, and key personnel or authorized official change within thirty (30) calendar days of its occurrence.

The transferring of a grant or cooperative agreement to another entity/organization within the structure of the City, County, State, Native American Tribal (Federally recognized Indian Tribal Governments), College/University, Profit or Nonprofit Institutions requires notifying the GTR for involvement in the transferring process. In addition, the Grantee must receive a written approval (HUD-1044) prior to the transfer from the Grant Officer. Failure to receive a written approval may result in sanctions, suspension, or termination of the grant or cooperative agreement. **See Articles 44 and 48 "Sanctions," "Suspension and Termination (For Cause)."**

### **14. Copyrights**

HUD reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for Federal government purposes: (a) the copyright in any work developed under this award, sub-award, or contract awarded under this cooperative agreement/grant; and (b) any rights of copyright to which a Grantee or sub-Grantee or a contractor purchases ownership with award funds.

Section 508 of the Rehabilitation Act of 1973 requires all Federal electronic and information technology to be accessible by people with disabilities. All Products of Work that will be posted on HUD's website must meet HUD's Web Publication Standards and Procedures at <http://www.hud.gov/library/bookshelf11/>.

### **15. Direct Costs**

a) General. "Direct costs" as defined in 2 CFR 200.413 and in these terms and conditions are those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or indirect (F&A) costs. See also §200.405 Allocable costs.

(b) Application to Federal awards. Identification with the Federal award rather than the nature of the goods and services involved is the determining factor in distinguishing direct from indirect (F&A) costs of Federal awards. Typical costs charged directly to a Federal award are the compensation of employees who work on that award, their related fringe benefit costs, the costs of materials and other items of expense incurred for the Federal award. If directly related to a specific award, certain costs that otherwise would be treated as indirect costs may also include extraordinary utility consumption, the cost of materials supplied from stock or services rendered by specialized facilities or other institutional service operations.

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(c) The salaries of administrative and clerical staff should normally be treated as indirect (F&A) costs. Direct charging of these costs may be appropriate only if all of the following conditions are met:

- (1) Administrative or clerical services are integral to a project or activity;
  - (2) Individuals involved can be specifically identified with the project or activity;
  - (3) Such costs are explicitly included in the budget or have the prior written approval of the Federal awarding agency; and
  - (4) The costs are not also recovered as indirect costs.
- (d) Minor items. Any direct cost of minor amount may be treated as an indirect (F&A) cost for reasons of practicality where such accounting treatment for that item of cost is consistently applied to all Federal and non-Federal cost objectives.

(e) The costs of certain activities are not allowable as charges to Federal awards. However, even though these costs are unallowable for purposes of computing charges to Federal awards, they nonetheless must be treated as direct costs for purposes of determining indirect (F&A) cost rates and be allocated their equitable share of the non-Federal entity's indirect costs if they represent activities which:

- (1) Include the salaries of personnel,
- (2) Occupy space, and
- (3) Benefit from the non-Federal entity's indirect (F&A) costs.

## **16. Disputes**

During the performance of the grant/cooperative agreement, disputes may arise between the Grantee and the GTR, or between Grantee and the Grant Officer. If a dispute with the GTR arises, the Grantee may solicit the assistance of the Grant Officer in resolving the dispute, and/or may appeal the determination by the GTR to the Grant Officer.

If a dispute with the Grant Officer arises, or if the Grantee has appealed a determination by the GTR to the Grant Officer, the Grant Officer shall prepare a final decision, taking into account all facts and documentation presented. The decision shall be mailed to the Grantee. The Grantee may appeal the decision within thirty (30) calendar days to the Deputy Assistant Secretary, Office of Policy Development and Research, or his or her designated representative.

## **17. Estimated Cost and Payment – Line of Credit Control System (LOCCS)**

The Grantee shall be reimbursed for allowable costs incurred in the performance of work under this grant in an amount not-to-exceed “Total HUD Amount” in Block 14 of the HUD-1044 form.



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Incurring costs shall be reimbursed through eLOCCS under the HUD's Line of Credit Control System. eLOCCS is accessed through the HUD internet portal called Secure Systems and sometimes referred to as the online systems. In order to use eLOCCS, the Grantee must:

- Register in Secure Systems to access the eLOCCS “application”, and
- Submit a HUD-27054 LOCCS Access Authorization form, which will specify the Business Partner(s) and HUD Programs you are authorized to access within eLOCCS.

Before receiving funds from HUD, the Grantee must designate a financial institution for HUD to make direct deposit payments through the ACH system. In the event that the Grantee, during the performance of this grant, elects to designate a different financial institution for the receipt of any payments, notification of such change and the related information must be received by the Grant Officer at least thirty (30) calendar days prior to the date such change is to become effective.

The Grantee shall submit to the GTR the original documents (voucher) related to reimbursements requested for work performed. The voucher shall be supported by a detailed breakdown of the cost(s) claimed and documentation of cost. Grantees are to use the Financial Report form that will be provided by the GTR.

All Grantees must submit a notarized form HUD-27054 for new Grants. To assure proper payment, it is important that the voucher is in accordance with the payment amount requested through the eLOCCS System. Payment requires the authorized Grantee to use the eLOCCS System and provide the Security ID number and requested information. The grantee is required to maintain expense related documentation for a period of no less than 3 years from the end of the grant period of performance. Detailed instructions for establishing and using the eLOCCS System are covered below in the following links:

- eLOCCS Access Guidelines for Grantees  
[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/cfo/locs\\_guidelines](http://portal.hud.gov/hudportal/HUD?src=/program_offices/cfo/locs_guidelines)
- eLOCCS Getting Started Guide  
<http://portal.hud.gov/hudportal/documents/huddoc?id=eloccsguide.pdf>
- eLOCCS Registration Guide  
[http://portal.hud.gov/hudportal/documents/huddoc?id=eloccs\\_registration\\_guide.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=eloccs_registration_guide.pdf)

Funds advanced to the Grantee shall be maintained in an interest bearing account. Any interest earned by the Grantee as a result of the advanced funds shall be promptly returned to HUD by check. All remittances shall be accomplished as follows:

The check should be made out to:

U.S. Department of Housing and Urban Development with the grant number on the check stub.

Express Mail to:

Department of Housing and Urban Development  
451 7th Street SW  
Room 8230  
Washington, DC 20410-3000  
Attn: Patrick J. Tewey

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The Grantee may retain up to \$500.00 of interest earned per Grantee's fiscal year for administrative expenses (2 CFR §200.305(b)(9)).

State universities and hospitals shall comply with the Cash Management Improvement Act (CMIA, <http://www.fms.treas.gov/cmia/> as it pertains to interest).

#### **18. Equipment**

Equipment in excess of \$5,000 is allowable, in accordance with the NOFA for the applicable grant program, to be acquired for the performance of this grant/cooperative agreement:

Equipment purchased with Federal funds for use in the PD&R Grant programs will remain the property of the Grantee under the conditions cited in 2 CFR §200.313, as applicable.

#### **19. Flow Down Provisions**

If the Grantee sub-awards funds under this agreement with an entity to perform work under this award, the Grantee shall include in the sub-award agreement these Terms and Conditions and any other provisions as may be necessary to ensure that the sub-grantees or sub-recipients comply with the requirement of the cooperative agreement/grant.

#### **20. Grant Deliverables**

The Grantee shall complete and submit a detailed management and work plan (MWP), benchmarks, budget and the Grantee's policy and procedures within thirty (30) calendar days after the effective date of the grant. These are subject to review and approval by HUD for incorporation as part of the grant/cooperative agreement. These revisions shall update the general plan submitted in the Grantee's proposal and include any negotiated changes of the work plan or budget if applicable. The plan shall be developed according to the instructions and benchmark standards that will be provided by the Government Technical Representative (GTR) for the grant program as applicable.

The MWP details the goals and time-phased objectives and deliverables for each of the major tasks to be undertaken by the program. Benchmark milestones have been developed to assist the Grantee plan and implement its program in a timely and cost-effective manner. See, Article 39, "Project Management System." A revised budget, in accordance with the final negotiation, shall be submitted (if necessary).

The final deliverable of the grant shall be a report (or reports) of publication quality that thoroughly describes the research conducted, the methodology, and the findings. This Final Report (or Reports) must satisfy the research objectives established by the NOFA, the Grantee's proposal, and all intermediate deliverables.

The Final Report must be submitted to HUD within ninety (90) calendar days after the end of the grant period of performance, or on another date established in the Management and Work Plan and approved by HUD. HUD will provide comments to the Grantee within thirty (30) calendar days of receipt. The Grantee shall make the required revisions and submit the revised Final Report to the GTR within thirty (30) calendar days of receipt of the comments from HUD.

Final acceptance shall be accomplished by submitting two (2) hard copies and an electronic copy of the paper documenting the research finding in its final version, as well as a final report that summarizes the entire work and achievements conducted under this Grant.

**21. Grant Lead Certification Program Requirement (if applicable)**

The Grantee and Subgrantee agrees that any funds under this grant used for lead-based paint hazard evaluation or control activities shall be conducted by firms and persons qualified for the activities according to 24 CFR Part 35, subpart R (possessing, as applicable, certification valid for the State or Tribal area in which the activity is conducted as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or, for interim lead hazard control work, training in a HUD-approved course in lead-safe work practices, such as the EPA (or EPA-authorized State or Tribal) repair, renovation and painting certified renovator course), and that laboratories used for analysis of samples for lead in paint, soil or dust shall be recognized by the U.S. Environmental Protection Agency for the analysis of those samples under EPA's National Lead Laboratory Accreditation Program.

**22. HUD's Right to Audit and Disallow Cost and Recover Funds**

The Government reserves the right to recover and recapture any funds that were not expended in accordance with the requirements; considered an ineligible program cost; or conditions of this agreement based upon HUD review, the final audit, monitoring site visit or any other special audits or reviews undertaken. HUD has the right to order a special audit, even if the Grantee's auditor or a cognizant agency has already conducted one.

Access to Records of Grantees and Subgrantees - HUD and the Comptroller General of the United States, or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of Grantees and Subgrantees that are pertinent to the grant, to conduct audits, monitoring visits, examinations, excerpts, and transcript.

Later Disallowances and Adjustments - the closeout of a grant does not affect:

- HUD's right to disallow costs and recover funds based on a later audit or other review (2 CFR §200.344);
- The Grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions including final indirect cost rate adjustment (2 CFR §200.344);
- Audit requirements in 2 CFR Part 200, Subpart D – Post Federal Award Requirements of this part, §200.333-§200.337;
- Property management and disposition requirements in 2 CFR §200.310 – §200.316; and
- Audit requirements in CFR Part 200, Subpart F – Audit Requirements.

**23. HUD's Substantial Involvement**

If this is a Cooperative Agreement, HUD intends to have substantial involvement in the review, development, and approval of all aspects of the work to be carried out under this cooperative agreement.

The substantial involvement will be focused through the GTR. Anticipated substantial involvement by HUD staff may include, but will not be limited to:

- a. Review and possibly suggest amendments to the study design, including:
  - a. Study Objectives
  - b. Field Sampling Plan
  - c. Sample Handling and Preparation
  - d. Sample and Data Analysis
  - e. Quality Assurance
- b. Review and provide scientific and technical recommendations in response to quarterly progress reports (e.g., amendments to study design based on preliminary results).
- c. Review and provide scientific and technical recommendations on interim and the final study report, including final interpretation of study results.

#### **24. Incurrence of Costs**

The Grantee is allowed to incur costs for activities beginning on the effective date of the award. Any costs incurred before the effective date are not allowable unless specifically authorized in writing by the Grant Officer with concurrence of the GTR.

#### **25. Indirect (F&A) Cost Rate**

If the Grantee has received a current federally negotiated indirect cost rate from its cognizant agency, reimbursement will be made on the basis of the current federally negotiated indirect cost rate.

Any Grantee that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of Modified Total Direct Costs (MTDC)\* which may be used indefinitely. As described in 2 CFR §200.403 Factors affecting allowability of costs, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time. [\*See definition on page 5]

In Category 10, the Indirect Costs, on the HUD-424-CBW, the Grantee shall enter the federally negotiated indirect cost rate or the de minimis rate of 10%. Then the Grantee must apply the appropriate indirect cost rate and base (MTDC) to calculate the total estimated indirect cost for the grant or cooperative agreement. Therefore, in Category 10: Rate x Base (MTDC) = Estimated Cost.

#### **26. Inspection and Acceptance**

Inspection, review, correction, and acceptance of all deliverables under this award shall be the responsibility of the GTR.

#### **27. Key Personnel**

Personnel specified as key personnel in the original grant application, Factor 1, Capacity of the Applicant and Relevant Organizational Experience, are considered to be essential to the work being performed hereunder. Prior to diverting any of the specified individuals to other work, to include reductions in the allocation of time spent on the grant by any of the key personnel, the Grantee shall notify the Grant Officer and GTR reasonably in advance, in writing, and shall submit justification (including proposed substitutions with the qualifications and experience of the substitute personnel) in sufficient detail to permit evaluation of the impact on the work effort and quality. At a minimum, HUD requires a current resume detailing the individual's experience as it relates to the position being sought. All changes to key personnel (except upon the death of such personnel) must be approved by the GTR in advance and may be denied in writing. No diversion shall be made by the Grantee without the prior written consent of the Grant Officer.

## **28. Liability Insurance**

Securing liability insurance for housing-related hazard evaluation and control activities is an eligible cost. If the scope of the insurance is restricted to work under this grant; the cost is a direct cost. If the scope of the insurance is not restricted to work under this grant, the insurance cost is an indirect cost, depending on the relationship of the insurance applicable for the grant to the applicant's overall insurance policy portfolio. See the detailed explanations of indirect costs provided in 2 CFR Part 200, Subpart E – Cost Principles. Actions taken are subject to **Article 48, "Suspension and Termination (For Cause)."**

## **29. Limitation on Consultant Payments**

The allowability of payment to professional and consultant services is defined in 2 CFR Part 200, Subpart E, Section 200.459 - Professional service costs:

- (a) Costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and who are not officers or employees of the non-Federal entity, are allowable, subject to paragraphs (b) and (c) when reasonable in relation to the services rendered and when not contingent upon recovery of the costs from the Federal Government. In addition, legal and related services are limited under §200.435 Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringements.
- (b) In determining the allowability of costs in a particular case, no single factor or any special combination of factors is necessarily determinative. However, the following factors are relevant:
  - (1) The nature and scope of the service rendered in relation to the service required.
  - (2) The necessity of contracting for the service, considering the non-Federal entity's capability in the particular area.
  - (3) The past pattern of such costs, particularly in the years prior to Federal awards.
  - (4) The impact of Federal awards on the non-Federal entity's business (i.e., what new problems have arisen).
  - (5) Whether the proportion of Federal work to the non-Federal entity's total business is such as to influence the non-Federal entity in favor of incurring the cost, particularly where the services rendered are not of a continuing nature and have little relationship to work under Federal awards.
  - (6) Whether the service can be performed more economically by direct employment rather than contracting.
  - (7) The qualifications of the individual or concern rendering the service and the customary fees charged, especially on non-federally funded activities.

- (8) Adequacy of the contractual agreement for the service (e.g., description of the service, estimate of time required, rate of compensation, and termination provisions).
- (c) In addition to the factors in paragraph (b) of this section, to be allowable, retainer fees must be supported by evidence of bona fide services available or rendered.

### **30. Limitation on Payments to Influence Certain Federal Transactions**

31 U.S.C. section 1352 provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay 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 any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

### **31. Lobbying Activities Prohibition**

The Grantee is subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), implemented in HUD regulations at 24 CFR Part 87, and to the provisions of the Lobbying Disclosure Act of 1995, P.L. 104-65 (December 19, 1995).

### **32. Notification of OMB Uniform Guidance Change: Cost Principles, Audit, and Administrative Requirements for Federal Awards**

The Office of Management and Budget (OMB) has published final guidance, 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The OMB-issued uniform guidance supersedes, consolidates, and streamlines requirements from eight OMB Circulars: A-21 (Cost Principles for Educational Institutions), A-87 (Cost Principles for State, Local and Indian Tribal Governments), A-89 (Catalog of Federal Domestic Assistance), A-102 (Grants and Cooperative Agreements With State and Local Governments), A-110 (Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations), A-122 (Cost Principles for Non-Profit Organizations), and A-133 (Audits of States, Local Governments, and Non-Profit Organizations), and the guidance in OMB Circular A-50 (Audit Follow-up) on Single Audit Act follow-up.

This guidance is applicable to non-Federal entities as of December 26, 2014, with one exception for HUD grants—non-Federal entities previously subject to 24 CFR Part 84 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) will have a one-year grace period to comply with the revised procurement standards in 2 CFR §200.318–§200.326.

The “uniform crosswalk” available at the following link highlights major policy changes from the eight OMB Circulars referenced above and 2 CFR Part 200:

<http://www.whitehouse.gov/sites/default/files/omb/fedreg/2013/uniform-guidance-crosswalk-from-predominate-source-in-existing-guidance.pdf/>

### **33. Order of Precedence**

In the event of any inconsistency among any provisions of this grant, the following order of precedence shall apply:

- Statutes;
- Federal Regulations, including 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
- The NOFA, including the General Section and the Program Section;
- Grant Agreement (**HUD-1044**), including Terms and Conditions; and the
- Grantee's Approved Management and Work Plan

### **34. Patent Rights (Small Business Firms and Nonprofit Organizations)**

Patent rights are as specified in 37 CFR Part 401, entitled "Rights to Inventions made by Nonprofit Organizations and Small Business Firms under Government Grants, Contracts and Cooperative Agreements." Inquiries regarding this Patent Rights clause should be in writing and directed to:

[GTR identified on the HUD-1044]  
Government Technical Representative  
U.S. Department of Housing and Urban Development  
Office of Policy Development and Research  
U.S. Department of Housing and Urban Development  
451 Seventh Street SW, Room 8226  
Washington, DC 20410-3000

### **35. Period of Performance and Extensions and Incurring Costs or Obligating Federal Funds**

The Grantee shall provide all services stipulated in this award agreement for the period of months specified on the HUD-1044. The period of performance starts on the "Project Start Date" and ends on the "Project End Date". Grantees are to comply with the requirement of 2 CFR §200.309 and §200.343, as applicable, in charging costs to the grant. All obligations incurred under the award must be liquidated not later than ninety (90) calendar days after the end of the funding period. The preparation of the final administrative and financial reports is to be completed within ninety (90) calendar days after the end of the period of performance.

The Grantee shall not incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities beyond the expiration date stipulated in the award. The only costs which are authorized for a period of up to ninety (90) calendar days following the award expiration date are those strictly associated with closeout activities. Closeout activities are normally limited to the preparation of final progress, financial, and required project audit reports unless otherwise approved in writing by the Grants Officer.

A no cost extension of the award period can be authorized only by the Grant Officer in writing. Neither verbal assurances, nor written assurances of funding from other than the Grant Officer, shall constitute authority to obligate funds for programmatic activities beyond the expiration date.

Neither HUD nor PD&R has no obligation to provide any additional prospective funding. Any amendment of the award to increase funding or extend the period of performance is at the sole discretion of HUD and PD&R.

### **36. Pre-Award Costs**

Prior to the effective date of the Grant/Cooperative Agreement, a Grantee may, at its own risk, incur pre-award costs with prior written approval of the Grant Officer with the concurrence of the GTR. Pre-award costs are those incurred prior to the effective date of the award directly pursuant to the negotiation and in anticipation of the award where such costs are necessary to comply with the proposed delivery schedule or period of performance. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the award and only with the written approval of the awarding agency.

### **37. Profit/Fee**

No increment above cost, fee, or profit shall be paid to the Grantee or any subgrantee or sub-recipient under this award.

### **38. Program Income**

Any program income derived as a result of this award, including royalties, whether obtained during or after the period of performance, shall be added to funds committed under the Grantee's award to further activities eligible for assistance under this award in accordance with 2 CFR Part 200 as applicable, including 2 CFR §200.305 and §200.307. The program income must be used for the purposes and under the conditions of this award. If not contained in the Work Plan or under Special Conditions itemized in these provisions, prior to using program income to further the objectives of the grant program, the parties shall mutually agree by written amendment on the use of program income.

### **39. Project Management System**

#### **Opening Negotiation Meeting with HUD**

The GTR will schedule the date and time for the opening negotiation meeting. The Grantee's Principal Investigator/Project Manager and applicable project staff, as appropriate, shall meet with the GTR and other HUD staff in Washington, DC, or via conference call, to discuss the requirements of the Grant and establish a common understanding about the objectives of the Grant. Among the topics for this meeting will be:

- (1) HUD's goals and expectation for the work;
- (2) a review of key tasks/subtasks necessary to successfully complete the work required under this Grant;
- (3) a review of the project schedule, including the schedule of deliverables;
- (4) a discussion of any challenges that might be faced during the completion of task/subtask;



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- (5) a discussion of the data collection and data analysis strategy/plan, expert panel/reviewers, privacy impact assessment and system of records notice, as appropriate; and
- (6) administrative details of the Grant, including progress reports, and ongoing communications including the Management and Work Plan, Quality Control Plan, and Progress Reports.

a. **Management and Work Plan:**

The Grantee shall develop a detailed Management and Work Plan (MWP) based on the effective date of the award, Grantee's proposal, and the common understanding established in the negotiation meeting with HUD. This MWP must be submitted to the GTR within thirty (30) calendar days from the date of the effective date.

The MWP shall provide a project description, a detailed allocation of Grant resources and a schedule for accomplishing the substantive work of the Grant. The MWP also shall identify and allocate total person hours and the key personnel needed for each work task for each month of the Grant performance period. The MWP shall set start dates, completion dates, and other major milestones for each task and sub-task. Where there are interdependencies among the tasks, the MWP shall indicate how each task will provide the necessary input to the others. The MWP also shall include a comprehensive narrative of the overall expected flow of the work and how each task will be accomplished and shall relate this description to the allocation of staff and other resources. The MWP shall identify the most likely points in the schedule at which a Quality Control Lapse, if not prevented, would affect deliverables to HUD.

The GTR will inform the Grantee in writing when the MWP is approved, or whether changes are needed. HUD's comments and revisions, if any, will be provided to the Grantee within fourteen (14) calendar days of receipt of the MWP. If revisions are requested, the Grantee shall modify the MWP based on the GTR's comments and resubmit a revised MWP for GTR approval within fourteen (14) calendar days after receipt of comments from the GTR.

Upon approval by HUD, the MWP will constitute part of this Grant. Deviations from the approved MWP are subject to the uniform administrative requirements for revision of budget and program plans (2 CFR §200.308), except that the automatic waiver under 2 CFR §200.308(d)(4) does not apply to this Grant. Any change to the MWP will be considered a change in project scope under 2 CFR §200.308(c)(1). If changes are requested, the Grantee must submit to the GTR all reports and requests that are required under 2 CFR §200.308. The Grant Officer is responsible for approving all prior approval requests required 2 CFR §200.308.

The Grantee assumes the risk for all MWP deviations the Grantee makes without the Grant Officer's prior written approval, including the risk of charging costs that may later be disallowed. The Grantee is therefore encouraged to seek prior written approval for all MWP deviations, regardless of whether prior written approval is required.

If the Grantee plans to utilize information collection activities and documents that require OMB and Privacy Act clearance, the MWP shall separately identify the activities (and associated costs and time) to be performed during the period when OMB approval is sought for data collection instruments.

b. **Quality Control Plan:**

The Quality Control Plan addresses all potential points of a Quality Control Lapse identified in the MWP.

A draft Quality Control Plan shall be delivered no more than fourteen (14) calendar days after the GTR approves the MWP. Comments will be provided by the GTR within fourteen (14) calendar days. The final QCP shall be submitted for approval of the GTR within fourteen (14) calendar days after comments are received from the GTR. After acceptance of the QCP by the GTR, any proposed change to the QCP must be accepted by the GTR in writing.

**c. Progress Reports:**

Unless otherwise specified, quarterly progress reports shall be submitted to the GTR on the 15<sup>th</sup> of the first month of each quarter for the entire period of performance. If the 15<sup>th</sup> falls on a weekend or Government holiday, then the report should be submitted the first working day after the 15<sup>th</sup>. Alternative schedules or deadlines for progress reports should be approved in writing by the GTR.

The report format should be approved by the HUD GTR. At a minimum, it should include a narrative summary of accomplishments, discussions of any deviations from the initial schedule of progress, and how those deviations impact the project and what the Grantee recommends for handling the deviation.

Quarterly progress reports shall be accompanied by the SF-425 Federal Financial Report and documentation of costs incurred.

**d. Progress Payments:**

Progress payments may be submitted at any time. Grantees shall submit the following documentation, including, but not limited to:

- i. Financial Report Form;
- ii. VRS Request Voucher for Grant Payment, Form HUD 27053;
- iii. Supporting documentation for all costs on VRS requests; and
- iv. Any other documentation requested by the GTR.

**e. Research Design and Data Collection**

If requested by the GTR, the Grantee shall submit a Research Design and Data Collection and Analysis Plan (RDDCAP) in accordance with a timeline approved by the GTR.

The RDDCAP may include: an overall data collection strategy, research questions, statically models for data analysis, defining control and study cohorts, data storage and security. The RDDCAP will expand upon or refine the research questions and topics outlined in the Grantee's proposal, and may include additional questions and topics that may be defined by the GTR or Grantee during the course of the performed work.

The GTR will review the RDDCAP and provide comments to the Grantee within fourteen (14) calendar days of receipt. The Grantee shall make the required revisions and submit the final revised RDDCAP to the GTR within fourteen (14) calendar days of receipt of the comments from HUD.

**f. Paperwork Reduction Act and Privacy Matters**

If approval from the Office of Management and Budget (OMB) under the Paperwork Reduction Act (PRA) is required for the research described in the RDDCAP, the Grantee shall also provide all materials required for OMB approval.

The Grantee must prepare all clearance material required for submission to OMB. The PRA requires OMB's review and approval for all survey efforts administered to more than nine (9) participants. OMB approval must be secured prior to the administration of any surveys. **OMB clearance may take up to six (6) months to complete.**

**The Grantee will be responsible for preparing the required clearance packages that justify the use of survey or data collection instruments and the specific data elements that will be used in this grant.** If comments are received from OMB after submission, the Grantee must submit revisions to the supporting statement or survey instruments that address these comments. This process must be repeated until final OMB approval is obtained. The term of the grant should accommodate the additional time required to obtain OMB clearance before implementation of the survey instrument.

In addition to the RDDCAP, the Grantee shall submit, if the research design described in the RDDCAP requires it, a Privacy Impact Assessment (PIA) and a System of Records Notice (SORN) in accordance with a timeline approved by the GTR.

**g. Expert Reviewers**

If applicable, the Grantee shall assemble an independent group of recognized technical and analytic experts in the field of evaluation in this area. This group should include other experts in the domains of interest for this study, as recommended by the Grantee and approved by HUD. The Grantee shall confer with the GTR and persons recommended by the GTR to provide the GTR a list of proposed technical and analytic experts and a brief description of their qualifications to the GTR in accordance with the timeline outlined in the MWP. The HUD GTR will provide comments on the list of proposed technical and analytic experts within fourteen (15) calendar days of receipt of the proposed list. The Grantee shall revise the list of proposed technical and analytic experts within fourteen (15) calendar days of receiving comments from the GTR.

The Grantee shall ask the group of experts to convene at HUD to review draft deliverables at an agreed upon times by the Grantee and the GTR during the grant performance period and provide a written report of the experts' comments to the GTR. If directed by the GTR in writing or via email, the meetings may be held via conference calls, or at other locations. If directed by the GTR, in writing or via email, comments from the expert reviewers should be considered in the development of the deliverables.

**h. Annual Reports**

Race and Ethnic Data Reporting Form HUD-27061. The Race and Ethnic Data Reporting Form must be submitted annually by January 10. (If applicable)

Audit Report. In accordance with 2 CFR Part 200, Subpart F – Audit Requirements, a Single or Program Specific Audit Report. (If applicable)

**i. Final Narrative Report**

The final narrative report shall be submitted to the GTR within ninety (90) calendar days after the end of the period of performance. The final narrative report shall document the entire period of performance of the Grant and follow the same format as the progress reports, including a final Federal Financial Report, SF-425.

The final narrative report shall summarize the applicant's plans, execution of the plans, achievements noted, and lessons learned. The Report need not be lengthy but should be of a quality and detail to provide a freestanding description to any outside reader of all the applicant's work and achievements under the grant. Specific and detailed guidance on preparing the forms and the narratives may be obtained from the GTR identified on the HUD-1044 form. **See Article 10, "Closeout."**

#### **40. Protection of Human Subjects (if applicable)**

The Grantee must comply with requirements of the federal Common Rule (45 CFR Part 46) for protecting human research subjects when applicable. Compliance may require the Grantee to seek review and approval of research plans by an Institutional Review Board (IRB). For research requiring an IRB review, the MWP shall identify the IRB that the Grantee will use and factor in the necessary cost and time involved in that review. The Grantee must provide appropriate assurances and certifications of compliance before human subjects' research begins.

#### **41. Publications and News Releases**

The results of this program are planned to be made available to the public through dedication, assignment by HUD, or other means, as HUD shall determine. The right to the intellectual or intangible property as developed as a result of the grantee's performance under the grant shall be in accordance with the present provisions of Uniform Guidance 2 CFR 200, and HUD Regulations at 24 CFR Part 84 Subpart C.

Interim and final reports (including any required scientific manuscripts) may not be published by the recipient or any sub-recipients participating in the work for a period of sixty (60) calendar days after acceptance of the deliverables by the GTR, to allow sufficient time for review and comment, without written approval by the Grant Office with the concurrence of the GTR.

All deliverables, or any part thereof, and any independent products and special products arising from this award, when published by the recipient or other participants in the work shall contain the following acknowledgment and disclaimer:

"The work that provided the basis for this publication was supported by funding under an award with the U.S. Department of Housing and Urban Development. The substance and findings of the work are dedicated to the public. The author and publisher are solely responsible for the accuracy of the statements and interpretations contained in this publication. Such interpretations do not necessarily reflect the views of the Government."

Copies of all press releases, formal announcements, and other planned, written issuances containing news or information concerning work products or activities of this award that may be made by the recipient or

its staff, or any sub-recipient or other person or organization participating in the work of the award, shall, whenever possible, be provided to the GTR for review and comment at least two weeks before the planned release but in no event later than coincidental with release.

As a means of sharing knowledge, HUD encourages recipients to arrange for publication of report and findings in scientific or technical journals. HUD will hold publishing the final report for up to six months, or as negotiated with the GTR, to allow for publication in the journal of the recipients choosing.

#### **42. Release of Funds and Environmental Certification (if applicable)**

Award of a grant does not constitute approval of specific sites where activities that are subject to environmental review may be carried out. Recipients conducting eligible construction, rehabilitation, repair, weatherization or related hazard remediation work must comply with 24 CFR Part 58, “Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities.” Recipients that are States, units of general local government or Native American Tribes must carry out environmental review responsibilities as responsible entities, defined under Part 58. Recipients that are not-for-profit firms, educational or for-profit institutions must contact and partner with the responsible entity, usually the unit of general local government or Native American Tribe of the target area(s), to assume the environmental review responsibilities. Should the responsible entity object to performing the environmental review, or the non-governmental recipient is unable to identify a responsible entity with whom they can partner to perform the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provision of 24 CFR Part 50. When HUD performs the review itself, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed, if applicable.

<b>Originals</b>	<b>Copies:</b>
Program Environmental Clearance Officer (Designated by the GTR on the HUD-1044)	(Address on the HUD Form HUD-1044) Attn: GTR on the HUD Form HUD-1044

HUD will not make additional payments from the amount awarded to a Grantee prior to the completion of a satisfactory environmental review by the appropriate HUD Environmental Officer and its receipt of an approved Request for Release of Funds and Certification, as prescribed within this agreement

Any additional funds requested by the Grantee shall be requested in accordance with **Article 17, “Estimated Cost and Payment – Line of Credit Control System (LOCCS).”**

#### **43. Review of Deliverables**

Deliverables include, but are not limited to:

- a. All interim and final reports.
- b. Survey instruments required by the Management and Work Plan, if applicable.
- c. Other physical materials and products produced directly under the Management and Work Plan of this grant, including a final data set and code and data dictionary, if applicable.
- d. Match, in-kind and leverage commitments, should also be included, if applicable.

The GTR shall be responsible for HUD review, receipt of corrections from the Grantee, and acceptance of the operational deliverables, above, of this grant. Such review(s) shall be carried out promptly by the GTR, so as not to impede the work of the Grantee. Unless otherwise specified elsewhere in these Terms and Conditions or in the Management and Work Plan, acceptance of the deliverable(s) shall be issued in writing by the GTR, with comments and/or required corrections, within thirty (30) calendar days of the date of the GTR's receipt of such product from the Grantee. The Grantee shall carry out the required corrections, if any, provided by the GTR and shall promptly return a revised copy of the product to the GTR. The basis for acceptance shall be the Grantee's good faith efforts to complete the deliverables of this grant. The GTR's review, correction, and acceptance of narrative deliverables shall be limited to:

- (1) corrections of omissions or errors of fact, methodology, or analysis;
- (2) deletion of irrelevant materials; and
- (3) improvements in style readability.

#### **44. Sanctions**

Failure to comply with the Federal statutes; regulations, including 2 CFR Part 200; or the requirements established in the award and these provisions, including failure to submit reports **on time and in accordance with the requirements** contained in these provisions, may result in the GTR/Grant Officer taking action to limit access to program funds. Actions by the GTR/Grant Officer may include, but are not limited to: requiring that reports and financial statements be submitted to the GTR/Grant Officer for approval before drawing down any funds; suspending the ability to incur costs or draw funds; and/or suspending or terminating the Grant/Cooperative Agreement for non-performance as defined in **Article**

#### **48, "Suspension and Termination (For Cause)."**

HUD may take enforcement action under 2 CFR §200.338, as applicable.

#### **45. Scope of Services**

The Grantee shall furnish the necessary personnel, materials, services, equipment, facilities (except as otherwise specified herein) and otherwise do all things necessary for or incidental to the performance of the work set forth in the Grantee's original/revised application under this NOFA as well as the subsequent Statement of Work / Management and Work Plan and Benchmark schedule.

#### **46. Single Audit Reporting Requirements**

In accordance with 2 CFR Part 200, Subpart F – Audit Requirements, a Single or Program Specific Audit Report must be conducted each fiscal year for non-federal entities that exceeds \$750,000 in federal grant awards and submitted to the Federal Clearing House System as a requirement under the Single Audit Act of 1984 (amended in 1996). Grants or Cooperative Agreements may be placed on "High Risk" designation, suspended, or terminated for failing to submit the Single Audit Report. **See Article 48, "Suspension and Termination (For Cause)".**

The website for the Single Audit Report submission is:

[https://harvester.census.gov/facides/\(S\(r4yr4wbw3rcmsh33bgmlt1q3\)\)/account/login.aspx\](https://harvester.census.gov/facides/(S(r4yr4wbw3rcmsh33bgmlt1q3))/account/login.aspx)

#### **47. Special Conditions**

Special Conditions to this award are listed on the form HUD-1044 Continuation Sheets.

#### **48. Suspension and Termination (For Cause)**

The Grant Officer may, on reasonable notice to the Grantee and/or Subgrantee, temporarily suspend the award and withhold further payments pending corrective action by the Grantee and/or Subgrantee. The award may be terminated in whole or in part before the end of the performance period **for cause** when the Grantee and/or Subgrantee has failed to comply with the terms, conditions, standards, or provisions of this award. The award may be terminated for convenience when both parties agree that the continuation of the award would not produce beneficial results. Action will be taken in accordance with 2 CFR §200.338 – §200.342.

#### **Effects of Suspension and Termination**

Costs of Grantee or Subgrantee resulting from obligations incurred by the Grantee or Subgrantee during a suspension or after termination of an award are not allowable unless HUD expressly authorizes them in the notice of suspension or termination or subsequently. Other Grantee or Subgrantee costs during suspension or after termination which are necessary and not reasonably avoidable are allowable if:

- The costs result from obligations which were properly incurred by the Grantee or Subgrantee before the effective date of suspension or termination, are not in anticipation of it, and, in the case of a termination, are non-cancellable, and;
- The costs would be allowable if the award were not suspended or expired normally at the end of the funding period in which the termination takes effect.

**Relationship to debarment and suspension:** The enforcement remedies identified in this section, including suspension and termination, do not preclude Grantee or Subgrantee from being subject to “Debarment and Suspension” under Executive Orders 12549 and 12689, CFR Part 180 as outlined in CFR §200.338.

U.S. Department of Housing and Urban Development  
Policy Development and Research (PD&R)  
Office of University Partnerships  
Terms and Conditions for Grants and Cooperative Agreements

**ATTACHMENT 1: LIST OF ACTIONS DUE**

<b>Action</b>	<b>Due Date</b>
Management and Work Plan (MWP)	Thirty calendar days after the effective date of the grant (as stated in block 5 on HUD - 1044. The GTR will provide comments within 14 calendar days of receipt.
	Final revised MWP is due 14 calendar days after the GTR provides comments. The GTR must approve the MWP in writing.
Quality Control Plan (QCP)	Draft QCP is due 14 calendar days after the approval of the MWP. The GTR will provide comments within 14 calendar days.
	Final QCP is due 14 calendar days after the GTR provides comments. The GTR must approve the final QCP in writing.
Research Design and Data Collection and Analysis Plan (RDDCAP), Privacy Impact Assessment (PIA), and System of Records Notice (SORN)	If required, the GTR will determine the due date for these respective documents. The GTR must approve your final RDDCAP in writing.
Quarterly Progress Reports	Quarterly Progress Reports are due on the 15 <sup>th</sup> of the first month of each quarter in the period of performance. If applicable, they must include a separate attached document illustrating status of the required matching amount.
FFATA Sub-Award Reporting System	By the end of the month following the month in which the Grantee awards a sub grant greater than or equal to \$25,000.
Race and Ethnic Data Reporting, if applicable	Annually on January 10 for the duration of the period of performance.
Annual Audit	Annually based on the Grantees fiscal year.
Deliverables, including interim reports, release reports, annual snapshots and policy papers	In accordance with the approved Management and Work Plan.
Annual Reporting	In accordance with the approved Management and Work Plan.
Final Narrative Report	Within 90 calendar days of the end of the period of performance.



**U.S. Department of Housing and Urban Development  
Policy Development and Research (PD&R)  
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## Attachment 2: Benchmark Schedule

Grant Number:	Grantee Organization:												Period of Performance:													
ACTIVITY	Q1 Oct - Dec	Q2 Jan - Mar	Q3 Apr - Jun	Q4 Jul - Sep	Q5 Oct - Dec	Q6 Jan - Mar	Q7 Apr - Jun	Q8 Jul - Sep	Q9 Oct - Dec	Q10 Jan - Mar	Q11 Apr - Jun	Q12 Jul - Sep				HUD Notes/Comments on Progress										
<b>I. Applicant Capacity and Start-up (0-120 days)</b>																										
A. Opening Meeting/conference call																										
B. Management and Work Plan Submitted and Accepted (if applicable)																										
C. Staff hired																										
D. Internal Policies and Procedures Established (if applicable)																										
E. Process for Invoicing HUD through LOCCS Established with Grantee's Finance Staff																										
F. Subcontracts and Sub-grants In-place																										
G. Request for Release of funds and Certification (if applicable)																										
G. IRB Approval Received (if applicable)																										
1a. Work Plan Milestone																										
b. Actual Completion																										
H. Necessary Supplies and Materials Procured																										
1a. Work Plan Milestone (% Complete)																										
b. Actual Completion																										
<b>II. TBD</b>																										
A.																										
1. Work Plan Milestone % Planned																										
2. Actual Completed (cumulative)																										
3. Actual % Completed																										
TBD																										
<b>HUD Minimum Performance Standard</b>																										
1. Work Plan Milestone % Planned																										
2. Actual # Completed (cumulative)																										
3. Actual % Completed																										
C. TBD																										
Total TBD																										
<b>HUD Minimum Performance Standard</b>																										
1. Work Plan Milestone % Planned																										
2. Actual # Completed (cumulative)																										
3. Actual % Completed																										
4. #																										
<b>III. TBD</b>																										
A. TBD																										
Activity:																										
Target in Work Plan																										
1. Work Plan Milestone % Planned																										
2. Actual # Completed (cumulative)																										
3. Actual % Completed																										
B. TBD																										
Activity:																										
Target in Work Plan																										
1. Work Plan Milestone % Planned																										
2. Actual # Completed (cumulative)																										
3. Actual % Completed																										
C. TBD																										
Activity:																										
Target in Work Plan																										
1. Work Plan Milestone % Planned																										
2. Actual # Completed (cumulative)																										
3. Actual % Completed																										
<b>IV. Data Collection and Analysis</b>																										
A. Data Collection Instruments Developed																										
1a. Work Plan Milestone																										
b. Actual Completion																										
B. Data Collected																										
1a. Work Plan Milestone 1:																										
b. Actual Completion																										
2a. Work Plan Milestone 2:																										
b. Actual Completion																										
3a. Work Plan Milestone 3:																										
b. Actual Completion																										
C. Mid-Project Quality Assurance Report																										
1a. Work Plan Milestone																										
b. Actual Completion																										
D. Data Analysis Completed																										
1a. Work Plan Milestone 1:																										
b. Actual Completion																										
2a. Work Plan Milestone 2:																										
b. Actual Completion																										
<b>V. Cumulative LOCCS Draw Downs</b>																										
A. Cumulative LOCCS Draw Downs																										
Cumulative LOCCS Draw Down Grant Award Amount																										
<b>HUD Minimum Performance Standard</b>																										
1. Work Plan Milestone % Planned																										
2. Actual # LOCCS Draw Down (cumulative)																										
3. Actual Cumulative LOCCS Draw Down %																										
4. Administrative Advanced Payment Drawdown (if applicable)																										
<b>VI. Closeout</b>																										
A. Draft Final Report and/or Technical Publication/Manuscript of Findings Submitted																										
B. Final Report and/or Technical Publication/Manuscript of Findings Submitted																										
No benchmark standard																										

**U.S. Department of Housing and Urban Development  
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## Attachment 3: PD&R Financial Reporting Form

### PD&R FINANCIAL REPORTING FORM

HUD - Office of Policy Development and Research

Grant Agreement Number:												
Grant Organization:												
Report Period:	Year 20 ____											
BUDGET CATEGORIES*	NEGOTIATED BUDGET (HUD)	APPROVED LOCCS DRAWDOWNS THIS PERIOD*	CUMULATIVE LOCCS DRAWDOWNS TO DATE*	AVAILABLE BALANCE	NEGOTIATED BUDGET (MATCH)	APPROVED LOCCS DRAWDOWNS THIS PERIOD*	CUMULATIVE LOCCS DRAWDOWNS TO DATE*	AVAILABLE BALANCE	NEGOTIATED BUDGET (OTHER)	APPROVED LOCCS DRAWDOWNS THIS PERIOD*	CUMULATIVE LOCCS DRAWDOWNS TO DATE*	AVAILABLE BALANCE
Personnel (Direct Labor)												
Fringe Benefits												
PTO												
Travel												
Supplies and Materials												
Consultants												
Contracts / Sub-Grantees												
a.												
b.												
c.												
Subtotal Item 7												
10. TOTALS*												

\* Administrative costs included in totals expended **are not** to exceed the percentages given in the Terms and Conditions.

FINANCIAL REPORTING FORM

pg. 2

U.S. Department of Housing and Urban Development  
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Attachment 4:

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**CERTIFICATION REGARDING LOBBYING**

**Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated 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 Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

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 undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

<b>* APPLICANT'S ORGANIZATION</b> <div style="border: 1px solid black; height: 20px; width: 100%; background-color: yellow;"></div>	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
Prefix: <div style="border: 1px solid black; width: 50px; height: 20px; display: flex; align-items: center; justify-content: center;">▼</div>	* First Name: <div style="border: 1px solid black; width: 150px; height: 20px; background-color: yellow;"></div> Middle Name: <div style="border: 1px solid black; width: 100px; height: 20px; background-color: yellow;"></div>
* Last Name: <div style="border: 1px solid black; width: 200px; height: 20px; background-color: yellow;"></div>	Suffix: <div style="border: 1px solid black; width: 50px; height: 20px; display: flex; align-items: center; justify-content: center;">▼</div>
* Title: <div style="border: 1px solid black; width: 150px; height: 20px; background-color: yellow;"></div>	
* SIGNATURE: <div style="border: 1px solid black; width: 150px; height: 30px; background-color: yellow;"></div>	* DATE: <div style="border: 1px solid black; width: 60px; height: 20px; background-color: yellow;"></div>