



U.S. Department of Housing and Urban Development

Public and Indian Housing

Resident Opportunity and Self-Sufficiency Program

FR-6400-N-05

11/19/2020

Table of Contents

| | |
|---|----|
| Overview | 3 |
| I. FUNDING OPPORTUNITY DESCRIPTION..... | 3 |
| A. Program Description. | 3 |
| B. Authority. | 14 |
| II. Award Information..... | 15 |
| A. Available Funds | 15 |
| B. Number of Awards..... | 15 |
| C. Minimum/Maximum Award Information | 15 |
| D. Period of Performance..... | 16 |
| E. Type of Funding Instrument..... | 17 |
| F. Supplementation..... | 17 |
| III. Eligibility Information..... | 17 |
| A. Eligible Applicants..... | 17 |
| B. Ineligible Applicants..... | 18 |
| C. Cost Sharing or Matching..... | 18 |
| D. Threshold Eligibility Requirements..... | 18 |
| E. Statutory and Regulatory Requirements Affecting Eligibility..... | 23 |
| F. Program-Specific Requirements Affecting Eligibility..... | 23 |
| G. Criteria for Beneficiaries..... | 30 |
| IV. Application and Submission Information..... | 31 |
| A. Obtaining an Application Package..... | 31 |
| B. Content and Form of Application Submission..... | 31 |
| C. System for Award Management (SAM) and Dun and Bradstreet Universal Numbering System (DUNS) Number..... | 37 |
| D. Application Submission Dates and Times..... | 38 |
| E. Intergovernmental Review..... | 40 |
| F. Funding Restrictions..... | 41 |
| G. Other Submission Requirements..... | 43 |
| V. Application Review Information..... | 44 |
| A. Review Criteria..... | 44 |
| B. Review and Selection Process..... | 48 |
| VI. Award Administration Information..... | 51 |
| A. Award Notices..... | 51 |

B. Administrative, National and Department Policy Requirements for HUD recipients52
C. Reporting.....53
D. Debriefing.....53
VII. Agency Contact(s).....53
VIII. Other Information.....53
APPENDIX.....54

Program Office:

Public and Indian Housing

Funding Opportunity Title:

Resident Opportunity and Self-Sufficiency Program

Funding Opportunity Number:

FR-6400-N-05

Primary CFDA Number:

14.870

Due Date for Applications:

11/19/2020

Overview

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

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

For Further Information Regarding this NOFA: Please direct questions regarding the specific requirements of this Notice of Funding Availability (NOFA) to the office contact identified in Section VII.

OMB Approval Number(s):

2577-0229

I. FUNDING OPPORTUNITY DESCRIPTION.

A. Program Description.

1. Purpose

A. Overview. The Resident Opportunity & Self-Sufficiency Service Coordinator (ROSS-SC) grant program is designed to assist residents of Public and Indian Housing make progress towards economic and housing self-sufficiency by removing the educational, professional and health barriers they face.

Self-sufficiency is defined as a household's ability to maintain financial, housing, and personal/family stability. To achieve self-sufficiency, individuals in a household move along a continuum towards economic independence and stability; such movement is facilitated by the achievement of educational, professional, and health/mental health and financial empowerment-related goals. For the ROSS program, self-sufficiency is further defined as a resident's ability to progress along the self-sufficiency continuum through training and the utilization of supportive

services. In the case of elderly/disabled residents, self-sufficiency is defined as the utilization of supportive services which enable them to better age in place or remain living independently for as long as possible.

To help residents make progress towards self-sufficiency, HUD provides ROSS-SC grant funding to eligible applicants to hire a Service Coordinator who assesses the needs of Public and Indian housing residents and links them to training and supportive services that will enable participants to move along the self-sufficiency continuum. In the case of elderly/disabled residents, the Service Coordinator links them to supportive services which enable them to age/remain in place.

This place-based program targets the entire resident community within the project(s) to be served and aims to address the areas of need at both the community and individual level. The ROSS-SC must work with residents, PHA staff, local partners, and other stakeholders to develop local strategies to address the needs of residents and remove barriers so that residents make progress towards achieving economic and housing self-sufficiency.

ROSS-SC funds may only be used for the coordinator's salary and fringe benefits; travel and training expenses; and administrative costs. The ROSS-SC program is a cost-reimbursable grant meaning that costs are reimbursed by HUD after they are incurred.

B. Core Functions of ROSS-SC Program.

Resident Needs Assessment: ROSS applicants/grantees must assess the needs of residents in the project(s) to be served to determine the critical needs that residents identify as barriers to achieving self-sufficiency. The results of the needs assessment are a key component of your application.

Coordination: The role of each ROSS-SC shall be designed to meet the needs of both individual residents and the local community he/she will serve. The ROSS-SC must build partnerships with local service providers and other organizations in order to coordinate the delivery of services and to ensure that program participants are linked to the supportive services they need. The ROSS-SC may also coordinate educational and/or community events that help residents achieve economic independence and stability.

Case Management/Coaching: The ROSS-SC program must provide general case management to residents which includes intake, assessment, education, and referral to service providers in the local community.

Resident Engagement: Grantees must find creative ways, including identifying local partners, to engage residents and resident associations in activities that help build organizational capacity and leadership; this can include supporting resident-led projects that address the needs of the community.

Evaluation: Grantees must regularly monitor and evaluate the progress of participants and the overall success of the program.

C. Area of Need(s). Applicants must choose from the areas of need below to indicate which areas their ROSS-SC will focus on. The area(s) of need selected by the applicant must be supported by the resident needs assessment. Please see Section III.F.11.

- Education
- Elderly/Disabled
- Employment
- Financial Literacy
- Health & Wellness
- Re-Entry
- Substance Abuse

D. Coordination between Programs with Services or Service Coordination. Grantees that are located in a jurisdiction that receives multiple sources of funding (from the programs listed below) to serve the same population or geographic area, should coordinate among those programs, where appropriate, so as to leverage shared resources, avoid duplication of services, and improve access and service delivery to participating families. These programs are: Family Self-Sufficiency (FSS), Jobs Plus, Choice Neighborhoods, Elderly/Disabled Service Coordinators, HUD-VASH, Family Unification Program (FUP) vouchers, Multi-Family Service Coordinators, Housing Opportunities for Persons With AIDS (HOPWA), Continuum of Care programs and/or other special use housing assistance that include supportive services or service coordination. A PHA that administers both FSS and ROSS-SC programs and uses a single Program Coordinating Committee for both programs is an example of effective coordination. Coordination between programs should be conducted by and between program coordinators and/or other program management staff.

2. Changes from Previous NOFA.

Though some of these changes were made under prior NOFAs, they may be unfamiliar to FY17 renewal applicants.

a. Letter of Support for Joint Applications

Two or more eligible organizations may collaborate to submit a joint application for proposed grant activities. However, joint applications must designate a lead applicant. The PHA (or other applicant type) listed first on both the SF424 and HUD-52768 will be considered the lead applicant. Lead applicants must obtain a letter of support from each joint applicant they intend to serve. This is a threshold requirement. Please see Section III.D for more information. For joint applicants requiring a Contract Administrator, please see the definition of a Contract Administrator under “Program Definitions.”

b. HUD-52768: This is the primary application form and continues to be a required document that all applicants must complete and submit. This mandatory form is now an electronic fillable form on www.grants.gov. This form has been revised to require input of salary comparability information. See section IV.B.2.c of this NOFA for instructions on completing this form.

c. HUD-52769: Applicants no longer submit this form. The HUD-52768 has been revised to include the match information. See sections III.C and III.D.3 of this NOFA for more information

regarding the match threshold requirement.

d. Determination of Need: Under this NOFA, applicants are no longer required to identify a minimum of ten need categories. Instead, this NOFA specifies seven areas of need upon which an applicant can choose to focus its efforts. The areas of need that an applicant proposes to focus on must be based on the findings of the resident needs assessment. HUD will use the areas selected by the applicant to evaluate the progress of each grantee. Please note that HUD has included a substance abuse category in this NOFA as an area of need. See sections III.F.2.a and III.F.11 for more information.

e. Rating Criteria: All applicants must submit a narrative addressing rating criteria. Applicants will be reviewed for past performance and capacity using a point system. Each applicant will need a minimum of 30 points to be eligible for funding. See section V.A for more information.

f. Current Nonprofit Status: All Resident Associations (RA) and Nonprofits must either be a locally-incorporated nonprofit organization or a federally-designated 501(c)(3) tax-exempt nonprofit organization by the application deadline of this NOFA. All renewal applicants must certify that their nonprofit status is current and in good standing on the HUD-52768 application form. All new applicants that are RAs and Nonprofits must submit a copy of the 2018 or 2019 Federal Annual Information return submitted to the IRS (for 501(c)(3) applicants) or for locally-incorporated nonprofit organizations, the 2018 or 2019 submission of the state or tribal equivalent annual return. If no annual return exists, the new applicants must submit other documentation that verifies the non-profit status is active and in good standing. See section IV.B.1.d for more information.

g. Narrative Requirement for All Applicants: In the past, HUD required that only new applicants submit a narrative. Under this NOFA, all renewal and new applicants must submit a narrative statement in order to be eligible for Fiscal Year (FY) 2020 ROSS funding. See section V.A for more information.

h. Narrative Requirement for Tribes Designated as High-Risk. Tribes that have been informed of performance deficiencies or designated by their area Office of Native American Programs (ONAP) as "high risk grantees" per 2 CFR 200.205 must submit a narrative of no more than 10 pages (double-spaced, Times New Roman font 12 point, with one-inch margins) addressing the corrective actions they have put in place in response to their area ONAP's findings. See section V.A for more information.

i. Training and Travel Costs. In prior NOFAs, applicants could request up to \$2,000 in training/travel costs per year for each coordinator. Under this NOFA, applicants can request up to \$2,500 per year for each service coordinator. See section IV.F.3 for more information.

j. Administrative Costs. The maximum funding for administrative costs will be no more than 10% of the combined requested salary/fringe and training/travel amounts per ROSS-SC position. For example, if an applicant requests \$217,500 for salary/fringe and training costs, then the applicant can request up to 10% of \$217,500 for administrative costs. See section IV.F.4 for more information.

k. Unexpended Balance Threshold. Renewal applicants (see definition) that have an unexpended balance of 60% or more of their FY17 ROSS funds by the application deadline **are ineligible for FY20 ROSS funding**. In addition, previous ROSS-SC grantees that received ROSS-SC funding prior to FY17 are ineligible for FY20 ROSS funding as new applicants if they have a remaining balance of 40% or more of their pre-FY17 ROSS-SC grant(s). See definition of “new applicants.” See also section II.C.2.a for more information.

l. Reduced Awards: HUD reserves the right to adjust requested funding amounts downward, as determined necessary by HUD, at its sole discretion, based on an applicant’s demonstrated financial need, capacity, and prior performance. See section II.C.2.b for more information.

m. Grant Term: The term of the FY20 ROSS grant is 36 months from the effective date of the grant agreement. See section III.F.10 for more information.

n. Resident Needs Assessment. All applicants are required to complete a resident needs assessment. The results of the resident needs assessment must inform the applicant's selection of which area(s) of need they choose to address. A sample resident needs assessment is provided with this NOFA. See section III.F.2.a for more information.

o. Non-Site Based Resident Associations must include a letter of support from the Public Housing Authority they intend to serve. See section III.D.4.

p. Maximum Number of ROSS-SCs per application: In past NOFAs, applicants based their request for ROSS-SCs on the number of occupied ACC/NAHASDA-assisted units in the PHA's/Tribe/TDHE's entire portfolio by September 30 of the preceding year. **Under this NOFA, applicants must base their request for ROSS-SCs on the number of occupied ACC/NAHASDA-assisted units as of September 30, 2020 only in the properties the applicant intends to serve.** See Sections II.C and III.F.4 for more information.

q. Eligible Public Housing Units: Under this NOFA, "Public Housing projects" include public housing developed through any of the development means described in 24 CFR 905.600(b), including conventional and Mixed-Finance public housing. See Section III.G for more information.

r. Eligibility of PHA Affiliates or Instrumentalities with Nonprofit Status: PHA affiliates or instrumentalities, as defined in PIH Notice 2011-47 (extending PIH Notice 2007-15), that are nonprofit organizations are prohibited from applying for funds under this NOFA if the PHA they intend to serve is applying for funds, or would not be an eligible applicant either because the PHA has a current ROSS grant (funded with FY18 or FY19 funds) or because the PHA has a high unexpended balance of a prior ROSS award. Similarly, PHAs are prohibited from applying for funds under this NOFA if their PHA affiliate is applying for funds or would not be an eligible applicant either because the PHA affiliate has a current ROSS grant (funded with FY18 and FY19 funds) or because the PHA affiliate has a high unexpended balance of a prior ROSS award. See "Program Definitions" in Section I.A.4 for more information about the definition of a Nonprofit Organization.

s. Resident Association Definition: A Resident Association (RA) must exclusively consist of persons residing in public housing or NAHASDA-assisted housing (including board members) and must exclusively represent residents residing in public housing or NAHASDA-assisted housing. RAs must also be either a locally-incorporated nonprofit organization or a federally-designated 501(c)(3) tax-exempt nonprofit organization by the application deadline of this NOFA. For the purposes of this NOFA, a RA does not include a nation-wide or nationally-based resident organization (e.g., National Resident Organization (NRO)). See Section I.A.4 for more information about the definition of Resident Association.

t. Minimum Qualifications for Service Coordinators: A description of the minimum qualifications required for Service Coordinators is being reintroduced. See "Program Definitions" in Section I.A.4 below for more information.

3. Definitions.

a. Standard Definitions

Affirmatively Furthering Fair Housing (AFFH). The obligation to affirmatively further the purposes and policies of the Fair Housing Act.

Assistance Listings (formerly CFDA) is a directory of the various Federal listings, projects, services and activities offering financial and non-financial assistance and benefits to the American public. An Assistance Listing (CFDA) Number is the unique number assigned to each program, project, service or activity listed in the Catalog of Federal Domestic Assistance (CFDA).

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

Award, as used in this NOFA means a federal grant OR cooperative agreement as specified in Section II.E (Type of Funding Instrument).

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

Contract 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. The term as used in this NOFA 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 2 CFR 200.22.)

Contractor means an entity receiving a contract.

Deficiency is information missing or omitted within a submitted application. Examples of deficiencies include missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box.). Depending on specific criteria, deficiencies may be either curable or non-curable.

- Curable Deficiency – Applicants may correct a curable deficiency with timely action.

To be curable the deficiency must:

- Not be a threshold requirement, except for documentation of applicant eligibility;
- not influence how an applicant is ranked or scored versus other applicants; and
- be remedied within the time frame specified in the notice of deficiency.
- Non-Curable Deficiency – An applicant cannot correct a non-curable deficiency after the submission deadline.

Non-curable deficiencies are deficiencies that, if corrected, would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination.

DUNS Number is the nine-digit identification number assigned to a business or organization by Dun & Bradstreet and provides a means of identifying business entities on a location-specific basis. Requests for a DUNS number can be made by visiting the Online DUNS Request Portal.

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

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

Non-Federal Entity is a state, local government, Indian tribe, institution of higher education (IHE), or non-profit organization carrying out a Federal award as a recipient or sub recipient. If eligible applicants under the NOFA include for profit entities, this definition of non-federal entity includes for profit entities.

Opportunity Zone (OZs) are defined in 26 U.S.C. 1400Z-1. In general, OZs are census tracts located in low-income communities where new investments, under certain conditions, may be eligible for preferential tax treatment.

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

Recipient means a non-Federal entity receiving an award directly from HUD to carry out an activity under a HUD program.

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

assurance of compliance with program requirements, including but not limited to nondiscrimination and equal opportunity requirements.

Subrecipient is a non-Federal entity receiving a subaward from a pass-through entity to carry out part of a HUD program; but does not include an individual beneficiary of such program. A subrecipient may also receive other Federal awards directly from a Federal awarding agency (including HUD).

System for Award Management (SAM), is a U.S. Government system that consolidated the capabilities of Central Contractor Registry (CCR), Excluded Parties List System (EPLS) and the Online Representations and Certifications Application (ORCA). Registration with SAM is required for submission of applications via Grants.gov. You can access the website at <https://www.sam.gov/SAM/>. There is no cost to use SAM.

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

Unique Entity Identifier is a number used to identify a specific commercial, nonprofit, or government entity. SAM states that currently Dun & Bradstreet (D&B) is the designated entity to establish and maintain the DUNS Number as the unique entity identifier required for registration in SAM and further used throughout federal procurement, financial assistance, and financial management systems. Beginning December 2020, the DUNS number will no longer be the official identifier for entities doing business with the government.

4. Program Definitions

a. Contract Administrator is an overall grant administrator or a financial management agent (or both) that oversees the implementation of the grant and/or the financial aspects of the grant. Troubled applicants and all RA applicants are required to submit a Contract Administrator Partnership Agreement (CAPA) with their application. PHAs applying jointly with a Resident Association may not serve as the Contract Administrator for the Resident Association. Similarly, if any applicant that is part of a joint application requires a Contract Administrator, the joint applicants must seek a Contract Administrator that is not part of their application. See section III.F.1 for more information.

b. Elderly person is any person 62 years of age or older.

c. Grant Term of the FY20 ROSS-SC grant is 36 months. If awarded ROSS funds, the grant term will start on the effective date of the grant agreement. HUD will allow grantees up to 60 days to begin implementation of their grant, therefore, the period of performance upon which the grantee will be evaluated is 34 months.

d. Indian Tribe is a federally-recognized or state recognized tribe as defined in section 4(13) of

the Native American Housing and Self-Determination Act (NAHASDA) 25 U.S.C. 4103(13).

e. Lottery means a random sample selection process, without replacement, through which each qualified applicant or qualified application has the same probability of being chosen. Once an applicant or application is selected from the pool, it will not be reintroduced to the pool when additional selections are made which will deliberately prevent selecting the same applicant or application a second time.

f. New Applicant is an applicant that has never received ROSS funding or a previously awarded ROSS grantee that received ROSS-SC funding prior to FY17 and has an unexpended balance of less than 40% of its pre-FY17 ROSS-SC funds remaining by the application deadline. FY18 and FY19 ROSS grantees will not be considered new applicants and are ineligible for FY20 ROSS funding. Note: funding from the Public Housing Family Self-Sufficiency (FSS) or Jobs Plus (JP) programs is not considered ROSS funding.

g. Nonprofit Organization for the purposes of this NOFA refers to the following two types of organizations:

1. **Locally Incorporated Non-profit Organization** – A non-profit organization that has filed *articles of incorporation* with the state office (usually the Secretary of State or Attorney General) or tribal government responsible for incorporations and has been granted such status and has maintained this status by complying with state or tribal government requirements. Resident Association (RA) applicants, including tribal resident organizations, that are in the process of incorporating as a non-profit organization and have not been approved of such status by the time of the application deadline will not be eligible for a ROSS grant; or
2. **Tax-Exempt Non-profit Organization** is an organization that has been granted tax-exempt status by the IRS pursuant to 26 U.S.C. § 501(c)(3) before the deadline for submission of this application and is therefore exempt from federal taxation. For more information about tax-exempt status, go to [irs.gov](https://www.irs.gov). Applicants who are in the process of applying for tax-exempt status and have not received this designation from the IRS by the deadline for submission will not be eligible, but may be eligible as a Locally Incorporated Non-profit Organization if they are a Resident Association and submit documentation attesting to having this status as of the application deadline.

Please see definitions of *Resident Association* and *Tribal/TDHE Resident Group* below for more information.

Notwithstanding the above definition, PHA affiliates or instrumentalities, as defined in PIH Notice 2011-47 (extending PIH Notice 2007-15), that are nonprofit organizations are prohibited from applying for funds under this NOFA if the PHA they intend to serve is applying, or would not be an eligible applicant either because the PHA has a current ROSS grant (funded with FY18 or FY19 funds) or because the PHA has a high unexpended balance of a prior ROSS award.

h. Non-Site Based Resident Association (RA) is a 501(c)(3) tax-exempt non-profit organization or a locally-incorporated non-profit organization of resident councils or resident management corporations representing multiple public housing projects at one or more PHAs. A

non-site-based RA must adhere to 24 CFR 964.115 "Resident Council Requirements." All elected governing board members must be public housing residents. All PHAs to be served in the ROSS application must submit a letter of support signed by the Executive Director or other authorized representative, acknowledging that they have monitored the election process and that the RA is in good standing.

i. Person with Disabilities is a person who:

1. Has a condition defined as a disability in section 223 of the Social Security Act; or
2. Has a developmental disability as defined in section 102 of the Developmental Disabilities Assistance Bill of Rights Act.

The term "person with disabilities" does not exclude persons who have acquired immunodeficiency syndrome (HIV/AIDS) or any conditions arising from the etiologic agent for AIDS. In addition, no individual shall be considered a person with disabilities, for purposes of eligibility for low-income housing, solely on the basis of any drug or alcohol dependence. Note that the definition of "person with disabilities" for certain program purposes (e.g., income determination, eligibility) under 24 C.F.R. 5.403 is different from the definition of "individual with handicaps" under Section 504 of the Rehabilitation Act of 1973. Where Section 504 applies, the definition of "individual with handicaps" under 24 C.F.R. 8.3 will apply.

j. PHAS-Troubled applicant refers to a PHA that carries a designation by HUD as "troubled" under the Public Housing Assessment System (PHAS) on the national PHAS Operational List of Troubled PHAs as of the deadline date of the application. NOTE: In accordance with 24 CFR 902.66(a) a "high performance" or "standard performance" rating may be withheld, denied, or rescinded if fair housing/civil rights requirements are not met. Any applicant that is unsure of whether they are considered troubled by HUD should contact the Office of Public Housing in the local HUD field office/area and/or ONAP to determine their status. All PHAS troubled PHAs or tribes considered high-risk by their office/area ONAP are required to submit a Contract Administrator Partnership agreement with their application.

k. Project is specific to PHAs. This term means a group of properties as defined in PIH Notice 2007-28, "Changes in the Project Numbering System and Process for Requesting Changes in Project Identifications." The term "new project number" will refer to the new project number that will be assigned to each Asset Management Project (AMP). Henceforward, the terms 'AMP,' 'project,' and 'new project number' will be synonymous. These projects are identified in PIC with 11-digit codes. For tribes/TDHEs previously funded through the United States Housing Act of 1937, a project is identified by the 11-digit project code. For tribes/tribally designated housing entities (TDHE) funded by NAHASDA, a project is identified by an official project name. If you are a tribe and there is not an official project name in use, develop a unique project identifier that can be used in this application and future applications.

l. Renewal Applicants are FY17 ROSS-SC grantees. **However, FY17 ROSS-SC grantees that have an unexpended balance of 60% or more of their FY17 ROSS funds by the application deadline are ineligible for FY20 ROSS funding.** If an applicant is a new PHA with a new PHA identifying number and an ACC created by the consolidation of two or more divesting PHAs, the PHA's application shall be considered a renewal under this NOFA if at least one of the divesting PHAs had a ROSS Service Coordinators Program grant under the FY2017

ROSS-SC NOFA. To view a list of grantees and projects funded under the FY17 ROSS-SC NOFA, applicants should review the “Previously Funded Project Report” available on this page: https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps/fy2020_ross.

If the number of ROSS-SCs for which an applicant is eligible has changed since its FY17 application, a renewal applicant is eligible to apply only for the number of ROSS-SCs for which it is currently eligible.

A renewal applicant may make changes from its FY17 grant as to budget, projects served, number of ROSS-SCs, type of population to be served (family and/or elderly/disabled residents), partners, and will be considered a renewal if it is applying to serve the same PHA(s) or Tribe(s) for which it was originally funded.

m. Renewal Funding Category is reserved for renewal applicants. After the 25% Set-aside Category for Resident Associations is funded, eligible renewal applicants with FY17 ROSS grants will be funded. Applicants in the Renewal Funding Category have priority over applicants in the New Funding Category. Please see section V.A.1.a for more information.

n. Resident Association (RA) must exclusively consist of persons residing in public housing or NAHASDA-assisted housing (including board members) and must exclusively represent residents residing in public housing or NAHASDA-assisted housing. RAs must also be either a locally-incorporated nonprofit organization or a federally-designated 501(c)(3) tax-exempt nonprofit organization by the application deadline of this NOFA. For the purposes of this NOFA, a RA **does not** include a nation-wide or nationally-based resident organization (e.g. National Resident Organization (NRO)).

To the extent these requirements are met, RAs may include but are not limited to any of the following types of resident organizations:

- City-Wide Resident Councils;
- Intermediary Resident Organizations;
- Jurisdiction-Wide Resident Organizations (24 CFR 964.105);
- Regional Resident Organizations;
- Resident Councils (RC) (24 CFR 964.115);
- Statewide Resident Organizations;
- Site-Based Resident Associations; and
- Resident Management Corporations.

The NOFA will use “Resident Association” or “RA” to refer to all eligible types of resident organizations. All RA applicants must also submit form HUD-52753 “Certification of Election of Resident Council Board” and must indicate their RA type on the HUD-52768 “ROSS-SC Application Form.”

o. Resident Management Corporation (RMC) must consist of residents residing in public housing who propose to enter, or have entered into a contract to conduct one or more management activities of a PHA and meet the characteristics outlined in 24 CFR 964.120

including being a non-profit organization that is validly incorporated under the laws of the State in which it is located.

p. Service Coordinator Qualifications – Minimum qualifications for a ROSS-SC include the following:

- (1) A Bachelor of Social Work or degree in Gerontology, Psychology, or Counseling is preferable; although any other completed degree is fully acceptable. You may also consider individuals who do not have a college degree but who have relevant work experience;
- (2) Knowledge of procedures and eligibility for federal and applicable state entitlement programs; and legal liability issues related to providing Service Coordination;
- (3) For applicants proposing to serve elderly residents, the ROSS-SC should possess knowledge of the aging process, elder services, disability services, drug and alcohol abuse by the elderly, and mental health issues;
- (4) Two to three years' experience in social service delivery for low-income youth, adults, seniors citizens and/or people with disabilities;
- (5) Demonstrated working knowledge of supportive services and other resources for youth, adults, senior citizens, and/or non-elderly people with disabilities available in the local area;
- (6) Demonstrated ability to advocate, organize, problem-solve, and provide results for low-income families, the elderly, and/or people with disabilities; and
- (7) Demonstrated ability to provide communications in a manner that is effective for persons with disabilities and persons with limited English proficiency (LEP).

q. Site-Based Resident Association (or Local Resident Association) is a 501(c)(3) tax-exempt non-profit organization or a locally-incorporated non-profit organization representing a specific public housing project. A site-based RA may only apply for one ROSS-SC position. A maximum of three site-based RAs serving the same PHA may be funded through this NOFA.

r. Tribes Designated High Risk are Tribes that have been informed of performance deficiencies or designated by their area ONAP as "high risk grantees" per 2 CFR Part 200.205. Please Section V.A for more information.

s. Tribally Designated Housing Entity (TDHE) is an entity authorized or established by one or more Indian tribes to act on behalf of each such tribe as defined in section 4(22) of NAHASDA (25 U.S.C. 4103).

t. Tribal/TDHE Resident Group refers to tribal/TDHE resident groups that are democratically elected groups such as tribe/TDHE-wide resident groups, area-wide resident groups, single project groups, or resident management corporations (RMCs). In order to be eligible for ROSS funding, these organizations must have either a state or tribal government designated incorporated nonprofit status or federally designated 501(c)(3) nonprofit status.

B. Authority.

ROSS is authorized under Section 34 of the United States Housing Act of 1937 (42 U.S.C.1437z-6). Funding for this program is authorized by the Further Consolidated Appropriations Act, 2020 (Public Law 116-94, enacted December 20, 2019).

II. Award Information.

A. Available Funds

Funding of approximately **\$ 35,000,000** is available through this NOFA. Additional funds may become available for award under this NOFA, because of HUD's efforts to recapture funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds is subject to statutory constraints. All awards are subject to the funding restrictions contained in this NOFA.

B. Number of Awards.

HUD expects to make approximately 120 awards from the funds available under this NOFA.

The chart below identifies the total funding available in the three most recent funding cycles and awards for each funding category.

| Funding Year | Funds Available (Approximate) | Number of Awards | 25% Set Aside for Resident Associations | Renewal | New |
|---------------------|--------------------------------------|-------------------------|--|----------------|--------------|
| 2019 | \$35,000,000 | 137 | \$1,141,702 | \$19,333,745 | \$17,509,276 |
| 2018 | \$35,000,000 | 118 | \$3,119,474 | \$18,069,168 | \$12,711,532 |
| 2017 | \$35,000,000 | 117 | \$4,955,926 | \$24,190,027 | \$5,827,079 |

C. Minimum/Maximum Award Information

Per the chart below, you must base your request for positions on the number of **occupied ACC/NAHASDA-assisted units as of September 30, 2020 in the developments that you are proposing to serve by the ROSS-SC**. In order to be eligible for funding, all applicants must propose to serve a minimum of 50 units on the HUD-52768 (Part II).

| Number of PHA/tribe/TDHE Units | Max # of ROSS-SCs | Max Grant |
|---------------------------------------|--------------------------|------------------|
| 50-1,000 | 1 | \$239,250 |
| 1,001-2,500 | 2 | \$478,500 |
| 2,501 or more | 3 | \$717,750 |

1. Salary Comparability Information: Award amounts will vary depending on HUD's evaluation of information provided in applicants' salary requests for the Service Coordinator positions. Applicants must request funding that is commensurate with local wages for professions comparable to that of a ROSS-Service Coordinator and submit salaries for three comparable positions from different employers by completing the HUD-52768 form. **NOTE:** A salary request will be considered commensurate if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. We encourage applicants to use the CareerOneStop salary finder (<https://www.careeronestop.org/Toolkit/Wages/find-salary.aspx>), but this tool can only be used as documentation for **one** of the three comparable salaries. Please see Section IV.B.2.c for salary comparability information requirements. Note that if an applicant is selected as a ROSS-SC grantee under this NOFA, the service coordinator(s) hired must have similar education and qualifications to the comparable positions

or professions used to assess whether a salary request is commensurate with local wages.

2. To promote the most efficient, effective and timely use of ROSS program funds, HUD is implementing the following changes for applicants:

a. Unexpended Balance Threshold: Renewal applicants that have an unexpended balance of 60% or more of their FY17 ROSS grant funds by the application deadline are ineligible for FY20 ROSS funding. In addition, ROSS-SC grantees that received ROSS-SC funding prior to FY17 are ineligible for FY20 ROSS funding as new applicants if they have a remaining balance of 40% or more of their pre-FY17 ROSS-SC grant(s). These applications will not be reviewed.

b. Reduced Awards: HUD reserves the right to adjust requested funding amounts downward as determined necessary by HUD, in its sole discretion, based on an applicant's demonstrated financial need, capacity, and prior performance. In reducing the FY20 award amount, HUD may take into consideration the applicant's award balance, grant term end date, and any grant extension(s) on the FY17 or prior ROSS grants that may have been provided, among other factors. Please see section V.A.2 for more information.

c. Unexpended Funds: HUD encourages ROSS applicants to expend all FY17 or prior ROSS funds awarded by the end of their grant term. This will avoid any further delays to the start of their FY20 grant since FY20 grantees cannot expend funds from FY17 (or prior) and FY20 ROSS-SC grants at the same time.

Estimated Total Funding:

\$ 35,000,000

Minimum Award Amount:

\$ 100,000

Per Project Period

Maximum Award Amount:

\$ 717,750

Per Project Period

D. Period of Performance

Estimated Project Start Date:

04/15/2021

Estimated Project End Date:

04/14/2024

Length of Project Periods:

36-month project period with three 12-month budget periods

Length of Periods Explanation of Other:

Grant Extensions. Requests to extend the grant term beyond 36 months must be submitted in writing to the local HUD Field Office or area ONAP at least 60 days prior to the end of the grant term. Denials of extension requests are reserved for HUD Headquarters. NOTE: Grantees who receive extensions may receive unfavorable evaluations as part of reviews of future ROSS

applications. Grant extensions may also affect future award amounts. Requests for grant extensions will be examined closely and are highly discouraged.

E. Type of Funding Instrument.

Funding Instrument Type:

G (Grant)

Funding will be disbursed through HUD's Line of Credit Control System (LOCCS), in accordance with each successful applicant's executed Grant Agreement. All ROSS grantees are required to establish an account and drawdown funds utilizing LOCCS. LOCCS is HUD's primary grant and subsidy disbursement system that disburses and tracks the payment of grant funds to grantees. Grantees must access and manage their grant funds through an internet version of LOCCS called eLOCCS. Additional terms and requirements of the grant will be specified in the Grant Agreement.

All current grantees should have already obtained access to LOCCS. Obtaining access to LOCCS requires HUD approval and can be a lengthy process. If your agency does not currently have LOCCS access, we encourage you to begin the process as soon as possible, in the event that your agency is awarded funds under this NOFA. Should you not receive LOCCS approval in sufficient time, you could potentially face a lapse in availability of ROSS service coordinator funding. For more information about gaining access to LOCCS, please visit http://portal.hud.gov/hudportal/HUD?src=/program_offices/cfo/locss_guidelines, or contact the Office of the Chief Financial Officer, User Support Branch at 1-877-705-7504 (toll free).

Grantees should also review the eLOCCS User Guide:

(http://portal.hud.gov/hudportal/documents/huddoc?id=eloccs_registration_guide.pdf) for information on the steps needed to gain access to eLOCCS through HUD's Secure Systems platform. For additional information, please contact your local field office (or Area ONAP) representative, or the Office of the Chief Financial Officer, User Support Branch at 1-877-705-7504 (toll free).

When completing the LOCCS Access Authorization Form (HUD 27054), please indicate "ROSS" in section 5a (LOCCS Program Area) and "Resident Opport and Self Sufficiency" in block 5b (Program Name).

Please be reminded that there will be no amendment to any successful applicant's Annual Contributions Contract, and HUD's Financial Management Center will not disburse funding increments.

F. Supplementation.

For this NOFA, sub-section "F. Supplementation" is Not Applicable

III. Eligibility Information.

A. Eligible Applicants.

Native American tribal governments (Federally recognized)
Public housing authorities/Indian housing authorities

Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education
Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education
Others (see text field entitled "Additional Information on Eligibility" for clarification)

Information on Eligible Applicants

Resident Associations (RAs) are also eligible to apply. RAs and non-profit applicants that are not RAs must have either locally-incorporated nonprofit status (usually designated by the state) or 501(c)(3) nonprofit status designated by the IRS. All applicants with nonprofit status must submit documentation attesting to their nonprofit status. See "Definitions" for more information.

Indian Tribes as defined in Section 4(13) of NAHASDA are eligible to apply for FY20 ROSS funding. **Tribally-designated housing entities (TDHEs)** as defined in section 4(22) of NAHASDA (25 U.S.C. 4103) are also eligible to apply for FY20 ROSS funding.

For-profit entities **are not** eligible to apply.

EDSC Provision: PHAs that are currently eligible to receive annual funding under the Elderly/Disabled Service Coordinator (EDSC) program from the Public Housing Operating Fund that apply to serve elderly/disabled residents through this NOFA will forgo all future eligibility for EDSC funding through the Operating Fund. If you are receiving EDSC funds, you may apply to serve families only on the HUD-52768 to not risk your EDSC funding. To confirm if your PHA is affected by this EDSC provision, please see the list of PHAs that are eligible to receive EDSC funding: <https://www.hud.gov/sites/dfiles/PIH/documents/CY2020-EDSC-List.pdf>.

B. Ineligible Applicants.

Any applicant that is not a Public Housing Authority, Tribe/TDHE, Resident Association, and/or Non-Profit organization is ineligible for ROSS funding. In addition, any applicant that is not a renewal or new applicant (see definitions) is ineligible for FY20 ROSS funding.

C. Cost Sharing or Matching.

This Program requires cost sharing or matching as described below.

The required match is 25 percent of the total requested in ROSS grant funding. Please see section III.D.3 for more information on what is necessary to satisfy the match threshold.

D. Threshold Eligibility Requirements.

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

1. Outstanding civil rights matters must be resolved to HUD's satisfaction prior to grant award, provided that all applicable legal processes have been satisfied.

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

3. Match

a. The purpose of the match is to ensure your ROSS program includes committed partners who are able to address the assessed needs of residents. All applicants are required to have in place a firmly committed match contribution equivalent to 25 percent of the total grant amount requested in order to be considered for funding. **The 25% match is a non-curable threshold requirement.** The match may be provided as a cash or in-kind donation. Resources/in-kind services that can be committed include: in-kind services provided to the applicant; funds from federal sources (not including ROSS or public housing funds) that by statute allow those funds to be used for matching purposes, including, for example, Community Development Block Grant (CDBG) funds or Indian Housing Block Grant (IHBG) funds; funds from any state or local government sources; and funds from private contributions.

In the past, applicants were required to identify match funds on the HUD-52769 form. However, this form is no longer utilized with this NOFA. The HUD-52768 form has been revised to require submission of match information from applicants; match amounts must be included in this form. Applicants must maintain all letters from partners attesting to match contributions (please see Section IV.B for additional information on required forms). Applicants contributing their own resources to the match, in whole or in part, must also write a letter attesting to the match contribution they are making and keep it on file. **NOTE: At any time during the grant term, HUD may ask to review match letters as well as a log of actual match contributions used.**

Match may be for the value of services provided by partner organizations as well as for the eligible activities under this grant (e.g. salary, fringe, administration and training). The value of non-public housing space provided for activities related to carrying out the ROSS-SC program may be counted towards the value of match. The value of public housing resources provided to support the ROSS-SC program cannot be counted toward the value of match. See 2 CFR 200.306 for more information about matching requirements.

b. Things to remember when preparing to submit your match information:

- The match certification on the HUD-52768 must be signed by the applicant's Executive Director, Resident Association Board President, Tribal Chairman or other person authorized to make the stated commitment and/or attest to the match contribution from other partners.
- Joint applicants must together have at least a 25 percent match.
- **The value of the volunteer time and/or services** your partners are contributing shall be computed by using the normal professional rate for the local area or the national minimum wage rate (\$7.25) multiplied by the number of staff to be provided to the grant, multiplied by the total number of hours, multiplied by the number of years the commitment will be provided. **(Example:** $(\$7.25 \text{ per hour}) \times (2 \text{ volunteers}) \times (50 \text{ total hours per year}) \times (3 \text{ years}) = \$2,175$. This calculation must be in the match letter(s).
- **The value of any donated material, equipment, building space, or lease**, shall be provided in a letter from the organization making the donation. The letter must state the value of the contribution **and** the duration of the commitment. **(Example:** community center space monthly rent valued at: $\$1000 \text{ per month} \times 12 \text{ months} \times 3 \text{ years} = \$36,000$).

- For in-kind match based on participants served, the calculation should be: __ number of residents x __ cost of program per resident per year x __ years of grant = total commitment.
- For cash match, the source and type of the funds must be clearly stated but calculations are not necessary.

c. Content of Match Letters:

Match donations must be firmly committed, explicit, in writing on the organization's letterhead, and signed by a person authorized to make the commitment on behalf of the donor organization. The match letters must be kept on file for verification and audit purposes. The letters of commitment/MOUs/tribal resolutions must:

- Demonstrate that the match is firmly committed. "Firmly committed" means that the funding amount and its dedication to the ROSS-SC program is explicit;
- Contain the total dollar value of the commitment, per year of the grant and total commitment being provided for the grant term;
- Include a calculation to show how the value of the commitment was derived (see example provided above pertaining to calculating volunteer time) and donations based on the number of participants to be served;
- Be dated between the publication date of this NOFA and the application deadline for this NOFA, or any amended deadline; and
- Indicate how the commitment will relate to the proposed program. If the commitment is in-kind, the letters should explain exactly what services or material will be provided. The commitment must be available at time of award.
- **NOTE:** Applicants proposing to use their own, non-ROSS or non-public housing grant funds to meet the match requirement, in whole or in part, must also have a letter of commitment indicating the type of match (cash or in-kind), the source of the match, the value of the match, and how the match will be used. The same specifications above apply to match letters submitted by applicant organizations.

d. Completing the HUD-52768 for Match

The source of funds for each match commitment must be identified on the HUD-52768 form. *If the applicant itself is proposing to provide the match, the applicant must indicate the funding source on the HUD-52768. Applicants should ensure that the area of need(s) the applicant will address have firmly committed partners and match. By signing the HUD-52768 applicants are certifying that their commitments will be available for the full three-year grant term.*

Submission of a completed HUD-52768 is a non-curable threshold requirement. Please see sample excerpted from the HUD-52768 below:

| Need of Residents | Service to be Provided | Source of Match | Value of Match |
|--------------------------|-------------------------------|------------------------|-----------------------|
| Employment | Job Readiness Training | Tech for Adults | \$5,000 |
| Education Attainment | GED Classes | JOY Community College | \$10,000 |
| Financial Literacy | Financial Coaching | Boys & Girls Club | \$7,000 |

Please note that applicants are no longer required to identify a minimum of ten (10) need

categories. However, applicants must ensure that the need(s) identified in the resident needs assessment are closely linked to the proposed services and contributions the match partners will be providing. Please see section III.F.2 for more information.

4. Letters of Support for Non-Profit Applicants.

If you are a nonprofit organization or you are not a site-based RA, you must include a letter of support from either the Public Housing Authority, the RA, and/or tribe/TDHE(s) you intend to serve. This is a non-curable threshold requirement. If support letters are missing, they shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria are missing from the letter(s), they shall not be requested as part of the deficiency process. **NOTE: If you are applying to serve a Resident Association, the letter of support is a non-curable threshold requirement.** All letters of support from PHAs, RAs, tribes/TDHEs must:

- a. Be signed by an authorized representative of the supporting organization;
- b. Be dated between the publication date of this NOFA and the application deadline published in this NOFA, or any amended deadline;
- c. Indicate the number of eligible units at the PHA (or the number of eligible units represented by the RA, in the case of RA support letters);
- d. List the project names (and/or Project number(s), where applicable) of the Projects to be served and the total number of units to be served;
- e. Describe to what extent the PHA/tribe/TDHE/RA is familiar with your nonprofit organization and indicate their support for your application; and
- f. Include contact information and the name and title of the person authorized to sign for the PHA, Tribe/TDHEs, and/or RA.

5. Letter of Support for Joint Applications

Lead applicants must obtain a letter of support from each joint applicant they intend to serve. The letter(s) must be dated between the NOFA publication date and application due date. **This is a non-curable threshold requirement.** If support letters are missing, they shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria are missing from the letter(s), they shall not be requested as part of the deficiency process. The letters must be on agency letterhead and indicate:

- a. Be signed by an authorized representative of the supporting organization;
- b. Be dated between the publication date of this NOFA and the application deadline published in this NOFA, or any amended deadline;
- c. Indicate the number of eligible units at the PHA (or the number of eligible units represented by the RA, in the case of RA support letters);
- d. List the project names (and/or Project number(s), where applicable) of the Projects to be served and the total number of units to be served;
- e. Describe to what extent the lead applicant is familiar with your PHA/tribe/TDHE/RA and indicate how lead and joint applicants will work together; and
- f. Include contact information and the name and title of the person authorized to sign for the PHA, Tribe/TDHEs, and/or RA.

6. Non-Profit Status.

All RAs and non-profit organizations must either be a locally-incorporated non-profit (usually designated by the state or tribal government) or a 501(c)(3) non-profit designated by the IRS by the application deadline of this NOFA. Obtaining non-profit status by the application deadline of this NOFA is a threshold requirement for all RAs and non-profit applicants. **Lacking nonprofit status by the application deadline is a noncurable deficiency.** If a RA or non-profit applicant lacks non-profit status, as defined above, at the time of the application deadline, their application will be deemed ineligible.

Renewal applicants must certify that their non-profit status is current and in good standing by using the HUD-52768 form. This information is a non-curable threshold requirement. This means that if a renewal nonprofit applicant does not provide this information on the HUD-52768, HUD will not be able to ask for clarification.

All new applicants must submit a copy of their 2018 or 2019 federal annual information return submitted to the IRS (for 501(c)(3) applicants) or the state or tribal equivalent annual return (for locally incorporated nonprofits). If no annual return exists, the new applicants must submit other documentation that verifies the non-profit status is active and in good standing. The submission of this documentation, but not the underlying non-profit status, is a curable requirement.

7. Contract Administrator.

All RA and Troubled PHA applicants must have a contract administrator. If the HUD-52755 form is not submitted as part of the application, it will not be requested during the deficiency period. **This is a non-curable threshold requirement.** Please see section III.F.1 for more information about the role of the Contract Administrator.

8. Narrative Statement:

All renewal and new applicants must submit a narrative statement. If the narrative statement is not submitted as part of the application, it will not be requested during the deficiency period. **This is a non-curable threshold requirement.** Narrative submissions must reflect the resident needs assessment findings; describe how community partners will help you address resident needs and meet your program's goals; describe characteristics that are unique to the community your application intends to serve, and meet other requirements as described in Section V.A. **Applications with narratives that are found to be repetitive of other applicants' narratives may not be considered or evaluated.** Please see Section V.A. for more information about what your narrative should include and information on page limits.

9. Unexpended Balance Threshold:

Renewal applicants that have an unexpended balance of 60% or more of their FY17 ROSS grant funds by the application deadline are ineligible for FY20 ROSS funding. In addition, previous ROSS-SC grantees that received ROSS-SC funding prior to FY17 are ineligible for FY20 ROSS funding as new applicants if they have a remaining balance of 40% or more of their pre-FY17 ROSS-SC grant(s). These applications will not be reviewed.

10. High-Risk Designation for Tribes.

In addition to meeting the requirements outlined above, a high-risk tribe or TDHE applicant must submit a detailed narrative that clearly addresses the corrective actions that have been put in place in response to their area ONAP's findings. Failure to demonstrate the corrective actions taken will result in the applicant's ineligibility for funding. This narrative may not exceed 5 pages (Times New Roman Font size 12, double spaced, one-inch margins) and is in addition to the narrative requirements outlined in section V.A.

NOTE: Please see section IV.B. for all required forms that must be submitted with your application.

E. Statutory and Regulatory Requirements Affecting Eligibility.

Eligibility Requirements for Applicants of HUD's Grants Programs

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

- Outstanding Delinquent Federal Debts
- Debarments and/or Suspensions
- Pre-selection Review of Performance
- Sufficiency of Financial Management System
- False Statements
- Mandatory Disclosure Requirement
- Prohibition Against Lobbying Activities
- Equal Participation of Faith-Based Organizations in HUD Programs and Activities

F. Program-Specific Requirements Affecting Eligibility.

1. Contract Administrator. All RAs and troubled PHA applicants must have a Contract Administrator. The Contract Administrator must assure that the financial management system and procurement procedures that will be in place during the grant term will fully comply with 2 CFR Part 200. Contract Administrators must also assist grantees in meeting HUD's reporting requirements. **However, Contract Administrators are expressly forbidden from accessing HUD's Line of Credit Control System (LOCCS) and submitting vouchers on behalf of grantees.**

PHAs applying jointly with a Resident Association may not serve as the Contract Administrator for the Resident Association. Similarly, if any applicant that is part of a joint application requires a Contract Administrator, the joint applicants must seek a Contract Administrator that is not part of their application.

Contract Administrators may be but are not limited to: local housing agencies; Public Housing Authorities (not troubled); community-based organizations such as community development corporations (CDCs), churches, temples, synagogues, or mosques; nonprofit organizations; or state/regional/local associations, agencies and organizations. Troubled PHAs are not eligible to be Contract Administrators. Organizations that the applicant proposes to use as the Contract Administrator must not violate or be in violation of other conflicts of interest as defined in 2 CFR Part 200 and in the Public Housing Annual Contributions Contract (for PHAs serving as Contract Administrators). HUD Field Offices will have final approval of Contract

Administrators.

Contract Administrators are not required for tribes. However, tribes that are considered high-risk according to 2 CFR 200.205 will have to comply with any special conditions outlined by the area ONAP pursuant to 2 CFR 200.207 prior to implementing their ROSS award.

2. Achieving Results and Program Evaluation: HUD requires that all applicants develop performance and outcome measurements that are focused on the areas of need they select in their application. The areas of need are designed to support residents' path towards economic stability and independence, or in the case of elderly/disabled residents assisting them to continue to age/remain in place. This NOFA provides a set of key performance indicators to be measured throughout the grant term. Please see Section III.F.11. If awarded FY20 funds, HUD will provide more information regarding effective evaluation of the FY20 ROSS program.

a. Assessing Needs of Residents: All applicants must complete a resident needs assessment for the project(s) included in their FY20 ROSS application. The purpose of the resident needs assessment is to inform the areas of need the applicant will be choosing to address in this application.

HUD encourages all applicants to use the needs assessment included with this NOFA. Please see Appendix B. If an applicant chooses to use any other needs assessment tool, the applicant must also attach the resident needs assessment tool with this application. All needs assessments must have been administered within the last 3 years. The results of the needs assessment must be included in the narrative statement for all applicants. Please see section V.A for more information.

The needs assessment must contain responses from at least 20% of the residents living in the project(s) you are applying to serve. The narrative should provide the total number of households along with the total number of respondents so the percentage can be independently verified by HUD reviewers. Applicants must ensure that the needs they propose to address in this application are representative of actual needs of the residents residing in the projects to be served. Once the needs are determined, applicants must use the HUD-52768 form to identify the resident need(s) their ROSS-SC(s) will address.

Grantees under this NOFA will be required to administer an additional needs assessment during the course of implementing the ROSS program as prescribed by HUD.

b. Evaluation Tool: HUD requires applicants to develop an effective, quantifiable, outcome-oriented plan for measuring performance and determining whether goals have been met. All FY20 ROSS grantees will report their performance data through the Standard for Success framework. The framework's main tenets are: (1) standardization of data elements, measures, definitions, metrics, and reporting periods across HUD programs; (2) alignment of programmatic data elements and measures with higher-level agency priority goals and objectives; and (3) the utilization of record-level reports for greater analysis and responsiveness of programs. HUD will provide more information on the reporting tools all grantees will have the option to use as part of the Standard for Success framework and the required data elements all grantees must use to

report. For more information on Standard for Success, please visit: <https://www.hudexchange.info/programs/standards-for-success/>.

3. Maximum Number of Applications (please see the chart in the Appendix to this NOFA for additional information):

- **PHAs:** may submit only one application, under the New or Renewal Category.
- **Tribes/TDHEs:** may submit only one application, under the New or Renewal Category.
- **Site Based RAs:** may submit one application.
- **Non-Site Based RAs (applying under 25% designation):** may submit one application.
- **Non-Site Based RAs (not applying under 25% designation):** may submit up to three applications under the new and/or renewal category. Applications submitted in the renewal category must be submitted on behalf of the same organization the applicant was funded to serve in 2017.
- **Non-profit Organizations that are not RAs:** may submit up to three applications under the New and/or Renewal Category. Applications submitted in the renewal category must be submitted on behalf of the same organization the applicant was funded to serve in 2017.

Please Note:

If you are a non-profit applicant that is not an RA or a non-site based RA (not applying under 25% designation) and you submit more than one application, each application must be complete in and of itself and each will be evaluated independently. Match commitments must be unique to each application. They must be separate, individualized, and non-duplicated.

4. Maximum Number of ROSS-SCs per application

Applicants must base the request for ROSS-SCs on the number of occupied ACC/NAHASDA-assisted units **as of September 30, 2020** in the project(s) the applicant intends to serve. All applicants must have a minimum of 50 ACC units to be eligible for ROSS-SC funding. The HUD-52768 must include the project name and/or number and the number of units for each project.

| Applicant type | Number of SCs |
|--|---|
| PHAs | Up to 3. |
| Tribes/TDHEs | Up to 3. |
| Site Based RAs | 1 |
| Non site-based RAs (i.e., city-wide, intermediary, and jurisdiction-wide) applying under the 25% RA set aside | 1 |
| Non site-based RAs (i.e., city-wide, intermediary, and jurisdiction-wide) not applying under the 25% RA set aside | Up to 3. |
| Nonprofit applicants that are not RAs | Up to 3 per application for a maximum of 9. |

NOTE: Site based and non-site-based RA applicants applying under the 25% set aside may only apply for one SC each.

5. Maximum Number of ROSS-SCs per PHA or Tribe/TDHE.

The maximum number of ROSS-SC positions that HUD will fund per PHA or Tribe/TDHE is three. This maximum depends on the number of occupied ACC units in the developments the applicant proposes to serve. If multiple applicants applying to serve the same PHA or Tribe/THDE submit applications that exceed the total number of ROSS-SC positions that the PHA or Tribe/TDHE is eligible for and all applications are deemed eligible, only the first chosen in the rating and ranking review will be funded (see Section V.A). If all applicants are in the same funding category and have the same score, HUD will use a lottery to choose the grantee (See Section V.B). Applicants should coordinate their application efforts in order to ensure that their applications do not exceed this cap.

6. Maximum Number of Applications per Project(s) to be served.

If more than one application proposing to serve the same project(s) is received, they will each be reviewed and, if each is deemed eligible, the applicant with the highest score will be chosen during the rating and ranking review. If all applicants are in the same funding category and have the same score, HUD will use a lottery to choose the grantee.

7. Joint applications

Two or more eligible organizations may collaborate to submit a joint application for proposed grant activities. However, joint applications must designate a lead applicant. The PHA (or other applicant type) listed first on the SF424 and HUD-52768 will be considered the lead applicant. In addition, the lead applicant must be registered with [Grants.gov](https://www.grants.gov) and submit the application using the [Grants.gov](https://www.grants.gov) portal. All members of a joint application are subject to the requirements of this NOFA, and the terms and conditions of the award. Lead applicants must ensure the following conditions are met:

- a. A letter of support from each joint applicant is included with the ROSS Application (see Threshold Requirements above).
- b. If the joint applicant is a Non-profit Organization or Resident Association, it must be either a locally incorporated non-profit organization or a federally-designated 501(c)(3) tax-exempt non-profit organization by the application deadline. By signing the HUD-52768 form, the lead applicant certifies that each joint applicant's non-profit status is in good standing.
- c. If the joint applicant is from a non-profit organization or Resident Association, a Certification of Consistency with the Consolidated Plan (see Section III.F) must be submitted for each PHA to be served.

NOTE: Applicants that are part of a joint application may not also submit separate applications as sole applicants under this NOFA.

8. Part-Time Service Coordinators. A part-time ROSS-SC may be retained where appropriate;

however, the 50-unit minimum to be served by the ROSS-SC remains the same. In addition, one or more PHAs may share a full-time position if that is deemed most appropriate for your program. More than one person may job-share a ROSS-SC position so that, for example, two part-time staff people may be hired to fulfill the duties of one full-time ROSS-SC. A full-time ROSS-SC staff person may not also serve the functions of a FSS or Jobs Plus coordinator.

9. Balance. All current ROSS-SC grantees should be expending their funds in a timely fashion (timely draw-downs occur on a monthly or two-month basis). While grantees may experience staff turnover or other challenges during the life of the grant that may impact the timely drawdown of funds, all grantees should ensure they are able to fill ROSS-SC positions in a timely manner so that there isn't a significant balance of their existing grant by the application deadline. This will also ensure that residents are being consistently served by the ROSS-funded SC. HUD permits a 60-day start-up time period. Therefore, HUD will base its evaluation of grantee performance and consistent draw-down of funds on a 34-month period.

10. Grant term. The term of the FY20 ROSS grant is 36 months. If awarded, the grant term will be indicated in the grant agreement. The grant term will not change even if the grantee does not start implementing the ROSS program by the start of the grant term. As indicated in paragraph 9 above, HUD will evaluate grantee performance on a 34-month period, allowing grantees a 60-day start-up period during which they will not be evaluated.

11. Areas of Need: Using the HUD-52768, each applicant may select three areas of need they will address. Applicants must select the area(s) of need they will be addressing based on the results of their resident needs assessment. For applicants who choose any of the following areas of need: Health and Wellness, Reentry, or Substance Abuse, must also select either Education, Employment, or Financial Literacy. Coordinators must work with service providers, partners, and other community resources to support each resident in achieving economic independence and stability. Each area of need has a set of goals and Key Performance Indicators (KPIs) that HUD will require each grantee to measure and work towards by the end of the grant term. Below is a list of preliminary goals and KPIs for each area of need. These KPIs may be subject to change. More information on measuring outcomes and evaluation will be provided to FY20 grantees.

a. Education: Coordinators will work with residents to achieve educational attainment and/or training levels that can prepare them for careers that pay a living wage (covering housing, healthcare, childcare, and food expenses).

KPIs:

- Residents without a High School Diploma or GED attain a High School Diploma or GED.
- Residents attaining a higher level of education or license/certification.
- Residents enrolled in educational or vocational program.
- Residents that attained a license/certification.
- Residents receiving education-related services.

b. Health & Wellness:

Coordinators will work with residents to help them overcome health (including behavioral and mental health) -related barriers that hinder educational, professional, and self-sufficiency goals and engage in properly supported pro-health activities.

KPIs:

- Residents without health insurance receive health insurance.
- Resident attends medical examinations at least once every 12 months.
- Residents receiving health-related services.
- Residents with fewer emergency room visits.

c. Reentry:

Coordinators will work with residents and/or their families who are involved with the justice system to ensure they are receiving the necessary legal aid services and other supportive services to help them meet their educational, professional, and self-sufficiency goals.

KPIs:

- Residents involved in the justice system receiving legal aid services.
- See education and employment.

d. Employment:

Coordinators will work with residents to gain employment with adequate pay and benefits and will connect residents to the supports they need in order to help them maintain employment for more than 12 months.

KPIs:

- Unemployed residents receiving employment.
- Employed residents retaining employment for more than 12 months.
- Residents with part-time employment obtaining full-time employment.
- Residents receiving employment related services.

e. Financial Literacy:

Coordinators will support residents in financial coaching and literacy so that the resident's household monthly expenses/debts do not exceed their monthly earned income and their earned income is enough to support housing, healthcare, childcare, and food expenses.

KPIs:

- Residents receiving Earned Income Tax Credit (EITC).
- Residents with no financial account receiving a financial account.
- Residents receiving financial management-related services.

f. Elderly/Disabled:

Coordinators serving elderly/disabled populations will work to coordinate services to enable residents to reach and maintain their desired level of independence and to help them continue aging/remaining in place thereby avoiding more costly forms of care.

KPIs:

- Residents receiving elderly/disabled related services.
- Residents receiving Supplemental Security Income and Social Security Disability insurance.
- See health and wellness.

g. Substance Abuse:

Coordinators will work with service providers to address residents' substance abuse through prevention and intervention services.

KPIs:

- Residents with drug or alcohol dependency are receiving substance abuse treatment.
- See health and wellness.

12. Other Barriers/Areas of Need:

In assisting residents move towards self-sufficiency, ROSS-SCs must ensure that barriers beyond the areas of need identified above are also being addressed. This includes but is not limited to:

- Lack of Digital Literacy and Access to the Internet** can be barriers to self-sufficiency. Therefore, all ROSS-SCs should assess residents' need for digital literacy training and whether they have affordable access to the Internet in their development. To address residents' needs in this area, ROSS-SCs can utilize ROSS administrative funds to cover costs associated with the procurement of computer software, equipment, and Internet connectivity for a centrally-located computer center. ROSS-SCs must coordinate related training that responds to residents' identified needs. Digital literacy and Internet access should support economic and workforce development, education, and health of residents. For resources to support your work, please visit: www.connecthomeusa.org/stakeholders.
- Access to Transportation:** Many residents without access to affordable transportation options may be unable to access resources to move their family towards economic self-sufficiency. ROSS-SC should work with community partners and local government so that residents have access to transportation to and from healthcare appointments, job training, educational services, and other services that support economic self-sufficiency.
- Access to Childcare Services:** ROSS-SC should ensure households with children have access to childcare services so they may achieve employment and/or educational goals.
- Serving Youth:** In addition to addressing barriers, ROSS-SC should consider ways to expand access to educational and employment services for youth living in HUD-assisted housing. This may include post-secondary education services, literacy skills training, and youth summer employment and/or apprenticeships.

13. Types of Services to be Coordinated. Services may include but are not limited to the examples below:

- Child Care Services;
- Adult Basic Education/Literacy Classes;
- High School/ GED Programs;

- d. Programs to assist residents complete the Free Application for Federal Student Aid (the FAFSA) for high school graduates interested in pursuing a college degree;
- e. Job Training and Skills;
- f. Digital inclusion activities, including assessing residents' needs for digital literacy training, affordable computer devices, and affordable Internet access and coordinating programs to address these needs;
- g. Financial Literacy;
- h. Healthcare Coordination;
- i. Assistance with activities of daily living for elderly/disabled;
- j. Meal Delivery Services. In the cases of the elderly or persons with disabilities, coordination of meal services to meet nutritional needs; and
- k. Employer Linkage and Job Placement.

This program requires a certification of Consistency with the Consolidated Plan under 24 CFR 91.2. This certification means the proposed activities in the application are consistent with the jurisdiction's strategic plan, and the location of the proposed activities is consistent with the geographic areas specified in the Consolidated Plan.

G. Criteria for Beneficiaries.

1. Eligible Participants. Participants assisted by ROSS-SCs must be public housing residents or NAHASDA-assisted housing residents. To the extent that other residents (e.g. Section 8) live at an assisted project, as may be the case in a Mixed-Finance public housing project, only the public housing or NAHASDA-assisted residents may be assisted by ROSS-SCs.

2. Eligible Projects. Only Public Housing, 1937 Act-assisted units developed by Indian Housing Authorities (Formula Current Assisted Stock, i.e. FCAS units) and NAHASDA-assisted projects may be served by ROSS grant funds. Other housing projects, including but not limited to private housing, federally insured housing, federally subsidized, or federally assisted (i.e., assisted under Section 8, Section 202, Section 811, Section 236), and others, are not eligible to participate in ROSS. *Applicants are not eligible to receive funding for projects that are currently being served by ROSS-SC grants awarded under the FY2018 or FY2019 competitions.*

3. Rental Assistance Demonstration (RAD) Conversions: Applicants may not apply to serve residents that reside in units that have received a RAD Commitment to enter a Housing Assistance Payment (CHAP) at the time of the application due date. If a RAD CHAP is received after the application deadline, a ROSS-SC may continue to serve those families. However, if units convert from public housing to Section 8 prior to the start of the grant term, those residents cannot be served.

When applying for ROSS grant funds under this NOFA, applicants should also take into consideration any plans they have to remove public housing units from their public housing inventories through one of the public housing "repositioning tools" other than through RAD (e.g., Section 18 disposition or Section 22 Voluntary Conversion). For non-RAD public housing removals, ROSS grants will not be able to continue to the extent the served residents cease to be public housing residents.

IV. Application and Submission Information.

A. Obtaining an Application Package.

Instructions for Applicants.

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

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

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. For example, a lack of available Internet access in the geographic area in which your business offices are located. Lack of SAM registration or valid DUNS is not good cause. If you cannot submit your application electronically, you must ask in writing for a waiver of the electronic grant submission requirements. HUD will not grant a waiver if HUD does not receive your written request at least 15 days before the application deadline and if you do not demonstrate good cause. An email request for a waiver received by HUD 15 days before the application is due will also be considered. If HUD waives the requirement, HUD must receive your paper application before the deadline of this NOFA. To request a waiver you must contact:

Name:

Email:

ROSS-PIH@hud.gov

HUD Organization:

PIH

Street:

451 7th Street, SW

City:

Washington

State:

DC DISTRICT OF COLUMBIA

Zip:

20410

B. Content and Form of Application Submission.

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

Submission of an application that is otherwise sufficient, under the wrong CFDA and Funding Opportunity Number is a curable deficiency.

1. Content.

| Forms/Assurances/Certifications | Submission Requirement | Notes/Description |
|---|---|---|
| Application for Federal Assistance (SF424) | Submission is required for all applicants by the application due date. | |
| Disclosure of Lobbying Activities (SFLLL), if applicable | HUD will provide instructions to grantees on how the form is to be submitted. | If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the applicant shall complete and submit the SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Applicants must furnish an executed copy of the Certification Regarding Lobbying prior to award. |
| HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report | HUD will provide instructions to grantees on how the form is to be submitted. | HUD instructions to grantees are provided by webcast, To view the webcast, click here. |
| HUD-52768 -ROSS-SC Application. | Required. Electronic | This form is a non-curable threshold requirement. If this form is missing, or key information is missing from the form, it cannot be requested by HUD during the deficiency or "cure" period. |
| HUD-52755 - Sample Contract Administrator Partnership Agreement | Required. | Having a Contract Administrator Partnership Agreement is a non-curable threshold requirement for all Resident Associations and PHAS-troubled PHAs. |

| Forms/Assurances/Certifications | Submission Requirement | Notes/Description |
|--|---|--|
| | | If the form is missing, or key information is missing from the form, it cannot be requested by HUD during the deficiency or "cure" period. |
| HUD-52753 - Certification of Resident Council Board of Election | Required | For RA applicants and non-profit applicants supported by an RA only. One certification is required from each RA applying or submitting a letter of support to a non-profit applicant. If RA applicants are submitting a joint application, one is needed for each RA applying. HUD may contact an applicant to clarify any items on this form and it will be treated as a curable deficiency. |
| Conducting Business in Accordance with Ethical Standards/Code of Conduct | Required, if applicable. | HUD may contact an applicant to clarify any items on this form and it will be treated as a curable deficiency. See: https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/conductgrants |
| HUD-52752 - Certification of Consistency with Indian Housing Plan | Required for tribes/TDHE applicants. | The name of the program is "ROSS Service Coordinators." HUD may contact an applicant to clarify any items on this form and it will be treated as a curable deficiency. |
| HUD-2991 - Certification of Consistency with the Consolidated Plan | For all applicants except for tribes, TDHEs, and nonprofits serving tribes/TDHEs. | If more than one PHA is to be served, there must be one for each PHA. The HUD-2991 must be signed by the city/county/parish entity that manages the Consolidated Plan used to access Community Development Block Grant Funds; OR, Instead of the HUD-2991, an applicant may include a copy of the signed PHA Certification of Compliance for their current Annual PHA Plan. HUD may contact an applicant to clarify items on this form |

| Forms/Assurances/Certifications | Submission Requirement | Notes/Description |
|--|--|--|
| | | and it will be treated as a curable deficiency. |
| HUD-2996 Opportunity Zone Certification | Preference Points | OZ form is available with the Application Package on grants.gov |
| Acknowledgment of Application Receipt (HUD2993), if applicable | This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission. | This form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission. |

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

a. Narrative Statement is required for all applicants and is a threshold requirement. **Failure to submit a narrative statement is not curable and shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria are missing, they shall not be requested as part of the deficiency process.** Narrative statements must be double-spaced, with one inch margins, and 12-point Times New Roman font. Applicants failing to submit a required narrative statement and/or missing key criteria shall be deemed ineligible for ROSS-SC funding. See section V.A.1 for more information on narrative statements.

b. Letter(s) of Support from the PHA, or Tribe/TDHE is required if you are a non-site-based RA or a nonprofit organization applying to serve a PHA, tribe/TDHE, or RA. **This is a non-curable threshold requirement.** If support letters are missing, they shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria are missing from the letter(s), the criteria shall not be requested as part of the deficiency process. Applicants failing to submit required letters of support and/or missing key criteria shall be deemed ineligible for ROSS-SC funding.

c. Letter(s) of Support from Joint Applicants.

Two or more eligible organizations may collaborate to submit a joint application for proposed grant activities. However, joint applications must designate a lead applicant. Lead applicants must obtain a letter of support from each joint applicant they intend to serve. The letter(s) must

be dated between the NOFA publication date and application due date. **This is a non-curable threshold requirement.** If support letters are missing, they shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria are missing from the letter(s), it shall not be requested as part of the deficiency process.

d. 2018 or 2019 annual Non-Profit (tax exempt) Information Return. All new applicants that are either a Resident Association and/or Nonprofit Organization must submit a copy of their 2018 or 2019 federal annual information return submitted to the IRS (for 501(c)(3) applicants); (<https://www.irs.gov/charities-non-profits/annual-reporting-and-filing>) or the state or tribal equivalent annual return (for applicants that are locally incorporated nonprofits). If no annual return exists, the new applicants must submit other documentation that verifies their non-profit status is active and in good standing. The submission of this documentation, but not the underlying non-profit status, is a curable requirement.

If you are a renewal applicant, you must certify on the HUD-52768 that your non-profit status is current and in good standing. This certification is a non-curable threshold requirement. Resident Associations and non-profit organizations that do not have a current non-profit status by the application deadline will be deemed ineligible for ROSS-SC funding.

2. Format and Form.

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

a. General. Please note that the application consists of the "application download" and the "instructions download." Forms referred to as "electronic" are part of the **application download** in Grants.gov, and forms referred to as "attachments" are part of the **instructions download** in Grants.gov. Use only the forms included in **both** the Grants.gov **application download** and **instructions download** for this funding opportunity to avoid using outdated forms. All narratives and forms requiring a signature that are not Grants.gov electronic forms must be *signed*, scanned, and attached to your Grants.gov application submission. *Narrative statements must be double-spaced, with one inch margins and 12-point Times New Roman font.* Please see Section V.A for page requirements.

b. SF- 424

Please observe the following guidance when completing the corresponding questions on the SF-424:

- Questions 2. - **Renewal** applicants should select the "continuation" box and "type of application." **New** applicants should select "new."
- Question 5a. - The Federal identifier in 5a. is the PHA number of each applicant (e.g. MD035 or AK002).
- Question 5b. - If you are a renewal applicant, you will insert the grant number on the grant agreement from your last grant (e.g., AZ004RPS008A006). If you are a new applicant, you will leave this blank.
- Question 8.d - When entering the applicant zip code, enter the 9-digit zip code.
- Questions 10, 11, 12 and 13 are pre-populated. Do not add anything or change anything.
- Question 14 - You should identify the city or State affected by the program. You do not need to attach anything additional.

- Question 15 - You may choose your title. However, we suggest using the name of the applicant plus ROSS (e.g. "Anytown PHA - ROSS-SC.")
- Question 16 - If the location of the applicant's office and the location of the housing that you will be serving is within the same Congressional District, you should include the same answer for both parts.
- Question 17 - Most applicants should indicate the period of performance dates, January 1, 2021 - December 31, 2024 (However, this is an estimate and the actual dates will be determined by the grant agreement).
- Question 18- Complete 18a which is the amount you are requesting from HUD in this FY20 ROSS application. 18b is the match. 18g is the total and will populate automatically.
- Question 19 - Select c. The Program is not covered by E.O. 12372.
- Question 21 - The Authorized Representative listed on the SF-424 of your application should be the Executive Director of your organization, or some other designated official of your organization who is authorized to make contractual agreements on behalf of your agency. This person should review and sign the grant application before it is submitted. Any changes to the Authorized Representative will delay award processing.

NOTE: Do not add attachments to the SF-424. Use the Attachments form in the electronic application (HUD-52768) to submit any attachments.

c. HUD- 52768. The HUD-52768 form, like the SF-424 will be completed electronically.

For Part II of the HUD-52768, 2nd column, "Project(s) to be Served": Those proposing to serve PHAs must list the Name **AND** 11-digit Project Number as identified in PIC **of each project you propose to be served by each ROSS-SC.** If the applicant proposes to serve different PHAs, list those PHAs as well and required project information as well. Applicants should consult the appropriate staff of the PHA for the project name and project number. For tribes/TDHEs funded through the United States Housing Act of 1937, list the 11-digit project code. For tribes/TDHEs with projects previously funded by NAHASDA, a project name is required. If there is not an official project name in use, please develop a unique project identifier that can be used in this application and future applications. This information is essential for the review of your application.

The number of occupied units corresponding to the projects to be served in Part II of this form will determine the number of ROSS-SC positions you are eligible for. Please see Section II.C of this NOFA for more information.

Part III of this form has been added for applicants to enter salary comparability information. Do not submit any other documentation to show salary comparability. Applicants must base their ROSS-SC salary request (including fringe) on salaries for similar professions in their local area. Similar positions are those whose responsibilities reflect the responsibilities of a ROSS-SC. Examples include, but are not limited to: community and social service specialists, community outreach specialist, resident services coordinators. The information must come from 3 different employers and must not be based on data prior to 2019. **An applicant will be considered ineligible if salary comparability information is not from 3 different employers.**

If applicable, an applicant may use the wages it pays its own workers in similar positions as **one** of the comparable salaries it provides. The online resource, CareerOneStop salary finder (<http://www.careeronestop.org/toolkit/wages/find-salary.aspx>), or any other online resource may be used as the basis for only one of the three comparable salaries. **We highly encourage all applicants to use CareerOneStop as one of their comparable salary submissions.** If using CareerOneStop, use "community and social service specialist" as the job title to find salary comparability information. Applicants may also seek assistance from their local Workforce Investment Board (WIB) in completing the salary comparability information. Applicants located in remote areas, such as tribal areas, that are unable to find reliable salary comparability information for such areas, may use the comparability information from nearby metropolitan areas. [CareerOneStop.org](http://www.careeronestop.org) does not include fringe benefits. If you choose to use CareerOneStop or any other online source that does not include fringe benefits, you will need to use another source (other than the two additional sources of salary comparability information) for fringe benefits. In such cases, include both sources in the "source" box and include the information for the Point of Contact (POC) for that second source, if the second source is not online. The POC information (name, email, and telephone) may remain blank only if the applicant is using CareerOneStop or any other online source as the basis for one of the comparable salaries and fringe. The POC information must be completed in all other cases.

A proposed salary request will be considered comparable if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. Salaries requested that are not supported by salary comparability submissions, as noted above, are subject to reductions (including denial of an award) without further notice to eligible applicants prior to the award announcement. Note that if an applicant is selected as a ROSS-SC grantee under this NOFA, the service coordinator(s) hired must have similar education and qualifications to the comparable positions or professions used to assess whether a salary request is commensurate with local wages. See Section III.D.3.d for completing Part IV (Match) on the HUD-52768. When completing this form, make sure you attach all forms that are applicable to you.

C. System for Award Management (SAM) and Dun and Bradstreet Universal Numbering System (DUNS) Number.

1. SAM Registration Requirement.

Applicants must be registered with <https://www.sam.gov/SAM> before submitting their application. In addition, Applicants must maintain an active SAM registration with current information while they have an active Federal award or an application or plan under consideration by HUD.

2. DUNS Number Requirement.

Applicants must provide a valid DUNS number, registered and active at <https://www.sam.gov/SAM>, in the application. DUNS numbers may be obtained for free from Dun & Bradstreet.

3. Requirement to Register with Grants.gov.

Anyone planning to submit applications on behalf of an organization must register at grants.gov and be approved by the EBiz POC in SAM to submit applications for the organization. Registration for SAM and grants.gov is a multi-step process and can take four (4) weeks or

longer to complete if data issues arise. Applicants without a valid registration cannot apply through grants.gov. Complete registration instructions and guidance are provided on grants.gov.

D. Application Submission Dates and Times.

Application Due Date Explanation

The application deadline is 11:59:59 pm Eastern Standard time on

11/19/2020

Applications must be received no later than the deadline.

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

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

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

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

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

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

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

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

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

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

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

In determining whether to grant a request for an extension based on a presidentially-declared disaster, HUD will consider the totality of the circumstances including the date of an applicant's extension request (how closely it followed the basis for the extension), whether other applicants in the geographic area are similarly affected by the disaster, and how quickly power or services are restored to enable the applicant to submit its application.

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

1. Amending or Resubmitting an Application.

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

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

2. Grace Period for Grants.gov Submissions.

If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of 24 hours after the application deadline to submit a corrected, received, and validated application through Grants.gov. The date and time stamp on the

Grants.gov system determines the application receipt time. Any application submitted during the grace period not received and validated by Grants.gov will not be considered for funding. There is no grace period for paper applications.

3. Late Applications.

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

4. Corrections to Deficient Applications.

HUD will not consider information from applicants after the application deadline. Before the deadline, HUD may contact the applicant to clarify information submitted.

HUD will uniformly notify applicants of each curable deficiency. A curable deficiency is an error or oversight that, if corrected, would not alter, in a positive or negative fashion, the review and rating of the application. See curable deficiency in the definitions section (Section I.A.3.). Examples of curable (correctable) deficiencies include inconsistencies in the funding request and failure to submit required certifications. These examples are non-exhaustive.

When HUD identifies a curable deficiency, HUD will notify the authorized representative by email. This email is the official notification of a curable deficiency. Each applicant must provide accurate email addresses for receipt of these notifications and must monitor their email accounts to determine whether a deficiency notification has been received. The applicant must carefully review the request to cure a deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

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

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

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

5. Authoritative Versions of HUD NOFAs. The version of these NOFAs as posted on Grants.gov are the official documents HUD uses to solicit applications.

6. Exemptions. Parties that believe the requirements of the NOFA would impose a substantial burden on the exercise of their religion should seek an exemption under the Religious Freedom Restoration Act (RFRA).

E. Intergovernmental Review.

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

F. Funding Restrictions.

1. Reimbursement for Grant Application Costs. Grantees are prohibited from using ROSS grant funds to reimburse any costs incurred in conjunction with preparation of their ROSS application.

2. Covered Salaries. This program will fund up to \$70,000 in combined annual salary and fringe benefits, meeting the requirements of 2 CFR 200.431, for each eligible full-time ROSS-SC position. Grant awards may support up to three coordinators depending on size and type of applicant. Applicants may only request \$70,000 if comparable professions in their area support this salary level and if the salary comparability information on the HUD-52768 meets the requirements stated in IV.B.2.c. of this NOFA. Applicants may propose a part-time coordinator at a lesser salary. However, part-time coordinators must still serve the minimum number of units (50). More than one person may job-share each position. Grantees are expected to pay their Service Coordinator the amount HUD funded for salaries and fringe benefits. Funds for the salaries of the ROSS-SCs may not be used to supplement salaries of other grantee staff members. NOTE: If an applicant is selected as a ROSS-SC grantee under this NOFA, the service coordinator(s) hired must have similar education and qualifications to the comparable positions or professions used to assess whether a salary request is commensurate with local wages.

3. Training/Travel. This program will cover up to \$2,500 per year per ROSS-SC position for pertinent training and associated travel. Training and Travel funds are allocated to support the training and related travel needs of the ROSS-SC. All training and associated travel must be pre-approved by the local HUD Field Office or Area ONAP. A part-time ROSS-SC will be entitled to the full amount of training/travel funds.

4. Administrative Costs. The maximum funding for administrative costs will be no greater than 10% of the requested salary/fringe and training/travel amounts per ROSS-SC position. For example, if an applicant requests \$217,500 for salary/fringe and training costs, the applicant may request up to 10% of \$217,500 for administrative costs. See example below:

Salary and Fringe Amount:

\$70,000 (max salary/fringe per year) *multiplied by* 3 (number of years of grant term) = \$210,000 (total salary/fringe amount).

Training/Travel Cost Amount:

\$2,500 (training cost per year) *multiplied by* 3 (number years of grant term) = \$7500 (total training cost).

Administrative Cost Amount:

\$210,000 (total salary/fringe amount) + \$7500 (total training cost) = \$217,500 x 10% (Administrative cost percentage) = \$21,750 (administrative cost amount).

Total award amount is:

\$217,500 (total salary/fringe and training cost) *plus* \$21,750 (administrative cost) = **\$239,250**

(total award amount).

a. Administrative cost funds may be used for activities including but not limited to:

1. Administrative staff support such as a bookkeeper;
2. Local transportation by the ROSS-SCs;
3. Stipends for reasonable out-of-pocket costs incurred by the residents for such things as local transportation to and from job training and job interviews, supplemental educational materials, and limited child care expenses to assist participants attending a job training program or job interviews;
4. Tracking and evaluation;
5. Purchase of office furniture or office equipment and supplies;
6. Purchase of hardware and software to support ROSS participants' educational, financial, professional, and informational needs and goals. Such purchases may not be made for individual participants, but rather must be used in the Service Coordinator's office, or a PHA/tribe's community room or Neighborhood Networks/computer center;
7. Program outreach, printing and postage;
8. Utilities, including Internet connectivity costs;
9. Fees to support employment and education barrier removal for ROSS participants such as obtaining identification, occupational or driver's licenses, expunging, sealing, or correcting criminal records, and transportation to classes and/or job trainings;
10. Lease or rental of space for program activities, but only under the following conditions:
 - 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;
 - No repairs or renovations of the property may be undertaken with ROSS funds; and
 - 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.
11. Fees to support treatment for substance use disorders such as transportation to treatment.

5. Funding Requests Above Maximum Grant Amount. Applicants that request funding above the maximum grant amount that they are eligible to receive for any Budget Line Item will be given consideration only for the maximum amount for that Budget Line Item, or in the case of salaries, no more than 10% above the average of the three salaries submitted for comparability purposes.

6. Ineligible Activities/Costs. Grant funds may not be used for ineligible activities.

- a. Funds may not be used for any activities other than the salary and fringe benefits of ROSS-SCs, related administrative costs, and associated training and travel activities.
- b. Funds under this NOFA may not be used to pay the salary of a Family Self-Sufficiency (FSS) coordinator for any FSS program. The funding for FSS program coordinators is made available through a separate NOFA.
- c. If, upon review, the Field Office or Area ONAP determines that funds have been used for ineligible activities, the grantee will be required to repay those funds, and the remaining grant funds may be recaptured.
- d. ROSS funds cannot be used to hire or pay for the services of a Contract Administrator.

e. Administrative funds may only be used to support the ROSS program. A grantee's Central Office Cost Center may not use ROSS administrative funds to cover other grantee costs.

Indirect Cost Rate.

This program has received approval from the Secretary or delegate to deviate from a negotiated Indirect Cost Rate and OMB has been notified.

Awards under this NOFA may only fund direct costs, indirect costs may not be claimed.

G. Other Submission Requirements.

1. Application, Assurances and Certifications.

Standard Form 424 (SF-424) Application for Federal Assistance Programs is the government-wide form required to apply for Application for Federal Assistance Programs, discretionary Federal grants and other forms of financial assistance programs. Applicants for this Federal assistance program must submit all required forms in the SF-424 Family of forms, including SF-424B (Assurances of Non construction Programs) or SF424D (Assurances for Construction Programs). Applications receiving funds for both non construction programs and construction programs must submit both the SF-424B and SF-424D.

By signing the forms in the SF-424 either through electronic submission or in paper copy submission (for those granted a waiver), the applicant and the signing authorized representative affirm that they have reviewed the certifications and assurances associated with the application for federal assistance and (1) are aware the submission of the SF424 is an assertion that the relevant certifications and assurances are established and (2) acknowledge that the truthfulness of the certifications and assurances are material representations upon which HUD will rely when making an award to the applicant. If it is later determined the signing authorized representative to the application made a false certification or assurance, caused the submission of a false certification or assurance, or did not have the authority to make a legally binding commitment for the applicant, the applicant and the individual who signed the application may be subject to administrative, civil, or criminal action. Additionally, HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to federally recognized Indian tribes, and those applicable to applicants other than federally recognized Indian tribes. All program specific certifications and assurances are included in the program Instructions Download on Grants.gov.

Assurances. By submitting your application, you provide assurances that, if selected to receive an award, you will comply with U.S. statutory and public policy requirements, including, but not limited to civil rights requirements.

2. Lead Based Paint Requirements.

When providing education or counseling on buying or renting housing that may include pre-1978 housing, applicants must inform clients of their rights under the Lead Disclosure Rule (24 CFR part 35, subpart A), and, if the focus of the education or counseling is on rental or purchase of HUD-assisted pre-1978 housing, the Lead Safe Housing Rule (subparts B, R, and, as applicable, F - M).

V. Application Review Information.

A. Review Criteria.

1. Rating Factors.

The rating factors are divided into two sections: the first is for renewal applicants, and the second is for new applicants. Please read the sections below carefully for specific guidance on how to address the rating factors.

a. Renewal Applicants can receive a maximum of 45 points (excluding any applicable preference points). Renewal Applicants that meet all of the threshold requirements listed in this NOFA will go on to be scored. They will be ranked based on the total number of points allocated for each of the rating factors described below in this section. The page limit to address Rating Factors 1 and 2 is 5 pages. **Narrative statements over the 5-page limit will not be read.** (Narrative statements must be double-spaced, with one inch margins and 12-point Times New Roman font.)

RATING FACTOR 1 - RENEWAL APPLICANTS - PAST PERFORMANCE, MAXIMUM POINTS: 25

HUD will evaluate the extent to which the Renewal Applicant demonstrates past performance necessary to successfully implement the proposed activities in accordance with the program requirements. HUD's evaluation of the Renewal Applicant's capacity may include a capacity and past performance review by the local PIH Field Office or ONAP Area Office. HUD will review annual reporting materials submitted by the Renewal Applicant to HUD to determine whether the criteria outlined below have been met.

1. Capacity to Meet ROSS Program Requirements (15 points)

a. Achievement in Serving Residents (up to 10 Points). HUD will review applicants' annual reporting to determine the number of residents they have served during the grant term. Applicants that have not served at least 25 residents during the FY17 ROSS grant term will receive 0 points for this criterion. HUD will use personal identifiers, one of the required data elements submitted with the annual performance data report, to calculate the number of residents served. See point information below:

| Number of Coordinators Awarded in 2017 | Number of Residents Served under FY17 grant | Points |
|---|--|---------------|
| 1 | 25-49 | 5 |
| 1 | 50+ | 10 |
| 2 | 25-49 | 3 |
| 2 | 50-99 | 5 |
| 2 | 100+ | 10 |
| 3 | 25-49 | 1 |
| 3 | 50-99 | 3 |

| | | |
|---|---------|----|
| 3 | 100-149 | 5 |
| 3 | 150+ | 10 |

b. Timely Submission of Annual Reports (up to 5 points). Annual reporting (Performance Data and SF-425 financial statements) is due October 30 of every year. Applicants that have not submitted all the required reports for their FY17 ROSS grant by the report due date will receive zero points for this criterion. Applicants that submitted reports by the due date will receive full points.

2. Timely Use of Funds ROSS-SC Grant Funds (up to 10 points).

Renewal Applicants will receive up to 10 points based on the timely expenditure of FY17 ROSS-SC grant funds as described below. Additionally, Renewal Applicants' rating for this sub-factor will be used in the determination of any reduction in FY20 ROSS-SC award amounts as outlined below.

| Percent Unexpended FY17 ROSS-SC grant funds | Points Awarded | FY20 Funding Award Reduction Amount |
|--|-----------------------|--|
| 50-59.99% | 0 | 30% of FY17 ROSS grant unexpended balance at the application deadline. |
| 40-49.99% | 5 | 20% of FY17 ROSS grant unexpended balance at the application deadline. |
| 39.99% or less | 10 | No FY20 award reduction. |

3. Past Performance: In accordance with Section V.B., if your FY17 ROSS grant received additional conditions on the award or a grant suspension due to fiscal management and monitoring, audit findings, non-compliance with terms and conditions of the award and/or any other items, it will result in a 10 point reduction from your score earned in Rating Factor 1.

RATING FACTOR 2: RENEWAL APPLICANTS - SOUNDNESS OF APPROACH, MAXIMUM POINTS: 20

Applicants will receive up to 20 points for providing a clear written summary describing the results of the needs assessment they conducted in support of the application and how the applicant will address the identified needs. The results of the needs assessment must support the applicants' chosen area(s) of need: Education, Employment, Financial Literacy, Reentry, Health and Wellness, Elderly/Disabled, and/or Substance Abuse. The chosen area(s) of need must be clearly identified on the form HUD-52768.

The narrative must include:

- The Project names where the residents were surveyed. Applicants must ensure residents from each project to be served are represented in their needs assessment responses;
- Total number of households in each project to be served;
- Number of respondents and the response rate (number of respondents divided by number of households);

- Analysis of results. You may include charts;
- How you and/or your partners will address each selected area of need. Include detail on programming or any partnership agreements/commitments; and
- Capacity/experience of existing or proposed staff.
- How the staffing at your agency, including your organization's leadership, will support the ROSS program.

Fewer points will be awarded for Rating Factor 2 for lack of detail, if applicant and partner capacity/experience described is not comparable to the plans proposed in the application, or for otherwise not following the directions above. Applicants who fail to provide both a description summarizing the results of the needs assessment they conducted that support the chosen area(s) of need and a description of how the need(s) will be addressed will receive 0 points.

High-Risk Designation for Tribe. In addition to meeting the requirements outlined above, all high-risk tribes must submit a detailed narrative that clearly addresses the corrective actions that have been put in place in response to the area ONAP's findings. Failure to demonstrate the corrective actions taken will result in applicant's ineligibility for funding.

b. New applicants may receive up to 45 points (excluding any applicable preference points). All new applicants must submit a narrative statement addressing the criteria outlined below regarding relevant experience, capacity, and soundness of approach. HUD will evaluate information provided by applicants. If a new applicant has had previous Public & Indian Housing or other HUD awards, the review will also consider the past performance on these awards and whether the applicant adhered to grant and reporting requirements. Narrative statements must be no more than 10 pages, double-spaced, with one-inch margins and 12-point Times New Roman font and must address both rating factors below. **Narrative pages over the 10-page limit will not be read.**

RATING FACTOR 1: NEW APPLICANTS - PAST PERFORMANCE AND CAPACITY (maximum 5 pages), MAXIMUM POINTS: 25

HUD will evaluate whether new applicants (and their Contract Administrator, if applicable) have the relevant experience, capacity, and organizational resources necessary to successfully implement the ROSS program. Do not submit job descriptions or resumes. Do not submit Social Security Numbers of any personnel or consultants.

1. Describe experience with and capacity to manage multi-year grants that served public housing residents, Native Americans, and/or low-income residents within the past 5 years. Provide the grant name, grant year(s), source of funds, and grant amount(s) **(up to 5 points)**.

2. Describe experience and achievements in providing supportive services to public housing residents, Native Americans, and/or low-income residents within the past 5 years. Your narrative should specifically address the needs your program(s) were designed to meet and the achievements you attained. Descriptive and numeric information should be included in your response **(up to 5 points)**.

3. Provide examples of partnerships created with relevant entities and the services or

contributions they made to ensure supportive services were offered. (up to 5 points).

4. Describe staff experience with case management tracking at the individual client level and reporting on client progress relating to any supportive service programs your organization has managed within the past 5 years. Make sure to describe the data systems that have been used and staff positions responsible for tracking and reporting **(up to 5 points).**

5. Describe how your agency has recruited and retained residents in your supportive services programs. Include approaches to providing case management and engaging residents that may be unemployed, under-employed, youth, disabled, elderly, and multi-generational households **(up to 5 points).**

RATING FACTOR 2: NEW APPLICANTS - SOUNDNESS OF APPROACH (maximum 5 pages), MAXIMUM POINTS: 20

Applicants will receive 20 points for providing a clear written summary describing the results of the needs assessment conducted in support of the application and how the applicant will address the identified needs. The results of the needs assessment must support the applicant's chosen area(s) of need: Education, Employment, Financial Literacy, Reentry, Health and Wellness, Elderly/Disabled, and/or Substance Abuse. The chosen area(s) of need must be clearly identified on the form HUD-52768.

The narrative must include:

- The Project names where the residents were surveyed. Applicants must ensure residents from each project to be served are represented in their needs assessment responses;
- Number of households in each project to be served;
- Number of respondents and the response rate (number of respondents divided by number of households);
- Analysis of results. You may include charts;
- How you and/or your partners will address each selected area of need. Include detail on programming or any partnership agreements/commitments;
- How the staffing at your agency, including your organization's leadership, will support the ROSS program; and
- Capacity/experience of existing or proposed staff.

Fewer points will be awarded for Rating Factor 2 for lack of detail, if applicant and partner capacity/experience shown is not comparable to the plans proposed in the application, or for otherwise not addressing the directions above. Applicants who fail to provide both a description summarizing the results of the needs assessment they conducted that support the chosen area(s) of need and a description of how the need(s) will be addressed will receive 0 points.

2. Other Factors.

Preference Points.

HUD encourages activities in support of the Secretary's FY20 Initiatives. HUD may award up to two (2) points for any of the 3 preferences (OZ, PZ or HBCU).

Opportunity Zones.

Opportunity Zone (OZ) Certification and Supporting Documentation: Applicants proposing projects in an Opportunity Zone community must identify the state, county and census tract(s) of the opportunity zone(s) in which the activity will be carried out and provide certification to HUD in order to receive preference points. The certification must affirm that the investment is in a qualified Opportunity Zone, and be submitted as a supporting attachment on the applicant's letterhead with the application package. Applicants must also provide supporting documentation showing that the investment is in an Opportunity Zone. To view the list of designated Opportunity Zones, please see the following link on the U.S. Department of the Treasury website: <https://www.cdfifund.gov/Pages/Opportunity-Zones.aspx>. HUD encourages activities in Opportunity Zones. This form will be included as part of the grant application package on [grants.gov](https://www.cdfifund.gov/Grants) for all HUD grants that offer Opportunity Zone preference points. For Fiscal Year 2020, applicants will be required to complete and submit this form along with the SF-424 in order to be eligible for Opportunity Zone preference. Applicants who do not complete this form and submit it along with the rest of their application package will not be eligible to receive the points. Additionally, applicants who do complete and submit this form, but indicate they intend to use less than 50% of the award within Opportunity Zone tracts, will also be ineligible to receive preference points, unless: a.) the applicant can show why they are unable to expend at least 50% of the grant award within Opportunity Zone designated tracts, or b.) the applicant is able to make a compelling case for why the amount that will be expended will have a significant impact within Opportunity Zone designated tracts.

HBCU.

This program does not offer HBCU preference points.

Promise Zones

This program does not offer Promise Zone preference points.

B. Review and Selection Process.

1. Past Performance

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

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

Timely use of funds received from HUD;

Timely submission and quality of reports submitted to HUD;

Meeting program requirements;

Meeting performance targets as established in the grant agreement;

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

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

The number of persons served or targeted for assistance;

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

2. Assessing Applicant Risk.

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

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

Risk will be evaluated by way of the elements described in Sections III.C., III.D., and V.B.1 of this NOFA

3. Reviews: HUD will review each application to determine whether it meets eligibility and threshold requirements in accordance with Section III of this NOFA. HUD will review for curable technical deficiencies and will follow the procedures for correcting curable technical deficiencies in accordance with “Corrections to Deficient Applications” criteria in this section and section IV.D.4 of the NOFA. HUD will not rate or rank applications that do not meet the eligibility and threshold requirements or are deficient at the end of the cure period (Corrections to Deficient Applications). Such applications will not be eligible for funding. HUD will review and assign scores to applications (that meet eligibility and threshold requirements and have corrected any deficiencies) in accordance with the rating factors in Section V.A. Applicants that earn less than 30 points are not eligible for FY20 ROSS funding.

Eligibility:

| | |
|---|----|
| Minimum number of points for funding eligibility. | 30 |
| Maximum number of points for applicants. | 47 |

4. Funding Priorities. Funding for the ROSS-SC is prioritized as follows:

a. Funding Category 1: RA Applicants. By statute, and to the extent HUD receives enough qualified applications, 25% of all ROSS funds must be awarded to eligible RAs to fund one ROSS-SC position per RA. Renewal and new applicants that are RAs are included in this 25% set-aside. HUD will fund this category in ranked order starting with the highest review score. If there is not enough funding to award applicants with tied scores, HUD will conduct a lottery to establish the order of funding. Any RAs not funded in this set aside will be placed in the appropriate renewal or new funding category. Please note that a maximum of three site-based RA applications serving any one PHA (new or renewal applications) will be funded through this NOFA. If more than three site-based RA applications are received to serve the same PHA and are deemed eligible for funding, HUD will select the three applicants with the highest scores, all

others will be considered ineligible.

b. Funding Category 2: Renewal Applicants. After the RA 25% set-aside category is funded, qualified renewal applicants with FY17 ROSS grants will be funded. HUD will fund this category in ranked order starting with the highest review score. If there is not enough funding to award applicants with tied scores, HUD will conduct a lottery to establish the order of funding. Please note that renewal applicants may be subject to a reduced award. See Section V.A.1 above for more information.

c. Funding Category 3: New Applicants. After the RA 25% set-aside and renewal categories are funded, remaining qualified applicants that are new will be funded. HUD will fund this category in ranked order starting with the highest review score. If there is not enough funding to award applicants with tied scores, HUD will conduct a lottery to establish the order of funding. **NOTE:** Once an applicant or application is selected from the pool, it will not be reintroduced to the pool to deliberately avoid selecting the same applicant or application a second time.

5. Corrections to Deficient Applications

Please read this NOFA to ensure that you meet the requirements to successfully file an application with Grants.gov and register with SAM which requires a DUNS number. For more information about conditions that allow a grace period, please see Section IV.D.2.

If HUD finds a curable deficiency in an application, HUD will notify the applicant in writing describing the clarification or technical deficiency. Clarifications or corrections of technical deficiencies in accordance with the information provided by HUD in the email notification of a technical deficiency must be received by HUD within 7 calendar days of the date of the HUD email notification. HUD will use, as the start of the cure period, the date stamp on the email that HUD sends to the applicant. (If the deficiency cure deadline date falls on a Saturday, Sunday, or federal holiday, then the applicant's correction must be received by HUD on the next day that is not a Saturday, Sunday, or federal holiday). For more information on the procedures to correct a deficient application, including how to email or fax information required to resolve the deficiency, please see Section IV.D.4. "Corrections to Deficient Applications."

HUD will treat paper applications with the wrong DUNS number as a technical deficiency and the applicant will be able to provide a corrected SF-424 to the location indicated in the waiver approval within the cure period specified in the waiver approval and in accordance with the notification of the need to cure the application. Failure to correct the deficiency and meet the requirement to have a DUNS number and active registration in the System for Award Management (SAM) will render the application ineligible for funding.

Electronic filers that do not meet the registration requirements for a DUNS number and registration with SAM.gov (www.SAM.gov) will not be provided a cure period other than the timely receipt and grace period policy. The 10-day cure period for the ROSS-SC NOFA does not apply to DUNS numbers and registration requirements for electronic filers.

VI. Award Administration Information.

A. Award Notices.

Following the evaluation process, HUD will notify successful applicants of their selection for funding. HUD will also notify other applicants, whose applications were received by the deadline, but have not been chosen for award. Notifications will be sent by email to the person listed as the AOR in item 21 of the SF424.

Negotiation. After HUD has made selections, HUD will negotiate specific terms of the funding agreement and budget with selected applicants. If HUD and a selected applicant do not successfully conclude negotiations in a timely manner, or a selected applicant fails to provide requested information, an award will not be made to that applicant. In this case, HUD may select another eligible applicant. HUD may impose special conditions on an award as provided under 2 CFR 200.207:

- Based on HUD's review of the applicant's risk under 2 CFR 200.205;
- When the applicant or recipient has a history of failure to comply with the general or specific terms and conditions of a Federal award;
- When the applicant or recipient fails to meet expected performance goals contained in a Federal award; or
- When the applicant or recipient is not otherwise responsible.

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

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

- (1) Is not eligible for funding under applicable statutory or regulatory requirements;
- (2) Does not meet the requirements of this notice; or
- (3) Duplicates other funded programs or activities from prior year awards or other selected applicants.

b. If funds are available after funding the highest-ranking application, HUD may fund all or part of another eligible fundable application. If an applicant turns down an award offer, or if HUD and an applicant do not successfully complete grant negotiations, HUD may make an offer of funding to another eligible application.

c. If funds remain after all selections have been made, remaining funds may be made available within the current FY for other competitions within the program area, or be held for future competitions, or be used as otherwise provided by authorizing statute or appropriation.

d. If, after announcement of awards made under the current NOFA, additional funds become available either through the current appropriations, a supplemental appropriation, other appropriations or recapture of funds, HUD may use the additional funds to provide additional funding to an applicant awarded less than the requested amount of funds to make the full award, and/or to fund additional applicants that were eligible to receive an award but for which there were no funds available.

Funding Errors. If HUD commits an error that when corrected would cause selection of an applicant during the funding round of a Program NOFA, HUD may select that applicant for funding, subject to the availability of funds.

1. Award Announcements. HUD will make announcements of grant awards after the review

process is completed. HUD will first issue a press release which applicants may access by going to HUD's homepage at: www.hud.gov. Subsequently, grantees will be notified and will receive instructions regarding the steps they must take to access funding and begin implementing grant activities. Once HUD issues the Notice of Award in Grant Solutions, grantees will have up to 30 days to accept their award. If grantees fail to do so, they may risk forfeiting their award. Applicants who are not funded will also receive a letter via U.S. postal mail.

2. Debriefings. All applicants may request a debriefing related to their individual application. Applicants requesting to be debriefed must send an email to ROSS-PIH@hud.gov.

3. Appeals. If an applicant wishes to appeal the determination on their application, in accordance with the Office of Public and Indian Housing's policy, the applicant must submit a request that is received within 30 calendar days of the date on the award/ineligible letter. The applicant's request must include the basis for the appeal and must be sent via email to ROSS-PIH@hud.gov. In the event that HUD committed an error in funding, HUD may issue an award, subject to the availability of funds.

B. Administrative, National and Department Policy Requirements for HUD recipients

For this NOFA, the following [Administrative, National and Department Policy Requirements and Terms for HUD Financial Assistance Awards](#) apply. (Please select the linked text to read the detailed description of each applicable requirement).

1. Compliance with Non-discrimination and Related Requirements.

Unless otherwise specified, these non-discrimination and equal opportunity authorities and other requirements apply to all NOFAs. Please read the following requirements carefully as the requirements are different among HUD's programs.

- Compliance with Fair Housing and Civil Rights Laws, Which Encompass the Fair Housing Act and Related Authorities (cf. 24 CFR 5.105(a)).
- Affirmatively Furthering Fair Housing.
- Economic Opportunities for Low-and Very Low-income Persons (Section 3).
- Improving Access to Services for Persons with Limited English Proficiency (LEP).
- Accessible Technology.

2. Equal Access Requirements.

3. Equal Participation of Faith-Based Organizations in HUD Programs and Activities.

4. Participation in HUD-Sponsored Program Evaluation.

5. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

6. Drug-Free Workplace.

7. Safeguarding Resident/Client Files.

8. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L.109-282) (Transparency Act), as amended.

9. Accessibility for Persons with Disabilities.

10. Violence Against Women Act.

11. Conducting Business in Accordance with Ethical Standards/Code of Conduct.

12. Environmental Requirements.

In accordance with 24 CFR 58.34(a)(3), (a)(4), and (a)(9); 58.35(b)(2); and 50.19(b)(3), (b)(4), (b)(9), and (b)(12), activities funded under this NOFA are exempt or categorically excluded

from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to environmental review under related laws and authorities.

C. Reporting.

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

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

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

Grantees are not required to report using HUD-20761 form.

3. Program-Specific Reporting Requirements

Grantees are required to report annually. Specific guidance will be provided once awards are made.

D. Debriefing.

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

VII. Agency Contact(s).

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

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

Phone:

Email:

ROSS-PIH@hud.gov

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

VIII. Other Information.

1. National Environmental Policy Act.

A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR part 50, which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)).

The FONSI is available for inspection at [HUD's Funding Opportunities](#) web page.

2. Paperwork Reduction Act Statement. The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid OMB control number. Each NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

3. Web Resources.

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

APPENDIX

Appendix A - Eligibility Chart:

| Applicant type | Number of SCs | Number of Applications | Notes |
|-----------------------|----------------------|-------------------------------|--------------|
|-----------------------|----------------------|-------------------------------|--------------|

| | | | | |
|---|---|---|---|--|
| PHAs | Up to 3, depending on the number of occupied ACC units in the projects they propose to serve. | | 1 | These applicants may submit under either the new or renewal category. |
| Tribes/TDHEs | Up to 3, depending on the number of occupied NAHASDA-assisted units they propose to serve. | | 1 | These applicants may submit under either the new or renewal category. |
| Site Based RAs | | 1 | 1 | <ul style="list-style-type: none"> • These applicants may submit under either the new or renewal category. • A maximum of three site based Resident Associations serving the same PHA may be funded through this NOFA. • Site-based RA applicants may only apply for one SC. • All Site-Based RA applicants must submit a Contract Administrator Partnership Agreement (CAPA). |
| Non site-based RAs (e. g., city-wide, intermediary, and jurisdiction-wide) applying under the 25% RA set aside | | 1 | 1 | <ul style="list-style-type: none"> • These applicants may submit one application under either the new or renewal category for one SC. • All RA applicants must submit a CAPA. |

Non site-based RAs (i.e., city-wide, intermediary, and jurisdiction-wide) **not applying under the 25% RA set aside**

Up to 3 per application depending on the number of occupied ACC units in the projects they apply to serve.

1

Non-profit applicants that are not RAs.

Up to 3 per application for a maximum of 9.

Up to 3 total. Applications may be submitted under renewal and new categories for a total of 3 applications.

- These applicants may request more than one SC for PHAs, tribes/TDHEs depending on the project(s)' occupied unit count.
- Applications submitted under the renewal category, *must* be submitted on behalf of the same organization the applicant was funded to serve in FY17.
- All RA applicants must submit a CAPA.
- Applications submitted under the renewal category, *must* be submitted on behalf of the same organization the applicant was funded to serve in FY17.
- Non-profit applicants may apply with the support of a PHA or Tribe/THDE, or with the support of one or more RAs.
- Non-profit applicants applying with the support of a *site-based RA(s)* may

apply for up to one SC per RA (or set of RAs if combining RAs is required to achieve the minimum number of units (50) to be served) for a total of not more than three SCs per PHA.

- Non-profit applicants may apply to serve as many as 3 PHAs or tribes/TDHEs (up to 9 SCs), but must submit a separate application for each PHA or tribe/TDHE to be served unless they are proposing to split one SC's time between PHAs or tribes/TDHEs. In this case, one application may be submitted, but a letter of support from each PHA or tribe/TDHE (or RA at each PHA, tribe/TDHE) is required.

Appendix B - Sample Community Needs Assessment can be found here: <https://www.hud.gov/grants> and click on the FY20 ROSS NOFA.