



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

Housing

Supportive Services Demonstration for Elderly Households in HUD-Assisted Multifamily Housing

FR-5900-N-22

Application Due Date: 01/04/2016

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Signature

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Date

Supportive Services Demonstration for Elderly Households in HUD-Assisted Multifamily Housing

FR-5900-N-22

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

**Program Office:** Housing  
**Funding Opportunity Title:** Supportive Services Demonstration for Elderly Households in HUD-Assisted Multifamily Housing  
**Announcement Type:** Initial  
**Funding Opportunity Number:** FR-5900-N-22  
**Primary CFDA Number:** 14.191  
**Due Date for Applications:** **04/18/2016**

This NOFA announces the availability of funding of approximately \$15 million in funds under the Department's Fiscal Year 2015 Supportive Services Demonstration for Elderly Households in HUD-Assisted Multifamily Housing (herein referred to as the Demonstration). Funding made available under this NOFA must be used to fund supportive services, as detailed below, in eligible existing HUD-assisted multifamily developments targeted to elderly households. Applicants must address, as applicable, requirements established under both the General Section to the Department's Fiscal Year 2015 NOFAs for Discretionary Programs and this program NOFA.

HUD's investment under this Demonstration is intended to produce evidence about the impact of a supportive services model in existing assisted senior developments on:

- Aging in place;
- Transitions to institutional care; and
- Housing stability, well-being, health outcomes, and health care utilization (e.g., hospitalizations, emergency room visits) associated with nursing home placement and high health care costs.

**Eligible Applicants:** Only owners of eligible multifamily assisted housing, as defined in Section III.A.1 of this NOFA may apply.

**Supportive Services Model:** Properties that apply to this NOFA and are selected for the Treatment Group of the Demonstration will be required to implement the core components of the supportive services model. The core components include an on-site full-time Enhanced Service Coordinator and an on-site part-time Wellness Nurse who will work as a team to conduct need assessments and coordinate and connect residents to supportive services. See Section I.A.1.c of this NOFA for more detail about the core components of this Demonstration.

**FOR FURTHER INFORMATION CONTACT:** Please direct questions regarding the specific program requirements of this Program Notice of Funding Availability (NOFA) to the agency contact identified in Section VII. Please direct questions regarding the FY 2015 General Section to the Office of Strategic Planning and Management, Grants Management Division, at (202) 708-0667 (this is not a toll-free number). Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Relay Service at 1-800-877-8339.

### **Additional Overview Information**

1. Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains mandatory requirements for all applicants to HUD's various competitive grant programs, including this NOFA. Applications must meet all of the requirements of the General Section in addition to the requirements of this NOFA to be considered and potentially receive funding. The full title of the General Section is the General Section to the Fiscal Year 2015 NOFAs for Discretionary Programs. Copies are available at

2. OMB Approval Number(s):

2502-0447

## **I. Funding Opportunity Description.**

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

#### **1. Purpose.**

##### **a. Background**

The Fiscal Year 2014 Consolidated Appropriations Act provides the authority to develop a housing-with-services demonstration for low-income elderly to test models that demonstrate the potential to delay or avoid the need for nursing home care. The Demonstration is expected to produce evidence about the impact of a housing with services model on aging in place, transitions to institutional care, housing stability, well-being, health outcomes, and health care utilization associated with nursing home placement and high health care costs of HUD-assisted elderly residents.

##### **b. Evidence-Based Practices**

HUD and the U.S. Department of Health and Human Services (HHS) have been engaged in several research initiatives that have shaped and informed this Demonstration design. In 2010, HUD and HHS contracted a study to review case studies and develop a design for a seniors and services demonstration model intended to support aging in place. [1] HUD and HHS are also studying the impact of Vermont's Seniors and Services at Home (SASH) program. The program coordinates social and health services for seniors in affordable housing developments to measure the impact of SASH on resident health, health care utilization, and Medicare costs. [2] Finally, HUD and HHS contracted a study to test the feasibility of matching HUD data with Medicare and Medicaid claims data. [3] The pilot in twelve jurisdictions was successful and this experience will guide the housing and health data match for this Demonstration.

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[1] The seniors and services demonstration design initiative produced a literature review of models and best practices that can be found here: <http://aspe.hhs.gov/daltcp/reports/2012/ValueAdd.shtml>. It also produced a report describing the seniors and services demonstration design options that can be found here: <http://aspe.hhs.gov/daltcp/reports/2011/liaoDemo.pdf>.

[2] The SASH evaluation interim report is available here:  
<http://aspe.hhs.gov/daltcp/reports/2014/sash1.cfm>

[3] The final report describing the results from the HUD and Medicare and Medicaid data match can be found here: <http://aspe.hhs.gov/daltcp/reports/2014/HUDpic.shtml>.

##### **c. Core Components of the Demonstration.**

Under this Demonstration an Enhanced Service Coordinator and a Wellness Nurse will function as an interdisciplinary team to jointly meet residents' collective needs. The Enhanced Service Coordinator and Wellness Nurse team must be available to serve the entire resident population, addressing social resource and support needs, providing preventive health services and education, and acting as a liaison with primary care and service providers. Resident participation must be voluntary.

**NOTE:** Owners may not require residents, as a condition of admission or occupancy, to accept any supportive services.

The Demonstration has identified key components that selected properties will be required to incorporate. These components are considered critical to the Demonstration design because of their potential to

demonstrate the impact of targeted, coordinated housing, and health and long-term care services and supports on the outcomes of interest for low-income older adults in HUD-assisted housing. HUD will develop the core components of the Demonstration in more detail to assist Enhanced Service Coordinators and Wellness Nurses in understanding the roles and responsibilities. The core components include but are not limited to:

*(1) Enhanced Service Coordination role.* Across existing properties, service coordinators operate along a spectrum in terms of level of engagement with residents and service providers; some provide basic information and referral, while others offer more hands-on coordination assistance. To ensure optimal service delivery, the full time Enhanced Service Coordinators funded through this NOFA will be required to take on an enhanced role beyond traditional information and referral functions. The exact role of the Enhanced Service Coordinator in the Demonstration will be determined in collaboration with experts; however, HUD envisions that the Enhanced Service Coordinators will primarily be responsible for conducting supportive service needs assessments; identifying, accessing, and coordinating services; monitoring receipt and follow-through of services, and building partnerships and communicating with service partners. The function of the Enhanced Service Coordinators will assure that elderly residents obtain necessary supportive services from the community so that they are able to age in place.

**Note:** See Appendix A for Qualifications, Responsibilities, Functions & Administrative Requirements of the Enhanced Service Coordinator

*(2) Wellness Nurse presence.* The model will fund a part-time Wellness Nurse at 20 hours per week for 50-100 units at a reasonable. The Wellness Nurse will address the complex health-related issues that elderly low-income residents face in an easily accessible, stress-free environment. The nurse will have face-to-face interaction with residents to understand their situation, answer questions about self-management of the condition of their diseases, assist with medication self-management, assist with communication with physicians, and monitor residents following their return from a hospital or rehabilitation stay. In addition to one-on-one education, nurses will also provide group education sessions and programs, such as exercise programs that improve balance to reduce falls and self-care management programs related to chronic conditions.

**Note:** See Appendix A for Qualifications, Responsibilities, Functions & Administrative Requirements of the Wellness Nurse

*(3) Coordination and support of transitions from a hospital or nursing home back to the property.* The model is expected to follow standardized protocols to coordinate and support a timely, comprehensive response to care settings transitions, with the input of and in coordination with the Wellness Nurse, the Enhanced Service Coordinator, and the resident.

*(4) Assistance with medication self-management.* Another major focus of the model will be on improving resident skills and capacity for medication adherence. The Wellness Nurse will assess the medication self-management skills of residents and identify potential issues such as cognitive and physical ability to self-administer medications. Wellness nurses must not administer medication.

*(5) Falls prevention programs.* The model will include one-on-one assessments and evidenced-based education and interventions to improve balance, increase recognition of or identify fall threats, and prevent falls.

*(6) Mental health programs.* The model will include assessment of mental health needs and referrals to local resources to address some common issues that have been found among this population, such as depression, anxiety, and in some cases, serious mental illness.

*(7) Engagement with health care providers.* To the extent possible, the model will promote residents' engagement with health care providers, with medical home teams, and/or with other health care providers. Beyond the on-site nursing presence, the model is expected to promote direct engagement with health providers and/or medical home team. The model is expected to take advantage of initiatives

under the Affordable Care Act (ACA) and other health reform activities targeted to the high-risk and high-cost elderly population.

**(8) Partnership between housing, health care, and service providers or provider agencies.** At each site, the model will foster the collaboration between the housing provider and key partners for the Demonstration, such as Area Agencies on Aging (AAA)/ Aging and Disability Resource Center (ADRC), the local home health agency, the local mental health services agency, and other local health and/or service provider agencies. It is expected that these agencies will enter into a partnership agreement with the property and designate a representative who will meet monthly with the Enhanced Service Coordinator and the Wellness Nurse to coordinate the services and supports to residents. All provider organizations will be a Medicaid and/or Medicare certified provider, have the capacity to bill Medicaid and Medicare or be affiliated with an AAA/ADRC, and be willing to serve residents regardless of income level by establishing a sliding scale linked to residents' incomes. As with all Medicaid and Medicare services, beneficiaries will have a choice of providers and receipt of services is not a requirement for tenancy.

#### **d. Staff Ratio**

To facilitate the enhanced role, HUD is modifying its guidelines for the ratio of Enhanced Service Coordinator hours to number of residents. One full-time Enhanced Service Coordinator should be able to serve between 50-100 elderly residents. To allow for greater program flexibility and efficiency, HUD will work collaboratively with the Owners to determine the adequate number of Enhanced Service Coordinator work hours for developments with more than 100 elderly residents. Factors such as but not limited to, size of the development, characteristics of the residents, access to other resources, and proposed number of weekly work hours will be taken into consideration.

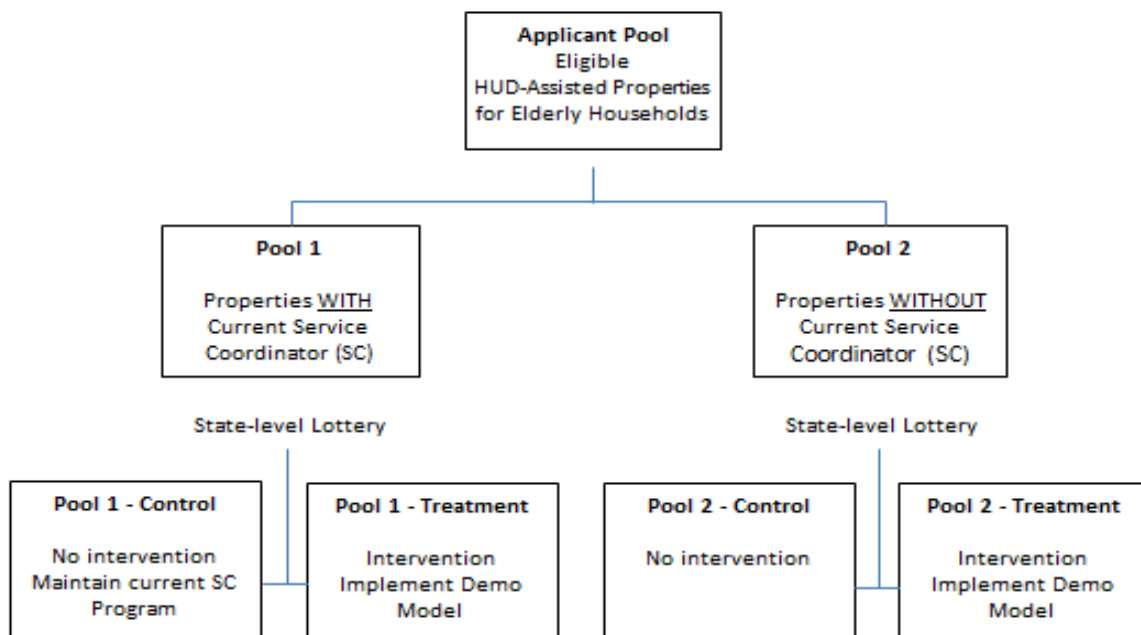
#### **e. Demonstration Research Design Features**

To generate rigorous evidence of the effectiveness of this supportive services model for elderly households, the Demonstration will be coupled with an experimental research design. There are three significant features of the research design that are shaping this Demonstration and will affect the Demonstration implementation. These features are: (a) the creation of two Treatment and two Control Groups of enrolled properties, (b) the use of a lottery - also known as *random assignment* - to place eligible properties in these groups, and (c) the requirement to implement the core components of the demonstration, to follow quality assurance and control requirements, and to cooperate with the formal independent evaluation of the Demonstration.

The experimental design involves randomly selecting two Treatment and two Control Groups from the eligible properties that apply to this Demonstration NOFA. Pool 1 will include properties that currently have a service coordinator but do not have a nurse and Pool 2 will include properties that do not have a service coordinator or nurse. Properties in Pool 1 and 2 will be randomly assigned to the Treatment and Control Groups.

- (1) Pool 1 – Treatment Group** comprises eligible properties that have a service coordinator but do not have a nurse. These properties will receive a grant to hire a Wellness Nurse and augment their existing service coordinator program if necessary, implement the Demonstration in their property, enroll residents in the supportive services model, and assist in the evaluation;
- (2) Pool 1 – Control Group** comprises eligible properties that have a service coordinator but do not have a nurse. These properties will not receive a grant to implement the Demonstration in their property, but will receive a financial incentive to collaborate with researchers and assist in the evaluation;
- (3) Pool 2 – Treatment Group** comprises eligible properties that do not currently have a service coordinator or a nurse. These properties will receive a grant to hire an Enhanced Service Coordinator and a Wellness Nurse, implement the Demonstration in their property, enroll residents in the supportive services model, and assist in the evaluation;
- (4) Pool 2 – Control Group** comprises eligible properties that do not currently have a service

coordinator or a Wellness Nurse. These properties will not receive a grant to implement the Demonstration in their property, but will receive a financial incentive to collaborate with researchers and assist in the evaluation.



To support this research design, HUD expects to randomly assign eligible applicants to the treatment and Control Groups through a state-level lottery process. For detailed discussion of the random assignment process, see Section V.B.2. and 3. below.

**f. Condition of Award**

As a condition of the receipt of financial assistance under this NOFA, all Owners, Enhanced Service Coordinators and Wellness Nurses are required to cooperate in full with HUD staff, Department of Health and Human Services (HHS), and Centers for Medicare & Medicaid Services (CMS), and/or any contractors affiliated with HUD, HHS, and CMS in the implementation and evaluation of this program.

**2. Changes from Previous NOFA.**

**3. Definitions.**

a. Eligibility Requirements – Eligibility requirements are those requirements that must be met for an application to be eligible for funding. Deficiencies in meeting an eligibility requirement may be categorized as either curable or non-curable.

b. Threshold Requirement – Threshold requirements are a category of eligibility requirements. A threshold requirement is a requirement that must be met in order for an application to be reviewed. Threshold requirements are not curable.

Threshold requirements are listed in Section III.C.2. of both the 2015 General Section and in this Program NOFA.

Applicants must ensure their application package addresses all threshold requirements. Please check your application carefully!

c. Deficiency – Deficiencies are not the same as errors. Errors are never curable except as permitted under Section V.B. Deficiencies are items of missing or omitted information within a submitted application.

Deficiencies typically involve missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box, etc.). Depending on specific criteria, deficiencies may be either curable or non-curable.

d. Curable Deficiency – A curable deficiency is a specific type of deficiency that applicants may correct with timely action. To be curable the deficiency must:

- Not be a threshold requirement;
- 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.

e. 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.

## **B. Authority.**

The Consolidated Appropriations Act, 2014 (Public Law 113-76), approved January 17, 2014, provides authority for HUD to use residual receipts and other available funds for a demonstration program to test housing with services models for the elderly that demonstrate the potential to allow elderly persons to successfully age in place.

## **II. Award Information.**

### **A. Available Funds.**

HUD is making available through this NOFA **\$15,000,000** for Supportive Services Demonstration for Elderly Households in HUD-Assisted Multifamily Housing.

Additional funds may become available for award under this NOFA as a result of HUD's efforts to recapture unused funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds will be subject to statutory constraints. All awards are subject to the applicable funding restrictions described in the General Section and to those contained in this NOFA.

Should additional funds become available for award under this NOFA, use of these funds will be subject to statutory constraints. All awards are subject to the applicable funding restrictions described in the General Section and to those contained in this NOFA.

### **Award Waiting List.**

Applications eligible for funding that were not initially selected to the Treatment or Control Groups may be placed on a waiting list. Subject to the availability of funds, these applications could be selected for funding at a later date. To be considered, applicants must indicate their preference to opt-in or opt-out of being placed on a waiting list. If selection from the waiting list is exhausted, this NOFA will allow for the solicitation of new applications through a second round NOFA process. Selections will be based on research needs.

### **Supporting the Demonstration Research Design.**

This research design requires the participation of a minimum of 80 eligible properties that can meet the conditions of the state- and pool-level lottery. In the event that the initial application round does not result in the total number of eligible properties as discussed in Section I.A.e. and Section V.B. below, HUD will reopen the application submission period under this NOFA for an additional 30-day period and allow for interested applicants to submit applications through Grants.gov. Only those applications that were not received and validated by Grants.gov on or before the application deadline date and time may submit during this period. HUD reserves the right to limit the reopening period based on the research needs.

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



HUD expects to make approximately 80 awards from the funds available under this NOFA.

Of that total number, grant recipients in the Treatment Groups will receive funding for eligible program costs while funding for the Control Group will be limited to an incentive payment. Properties in the Control Group will not receive a grant to implement the Demonstration in their property, but will receive a financial incentive to collaborate with researchers and assist in the evaluation.

At the end of the Demonstration, Control Group sites will receive materials developed for the demonstration, such as guides for need assessment and care management plan, training guides, and library of resources for service coordinators and nurses.

Subject to the availability of future funding and statutory requirements, HUD may expand this research design.

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

Minimum/maximum grant amount will be based on those costs that are determined reasonable and necessary for this Demonstration. Your requested grant amount must be limited eligible program costs as defined in this NOFA. HUD will review your request for reasonableness.

Estimated Total Funding:	\$15,000,000
Minimum Award Amount:	\$0 Per Project Period
Maximum Award Amount:	\$0 Per Project Period

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

This award is for an initial 3-years of funding with two annual extensions subject to the availability of funds. Renewals after year 5 of this Demonstration will be based on program performance. All annual renewals after year five are subject to appropriations. All extensions or renewals of funding are subject to continued authorization for the Demonstration.

Estimated Project Start Date:	08/01/2016
Estimated Project End Date:	10/31/2022
Length of Project Period:	36-month project with three 12-month budget periods

**All developments selected for the Treatment Group** are expected to implement the core components of the supportive services model that include an on-site full-time Enhanced Service Coordinator and/or a part-time Wellness Nurse within 120 days after the date of the cooperative agreement letter and collaborative with the evaluation of the Demonstration.. **All developments selected for the Control Group** are expected to collaborate with the evaluation of the Demonstration.

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

Funding Instrument Type: Cooperative Agreement

The Cooperative Agreement obligates the funds, stipulates the terms and conditions for the award, and provides ongoing submission requirements following the fund reservation award.

### **F. Supplementation.**

None.

### III. Eligibility Information.

#### A. Eligible Applicants.

Eligible applicants under the NOFA include:

Others (see text field entitled "Additional Information on Eligibility" for clarification)

Additional Information on Eligibility:

Applicants must be owners of existing eligible federally assisted multifamily properties.

#### 1. Eligible Multifamily Property:

a. Must be a HUD-assisted development with at least 50 assisted housing units - Unit count may be a combined count of total number in a campus setting. The development must be occupied by Eligible Tenants as defined below.

b. HUD-Assisted housing types are limited to:

(1) Housing that is assisted under section 202 of the Housing Act of 1959 (12 U.S.C. 1701q), including housing that is assisted under section 202 as such section existed before the enactment of the National Affordable Housing Act (Public Law 101-625);

(2) Housing for which project-based assistance is provided under section 8 of the United States Housing Act of 1937 (42 U.S.C. 1437f), including Section 515 rural housing projects, as authorized under section 515 of the Housing Act of 1949 (42 U.S.C. 1485), receiving Section 8 rental assistance;

(3) Housing financed by a loan or mortgage insured under section 221(d)(3) of the National Housing Act (12 U.S.C. 1715) that bears interest at a rate determined under section 221(d)(5) of such Act; or

(4) Housing insured, assisted, or held by the Secretary, a State, or a state agency under section 236 of the National Housing Act (12 U.S.C. 1715z-1);

c. Properties meeting the requirements of 1.a. and 1.b. of this subsection with an existing service coordinator on staff may apply for funding under this NOFA in order to hire the Wellness Nurse and implement this enhanced supportive service model. Acceptance of funding under this NOFA will require the Owner to comply with the requirements as detailed in this NOFA.

#### 2. Eligible Activities.

The services and activities related to the purpose of the Enhanced Service Coordinator and/or the Wellness Nurse positions are considered the program's eligible activities.

#### 3. Eligible Program Costs.

Eligible program costs vary by whether the property is assigned to the Treatment or Control Group.

a. Properties Assigned to the Treatment Group. Funds may be used to cover:

(1) One-time only start-up costs.

(a) Acquisition, leasing, rehabilitation or conversion of an existing space to a confidential on-site office space(s) for the Enhanced Service Coordinator and Wellness Nurse. Cost should not exceed \$10,000. Expected completion time to acquire, rehabilitate or convert the space must not impact the start of the Demonstration. Selected applicants will be required to submit three bids to support the requested amount. HUD will review the request for reasonableness and reserves the right to reduce the requested amount. The office space must be accessible to people with disabilities and meet all applicable federal accessibility requirements. HUD staff must approve both the proposed costs and

activity and must perform an environmental review under 24 CFR part 50 on such proposed work prior to grant award. Please refer to the [United States Access Board](#) website for more information.

(b) Additional staff time to enroll all interested residents and complete initial assessment of needs. This staff time must not exceed 20 hours per month for the initial four months of the Demonstration and the hourly rate must be reasonable

(c) Other start-up costs deemed necessary for the implementation and sustainment of this program may include, but are not limited to, costs for office furniture, computer tablet, computer hardware/software, etc.

(2) Program Cost. Equipment, office supplies, direct and indirect program expenses, travel, training, stipend to representatives of the partnership between housing, health care, and service provider agencies to attend monthly meeting with the Enhanced Service Coordinator and Wellness Nurse, and/or other cost as determined necessary by HUD.

(3) Provision of supportive service cost. No more than \$27 per unit per month for supportive service costs; (Note: Services must be appropriate to the needs of residents).

(4) Staffing Cost

(a) Funds may be used to cover an Enhanced Service Coordinator's salary, fringe benefits, and/or ,

(b) Salary cost for a part-time Wellness Nurse.

**Note:** Owners must contract out to a third party provider the selection and employment of a Wellness Nurse. The third party agencies should be a Medicare Certified Home Health Provider or similar agency or organization.

(c) Costs related to the Enhanced Service Coordinator and Wellness Nurse must be supported by evidence of comparable salaries in your area.

(5) Augment Existing Program. Funds may be used to augment a current Service Coordinator program, by increasing the salary and hours of a currently employed Service Coordinator, as long as he or she meets the qualifications for this position and agrees to the job responsibilities, functions, and administrative requirements of this demonstration.

**Note:** You may not use funds available through this NOFA to replace currently available funding from other sources. All proposed costs must be considered reasonable. "Reasonable costs" mean that costs are consistent with salaries and administrative costs of similar programs in your local Field office's jurisdiction.

**b. Properties Assigned to the Control Group.** Properties that are assigned to the Control Group will sign a cooperative agreement and will be offered an incentive fee to participate in the study. The incentive fee will cover the cost of staff time to support researchers' data collection efforts. The incentive fee will be set at an amount not to exceed \$5,000 per property enrolled in the Control Group.

**4. Funding renewal.** Subject to the availability of funds and the Owner's acceptable performance and compliance with program requirements.

**5. Eligible Tenants.** The resident population must be restricted to elderly persons. The term "elderly person" means a household composed of one or more persons at least one of whom is 62 years of age or more at the time of initial occupancy.

HUD does not award grants to individuals. HUD will also not evaluate applications from ineligible applicants.

All applicants must have an active Data Universal Numbering System (DUNS) number (<http://fedgov.dnb.com/webform>) and have an active registration in the System for Award Management (SAM) ([www.sam.gov](http://www.sam.gov)) before submitting an application. Getting a DUNS number and completing SAM

registration can take up to four weeks; therefore applicants should start this process or check their status early.

See also Section IV.B below for necessary content and form of the application.

## **B. Cost Sharing or Matching.**

This Program does not require an applicant to leverage resources through cost sharing or matching.

Generally, federal sources are not allowed to be used as cost share or match unless otherwise permitted by a program's authorizing statute.

## **C. Other.**

All applicants must also refer to Section III of the General Section for information on HUD-wide eligibility requirements. These requirements may determine whether your application is reviewed or make your application ineligible for funding.

Program specific eligibility criteria for this competition includes:

### **1. Statutory and Regulatory Requirements.**

In addition to the statutory, regulatory, threshold and public policy requirements listed in the General Section and in this NOFA, you must comply with all other statutory and regulatory requirements that govern your property type.

### **2. Threshold Requirements.**

Only applications that meet all threshold requirements established in the General Section and Program NOFA will be evaluated. In addition to the threshold criteria outlined in the General Section, including the Resolution of Outstanding Civil Rights Matters (prior to application deadline), the following threshold requirements must be met:

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

- a. Applicants must meet the Threshold Requirements in paragraphs III.C.2.of the General Section.
- b. The applicant information provided in your online application, Standard Form (SF) 424, "Application for Federal Assistance", must belong to the owner of the eligible assisted housing included in this application. Only owners of eligible assisted housing may apply for and receive grant funds. HUD will use the legal name, Employer/Tax Identification Number (EIN/TIN), DUNS number, and address provided in items 8a through 8d of the form SF424 to determine if the applicant is eligible.
- c. **Compliance with Delinquent Federal Debt Requirements.** This policy is applicable to applicants as well as their boards and development team members. Refer to the General Section for further information regarding delinquent federal debt.
- d. Owners must be in compliance with all business agreements with the Department and
  - (1) Project operations must meet HUD standards as demonstrated by the following:
    - (a) Meet HUD's Uniform Physical Conditions Standards (codified in 24 CFR part 5, subpart G), based on the most recent physical inspection report and responses thereto, as evidenced by a score of 60 or better on the last physical inspection or by an approved plan for properties scoring less than 60. If the project received any deficiencies on the last HUD physical inspection, the owner must demonstrate how they intend to cure the deficiencies. Evidence will include a repair plan that details how all of the physical needs of the project will be addressed and written comments regarding the status of any corrective action in progress, e.g., what repairs have been completed, what other corrective actions have been taken, and target dates for completing these actions.

(b) Owners must be in current compliance with all fair housing and civil rights requirements contained in 24 CFR 5.105(a), including the Fair Housing Act and its physical accessibility requirements, Title VI of the Civil Rights Acts of 1964, and Section 504 of the Rehabilitation Act of 1973, and submit a certification of compliance with these requirements as a condition of deferral request.

In addition, owners must be eligible applicants at the time of the application deadline with respect to the threshold requirements in Section III.C.2.b. of the FY 2015 General Section for HUD to consider the application.

(c) The project must have received satisfactory Management and Occupancy Review ratings for the prior three review cycles. If the project received a less than satisfactory rating in any section of its last Management and Occupancy Review, the owner must provide written comments regarding the status of any corrective action in progress, the other corrective actions taken, and target dates for completing these actions.

(d) The owner is current in the submission of Annual Financial Statements in the form required by the Department and Monthly Accounting Reports for the prior three-year period and Excess Income Reports for the prior seven-year period, and have a workout plan to resolve compliance flags, if any.

(e) The mortgage has been current over the prior three-year period.

(f) No unresolved referrals to the Departmental Enforcement Center.

(g) No flags in Active Partners Performance System (APPS), unless the Single Asset Entity has a HUD-approved plan in place to resolve outstanding flags.

(h) Compliance with regulatory agreement, other project based rental contracts and any other outstanding HUD grant or contract document; and/or

(i) No outstanding notices of default or violation.

(2) If your eligibility status changes during the course of the award term, making you ineligible to receive funds (e.g., due to prepayment of mortgage, sale of property, or opting out of a Section 8 HAP contract), HUD may terminate this award.

**e. Responsiveness.** Your application will be considered non-responsive to the NOFA and will not be accepted for processing if you:

(1) Submit paper copies of the application if you have not received approval from HUD for a waiver of the electronic submission requirements.

(2) Have requested and received approval to submit a paper application, but submit less than the required original and two (2) paper copies. Applicants receiving waiver approval to submit a paper application must follow the instructions in the approval notification regarding where to submit the application and the number of copies required. Failure to submit paper applications by close of business on the application deadline date will deem the application late and, therefore, ineligible for funding consideration.

(3) Submit a substantially deficient application (i.e., a majority of the required exhibits are not submitted with your application, particularly, but not limited to, those exhibits which are not curable). HUD reserves the right to determine whether your application is substantially deficient for purposes of determining whether the application is non-responsive to the NOFA. Refer to Section IV.B., below, Content and Form of Application Submission, for information on the required exhibits for submission with your application to ensure that your application is complete at time of submission.

(4) Request assistance for an ineligible activity as defined in Section IV.F., Funding Restrictions, below.

(5) Are an ineligible applicant (see Section III.A, Eligible Applicants, above).OR

(6) Have existing properties that fail to satisfy applicable Departmental requirements.

### **3. Compliance with Nondiscrimination and Related Requirements.**

**a. Accessibility.** You must comply with all governing program regulations. You must comply with Section 504 of the Rehabilitation Act of 1973 and implementing regulations at 24 CFR part 8, which include effective communication requirements and physical accessibility requirements. Your project must also comply with the Fair Housing Act and its implementing regulations at 24 CFR part 100. Your project must also comply with the Americans with Disabilities Act and its implementing regulations, as applicable. In addition, 24 CFR 8.4(b)(5) prohibits the selection of a site or location which has the purpose or effect of excluding persons with disabilities from, denying them the benefits of, or otherwise subjecting them to discrimination under the Federally assisted program or activity.

All meetings must be held and services provided in facilities that are physically accessible to persons with disabilities. Where physical accessibility is not achievable, successful applicants must give priority to alternative methods of product or information delivery that offer programs and activities to qualified individuals with disabilities in the most integrated setting appropriate in accordance with HUD's implementing regulations for section 503 of the Rehabilitation Act of 1973 (29 U.S.C. §794) at 24 CFR part 8. In addition, all notices of and communications during all training sessions and public meetings shall be provided in a manner that is effective for persons with hearing, visual, and other communication-related disabilities or provide other means of accommodation for persons with disabilities consistent with section 504 of the Rehabilitation Act of 1973 and HUD's section 504 regulations. See CFR section 8.6.

**b. Conducting Business in Accordance with HUD Core Values and Ethical Standards.** Refer to Section III. C.4.f. of the General Section for additional guidance.

**c. Additional Nondiscrimination Requirements.** Refer to the General Section for information regarding additional nondiscrimination requirements.

**d. Affirmatively Furthering Fair Housing.** Successful applicants must affirmatively further fair housing. Such activities may include providing supportive services for residents, primarily focused on case management, service coordination and assistance to enable residents to access programs from other key agencies and local service providers in order to help residents be stably housed, enhance residents' capacity for self-sufficiency and economic security, and services for elderly and persons with disabilities to maintain independence. Applicants should submit with their application a narrative on how they plan to successfully affirmatively further Fair Housing, for further information see FY 2015 General Section III.C.3.b.

### **4. Other Requirements.**

This program has eligibility criteria for beneficiaries.

**a. Elderly Restricted Developments.** The resident population for the entire development must be restricted to elderly persons. The term "elderly person" means a household composed of one or more persons at least one of whom is 62 years of age or more at the time of initial occupancy.

**b. Environmental Requirements.** Most activities under this NOFA, including the provision of supportive services, purchase of equipment and supplies, and training, are excluded from environmental review under 24 CFR 50.19(b)(9), (12), and (13). In addition, leasing of office space that will not involve rehabilitation or repairs (except for minimal alterations to make the facilities accessible for a person with disabilities) and is not located within the Coastal Barrier Resources System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) is considered an administrative expense excluded from environmental review under 24 CFR 50.19(b)(3).

For acquisition, leasing, rehabilitation, or conversion of confidential office space that does not meet the conditions for exclusion as an administrative expense, HUD will perform an environmental review in accordance with 24 CFR part 50 prior to grant award. From the time an application is submitted under this NOFA, applicants may not commit or expend HUD or local funds for such acquisition, leasing, rehabilitation, or conversion of office space until HUD has completed its environmental review and notified the applicant that HUD has approved the use of the property. HUD will condition the award letter on the receipt of reports and documentation and HUD's completion of the environmental review. Applicants should submit environmental reports and documentation to HUD in accordance with 24 CFR Part 50<sup>1</sup> to facilitate the environmental review. HUD staff will utilize the submissions to conduct the environmental review, and may require additional information in order to complete their review

[1] Guidance on environmental review requirements is available on the HUD Environmental Review website, at <https://www.hudexchange.info/environmental-review/>.

**c. D&B Data Universal Numbering System (DUNS) Number Requirement.** Refer to the General Section for information regarding the DUNS requirement. HUD will not make an award to an organization that does not have a DUNS number. The DUNS number used in the application must be for the applicant organization identified in Box 8a on the HUD-424, Application for Federal Financial Assistance.

**d. All applicants must be registered with the [System for Award Management \(SAM\)](#).** Refer to Section the General Section for information regarding this requirement. HUD will not make an award or make payments to an organization that does not have an active registration in SAM. See HUD's Interim Rule governing registration requirements published in the Federal Register on July 15, 2010 (75 FR 41087) and Final Rule published in the Federal Register on December 8, 2010 (75 FR 76260).

**e. OMB Administrative Requirements and Cost Principles.** The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, set forth in 2 CFR part 200, shall apply to Federal Awards made by the Department of Housing and Urban Development to non-Federal entities.

**f. Previous Participation Certification.** To ensure that owners of multifamily housing are held to high standards and to avoid risk of loss to the Department, applicants are required to submit form HUD2530, Previous Participation Certification. If any property listed has defaulted on a mortgage loan or has less than satisfactory review ratings (physical inspections, management and financial reviews), the Principal will be required to submit additional information. Approvals of entities that have defaulted or received unsatisfactory review ratings will be subjected to HUD's Previous Participation clearance review process.

## IV. Application and Submission Information.

### A. Obtaining an Application Package.

An electronic copy of the Application Package and Application Instructions for this NOFA can be downloaded from [Grants.gov](http://www.grants.gov) at <http://www.grants.gov/applicants/apply-for-grants.html>. Unless an applicant received a waiver for good cause, applications must be submitted electronically via Grants.gov except Continuum of Care applications. The Continuum of Care application is submitted through HUD's e-snaps system.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. Applicants that cannot submit their applications electronically and must seek a waiver of the electronic grant submission requirements must submit a waiver request so that the request is received at least 15 days before the application deadline. If HUD waives the requirement, your paper application must be received by HUD before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Alicia Anderson

Branch Chief

Office of Asset Management and Portfolio Oversight (OAMPO)  
Assisted Housing Oversight Division, Grants and New Funding  
451 7th Street, SW  
Suite 6144  
Washington, DC 20410  
Phone: (202) 402-5787  
Fax: (202) 708-3104  
Email: [Alicia.Anderson@hud.gov](mailto:Alicia.Anderson@hud.gov)  
URL: [www.hud.gov](http://www.hud.gov)

If a waiver is granted, you must submit the original and two (2) copies of your application to Alicia Anderson. The application must be received no later than the close of business on the application deadline date. There is no grace period. Paper applications will not be accepted from applicants that have not been granted a waiver.

Applications under this NOFA must be received electronically through the Federal website Grants.gov, unless a waiver of this requirement is granted in accordance with the instructions above. You must follow the procedures for electronic submission of applications contained in HUD's General Section unless a waiver for good cause in accordance with HUD's waiver policy of 24 CFR 5.1005 is approved by HUD. The procedures for electronic submission of applications are published in HUD's General Section.

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

To ensure that the correct Application Package and Application Instructions are used, applicants must verify that the CFDA number and CFDA Description on the first page of the Application Package downloaded from Grants.gov, as well as the Opportunity Title, and the Funding Opportunity Number match the Program and NOFA to which they are applying. Applications will only be considered for the competition indicated in boxes 11, 12, and 13 on the SF-424 submitted in the application.

### **1. Content**

Forms for your package include the forms outlined below:

Additionally, your complete application must include the following narratives and non-form attachments: Carefully review and follow the guidance in Section IV.B of the General Section for information on Using Adobe Forms in application packages; registering for electronic application submission; completing the Registration Process; downloading an application package and Application Instructions, and completing the selected grant application package.

**Application content and forms.** All applications for funding under the Demonstration must include the following documents and information:

### **Exhibit 1. Funding Request Form.**

Submit the following form to satisfy this submission requirement:

HUD91186\_Multifamily\_Housing\_Service\_Coordinator\_First\_Time\_Funding\_Request.

- Section II. Budget Information. For the total costs calculated in sections "a" through "I", provide actual itemized cost, justifying how total dollar amounts were calculated. When describing personnel and fringe benefit costs (items II.a and II.b) please identify the position of the Enhanced Service Coordinator **and** the Wellness Nurse separately.
- Provide an attachment detailing the basis for the estimated amounts.



**Note:** Funds may not be used to cover cost for Service Coordinator Aides. In properties that currently have a service coordinator, use of available Quality Assurance funds may not duplicate activities funded under this NOFA. Quality assurance expenses will be covered under the program implementation and evaluation contract to support the research. HUD reserves the right to adjust the budget for program consistency and reasonableness.

**Exhibit 2. Evidence of Comparable Salaries.** In making the determination of reasonableness for the requested salaries, HUD will consider any evidence submitted. Applicants may submit the following:

- a. Minimum of three comparable salaries in your local area for the Enhanced Service Coordinator; **and/or**
- b. Evidence of comparable salaries in your local area for the Wellness Nurse.

**Exhibit 3. Readiness.**

**a. Private Office Space.** Provide the following to satisfy this submission requirement:

- (1) Narrative explaining how you will provide on-site private office space for the Enhanced Service Coordinator and a private meeting space for the Wellness Nurse, to allow for confidential meetings with residents.
- (2) If construction is planned, also include a plan and a cost estimate. If not applicable, provide a statement indicating such.

**b. Occupancy Reports.** This information will be used to evidence the property vacancy rate, turnover rate and the number of very low-income elderly households on your waiting list. To satisfy this submission requirement, provide a current copy of the following reports:

- (1) Tenant rent roll;
- (2) Waiting list; and
- (3) Move-in/move-out report.

**c. Enhanced Service Coordinator Third Party Provider.**

Owners may choose to contract out the hiring of the Enhanced Service Coordinator to a third party provider. Provide the following to satisfy this submission requirement:

A statement certifying that you will or will not contract out the hiring of the Enhanced Service Coordinator to a third party provider. If contracting, provide a response to the following two submission requirements:

- (1) Indicate the agency that you have identified to hire the Enhanced Service Coordinator.
- (2) Provide a letter of commitment from that agency.

**d. Wellness Nurse Third Party Provider.**

All Owners must contract out to a third party provider the employment of a Wellness Nurse. Provide the following to satisfy this submission requirement:

- (1) A statement identifying the organization.
- (2) A brief discussion or a website evidencing the health care organization's mission and experience.

**e. Original Housing Assistance Payments Contract (if applicable).**

To evidence that the property is restricted to elderly persons, multifamily properties types - excluding Section 202 properties - must submit a copy of their original Housing Assistance Payments (HAP) Contract along with all exhibits.

**Exhibit 4. Applicable only to those Properties that currently have a Service Coordinator on staff (pool**

1). Provide the following to satisfy this submission requirement:

- (1) Evidence of funding sources for the service coordinator.

- (2) Narrative documenting the qualification of the service coordinator and the total number of hours per week that the service coordinator will be working for the property.

Note: Funding made available under this NOFA may be used to augment an existing program to ensure that the Enhanced Service Coordinator works full-time and takes an enhanced role, as long as the current service coordinator meets the qualifications for this position and agrees to the job responsibilities, functions, and administrative requirements of this demonstration.

- (3) A statement certifying that the service coordinator meets the job qualifications as defined in Appendix A
- (4) A statement certifying that the property is not served by a Wellness Nurse.
- (5) If applicable, evidence that prior funding sources for your property's currently operating service coordinator program are no longer available or will expire within six months following the application deadline date. If not applicable, provide a statement indicating such.

**Exhibit 5. Applicable only to properties without Service Coordinator (pool 2).**

Provide the following to satisfy this submission requirement:

- (1) A statement certifying that you do not have a Service Coordinator position on staff.
- (2) A statement certifying that the property is not served by a Wellness Nurse.

**Exhibit 6.** Statement indicating preference to opt-in or opt-out of waiting list. Applicants on the waiting list may be selected if funds are made available after this NOFA.

## **2. Format and Form**

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

### **Exhibit 7. Standard Forms, Certifications and Resolution**

**a.** Standard\_Form\_424\_Application\_for\_Federal\_Assistance, including a DUNS number, and an indication of whether you are delinquent on any federal debt Applicants must also include the nine digit zip code (zip code plus four digits) associated with the applicant address in box 8d of the SF424.

NOTE: In Item 14, Areas Affected by Project, of SF424, provide the names of the City, County/Parish and State where the project is located (not the largest political entities as indicated on the instructions page of SF424).

**b.** SF424SUPPStandard\_Form\_424\_Supplement\_Survey\_on\_Ensuring\_Equal\_Opportunity\_for\_Applicants (Faith\_Based\_EEO\_Survey\_ (SF424SUPP). Although the information on this form will not be considered in making funding decisions, it will assist the federal government in ensuring that all qualified applicants have an equal opportunity to compete for federal funding.

**c.** Standard\_Form\_LLL\_Disclosure\_of\_Lobbying\_Activities (if applicable). A disclosure of activities conducted that may influence any federal transactions.

**d.** Form HUD2880\_Applicant/Recipient\_Disclosure/Update\_Report, including Social Security and Employee Identification Numbers. A disclosure of assistance from other government sources received in connection with the project.

**e.** Form HUD2991\_Certification\_of\_Consistency\_with\_the\_Consolidated\_Plan for the jurisdiction in which the proposed project will be located. The certification must be made by the unit of general local government if it is required to have, or has, a complete Plan. Otherwise, the certification may be made by the State or by the unit of general local government if the project will be located within the jurisdiction of the unit of general local government authorized to use an abbreviated strategy, and if it is willing to prepare such a Plan. All certifications must be made by a public official responsible for submitting the Plan to HUD. The

certifications must be submitted as part of the application by the application submission deadline date set forth in the NOFA. The Plan regulations are published in 24 CFR part 91.

f. Form HUD-2530, Previous Participation Certification. This form must be submitted for the Owner and all of the Officers and Directors of the Board, if applicable. This form provides HUD with a certified report of all your previous participation in HUD multifamily housing projects. The information is used to determine if you meet the standards established to ensure that all principal participants in HUD projects will honor their legal, financial, and contractual obligations and are acceptable risks from the underwriting standpoint of an insurer, lender or governmental agency.

### C. DUNS Number and SAM Registration.

Please refer directly to Section IV.C of the General Section, available at [Grants.gov](http://Grants.gov) or HUD's [Funds Available](http://Funds Available) page, [http:// portal.hud.gov /hudportal /HUD?src= /program\\_offices /administration /grants /fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

### D. Application Submission Dates and Times.

The application deadline is 11:59:59 p.m. Eastern time on **04/18/2016**. 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 or you are applying for the Continuum of Care program. The Continuum of Care application is submitted through HUD's e-snaps system. Instructions for submitting your application to Grants.gov are contained within the Application Package you downloaded from Grants.gov. Instructions for submitting your paper application will be contained in the waiver of electronic submission.

Your application must be **both received and validated** by Grants.gov. Your application is “received” when Grant.gov provides you a confirmation of receipt and an application tracking number. **If you do not see this confirmation and tracking number, your application has not been received.**

After your application has been received, your application still must be validated by Grants.gov. During this process, your application may be “validated” or “rejected with errors.” To know whether your application was rejected with errors and the reason(s) why, you must log into Grants.gov, select “Applicants” from the top navigation, and select “Track my application” from the drop-down list. If the status is “rejected with errors,” you have the option to correct the error(s) and resubmit your application before the Grace Period ends. **If your application was “rejected with errors” and you do not correct these errors, HUD will not review your application.** If your status is “validated” your application will be forwarded to HUD by Grants.gov.

#### 1. Resubmitting an Application.

Before the submission deadline, applicants who choose to amend an application that has been validated by Grants.gov have several options:

- (1) an applicant may email the new or revised supporting materials to [ApplicationSupport@hud.gov](mailto:ApplicationSupport@hud.gov); or
- (2) an applicant may resubmit an entire, revised application via Grants.gov containing the new or changed material;

Whichever option is used, all materials must be received by the applicable deadline.

When submitting additional supporting documentation via email, the applicant must enter "Supporting Documentation" plus the Grants.gov application tracking number in the subject line of the email. (e.g., Subject: Supporting Documentation - GRANT12345678). If this information is not included, HUD will not be able to match the response to the application under review and the application may therefore be rejected due to the deficiency.

## **2. Grace Period for Grant.gov Submissions.**

If an application is received by Grants.gov before the deadline, but is rejected with errors, applicants have a grace period of 24 hours beyond the application deadline to submit a corrected application that is received and validated by Grants.gov. Any application submitted during the grace period that does not meet the criteria above will not be considered for funding. There is no grace period for paper applications. See the General Section for more information about the grace period.

## **3. Late Applications.**

An application received after the Program NOFA deadline date that does not meet the requirements of the grace period policy will be marked late, and will not be considered for funding.

## **E. Intergovernmental Review.**

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

## **F. Funding Restrictions.**

**1. Ineligible Use of Funds.** Funding under this program may not be used for costs related to:

- a. Expenses related to the provision and operation of housing.
- b. Employment of Service Coordinator in Section 202 properties with a Project Rental Assistance Contract (PRAC). Owners of Section 202 PRAC properties may obtain funding for a service coordinator by requesting an increase in their PRAC payment consistent with Handbook 4381.5 REVISION-2, CHANGE-2, Chapter 8. Section 202 properties with a Project Rental Assistance Contract (PRAC).
- c. Full cost of the Service coordinator position when the project has available funds (i.e., Section 8 operating funds, residual receipts, excess income and/or grant funds) that may be used to pay for a Service Coordinator. "Available funds" are those that require HUD approval for their use and are not needed to meet critical property needs.
- d. Renewal or extension of service coordinator grants provided under the Service Coordinators in Multifamily Housing Program CFDA 14.191.
- e. Salary or any other expenses for service coordinator aides.
- f. Reimbursement of expenses associated with the following items:
  - (1) Supervision performed by property management staff;
  - (2) Cost overruns associated with creating private office space;
  - (3) Usual audit and legal fees;
  - (4) Increasing management fees;
  - (5) Service Coordinator-related training courses for property management staff who do not directly provide Service Coordination. Owners must use their management fees to pay this expense;
  - (6) Paying PAC members for their services.

**2. Ineligible applicants and properties includes:**

- a. Joint applications. Owners proposing to hire and share a Service Coordinator and submit a joint application will not be considered for funding under this NOFA. This restriction does not apply to campus settings. To support the research design, each eligible and selected property (not including campus settings) must have a full time Enhanced Service Coordinator.
- b. Managing General Partners in a partnership owner corporation, property management companies, Area Agencies on Aging, and other like organizations are not eligible applicants.
- c. Section 221(d)(4) and Section 515 housing without project-based Section 8 assistance.
- d. Developments not designed or designated for the elderly.
- e. Conventional public housing, as such term is defined in section 3(b) of the United States Housing Act of 1937), and units assisted by project-based Housing Choice Vouchers, as set forth in 24 CFR Part 983.
- f. Projects licensed or to be licensed as assisted living facilities.
- g. Nursing homes.
- h. Infirmaries.
- i. Medical facilities; and/or
- j. Mobile homes.

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

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

When providing housing assistance funding for purchase, lease, support services, operation, or work that may disturb painted surfaces, of pre-1978 housing, you must comply with the lead-based paint evaluation and hazard reduction requirements of HUD's lead-based paint rules (Lead Disclosure; and Lead Safe Housing (24 CFR part 35)), and EPA's lead-based paint rules (e.g., Repair, Renovation and Painting; Pre-Renovation Education; and Lead Training and Certification (40 CFR part 745)).

When providing education or counseling on buying or renting housing that may include pre-1978 housing, when required by regulation or policy, 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.**

1. Since this Demonstration will be coupled with an experimental or quasi-experimental research design, rating factors have been excluded.
2. Eligibility determination review. To be considered for funding consideration, the requirements as defined in this Program NOFA and the General Section must be met. HUD staff will review applications for completeness and program compliance.

To be eligible for the lottery, applicants must meet the timely submission requirements in Section IV.C.4 of the General Section; meet all eligibility criteria set forth in this Program NOFA; propose reasonable costs for eligible activities, and, if curable deficiency corrections are requested during the review process, provide the correction(s) by the deadline date stated in the request.

If an application does not meet all threshold requirements, HUD will not consider the application as eligible for funding. Eligibility determination will take into consideration the applicant's capacity to sustain and support the research design.

**3. Selecting Participating States.** This Demonstration will be targeted to states ranked according to three factors: (a) availability of data to measure the impact of the program on health outcomes and costs (measured as the rate of Medicare Fee-for-Service enrollment); (b) availability of state-level health initiatives that are improving care coordination for elderly persons (measured as the number of relevant CMS state-level initiatives in the state); and (c) pool of eligible applicants (measured as the number of eligible applicants in the state).

It is recommended that the Demonstration has a minimum number of properties per state and limits the number of participating states for two reasons: (a) to ensure a minimum number of properties operating under the same Medicare and Medicaid state policies; and (b) to make deployment of quality assurance, technical assistance and support, and evaluation resources to Demonstration sites cost-effective. For these reasons, states that do not have a minimum of two pairs of eligible applicants in Pool 1 (properties with a current service coordinator) and/or Pool 2 (properties without a current service coordinator) will not be considered for this Demonstration. This will ensure that all states will have a minimum of two properties in the Treatment Group. The Demonstration may be limited to a maximum of 12 participating states with the highest rank based on the three factors described above.

HUD reserves the right to alter the state-targeted factors if application of those factors as outlined above does not adequately support the research design.”

## **2. NOFA Priorities.**

HUD encourages applicants for funding to undertake programs and projects that contribute to HUD's NOFA Priorities. Applicants that undertake activities that result in achievement of specific NOFA Priorities listed below are eligible to receive priority points in the rating of their application. These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.

**Priority points are not available for this program.**

## **3. Bonus Points.**

In support of certain inter-agency initiatives, HUD awards bonus points to projects where the preponderance of work will occur in a designated zone, community or region. **These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.**

Bonus points are not available for this program.



unsolicited information that you, the applicant, may want to provide. HUD will make a determination on any appeals before making its selection recommendations.

**6. Funding Error.** In the event HUD commits an error that, when corrected, would have resulted in an otherwise eligible applicant during the funding round of this NOFA, HUD may place the applicant on the waiting list for future funding consideration.

**7. Awards after initial selection.** If a selected applicant turns down an award and/or additional funding becomes available through recaptured funds or through a future appropriation HUD reserves the right to offer an award to the eligible applicant that would have been selected if funds were sufficient.

### C. Anticipated Announcement and Award Dates.

We expect to announce awards July of 2016.

## 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 all other applicants, whose applications were received by the deadline, that have not been chosen for award. Notifications will be sent by email, delivery receipt requested, to the person designated in item 8F of the SF424 and to the person listed as authorized representative in item 21 of the SF424.

**1. Cooperative Agreement Letter.** If you are selected to receive funding under this NOFA, you will receive a Cooperative Agreement Letter that stipulates the terms and conditions for the award as well as the submission requirements following the award. Awards involving acquisition, leasing, rehabilitation, or conversion of confidential office space that does not qualify for exclusion from environmental review will be conditioned on the receipt of reports and documentation and HUD's completion of the environmental review. Grantees may not commit or expend HUD or local funds for such acquisition, leasing, rehabilitation, or conversion of office space until HUD has completed its environmental review and notified the grantee that HUD has approved the use of the property.

**a. Program Implementation and Evaluation.** As a condition of the receipt of financial assistance under this NOFA, all Owners, Enhanced Service Coordinators and Wellness Nurses are required to cooperate in full with HUD staff, Department of Health and Human Services (HHS), and Centers for Medicare & Medicaid Services (CMS), and/or any contractors affiliated with HUD, HHS, and CMS in the implementation and evaluation of this program.

**b.** All Owners are required to register in the System for Award Management (SAM) and obtain a Data Universal Numbering System (DUNS) number before funds can be disbursed to that entity. The DUNS number must be provided on all financial/banking documents sent to HUD. If the DUNS number is not included on such documents, HUD will not process the action(s) and the document(s) will be returned.

**2. Control Group Notification and Agreement Letter** – If you are selected for the Control Group, you will receive an Cooperative Agreement Letter that stipulates the terms and conditions and compensation package for participation.

**3. Non-Selection Letter.** If your application is approvable but unfunded due to insufficient funds or receives a rating that is below the minimum threshold score established for funding eligibility, you will receive a letter to this effect.

**4. Debriefing.** Refer to the General Section for further information regarding debriefings, except that the request for a debriefing must be made to Alicia Anderson, see address above.

**5. Code of Conduct.** After selection, but prior to award, applicants selected for funding will be required to provide HUD with their written Code of Conduct if they have not previously done so and it is not recorded



## **B. Administrative, National and Departmental Policy Requirements.**

Certain Administrative, National and Departmental Policy Requirements apply to all HUD programs, including this NOFA. For a complete list of these requirements, see Section VI.B. of the General Section.

**1. Ensuring the Participation of Small Businesses, Small Disadvantaged Businesses, and Women-Owned Businesses.** Although the program is not subject to the provisions of 24 CFR 85.36(e) as described in the corresponding paragraph in the General Section, you are required to comply with Executive Order 12432, Minority Business Enterprise Development and Executive Order 11625, Prescribing Additional Arrangements for Developing and Coordinating a National Program for Minority Business Enterprise as they relate to the encouragement of HUD grantees to utilize minority business enterprises.

**2. NOFA Priority.** This NOFA supports the HUD's priority to "**Promote Health And Housing Stability Of Vulnerable Populations**". See General Section for a full discussion of HUD's Strategic Goals and NOFA Priorities. Since points are not applicable to this NOFA, this NOFA priority will be implemented in the design of this program. Applicants should expect that certain outputs and outcomes will relate to this priorities.

## **C. Reporting.**

Please refer to Section VI of the General Section for a description of the general reporting requirements applicable to all HUD NOFAs.

**1. Performance Reporting.** After award, HUD will finalize a full set of measurement tools in order to evaluate your program's impact and effectiveness. HUD anticipates that this will involve development of standard procedures for (1) measurement of service provisions and outcomes related to general well-being and health (2) implementation Demonstration in the same way in all sites; and (3) enrollment of eligible applicants into the study.

**2. Record-keeping and data collection.** Applicants will be required to keep records to document how the Demonstration is being implemented, cooperate with resident's enrollment in the evaluation, and cooperate in the formal independent evaluation of the Demonstration, including submission of costs and other program data and approximately two site visits.

**3. Work Plan.** HUD will work with you and/or the service coordinator and nurse to develop and finalize a supportive service work plan. Your work plans will be a careful, well thought out tool that will support successful implementation, management and evaluation of the proposed service program.

**4. Racial and Ethnic Data.** HUD requires that funded recipients collect racial and ethnic beneficiary data. It has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, you should use form HUD-27061-H, Race and Ethnic Data Reporting Form (instructions for its use) found on <http://www.hud.gov/offices/adm/hudclips/>.

**5. Section 3 Reporting.** Recipients are required to submit an annual form HUD-60002-Section 3 Summary Report to the Assistant Secretary for Fair Housing and Equal Opportunity annually, for the purpose of determining the recipient's compliance with the requirements of Section 3. Form HUD-60002 shall be submitted to the Department electronically at [www.hud.gov/section3](http://www.hud.gov/section3), no later than January 10th or the 10th day after project completion, whichever is earlier.

**6. FFATA Subaward Reporting.** Applicants selected for funding will be required to report first tier sub-awards and executive compensation information, where their initial award is \$25,000 or greater or the cumulative award is \$25,000 or more, as required by the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). The prime grant awardees will have until the end of the month plus one additional month after an award or sub-grant is obligated to fulfill the reporting requirement. The Federal Funding Accountability and Transparency Act (FFATA) of 2006 calls for the establishment of a publicly

available web site to disclose the use of Federal finance assistance. The Act requires the reporting of data for first-tier sub-grants of \$25,000 or more.

FFATA also requires the reporting of the Total Compensation and Names of the top five executives if:

- a. More than 80 percent of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually; and
- b. Compensation information is not already available through reporting to the SEC.

OMB has published Interim Final Guidance to agencies regarding the FFATA subrecipient reporting requirements in the Federal Register on September 14, 2010 (75FR55663.)

**7. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act** for Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as “Section 872.” Section 872 requires the establishment of a government-wide data system to contain information related to the integrity and performance of entities awarded federal financial assistance and making use of the information by federal officials in making awards. It is anticipated that the federal data system will be known as the Federal Awardee Performance and Integrity Information System (FAPIIS). Only federal officials and the entity will be able to view the information in the FAPIIS system.

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

Prior to making a funding decision, the federal official authorized to make the award is required to determine whether the entity is qualified to receive an award, taking into consideration any information about the entity that is in the data system. OMB is in the process of issuing regulations regarding federal agency implementation of Section 872 requirements.

HUD’s terms and conditions to its FY2015 awards will contain requirements related to meeting Section FFATA and Section 872 requirements.

Questions regarding specific program requirements should be directed to the point of contact listed in Section VII below.

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

HUD staff will be available to provide clarification on the content of this NOFA. Please note that HUD staff cannot assist applicants in preparing their applications. Questions regarding specific program requirements should be directed to the point of contact listed below.

For technical assistance in downloading an application package from [Grants.gov](http://Grants.gov), contact the Grants.gov help desk at 1-800-518-Grants or send an email to [support@grants.gov](mailto:support@grants.gov). For programmatic information, or questions regarding specific program requirements send email to [mfsc@hud.gov](mailto:mfsc@hud.gov), or access the Internet at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

Questions concerning the General Section should be directed to the Office of Strategic Planning and Management, Grants Management and Oversight Division at 202-708-0667 (this is not a toll-free number). Persons with hearing or speech impairments may access these numbers via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

## VIII. Other Information.

**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 Program NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

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 Funds Available web page at [http://portal.hud.gov/hudportal/ HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/ HUD?src=/program_offices/administration/grants/fundsavail).

**A. Webcast.** HUD will hold an information webcast for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the webcast, you should consult the HUD website at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

**B. Paperwork Reduction Act.** The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2502-0447. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 37.42 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits derived.

## Appendix.

### *Appendix A*

#### **Qualifications, Responsibilities, Functions & Administrative Requirements of the Enhanced Service Coordinator and Wellness Nurse**

**Note:** The listed program requirements, qualifications, job responsibilities, administrative requirements and prohibitive functions may be refined by HUD upon implementation of this Demonstration.

##### **A. Enhanced Service Coordinator:**

###### **1. Qualifications.**

- A Bachelor of Social Work or degree in Gerontology, Psychology or Counseling is preferred, although any college degree may be fully acceptable. HUD will allow for the substituting of a bachelor's degree if individual has applicable and extensive work experience with elderly persons.
- Two years of experience conducting supportive service needs assessments and knowledge of the assessment process. Experience using such assessments to identify and locate specific services that

address individual needs.

- Knowledge of the aging pathology, elder services, disability services, eligibility requirements for applicable federal and state entitlement programs, legal liability issues relating to providing Service Coordination, substance abuse by the elderly, elder abuse and mental health issues.
- Knowledge of the process of referring individuals to the services that they require, as well as the ability to build relationships with said service providers and provider agencies.
- Demonstrated working knowledge of supportive services and other resources for senior citizens and/or non-elderly people with disabilities available in the local area.
- Experience building relationships with local service providers, community institutions, and local government agencies.
- Demonstrated ability to advocate, organize, problem-solve, and achieve results for the elderly and people with disabilities.

## **2. Job Responsibilities.**

An Enhanced Service Coordinator is an on-site social service staff person hired or contracted by the assisted housing owner or its management company. The specific job responsibilities of the Enhanced Service Coordinator will be determined through the collaborative process that results in a standard program model to be implemented by all grantees. However, HUD envisions that the Enhanced Service Coordinator will probably have some or all of the following job responsibilities:

- Outreach, enrollment, and initial supportive service needs assessment must be completed no later than four (4) months of start of Demonstration. After this point, engage with any new residents within 14 days of move-in. Perform initial assessment for any new residents within 60 days of move-in, with subsequent annual reviews, to identify residents' service needs.
- Engage with all residents about the program and enroll interested residents in the program. Provide follow up as needed to address resident's needs as identified in their service plan. The assessment tools to be used will be the same across all sites and provided by HUD or its contractors.
- Annual needs assessments are required for all residents participating in the program.
- Provide case management for residents who do not receive case management services from another local service provider. This might include development of an individually tailored case plan for services, periodic reassessment of the resident's situation and needs, and assistance identifying, obtaining, and completing appropriate documentation in order to secure needed services.
- Develop a service plan with the resident that helps address the needs and/or interests identified through the assessment.
- Collaborate with the Wellness Nurse and jointly coordinate regular preventive and wellness health programs on a quarterly basis, at a minimum.
- Refer and link the residents to health-related and supportive services provided by community agencies. Such services may include, but are not limited to, case management, personal assistance, homemaker services, meals-on-wheels/congregate meal provision, transportation, counseling, visiting nurse, preventive health screening/wellness services, and legal advocacy. Since some residents may need encouragement to begin and continue participation in a program, service or therapy, Enhanced Service Coordinators should motivate residents to participate in activities they may be reluctant to join in or carry out, but that may be beneficial to their health and well-being.
- Recognize signs of elder abuse, neglect, and exploitation, and refer residents to appropriate and

available resources as well as develop prevention strategies for elder abuse. To learn more, refer to National Center on Elder Abuse (NCEA) website at <http://www.ncea.aoa.gov/>.

- Monitor the ongoing delivery and receipt of services. Follow residents through the process of applying for, scheduling, and receiving services. Ensure that the services are appropriate for the residents' needs and that the services provide tangible benefits to the residents.
- Routinely assess service needs in response to changing circumstances. For example, enhanced service coordinators should consult with residents returning from the hospital, to determine need for additional supports that would minimize or eliminate the possibility of hospital readmission.
- Establish partnerships with other public and private agencies, such as, but not limited to, AAAs/ADRCs, state social service agencies, hospitals, health systems, and primary health care providers. These relationships should ensure that the necessary supportive services are available and delivered in a collaborative and efficient manner.
- Communicate and meet periodically with service providers to discuss and share information concerning residents and identify ways in which each agency could assist residents. (Such interaction may take place only with resident's written permission).
- Maintain detailed and confidential case files on each resident served.
- Create a directory of service providers for use by both housing staff and residents, if not otherwise available.
- Participate in training required to produce a standard Enhanced Service Coordinator role across sites.

### **3. Other allowable functions.**

- Educate residents on matters such as service availability, application procedures, client rights, etc.
- Perform market analysis to determine/develop the best "deals" in service pricing, to assure individualized, flexible, and creative services for the involved resident.
- Provide advocacy as appropriate.
- Help the residents build informal support networks with other residents, family and friends.
- Work and consult with tenant organizations and resident management corporations. Provide training to the property's residents in the obligations of tenancy or coordinate such training.
- Educate and train other staff of the management team on issues related to aging in place and service coordination, to help them better work with and assist the residents.
- Provide service coordination to low-income elderly persons living in the vicinity of the project. Community residents should come to your housing site to meet with and receive assistance from the Enhanced Service Coordinator.
- Make reasonable accommodations for those individuals with disabilities unable to travel to the housing site, and have the option to make accommodations for other community residents.
- Other functions as determined necessary to meet the goals of the Demonstration.

### **4. Prohibited Functions.**

Enhanced Service Coordinators may not perform the following activities:

- Act as a recreational or activities director.
- Provide supportive services directly to residents.
- Act as a Neighborhood Networks program director or coordinator.
- Perform property management work, regardless of the funding source used to pay for the time during which property management work is done.
- Other functions as determined necessary to meet the goals of the Demonstration.

## **5. Administrative Requirements.**

- Owners must provide a separate and private office for the Enhanced Service Coordinator. It is essential that the Enhanced Service Coordinator has a private office in which s/he can confidentially speak with residents.
- Enhanced Service Coordinator must maintain resident files in a secured physical or electronic location. Files must be accessible ONLY to the Enhanced Service Coordinator and Wellness Nurse, unless residents provide signed consent otherwise. These policies must be consistent with maintaining confidentiality of information related to any individual per the Privacy Act of 1974 and the Health Insurance Portability and Accountability Act of 1996 (HIPAA).
- Enhanced Service Coordinator must complete the form HUD-92456 Semi-annual\_Service\_Coordinator\_Performance\_Report, for each half-year period of the federal fiscal year (i.e., October 1 – March 31 and April 1 – September 30).
- Other requirements as determined necessary to meet the goals of the Demonstration and the independent formal evaluation.

## **B. Wellness Nurse:**

### **1. Qualifications.**

May include but is not restricted or limited to, unless otherwise stated in future program controlling documents:

- Graduate of an accredited nursing program.
- Current unrestricted license as a registered nurse (RN) in state of practice.
- At least two years of experience in managing or providing care of geriatric persons in elder care setting preferred.
- Prefer at least two years of experience conducting Activities of Daily Living/Instrumental Activities of Daily Living (ADL/IADL) assessments that accurately and appropriately identify the functional limitations of residents.
- Demonstrates knowledge of changes associated with aging and principles of growth and development, relevant to the adult and geriatric age groups; Strong interpersonal skills that will allow for successful collaboration and cooperation with Enhanced Service Coordinator, service providers, health care providers and most importantly, elderly residents and their caregivers.
- Knowledge of legal liability issues relating to provision of in-home health related services.
- Other qualifications as determined necessary by the research design.

### **2. Job Responsibilities.**

HUD envisions that the Wellness Nurse will probably have some or all of the following job responsibilities:

- Ensure the delivery of face-to-face interaction with residents to understand their supportive service and health needs.
- Coordinate with the Enhanced Service Coordinator to engage with residents about the program and enroll interested residents.
- Coordinate with the Enhanced Service Coordinator to ensure that outreach, enrollment, and initial supportive service needs assessment is completed no later than four (4) months of start of Demonstration. After this point, engage with any new residents within 14 days of move-in. Perform initial assessment for any new residents within 60 days of move-in, with subsequent annual reviews to identify residents' service needs.
- For current residents, perform a needs assessment no later than 14 days after interest in program, with subsequent annual reviews.
- Annual needs assessments are required for all residents participating in the program.
- Assess residents' ADL/IADL status while focusing on their functional limitations and chronic health needs.
- Promote resident independence by establishing care goals for residents.
- Serve as a liaison with primary care physicians, hospitals, or other health care providers, as necessary and appropriate to assist with self-care disease management, medication self-management, or coordinating care between different care providers.
- Collaborate with the Enhanced Service Coordinator to develop a care plan using information gathered from residents' assessments.
- Collaborate with Area Agencies on Aging (AAA)/ Aging and Disability Resource Center (ADRC) to ensure that necessary community-based supports are accessible and available to residents.
- Communicate care plan to residents and caregivers.
- Develop and oversee preventive health programs that are focused on optimizing ADL/IADL functions through exercise, diet, and other preventive health activities; teach medication self-management and self-care skills.
- Discuss and design programs that focus on common health concerns, such as but not limited to: falls, incontinence, changing sleep patterns, etc.
- Assist with medication self-management (in accordance with any applicable state laws) including assessment of individual residents to determine ability for self-administration.
- Monitor transitions home following emergency department visits or discharge from hospital/rehabilitation center.
- Collaborate with the Enhanced Service Coordinator to address resident issues, and networks with community partners.
- Work with community organizations to develop targeted health promotion and disease prevention activities.
- Participate in assessing and evaluating health care services to ensure that residents are informed of

programs and services available and are assisted in the utilization of available services.

- Other duties as determined necessary and appropriate by the research design

### **3. Prohibited Functions.**

Wellness Nurses must not:

- Procure, dispense, and administer any controlled substance.
- Function as a direct care provider.
- Provide direct treatment for health conditions.
- Direct and supervise care delivered by other health-care personnel.
- Duplicate services that would normally and readily be provided by a case manager.
- If Wellness Nurse is a recognized advanced practice registered nurse (APRN), that person may not prescribe medications or perform other tasks that would otherwise be acceptable as part of an expanded scope of practice.
- Other functions as determined necessary by HUD to meet the goals of the Demonstration and the independent formal evaluation.

### **4. Administrative Requirements**

- Owners must contract out to a third party provider the employment of a Wellness Nurse. The third party agency should be a Medicare Certified Home Health Provider or similar agency or organization.
- Owners must dedicate a private space for the nurse to meet confidentially with residents.
- Create and retain files for all residents served. Maintain resident files in a secured physical or electronic location. Files must be accessible ONLY to the Wellness Nurse and Enhanced Service Coordinator, unless residents provide signed consent otherwise. These policies must be consistent with maintaining confidentiality of information related to any individual per the Privacy Act of 1974 and the Health Insurance Portability and Accountability Act of 1996 (HIPAA).
- Other requirements as determined necessary to meet the goals of the Demonstration and the independent formal evaluation.