



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

Public and Indian Housing

Resident Opportunity & Self-Sufficiency Program

FR-6000-N-05

Application Due Date: 05/16/2016

Resident Opportunity & Self-Sufficiency Program

FR-6000-N-05

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

**Program Office:** Public and Indian Housing  
**Funding Opportunity Title:** Resident Opportunity & Self-Sufficiency Program  
**Announcement Type:** Initial  
**Funding Opportunity Number:** FR-6000-N-05  
**Primary CFDA Number:** 14.870  
**Due Date for Applications:** 05/16/2016

**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 general questions regarding the FY2016 NOFAs to the Office of Strategic Planning and Management, Grants Management Division, at AskGMO@hud.gov. 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**

Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains 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 HUD's Fiscal Year 2016 Notice[s] of Funding Availability for Discretionary Programs. Copies are available at [Grants.gov](http://Grants.gov) or HUD's [Funds Available](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail) 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).

1. Participative Planning and Implementation. HUD encourages all applicants to HUD's competitive programs to ensure, where applicable, public decision making and meaningful participation throughout the visioning, development, and implementation of funded projects, by residents of affected areas and especially communities traditionally marginalized from planning processes. In seeking public participation, applicants and grantees must ensure that all communications are provided in a manner that is effective for persons with hearing, visual, and other communications-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973 and, as applicable, the Americans with Disabilities Act. In addition Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and Executive Order 13166 require that grantees take responsible steps to ensure meaningful access to services, programs, and activities by persons with Limited English Proficiency (LEP persons).

2. OMB Approval Number(s): 2577-0229

The purpose of the Resident Opportunity & Self Sufficiency (ROSS) Service Coordinator (SC) program is to assist residents of public and Indian housing in making progress towards economic and housing self-sufficiency. To accomplish this goal, ROSS provides grant funding to eligible applicants to hire Service Coordinators to assess the needs of public and Indian housing residents and link them to supportive services that enable participants to increase earned income, reduce or eliminate the need for welfare assistance, and make progress toward achieving economic independence and housing self-sufficiency. In the case of elderly/disabled residents, the Service Coordinator links participants to supportive services which enable them to age/remain in place thereby avoiding more costly forms of care.

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

## A. Program Description.

### 1. Purpose.

The Resident Opportunity & Self Sufficiency (ROSS) Service Coordinator (SC) program is designed to assist residents of public and Indian housing make progress towards economic and housing self-sufficiency. To accomplish this goal, ROSS provides grant funding to eligible applicants to hire Service Coordinators to assess the needs of public and Indian housing residents and link them to supportive services that enable participants to increase earned income, reduce or eliminate the need for welfare assistance, and make progress toward achieving economic independence and housing self-sufficiency. In the case of elderly/disabled residents, the Service Coordinator links participants to supportive services which enable them to age/remain in-place thereby avoiding more costly forms of care.

### 2. Changes from Previous NOFA.

**a. Documentation required to be submitted with the application to justify salary request.** Since 2008, HUD has asked applicants to keep documentation on file demonstrating that the salary they are requesting from HUD for the ROSS-SC is comparable to local wages for similar professions. Salary comparability information was first requested to be submitted under the FY15 ROSS NOFA. While this is not a change from the FY15 ROSS NOFA, **all** applicants under this FY16 ROSS NOFA will not be familiar with this requirement. With this grant offering, HUD requires applicants to submit salary comparability documentation with their applications. You must conduct wage comparability studies by contacting a minimum of three local employers who employ social workers, case managers, or other similar positions. If applicable, an applicant may use the wages it pays its own workers in similar positions as one of the comparable salaries it provides. If this information is not included as part of the grant submission, it will be requested during the deficiency period. **New this year for competitive purposes: a salary request will be considered comparable if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%.** Please see paragraph 1(c) "**Documentation of salary comparability**" under **Section IV.B. "Content and Form of Application Submission"** for more information.

**b. The NOFA specifies that all Resident Association (RA) applicants must either be a locally-incorporated nonprofit organization or a federally-designated 501(c)(3) tax-exempt nonprofit organization by the application deadline of this NOFA.** Though not a change from last year, this requirement may be unfamiliar to FY16 renewal applicants.

**c. Added definition of incorporated nonprofit organization.** This change was included in the FY15 ROSS NOFA, but it will be new to FY16 applicants.

**d. Added requirement to submit evidence of current nonprofit status by submitting a copy of the 2015 federal annual information return submitted to the IRS (for 501(c)(3) applicants) or for locally-incorporated nonprofit organizations, the 2015 submission of the state equivalent.** If this information is not included as part of the grant submission, it will be requested during the deficiency period.

**e. New limit on RA applicants seeking to be included in the statutorily created 25% funding set-aside for qualified RA applicants to one application.** If RA applicants wish to submit additional applications on behalf of other entities, such as other RAs or PHAs, they cannot avail themselves of the 25% set-aside. Though not a change from last year, this requirement may be unfamiliar to FY16 renewal applicants. Please see Section IV.B.4.a. for more information.

**f. Three ROSS-SCs per Public Housing Authority (PHA) or tribe/Tribally Designated Housing Entity (TDHE).** This limit was included as part of the FY15 ROSS NOFA, but will be new to renewal applicants under this FY16 ROSS-SC NOFA. This NOFA explicitly limits the number of ROSS-SCs to any PHA or tribe/TDHE to three. Previously, the ROSS NOFAs were not clear regarding how many total ROSS-SC positions a PHA could receive in a given fiscal year through applications submitted by PHAs, RA

applicants, and/or nonprofits wishing to serve a particular PHA or tribe/TDHE. The combined limit is 3 ROSS-SCs per fiscal year.

**g. Inserted a description of minimum qualifications a ROSS-SC should possess.** A description of minimum service coordinator qualifications was included in the FY15 ROSS NOFA, but this will be new to FY16 applicants. The qualifications described in this NOFA align with the requirements contained in Multifamily Service Coordinator NOFAs.

**h. Clarified the Review and Selection section by explaining in more detail how the lottery system works.** This clarification was included in the FY15 ROSS NOFA, but it will be new to FY16 applicants.

**i. Rental Assistance Demonstration (RAD) Conversions.** The NOFA specifies that PHAs may not apply to serve units that have been approved for RAD conversion or have already converted. Also, PHAs that are submitting RAD applications for some or all of their units, but that have not received approval, will have to withdraw their request for a ROSS grant as soon as they receive a RAD Commitment to enter into a Housing Assistance Payment (CHAP). This stipulation was included in the FY15 ROSS NOFA, but it will be new to FY16 applicants.

**j. Threshold Requirements, Past Performance and Capacity of Applicant** are now program requirements. All other thresholds--match; demonstrated link between partners and local need; and letters of support for nonprofit applicants--remain threshold requirements. This change was included in the FY15 ROSS NOFA, but it will be new to FY16 applicants.

**k. Narrative requirement for Tribes Designated as High-Risk.** Tribes that have been informed of performance deficiencies or designated by their area ONAP as "high risk grantees" per 2 CFR Part 200.205 must submit a narrative of no more than 10 pages (double-spaced, Times New Roman font size 12, with one inch margins) addressing the corrective actions they have put in place in response to the area ONAP's findings.

**l. Eliminated Third Funding Category.** This category was targeted to applicants with current ROSS grants that wanted to apply for additional funding to serve properties that were not being serviced by their existing ROSS grant. Under past funding competitions, there was not enough money to fund this category, so it is being eliminated. This change was included in the FY15 ROSS NOFA, but it will be new to FY16 applicants. Entities funded under the FY2014 or FY2015 NOFA competitions should not apply under this FY2016 ROSS-SC NOFA. If applications from such entities are received, they will be deemed ineligible and will not be considered for funding.

### **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.1 of 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 IV.D.4. 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.

f. **Contract Administrator** is an overall grant administrator or a financial management agent (or both) that oversees the implementation of the grant and/or the financial aspects of the grant. Troubled applicants and all RA applicants are required to submit a Contract Administrator Partnership Agreement (CAPA) with their application. See Section V.A.1. Rating Factors and the section entitled "Program Specific Requirements" of this NOFA for more information about a CA.

g. **Elderly person** – any person 62 years of age or older.

h. **Incorporated Non-profit Organization** – A non-profit organization that has filed *articles of incorporation* with the state office (usually the Secretary of State or Attorney General) responsible for incorporations and has been granted such status and has maintained this status by complying with state requirements. Resident Association (RA) applicants, including tribal resident organizations, who are in the process of incorporating as a non-profit organization and have not been approved of such status by the time of the application deadline will not be eligible for a ROSS grant. All incorporated non-profit RA applicants must submit evidence of their incorporated non-profit status and a copy of their 2015 annual state filing as evidence of this status being current. Please see definitions of *Resident Association* and *Tribal/TDHE Resident Group* below for more information.

i. **Indian Tribe** – This NOFA follows the same definition of Indian tribe as found in section 4(13) of the Native American Housing and Self Determination Act (NAHASDA). Namely, a tribe that is a federally recognized tribe or a State recognized tribe.

(1) **Federally Recognized Tribe.** The term “federally recognized tribe” means any Indian tribe, band, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act, that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians pursuant to the Indian Self-Determination and Education Assistance Act of 1975.

(2) **State Recognized Tribe.** In General, the term “State recognized tribe” means any tribe, band, nation, pueblo, village, or community--

(i) That has been recognized as an Indian tribe by any State; and

(ii) For which an Indian Housing Authority has, before the effective date of NAHASDA entered into a contract with the Secretary pursuant to the United States Housing Act of 1937 (1937 Act) for housing for Indian families and has received funding pursuant to such contract within the 5-year period ending upon such effective date.

j. **Lottery** – HUD will make awards for the ROSS-SC program using a lottery system. A lottery for the purposes of this NOFA means a random sample selection process, without replacement, through which each qualified applicant or qualified application has the same probability of being chosen. Once an applicant or application is selected from the pool, it will not be reintroduced to the pool when additional selections are to be made so as to deliberately avoid selecting the same applicant or application a second time.

k. **NAHASDA-Assisted Resident** – A NAHASDA-eligible person who has been assisted under NAHASDA.

l. **New/Other Applicant** – An applicant that has never received ROSS funding or a previously awarded ROSS grantee with no ROSS funds remaining. Note: funding from the Public Housing Family

Self-Sufficiency (FSS) program is not considered ROSS funding.

**m. Person with Disabilities** – A person who:

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

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

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

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

**p. Renewal Applicant** – Only applicants that were grantees funded under the FY2013 ROSS-SC NOFA qualify as renewal applicants. If an applicant is a new PHA with a new PHA identifying number and an ACC created by the consolidation of two or more divesting PHAs, the PHA's application shall be considered a renewal under this NOFA if at least one of the divesting PHAs had a ROSS Service Coordinators Program grant under the FY2013 ROSS-SC NOFA.

To view a list of grantees and projects funded under the FY13 ROSS-SC NOFA, applicants should review the “Previously Funded Development Report.” This report will be included with the ROSS-SC application materials in the “Applications Instructions” download on Grants.gov. The report will also be posted on the FY16 ROSS NOFA web page which will be accessible at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

If the number of ROSS-SCs for which an applicant is eligible has changed since its original application, a renewal applicant is eligible to apply only for the number of ROSS-SCs for which it is currently eligible (i.e., if the number of units has decreased, the number of SCs may have decreased also and vice versa.)

A renewal applicant may make changes from its original grant as to budget, projects served, number of SCs, serving family or elderly/disabled, partners, logic model goals, etc., and will be considered a renewal if it is a grantee applying to serve the same PHA(s) or Tribe(s) for which it was originally funded. PHAs, Tribes, and Site-based RAs applying to renew a prior ROSS-SC grant may not also apply for new funding.

**q. Renewal Funding Category** – The category of funding reserved for renewal applicants. Applicants in the

renewal funding category have priority over applicants in the new funding category.

**r. Resident Association (RA)** – Includes any of the following types of resident organizations:

City-Wide Resident Councils, Intermediary Resident Organizations, Jurisdiction-Wide Resident Organizations, Regional Resident Organizations (RRO), Resident Councils (RC), Statewide Resident Organizations (SRO), Site-Based Resident Associations, and National Resident Organizations (NRO). The NOFA will use “Resident Association” or “RA” to refer to all eligible types of resident organizations.

In order to be eligible for ROSS funding, all RA applicants must have either locally-incorporated non-profit status (see "h" above) or IRS 501(c)(3) tax-exempt status (see "v" below). Applicants must provide documentation with their application attesting to their designation as a locally-incorporated non-profit organization or a federally designated 501(c)(3) nonprofit. Such documentation must include a copy of the FY15 federal annual information return submitted to the IRS (for 501(c)(3) applicants) or the state equivalent for locally-incorporated nonprofits. If this information is not submitted as part of the application, it will be requested during the deficiency period.

All RA applicants must also submit form HUD-52753 “Certification of Election of Resident Council Board” and must indicate their RA type on the HUD-52768 “ROSS-SC Application Form.” These forms will be included as part of the Instructions Download on grants.gov.

Per the 1937 Act, twenty-five percent of ROSS funds will be set aside for qualified RA applicants. RAs that wish to be placed in this funding set-aside may only submit one application. If an RA wishes to submit more than one application (up to three applications under the new and/or renewal funding categories), it cannot request to be placed in this funding set-aside. Please see Section IV.B.4.a. for more information.

See 24 CFR 964.115 for more information about the requirements that apply to RAs.

**s. Resident Management Corporation (RMC)** – Must consist of residents residing in public housing; propose to enter, or have entered into a contract to conduct one or more management activities of a PHA; and meet the characteristics outlined in 24 CFR 964.120 including being a non-profit organization that is validly incorporated under the laws of the State in which it is located.

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

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

**u. Site-Based Resident Association** (or Local Resident Association) – A 501(c)(3) tax-exempt non-profit organization or a locally-incorporated non-profit organization of resident councils or resident management



corporations representing a specific public housing project. A site-based RA may only apply for one SC position. A maximum of three site-based RAs serving the same PHA may be funded through this NOFA.

**v. Tax-Exempt Nonprofit Organization** – An organization that has been granted tax-exempt status by the IRS pursuant to I.R.S. 501(c)(3) before the deadline for submission of this application and is therefore exempt from federal taxation. For more information about tax-exempt status, go to [www.irs.gov](http://www.irs.gov). Applicants who are in the process of applying for tax-exempt status and have not received this designation from the IRS by the deadline for submission will not be eligible, but may be eligible as an incorporated nonprofit if they are a Resident Association and submit documentation attesting to having this status as of the application deadline. All tax-exempt nonprofit applicants must submit their IRS determination letter to prove their tax-exempt status **and** a copy of their 2015 federal *annual information return* (<https://www.irs.gov/Charities-&-Non-Profits/Annual-Reporting-&-Filing-1>) submitted to the IRS. If this information is not provided with your application, it will be requested during the deficiency period.

**w. Tribally Designated Housing Entity (TDHE)** is an entity authorized or established by one or more Indian tribes to act on behalf of each such tribe authorizing or establishing the housing entity as defined by section 4(22) of NAHASDA.

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

**y. Youth:**

(1) At-risk youth. The term typically implies youth having a future with less optimal outcomes. For example, the youth may be homeless or transient; involved in drugs or alcohol; abused sexually, physically or emotionally; mentally ill; neglected at home or live in stressful family environments; lacking social or emotional supports; or involved with delinquent peers.

(2) Transition age youth: Youth aged 16-24.

## **B. Authority.**

ROSS is authorized under Section 34 of the United States Housing Act of 1937 (42 U.S.C.1437z-6). ROSS is governed by 24 CFR Part 964. Funding for this program is authorized by the Department of Housing and Urban Development Appropriations Act, 2016 (Public Law 114-113, approved December 18, 2015)

## **II. Award Information.**

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

HUD is making available approximately **\$35,000,000** through this NOFA for Resident Opportunity & Self-Sufficiency Program.

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 is 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.

In fiscal year 2016, HUD received a total of \$35 million in congressional appropriations for the ROSS-SC program. HUD will not set aside funding from ROSS appropriations to fund activities related to supportive services under the Jobs-Plus program. Should additional carryover or recaptured funds from prior ROSS appropriations become available, they will be used to make additional awards under the FY16 ROSS-SC competition.

## B. Number of Awards.

HUD expects to make approximately 110 awards from the funds available under this NOFA.

The chart below shows total funding available in three recent funding cycles and how much was awarded based on the funding category. For Fiscal Year 2016, HUD estimates that approximately \$3 million will be available to fund applications under the New/Other category. HUD does not anticipate being able to fund all applications in this category.

| <b>Fiscal Year</b> | <b>Funds Available (Approximate)</b> | <b>Resident Associations</b> | <b>Renewal</b> | <b>New/Other</b> |
|--------------------|--------------------------------------|------------------------------|----------------|------------------|
| 2014               | \$36,000,000                         | \$5,121,847                  | \$25,371,805   | \$5,254,032      |
| 2013               | \$29,000,000                         | \$3,399,653                  | \$18,456,070   | \$6,574,627      |
| 2012               | \$35,000,000                         | \$5,158,350                  | \$17,387,351   | \$12,138,923     |

## C. Minimum/Maximum Award Information.

Award amounts will vary depending on HUD's determination of information provided in applicants' salary requests for the Service Coordinator positions. You must request funding that is commensurate with local wages for professions comparable to that of a ROSS-Service Coordinator. **NOTE:** A salary request will be considered commensurate if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. Applicants are reminded that they must submit documentation showing the results of completed salary comparability studies they have conducted to support their salary request for the ROSS-SC they wish to hire. Please see paragraph 1(c) "**Documentation of salary comparability**" under **Section IV.B. "Content and Form of Application Submission"** for more information.

|                          |                              |
|--------------------------|------------------------------|
| Estimated Total Funding: | \$35,000,000                 |
| Minimum Award Amount:    | \$0 Per Project Period       |
| Maximum Award Amount:    | \$738,000 Per Project Period |

## D. Period of Performance.

|                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Estimated Project Start Date: | 08/01/2016                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Estimated Project End Date:   | 07/31/2019                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Length of Project Periods:    | 36-month project with three 12-month budget periods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Length of Project Periods     | <b>Grant Extensions.</b> Requests to extend the grant term beyond the three-year grant term must be submitted in writing to the local HUD field office or area ONAP at least 60 days prior to the expiration of the grant term. Requests must explain why the extension is necessary, what work remains to be completed, a timeline for completing remaining work, and what work and progress was accomplished to date. Extensions may be granted by the field office or area ONAP with good cause. Denials of extension requests are reserved for HUD Headquarters. Please note that grantees who receive extensions may receive unfavorable evaluations as part of reviews of future applications. Extension requests will be examined closely and are highly discouraged. |
| Explanation of Other:         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

## E. Type of Funding Instrument.

Funding Instrument Type: Grant

Subawards and subrecipients as defined in 2 CFR 200.92 are not permitted under ROSS grants.  
Subcontracting within the procurement standards of 2 CFR 200 is permitted.

### III. Eligibility Information.

#### A. Eligible Applicants.

Public housing authorities/Indian housing authorities

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

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

- Native American tribes as defined at 4(13) of NAHASDA, Tribally Designated Housing Entities (TDHEs) as defined at 4(22) of NAHASDA.
- Resident associations of all kinds must have either locally-incorporated nonprofit status (usually designated by the state or tribal government) or 501(c)(3) nonprofit status designated by the IRS. Applicants must provide documentation with their application attesting to their designation as a locally-incorporated non-profit organization or a federally designated 501(c)(3) nonprofit. Such documentation must include a copy of the 2015 federal annual information return submitted to the IRS (for 501(c)(3) applicants) or the state or tribal equivalent for locally-incorporated nonprofits. If this information is not submitted as part of the application, it will be requested during the deficiency period. Please see **Section IV.B. "Content and Form of Application Submission"** for more information.
- **EDSC Provision.** PHA applicants that are currently eligible to receive annual renewal funding under the Elderly/Disabled Service Coordinator (EDSC) program from the Public Housing Operating Fund that apply to serve elderly/disabled residents through this NOFA will forgo all future eligibility for EDSC funding through the Operating Fund. These applicants may apply and receive funding to serve families only without risking their EDSC funding. To confirm if your PHA is affected by this EDSC provision, please see the list of PHAs that are eligible to receive EDSC funding by going to: [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/public\\_indian\\_housing/programs/ph/am/of/opfnd2016](http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/am/of/opfnd2016). When completing your ROSS-SC application, please pay special attention to the EDSC section on the HUD form 52768 – “ROSS Service Coordinators Funding Request.”
- For-profit entities are not eligible to apply.

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

As required in the Code of Federal Regulations (CFR) at 2 CFR 25.200 and 24 CFR Part 5 Subpart K, all applicants for financial assistance 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 for necessary form and content information.

#### B. Cost Sharing or Matching.

This Program requires an applicant to leverage resources through cost sharing or matching as described below.

The required match is 25 percent of total requested ROSS funds. Match is a threshold requirement and documentation of match is required by the submission deadline. Therefore, applicants who do not demonstrate the minimum 25 percent match will not receive further consideration for funding. Match may be cash or in-kind. Contributions may include self-sufficiency and supportive services/programs provided to participants in the ROSS-SC program. Please see the section below on threshold requirements for more information on what is necessary to satisfy the match threshold.

### **C. Other.**

All applicants must comply with the following requirements, which may determine whether your application is reviewed or make your application ineligible for funding. Eligibility criteria for this competition include:

#### **1. Threshold Requirements.**

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated. See also Section I.A.3 Definitions.

a. Timely Submission of Applications – Applications submitted after the deadline stated within this NOFA and that do not meet the requirements of the grace period policy will be marked late. Late applications are deemed ineligible and will not be considered for funding. See also Section IV Application and Submission Information, part D.

b. Civil Rights Matters – Outstanding civil rights matters must be resolved prior to the application deadline.

(1) Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (a) – (e) that have not been resolved to HUD’s satisfaction before or on the application deadline date are ineligible for funding.

(a) Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;

(b) Status as a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance pursuant to 42 U.S.C. 3614(a);

(c) Status as a defendant in any other lawsuit filed or joined by the Department of Justice alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, Title II of the Americans with Disabilities Act, or a claim under the False Claims Act related to fair housing, nondiscrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;

(d) Receipt of a letter of findings identifying systemic noncompliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or Title II of the Americans with Disabilities Act; or

(e) Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

(2) HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the application deadline date are sufficient to resolve the matter. Examples of actions that may be considered sufficient to resolve the matter include, but are not limited to:

(a) Current compliance with a voluntary compliance agreement signed by all the parties;

(b) Current compliance with a HUD-approved conciliation agreement signed by all the parties;

(c) Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;

(d) Current compliance with a consent order or consent decree; or

(e) Current compliance with a final judicial ruling or administrative ruling or decision.

There are two program thresholds for all applicants: *match* and demonstrated *link between partners and local need*. 501(c)(3) non-profit applicants that are not themselves an RA must satisfy an additional threshold requirement by submitting support letters from the organization(s) on whose behalf they are applying.

All thresholds will be evaluated on a pass/fail basis. You must respond to each threshold requirement clearly and thoroughly by following the instructions below. If your application fails a threshold requirement, per Section **VI.B.7.** of the FY16 **General Section**, HUD will not be able to ask for clarifying information or additional documentation that would allow your application to pass a threshold. It is your responsibility as the applicant to ensure that all critical information is contained in your application. If your application fails one threshold requirement (regardless of the type of threshold) it will be considered a failed application and will not receive further consideration for funding.

### **c. Match.**

1. All applicants are required to have in place a firmly committed match contribution equivalent to 25 percent of the total grant amount requested in order to be considered for funding. The match may be provided as a cash or in-kind donation. Applicants must show their match on the HUD52769 "ROSS Needs and Service Partners" form and must maintain all letters from partners attesting to match contributions (please see **Section IV.B** for additional information on required forms). Applicants contributing their own resources to the match, in whole or in part, must also write a letter attesting to the match contribution they are making and keep it on file. **NOTE: At time of grant award, HUD may ask to review match letters.**

The purpose of the match, whether cash or in-kind, is to ensure that your ROSS program is comprised of services that meet at least 50% of the needs identified in the HUD52769. The HUD52769 must identify at least 10 categories of needs. Of the needs identified, at least 50% must be met by match contributions which may be cash or in-kind donations. The value of these contributions must equal at least 25% of the grant amount you are requesting.

For example, if an applicant has identified the minimum of 10 needs, five (or 50%) of these needs must have an in-kind or cash match contribution. The value of this match contribution must be equivalent to 25% of the grant amount requested. If the grantee is requesting \$100,000 from HUD, the match must equal \$25,000.

Match may be for the value of services provided by partner organizations as well as for the eligible activities under this grant (e.g. salary, fringe, admin and training). The value of space provided for activities related to carrying out the ROSS-SC program as well as administrative assistance, including salaries and supplies, may also be counted towards the value of match.

2. The match certification on the HUD52769 must be signed by the applicant's Executive Director, Resident Association Board President, Tribal Chairman or other person authorized to make the stated commitment and/or attest to the match contribution from other partners. Please note that all forms with signatures and letters must be scanned and attached to your Grants.gov application or attached to an email.

3. Joint applicants must together have at least a 25 percent match. Applicants who do not demonstrate the minimum 25 percent match will fail this threshold requirement and will not receive further consideration for funding.

4. Please note that if you are using federal funds as a source of match, the statute governing the funds must allow the funds to be used towards match.

5. Match donations must be firmly committed, which means that the amount of match resources and their dedication to ROSS-funded activities must be explicit, in writing, on organization letterhead, and signed by a person authorized to make the commitment. The match letters must be kept on file for verification and audit purposes. The letters of commitment/MOUs/tribal resolutions must:

- Indicate the duration and total dollar value of the commitment;
- Include a calculation to show how the value of the commitment was derived (see example provided below pertaining to calculating volunteer time);

- Be dated between the publication date of this NOFA and the application deadline for this NOFA; and
- Indicate how the commitment will relate to the proposed program. If the commitment is in-kind, the letters should explain exactly what services or material will be provided. The commitment must be available at time of award.
- *Applicants proposing to use their own, non-ROSS grant funds to meet the match requirement, in whole or in part, must also have a letter of commitment indicating the type of match (cash or in-kind), the source of the match, the value of the match, and how the match will be used.*

Resources/in-kind services that can be committed include: in-kind services provided to the applicant; funds from federal sources (not including ROSS funds) that by statute allow those funds to be used for matching purposes, including, for example, Community Development Block Grant (CDBG) funds, Indian Housing Block Grant (IHBG) funds; funds from any state or local government sources, and funds from private contributions.

6. The value of volunteer time and services shall be computed by using the normal professional rate for the local area or the national minimum wage rate (\$7.25) multiplied by the number of staff to be provided to the grant, multiplied by the total number of hours, multiplied by the number of years the commitment will be provided. **(Example:** (\$7.25 per hour) x (2 volunteers) x (50 total hours per year) x (3 years) = \$2,175.00)

7. The value of any donated material, equipment, building space, or lease, shall be provided in a letter from the organization making the donation stating the value of the contribution **and** the duration of the commitment. **(Example:** community center space monthly rent valued at: \$1000 per month x 12 months x 3 years = \$36,000)

8. **Completing HUD52769.** The source of funds for each match commitment must be shown on the HUD52769. *If the applicant itself is proposing to meet a need, the applicant must indicate the funding source on the HUD52769 for each need the applicant will provide in order to demonstrate that it is NOT a current or previous ROSS grant and maintain a match letter on file. By signing the HUD52769 applicants are certifying that their commitments will be available for the full three-year grant term.* Please see sample excerpted from the HUD52769 below:

| NEEDS                | NEED?<br>(check all that apply – see NOFA for requirements) | SERVICE PROVIDER/PARTNER(s)<br>(list all) | Value of Match*             |
|----------------------|-------------------------------------------------------------|-------------------------------------------|-----------------------------|
| Life Skills Training | X                                                           | XYZ PHA Applicant                         | \$2,000<br>(Operating Fund) |
| After-school program | X                                                           | Boys & Girls Club                         | \$10,000                    |
| Computer classes     | X                                                           | Tech for Kids                             | \$7,000                     |

**d. Demonstrated Link between Partners and Local Need.** This threshold requirement applies to all applicants. In order to address this threshold, you must use the HUD52769 “ROSS Needs and Service Partners” Form to identify local needs. You *must identify a minimum of ten (10) need categories*. If fewer than 10 are identified, this threshold will not be considered to have been met. *In order to be considered for funding, you must show using the HUD52769, that you have partners in the community that can meet at least half (or 50%) of the service categories identified as needed.* For example, if the minimum of 10 needs are indicated, you should have partners in place at the time of application that can meet 5 of the needs. This must be indicated on the HUD52769. You as the applicant may be listed as meeting one or more need(s) as

long as the source of funding for the service comes from non-ROSS funding. *If you are proposing to meet a need, you must indicate the funding source on the HUD52769 for each service you will provide in order to demonstrate that it is NOT a current or previous ROSS grant. (See example under Match threshold). By signing the HUD52769 you are certifying that your commitments will be available for the full three-year grant term.* It will be the responsibility of the SC to continue to build upon the partnerships that are in place at the time of the application and to expand the services available to residents.

Please note that the Secretaries of HUD and Labor co-signed a letter encouraging PHAs and local Workforce Investment Boards (WIBs) to partner for job training and placement of public housing residents. For more information, see: [http://portal.hud.gov/hudportal/documents/huddoc?id=DOC\\_4248.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_4248.pdf) or <http://portal.hud.gov/hudportal/HUD?src=/recovery/partnerships>

#### **e. Letters of Support for 501(c)(3) Non-profit Applicants.**

This threshold requirement applies only to 501(c)(3) non-profit applicants that are not themselves RAs. All non-profit applicants must include a letter of support from either the Public Housing Authority, tribe/TDHE(s), or the particular RA(s) they intend to serve. All letters of support from PHAs/tribes/TDHEs/RAs must:

- Be signed by an authorized representative of the supporting organization.
- Be dated between the publication date of this NOFA and the application deadline published in this NOFA, or any amended deadline. Indicate the number of eligible units at the PHA (or the number of eligible units represented by the RA, in the case of RA support letters).
- List the names (and/or Project number(s), where applicable) of the Projects to be served.
- The total number of units to be served.
- Describe to what extent the PHA/tribe/TDHE/RA is familiar with the 501(c)(3) non-profit applicant and indicate their support of the 501(c)(3) non-profit application.
- Include contact information and the name and title of the person authorized to sign for the organization.

**NOTE:** 501(c)(3) non-profit applicants that are not themselves RAs but are applying on behalf of a Resident Association must also submit form HUD52753 (Certification of Resident Council Board of Election) for each RA from which the non-profit is receiving support. Submitting this form is not applicable where non-profits are applying on behalf of a PHA/tribe/TDHE.

## **2. Statutory and Regulatory Requirements.**

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

#### **Compliance with Fair Housing and Civil Rights Laws.**

Applicants and their prospective subrecipients must comply with all applicable fair housing and civil rights requirements in 24 CFR 5.105(a), including, but not limited to, the Fair Housing Act; Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II and Title III of the Americans with Disabilities Act of 1990; and Section 109 of the Housing and Community Development Act of 1974. Applicants, and their prospective subrecipients, who are conducting programs or activities within a state or local jurisdiction that has passed a law prohibiting discrimination in housing based upon sexual orientation or gender identity, or a law prohibiting discrimination in housing based on lawful source of income, must comply with the law(s) of the state or locality in which the program activities are conducted.

See also Section V.C.1. of the FY 2016 General Section.

### **Affirmatively Furthering Fair Housing.**

Section 808(e)(5) of the Fair Housing Act requires HUD to affirmatively further the purposes of the Fair Housing Act in its housing and urban development programs. Accordingly, HUD requires recipients of funds that are not specifically exempted to take affirmative steps to further fair housing. An applicant must discuss how it is going to carry out the proposed activities in a manner that affirmatively furthers fair housing in complete compliance with Section 808(e)(5) of the Fair Housing Act.

Applicants should note that this requirement has been modified under this NOFA. Under this NOFA, you do not have to include a statement on Affirmatively Furthering Fair Housing (AFFH) in your application; instead, successful applicants (grantees) are required to undertake the following AFFH activities:

- (1) Ensure that each participant in the ROSS program receives training and information on rights and remedies available under the federal, state and local fair housing and civil rights laws and a copy of the housing discrimination complaint form.
- (2) Ensure that each participant is told how to file a fair housing complaint and given the toll-free number for the Housing Discrimination Hotline: 1-800-669-9777.
- (3) If the family is currently living in a high poverty census tract in the PHA's jurisdiction, ensure that the family is provided with an explanation of the advantages of moving to an area that does not have a high concentration of low-and very low-income people.
- (4) Seek out fair housing training and technical assistance which will assist the coordinator and the PHA to develop steps to affirmatively further fair housing for their program participants. Fair housing training and technical assistance may be available through the local Fair Housing Initiatives Program (FHIP) agency or the Fair Housing Assistance Program (FHAP) agency. A listing of FHIPs and FHAPs can be found at [www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm](http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm) (FHIP) and [www.hud.gov/offices/fheo/partners/FHAP/agencies.cfm](http://www.hud.gov/offices/fheo/partners/FHAP/agencies.cfm) (FHAP).

**NOTE:** Indian tribes and tribally designated housing entities receiving assistance under NAHASDA are not required to undertake these AFFH activities and are not required to submit a statement on affirmatively furthering fair housing.

### **Economic Opportunities for Low-and Very Low-income Persons (Section 3).**

Recipients of assistance must comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 CFR part 135. Section 3 requires recipients to ensure, to the greatest extent feasible, that training, employment, contracting and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns that provide economic opportunities to low-and very low-income persons in the area in which the project is located. Applicants must describe in their applications their plans to train and employ Section 3 residents and contract with Section 3 business concerns in furtherance of the proposed activities. Applicants for funding under this program shall, by signing the application, certify compliance. Recipients of covered funding are required to comply with the requirements of 24 CFR Part 135, particularly subpart B-Economic Opportunities for Section 3 residents and Section 3 Business Concerns, and Subpart E-Reporting and Recordkeeping. HUD encourages recipients to consult the national Section 3 Business Registry. Applicants and grant recipients can search the database to find local Section 3 businesses that put a priority on hiring public housing or low-income residents. To learn more about HUD's Section 3 Business Registry or to search for a Section 3 business, visit: [www.hud.gov/sec3biz](http://www.hud.gov/sec3biz). Additional information on the requirements of Section 3 can be found at: [www.hud.gov/offices/fheo/section3/section3.cfm](http://www.hud.gov/offices/fheo/section3/section3.cfm). Program NOFAs to which Section 3 applies will have additional information here.



### **Improving Access to Services for Persons with Limited English Proficiency (LEP).**

Executive Order 13166 seeks to improve access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. Applicants obtaining federal financial assistance from HUD shall take reasonable steps to ensure meaningful access to their programs and activities to LEP individuals. As an aid to recipients, HUD published Final Guidance to Federal Financial Assistance Recipients: Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance) in the Federal Register on January 22, 2007 (72 FR 2732). For assistance and information regarding LEP obligations, go to [www.lep.gov/guidance/HUD\\_guidance\\_Jan07.pdf](http://www.lep.gov/guidance/HUD_guidance_Jan07.pdf). For more information on LEP, please visit [www.hud.gov/offices/fheo/promotingfh/lep.cfm](http://www.hud.gov/offices/fheo/promotingfh/lep.cfm).

### **Accessible Technology.**

Section 508 of the Rehabilitation Act (Section 508) requires HUD to ensure, when developing, procuring, maintaining, or using electronic and information technology (EIT), that the EIT allow persons with disabilities to access and use information and data on a comparable basis as is made available to and used by those without disabilities. Section 508 covers, but is not limited to, computers (hardware, software, word processing, email, and Internet sites), fax machines, copiers and telephones. Among other things, Section 508 requires that EIT allow individuals with disabilities who are federal employees or members of the public seeking information or services from a federal agency to have access to and use of information and data on a comparable basis as that made available to employees and members of the public without disabilities unless an undue burden would result to the federal department or agency. Where an undue burden exists to the federal department or agency, alternative means may be used to allow an individual with disabilities use of the information and data. Section 508 does not require that information services be provided at any location other than a location at which the information services are generally provided. HUD encourages its funding recipients to adopt the goals and objectives of Section 508 by ensuring, whenever EIT is used, that persons with disabilities have access to and use of the information and data made available through the EIT on a basis comparable as is made available to and used by persons without disabilities. This does not affect recipients' required compliance with Section 504 of the Rehabilitation Act and, where applicable, the Americans with Disabilities Act. Applicants and recipients seeking further information on accessible technology are directed to [www.section508.gov](http://www.section508.gov).

### **b. HUD Agency Wide or Federal Government Wide Requirements.**

(1) Outstanding Delinquent Federal Debts – It is HUD policy, consistent with the purposes and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), that applicants with outstanding delinquent federal debt will not be eligible to receive an award of funds, unless:

(a) A negotiated repayment schedule is established and the repayment schedule is not delinquent, or  
(b) Other arrangements satisfactory to HUD are made prior to the award of funds by HUD. If satisfactory arrangements cannot be completed within 90 days of notification of selection, HUD will not make an award of funds to the applicant, and instead offer the award to the next eligible applicant. HUD may act earlier than the above stated 90 days to ensure, in HUD's determination, that the funds can be obligated in a timely manner. Applicants selected for funding, or awarded funds, must report any changes in status of current agreements covering federal debt. HUD may withhold funding, terminate an award, or seek other remedies from a grantee if a previously agreed-upon payment schedule has not been followed or a new agreement with the federal agency to which the debt is owed has not been signed.

(2) Pre-Award Accounting System Survey – HUD will not award or disburse funds to applicants that do not have a financial management system that meets federal standards. HUD may arrange for a pre-award survey of any such financial management system for applicants selected for award who have not previously received federal financial assistance, where HUD Program officials have reason to question whether a financial management system meets federal financial management standards, or for applicants considered high risk based upon past performance or financial management findings.

(3) Debarments and/or Suspensions – In accordance with 2 CFR part 2424, no award of federal funds may be made to debarred or suspended applicants, or those proposed to be debarred or suspended from doing business with the Federal Government.

(4) False Statements – A false statement in an application is grounds for denial or termination of an award and possible punishment, as provided in 18 U.S.C. 1001.

(5) Do Not Pay Website Review – As part of the Improper Payments Elimination and Recovery Improvement Act (IPERIA) of 2012, in making funding determinations HUD will look up applicant information on the Federal website <http://www.donotpay.treas.gov/>. The Do Not Pay Portal is intended to prevent improper payments and can be used by HUD to ensure that applicants that receive funding do not owe funds to the federal government; are not on the Excluded Parties List System (EPLS); the List of Excluded Individuals/Entities List (LEIE); the Social Security Administration (SSA) Death Master File (DMF); or other federal databases that would provide adverse information regarding the applicant. HUD reserves the right to:

(a) Deny funding, or in the case of a renewal or continuing award, consider suspension or termination of an award immediately for cause,

(b) Require the removal of any key individual from association with management or implementation of the award, and

(c) Make appropriate provisions or revisions with respect to the method of payment or financial reporting requirements.

(6) Conducting Business in Accordance with Ethical Standards/Code of Conduct – Applicants are required to develop and maintain a written code of conduct in accordance with 2 CFR 200.112 and 200.318. Codes of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by officers, employees, or agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions available to remedy violations of such standards.

Pursuant to applicable Federal and HUD regulations, applicants must disclose in writing any potential conflict of interest and all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

Before entering into an agreement with HUD, applicants selected to receive funding under a Program NOFA must submit an up-to-date copy of their code of conduct. Applicants with codes already on file with HUD do not need to resubmit a new code unless the information on file has changed. New or updated submissions must be dated and signed by the Executive Director, or Chair, or equivalent official, of the governing body of the organization. Applicants must also describe the methods to be used to ensure that all officers, employees, and agents are aware of and have agreed to adhere to the code of conduct.

(7) Conflict of Interest of Consultants or Technical Experts Assisting HUD – Consultants and technical experts who assist HUD in rating and ranking applications for funding under published FY 2016 Program NOFAs are subject to 18 U.S.C. 208, the federal criminal conflict-of-interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, consultants and technical experts who have assisted or plan to assist applicants with preparing applications for FY 2016 Program NOFAs may not serve on a selection panel and may not serve as a technical advisor to HUD. Anyone involved in rating and ranking FY 2016 Program NOFA applications, including departmental staff, experts and consultants must avoid conflicts of interest or the appearance of such conflicts. These individuals must also disclose to HUD's Office of General Counsel Ethics Law Division the following information, if applicable:

(a) How the selection or non-selection of any applicant under a FY 2016 Program NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208, or

(b) How the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502.

The consultant or technical expert assisting HUD must disclose this information before participating in any matter regarding an FY 2016 program NOFA. Applicants with questions regarding these provisions or concerning a conflict of interest, please call the Office of General Counsel, Ethics Law Division, at (202) 708-3815 (this is not a toll-free number). The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service's teletype service at 1-800-877-8339.

(8) Prohibition Against Lobbying Activities – Applicants are subject to the provisions of Section 319 of Public Law 101-121, 31 U.S.C. 1352, (the Byrd Amendment) and 24 CFR part 87, which prohibit recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, loan, or cooperative agreement. In addition, applicants must disclose, using Standard Form LLL (SFLLL), "Disclosure of Lobbying Activities," any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, or congressional staff regarding specific grants or contracts. Federally-recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally-recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established only under state law shall comply with this requirement. Applicants must submit the SFLLL if they have used or intend to use non-federal funds for lobbying activities.

(9) Consistency with the Consolidated Plan and Analysis of Impediments (AI)/Assessment of Fair Housing – Certain competitive Programs require applications to contain a certification of consistency with a HUD-approved Consolidated Plan. This certification means that the proposed activities are consistent with the jurisdiction's strategic plan, and the location of the proposed activities is consistent with the geographic areas specified in the Consolidated Plan. The Consolidated Plan also includes the jurisdiction's certification to affirmatively further fair housing which means, among other requirements, that the jurisdiction has conducted an AI/Assessment of Fair Housing. If a program NOFA requires a certification of consistency with the Consolidated Plan and you fail to provide the certification, and you do not cure the omission as a technical deficiency, HUD will not fund the application.

Under HUD's regulations at 24 CFR 91.2(d), an applicant's PHA Plan must include a certification by the appropriate state or local official that the PHA Plan is consistent with the applicable Consolidated Plan for the jurisdiction in which the PHA is located and must describe the manner in which the applicable contents of the PHA Plan are consistent with the Consolidated Plan. To the extent that a proposal funded under this NOFA is addressed or should be addressed in the PHA Plan, it must be certified to be consistent with the Consolidated Plan.

### **3. Program Specific Requirements.**

**a. Contract Administrator.** All RAs and PHAS Troubled PHA applicants must have a Contract Administrator. The Contract Administrator must assure that the financial management system and procurement procedures that will be in place during the grant term will fully comply with 2 CFR part 200.

Contract Administrators are expressly forbidden from accessing HUD's Line of Credit Control System (LOCCS) and submitting vouchers on behalf of grantees. Contract Administrators must also assist grantees in meeting HUD's reporting requirements. Contract Administrators may be: local housing agencies; community-based organizations such as community development corporations (CDCs), churches, temples, synagogues, mosques; nonprofit organizations; state/regional/local associations, agencies and organizations. Troubled PHAs are not eligible to be Contract Administrators. Organizations that the applicant proposes to use as the Contract Administrator must not violate or be in violation of other conflicts of interest as defined in 2 CFR part 200 and in the Public Housing Annual Contributions Contract (for PHAs serving as Contract Administrators). HUD Field Offices will have final approval of Contract Administrators.

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

## **b. Achieving Results and Program Evaluation**

(1) An important element in any supportive service program is the development and reporting of performance measures and outcomes. This requirement emphasizes HUD's determination to ensure that applicants develop performance and outcome measures that are focused on residents achieving economic and housing self-sufficiency, reducing or eliminating dependency on any type of subsidized housing or welfare assistance, or in the case of elderly/disabled residents assisting them to continue to live independently. Additionally, achieving outcomes and accurate evaluation will assist HUD in meeting its commitment to federal requirements for accountability.

(2) HUD requires ROSS applicants to develop an effective, quantifiable, outcome-oriented plan for measuring performance and determining that goals have been met. Applicants must use the eLogic Model form HUD96010, an Excel spreadsheet, for this purpose. However, HUD may specify after grant award a replacement to the Logic Model which grantees will have to use for reporting to HUD.

(3) To fulfill this program requirement, applicants must provide a numerical "projection" for each service or activity applicants propose to undertake. The services or activities of their proposed program will lead to the ultimate achievement of outcomes. "Outcomes" are benefits accruing to the residents, families, and/or communities during or after participation in the ROSS program. Outcomes are not the development or delivery of services or program activities, but the results of the services delivered or program activities—they are the ultimate results of the program. Applicants must also provide numerical projections for each outcome. Examples of outcomes are: increasing residents' financial stability (e.g., increasing assets of a household through savings) or increasing employment stability (e.g., whether persons assisted obtain or retain employment).

(4) The ROSS Logic Model has been changed from past years. There are now a series of mandatory services and outcomes that all applicants are required to select. In the event that one or more of the mandatory elements is not relevant to your specific program, please enter "0" (i.e. if you are proposing to serve elderly/disabled population only, the metrics related to education may not be relevant). By having a uniform number of mandatory elements, HUD will be able to compare results using common measures for all grantees. Specific guidance and a glossary of terms will be included with the Logic Model form.

(5) Applicants will have the option to select from other optional activities and outcomes that will be provided in a drop-down menu.

(6) Applicants must fill out the Logic Model in its entirety, which includes Columns 2-7, and Sections A-E in column 7. Applicants must submit the form as an Excel spreadsheet, not in PDF form. Please note that the eLogic Models are only reviewed for completeness during the competition process. Successful applicants will be given the opportunity to revise their Logic Models upon grant agreement. Deficiencies found in Column 7 will not be treated as deficiencies for the competition process, but will need to be remedied by successful applicants during the grant agreement process.

## **c. Maximum Number of Applications** (please see the Appendix to this NOFA for additional information):

1. PHAs may submit only one application, under the new or renewal category.
2. Tribes/TDHEs may submit only one application, under the new or renewal category.
3. Site-based RAs may submit only one application, under the new or renewal category.
4. Non site-based RAs (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) **applying under the 25% RA set aside:** These applicants may submit one application under the new or renewal category. NOTE: All RA applicants must submit a CAPA.

5. Non site-based RAs (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) **not applying under the 25% RA set aside:** These applicants may submit up to three applications under the new and/or renewal category. NOTE: All RA applicants must submit a CAPA.

6. Tax-exempt applicants with 501(c)(3) status: These applicants may submit up to three applications under the new and/or renewal category. Applications submitted in the renewal category must be submitted on behalf of the same organization the applicant was funded to serve in 2013.

**d. Maximum Number of SCs per applicant:**

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

2. The number of positions that a newly consolidated PHA may apply for shall be based on the total sum of occupied units at each divesting PHA as of September 30, 2015. The resultant new PHA must be registered as a new entity at SAM.gov.

3. Per the chart below, PHAs, tribes/TDHEs, or 501(c)(3) nonprofits applying on their behalf must base their request for SCs on the number of occupied ACC/NAHASDA-assisted units in the PHA's/tribe/TDHE's portfolio as of September 30, 2015:

| Number of PHA/tribe/TDHE Units | Max # of SCs | Max Grant* |
|--------------------------------|--------------|------------|
| 50-1,000                       | 1            | \$246,000  |
| 1,001-2,500                    | 2            | \$492,000  |
| 2,501 or more                  | 3            | \$738,000  |

\*Applicants may only request funding that is commensurate with local wages for professions comparable to that of a ROSS-Service Coordinator. HUD will consider a salary request commensurate if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. Applicants must submit documentation showing the results of completed salary comparability studies they have conducted within the past year to support their salary request for the ROSS-SC position(s). If this information is missing from an application, it will be requested as part of the deficiency process. HUD will determine if the documentation is adequate. Salaries requested that are not supported by salary comparability studies, as noted above, are subject to reductions (including denial of an award) without further notice to eligible applicants prior to award announcement.

**e. Multiple Applications from 501(c)(3) Non-profit Applicants.** If a non-profit applicant submits more than one application, each must be complete in and of itself and each will be evaluated independently. Match commitments must be separate, individualized, and non-duplicated and the match letters for each application must be kept on file.

**f. More than one application per project.** HUD expects that all entities wishing to serve residents at a particular PHA will have coordinated their grant-seeking efforts. If more than one eligible application proposing to serve the same Project(s) is received, they will both be reviewed and, if both are deemed eligible to enter a lottery, only the first chosen in the lottery will be funded.

**g. No more than three ROSS-SC positions per PHA or tribe/TDHE.** In order to ensure that the greatest number of PHAs and tribes/TDHEs are served with ROSS funding, HUD is limiting the number of ROSS-SCs to three per PHA or tribe/TDHE. More than one eligible applicant per PHA or tribe/TDHE is eligible to apply and be funded provided that the combined total of ROSS-SC positions does not exceed three. Applicants should coordinate their application efforts in order to ensure that their applications do not exceed this cap.

**h. Joint applications.** Two or more applicants may join together to submit a joint application for proposed grant activities. However, joint applications must designate a lead applicant. The PHA (or other applicant

type) listed first on the SF424 and HUD52768 will be considered the lead applicant. In addition, the lead applicant must be registered with Grants.gov and submit the application using the Grants.gov portal. Lead applicants are subject to all threshold requirements. Non-lead applicants are subject to the following threshold requirements as applicable:

- (1). Letter(s) of support from each PHA, tribe/TDHE, or RA to be served by 501(c)(3) non-profit applicants;
- (2) If applying as a tax-exempt 501(c)(3) non-profit, a copy of the 501(c)(3) tax-exempt determination letter from the IRS and a copy of the *annual information return* submitted to the IRS as evidence of the organization's *current* tax-exempt status; and
- (3). All members of a consortium are subject to the requirements of this NOFA, the FY16 General Section, and the terms and conditions of the award.

**NOTE 1: Applicants that are part of a joint application may not also submit separate applications as sole applicants under this NOFA.**

**NOTE 2: Joint applicants may combine their eligible units in order to be eligible for the ROSS-SC program. If a 501(c)(3) non-profit organization submits one application to serve more than one PHA (or tribe/RA), a letter of support from each organization to be served is required as part of the application. Also, a *Certification of Consistency with the Consolidated Plan* is required for each PHA (or tribe) to be served.**

**i. Eligible Program Activities.** Funds awarded to applicants under this NOFA may be used for:

**1. Service Coordinator Functions.** The role of each ROSS-SC shall be designed to meet the needs of the local community they will serve; however, below is a listing of recommended functions for a ROSS-SC:

- (a) Coordinate a Local Program Coordinating Committee (PCC) with local service providers to ensure that program participants are linked to supportive services needed to achieve self-sufficiency. The SC will act as a liaison between the residents/PHA and local service providers.
- (b) Market the program to residents, including residents that are single parent heads-of-household and at-risk youth and/or transition age youth.
- (c) Provide general case management which includes intake, assessment, education, and referral of residents to service providers in the local community.
- (d) Coordinate and oversee the delivery of services, ensuring services are provided on a regular, ongoing, and satisfactory basis.
- (e) Coordinate and sponsor educational events, which may include topics relating to health care, job search seminars, life skills training, and digital literacy.
- (f) Assist the PHA, tribe/TDHE, or RA to create a resident group to promote self-sufficiency efforts and/or encourage residents to build informal support networks with other residents, family, and friends.
- (g) Encourage the formation of Civic Engagement and/or Self-Help Groups with residents and faith-based and/or other community-based groups if a particular need is evident. The purpose is to foster a sense of community and encourage residents' efforts to support and assist each other in their efforts to move toward self-sufficiency or age in-place.
- (h) Monitor and track the ongoing provision of services including supportive services from community agencies. Keep the case management and provider agencies up-to-date regarding the progress of individual participants. Monitor the provision of supportive services where appropriate.
- (i) Track and report to HUD using the Logic Model form on the progress of residents enrolled in

the program.

(j) Evaluate the overall success of the program.

**2. Training and Travel Related to Professional and/or Program Development.** All training and associated travel for the ROSS-SC staff person must be approved by the HUD Field Office or Area ONAP prior to incurring expenses.

**3. Administrative Costs.** Administrative costs may be used for activities including but not limited to the list contained in **Section IV.F.** of this NOFA. The funds HUD awards to ROSS-SC grantees to cover administrative costs may only be used to support the ROSS program. **These funds may not be used by grantees' Central Office Cost Centers to cover other PHA costs.**

**j. Salary and Fringe Benefits of One or More SCs.** Under this award the maximum amount HUD will contribute to a ROSS-SC's salary and fringe benefits will be \$70,000 per year. Fringe benefits include all costs associated with employment that are normally covered by your agency (e.g. insurance, taxes, retirement contributions, etc.) and in accordance with 2 CFR 200.431. Salary comparables for your local area must be used to determine the maximum amount for which your organization is eligible to apply and must be submitted with your ROSS-SC application or through the deficiency process. A salary request will be considered comparable if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10% and HUD determines the documentation is adequate.

Once awarded, grantees must pay their ROSS-SC staff the full amount of the salary they have requested from HUD. Applicants should take into consideration both the salary and the fringe benefits for each ROSS-SC when determining how much to request in grant funds. Please see paragraph 1(c)

**"Documentation of salary comparability"** under **Section IV.B. "Content and Form of Application Submission"** of this NOFA for more information.

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

**l. Examples of Services to Be Coordinated.** Supportive services to which residents might be connected will vary depending on residents' needs and available community resources. However, the spectrum of services offered should be as broad and as responsive to residents' needs as possible. PLEASE NOTE: These services cannot be paid for using funds from this grant (except where allowed under Admin costs.) ROSS-SCs may connect residents to organizations providing the following types of services, and the provision of these and other similar services would qualify as match. Please note that match is a threshold requirement. For more information about the match threshold, please see the section above on threshold requirements and **"Match"**:

**1. Life-Skills Training.** Life-Skills Training includes:

- (a) Financial Literacy/Credit Repair/Banking and Money Management.
- (b) Real Life Issues. (e.g. Information on tax forms, leases, car insurance, health insurance, long-term care insurance, etc.)
- (c) Literacy training and GED preparation; Basic Education/English as a Second Language (ESOL).
- (d) Mentoring (for more information on what constitutes a quality mentoring program, please refer to the "[Elements of Effective Practice ;for Mentoring](#)"):

**2. Job Training, Job Search, and Placement Assistance which includes:**

- (a) Skills assessment of participating residents.
- (b) Applying for a job. How to complete employment forms; highlighting skills employers are

looking for; researching job opportunities in the area; and calculating net wages.

(c) Digital Literacy/Computer Skills Training.

(d) Soft skills training including problem-solving and other cognitive skills, oral and written communication skills, workplace norms (appropriate dress, punctuality, respectful communication, etc.), and interpersonal and teamwork skills.

(e) Resume writing.

(f) Interviewing techniques.

**3. Employer Linkage and Job Placement.** Working with local employers and job placement providers who design and offer training that addresses local employers' needs, and offering a job placement program that refers trained residents to participating employers and other local area employers, including:

(a) Facilitating access to skills training and partnerships with community-based organizations to develop pathways to career-ladders.

(b) Providing information and access to green industry jobs.

(c) Providing mechanisms to ensure residents have long-term access to new employment opportunities created in the local community.

**4. Provision of Professional Clothing or Uniforms** related to new employment.

**5. Career Advancement and Planning Programs.** Career advancement and planning programs should be designed to:

(a) Set career goals.

(b) Provide strategies such as finding a strong professional mentor within an organization for which residents may be working, and focusing on the organization's priorities.

(c) Reinforce welfare-to-work programs and focus efforts on increasing residents' earning capacity. Activities can include job counseling, helping residents secure better paying jobs or jobs in better work environments, preparing for work in a new job category, obtaining additional job skills, and other job-related or educational training.

(d) Working with local employers to create opportunities that combine education and skills training with jobs. Strategies that promote work-based learning can offer the most effective method for giving new workers the tools they need to move onto a career ladder and achieve upward mobility.

**6. Support for Career Advancement and Long-term Economic Self-Sufficiency.** Post-employment follow-up and activities to support career advancement and long-term economic self-sufficiency:

(a) Information on Individual Savings Accounts (ISAs).

(b) Housing Counseling and Homeownership readiness programs. This can include information to help residents move to market-rate rental housing and/or "pre-purchase" homeownership counseling and training. Applicants must refer residents to HUD-approved housing counseling agencies. For a list of HUD-approved housing counseling agencies, go to: <http://www.hud.gov/offices/hsg/sfh/hcc/hccprof14.cfm>.

(c) Information on the Earned Income Tax Credit Program, Food Stamps, Child Tax Credit Program, the Affordable Care Act, Medicaid, the State Child Health Insurance Program (S-CHIP), Student Loan Interest Deduction, tribal welfare programs, and other benefit programs that can help individuals and families make a successful transition to housing and economic self-sufficiency.

(d) Voluntary Income Tax Assistance (VITA) Grant Program. The VITA program is an IRS initiative designed to promote and support free tax preparation service for the underserved,



in both urban and non-urban locations. Service is targeted to low-to-moderate income individuals, persons with disabilities, the elderly, and limited English speaking. For more information about this program, please go to: <http://www.irs.gov/Individuals/IRS-VITA-Grant-Program>. ROSS Service Coordinators may:

- Connect residents to local organizations serving as IRS-approved VITA sites;
- Work with partners to bring VITA services on-site (to find VITA sites near you, please go to: <http://www.irs.gov/Individuals/Find-a-Location-for-Free-Tax-Prep>);
- If appropriate, establish a VITA program.

**7. After School or Summer Programs.** After-school and/or summer programs for school-age children, including children with disabilities and children that have limited English proficiency, that include tutoring, remedial training, and using computers.

**8. Transportation.** Locating or establishing transportation services (e.g., van pools, subway vouchers, ride share programs or advising residents of local programs that provide cars to families) to enable residents to participate in program activities, find and maintain employment, and/or maintain independent living.

**9. Child Care.** Child care to enable residents to work or participate in program activities.

**10. Early Childhood Education.** Early childhood education programs (to include children with disabilities and children that have limited English proficiency).

**11. Parenting.** Parenting Courses.

**12. Nutrition.** Nutrition Courses.

**13. Health Care Coordination.** Coordination of health care information and services including provision of information about benefits available under the Affordable Care Act, referrals to mental health providers and alcohol and other drug abuse treatment programs, and referrals to HIV/AIDS education, testing and treatment programs, where appropriate.

**14. Resident Business Development.**

**15. Good Neighbor Programs.**

**16. Coordinating Services** necessary for elderly or disabled residents to age-in-place, such as coordinating services for one or more of the following:

- (a) Assistance with activities of daily living for elderly/disabled residents.
- (b) Meal services to meet nutritional needs of elderly/disabled residents.
- (c) Personal emergency response resources.

**17. Disability Services Counseling.**

**18. Wellness Programs for Families and Seniors.**

**19. Resident Organization Empowerment and Capacity-building** resources and training.

**20. Community Safety.**

**21. Civic Engagement** resources and training.

**22. Linkages to Other Social Service Agencies.** ROSS-SCs may also create and maintain linkages to other local social service agencies such as employment agencies, health departments, transportation agencies, economic/community development agencies, community colleges, recreational and cultural services, and other community organizations such as Boys & Girls Clubs, 4H Clubs, Boy Scouts, and Girl Scouts.

#### 4. Criteria for Beneficiaries.

This program has eligibility criteria for beneficiaries.

**a. Eligible Participants.** All participants assisted by ROSS-SCs must be residents of conventional public housing or NAHASDA-assisted housing.

**b. Eligible Projects.** Only conventional public and Indian housing projects and NAHASDA-assisted projects may be served by ROSS grant funds. Other housing developments/projects, including but not limited to private housing, federally insured housing, federally subsidized, or assisted (i.e., assisted under Section 8, Section 202, Section 811, Section 236), and others, are not eligible to participate in ROSS. *Applicants are not eligible to receive funding for projects that are currently being served by ROSS-SC grants awarded under the FY2014 or FY2015 competitions.*

### 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 at <http://www.grants.gov/applicants/apply-for-grants.html>. Except for Continuum of Care applications, or unless an applicant received a waiver for good cause, all applications must be submitted electronically via Grants.gov. 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. For example, a lack of available Internet access in the geographic area in which the applicant's business offices are located. 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, HUD must receive your paper application before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Dina Lehmann-Kim

Phone: (202) 402-2430

Email: [Dina.Lehmann-Kim@hud.gov](mailto:Dina.Lehmann-Kim@hud.gov)

HUD

Office of Public Housing Investments

451 7th Street, SW

Room 4130

Washington, DC 20410

#### 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 Funding 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 box 11, 12, and 13 on the SF-424 submitted in the application.

##### 1. Content

Forms for your package include the forms outlined below:

| Forms / Assurances / Certifications | Submission Requirement | Notes / Description |
|-------------------------------------|------------------------|---------------------|
|-------------------------------------|------------------------|---------------------|

|                                                    |                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|----------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>SF424 - Application for Federal Assistance.</p> | <p>Required.</p> | <p>In completing the SF424, renewal applicants should select the "Continuation" box on question 2, "Type of Application." New applicants should select "new." The Federal Identifier requested in 5a. is the PHA number of each applicant (e.g., MD035 or AK002). 5b, Federal Award Identifier is the grant number on your Grant Agreement/1044 from your last grant (e.g., AZ004RFS008A006). If you are a new applicant, you will not have a Federal Award Identifier. In block 8.d of the form, you must include a 9 digit number for your organization's zip code (zip plus 4). Questions 10, 11, 12 and 13 are pre-populated. Do not add anything or change anything. Question 14 - You should identify the city or State affected by the program. You do not need to attach anything additional. Question 15 - you can create your own title - for example, "Anytown PHA - ROSS-SC." Question 16 - if the location of the applicant's office and the location of the housing that you will be serving is within the same Congressional District, you should include the same answer for both parts. Question 17 - Provide the day after the end of your current grant as the start date, or 3 months after the due date of the NOFA. Either way these are estimates and the actual dates will be determined at grant agreement. Question 18 is Estimated Funding - 18a is the amount you are requesting from HUD, 18b is the match. 18g is the total and will populate automatically. Question 19 - answer c. Program is not covered by E.O. 12372. <i>NOTE: Do not add attachments to the SF424. Use the Attachments form in the electronic application to submit attachments.</i></p> |
|----------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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|---------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>HUD52768 -ROSS-SC Application.</p> | <p>Required. If this form is missing, it cannot be requested by HUD during the deficiency or "cure" period. Similarly, if key information is missing from the form, it may not be</p> | <p>This is the budget form specific to the ROSS-SC program. This form and the SF424 are the only required budget forms for this application. NOTE: On page 2 of the HUD52768, 2nd column, "Project(s) to be Served": Those proposing to</p> |
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|                                                        |                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
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|                                                        | <p>requested as part of the deficiency process.</p>                                                                                                                                                                                | <p>serve PHAs should list the Name AND 11-digit Project Number as identified in PIC of each project to be served by each SC. If the applicant proposes to serve different PHAs, list the PHA as well. For tribes/TDHEs funded through the 1937 Housing Act, list the 11-digit project code. For tribes/TDHEs with projects previously funded by NAHASDA, a project name is required. If there is not an official project name in use, please develop a unique project identifier that can be used in this application and future applications. Resident Association and 501(c)(3) non-profit applicants should consult their PHAs regarding project names and numbers. Questions 11 and 12 on this form are not applicable this year.</p> |
| <p>HUD52769 - ROSS Needs and Service Partners Form</p> | <p>Required. If this form is missing, it cannot be requested by HUD during the deficiency or "cure" period. Similarly, if key information is missing from the form, it may not be requested as part of the deficiency process.</p> | <p>This form must be signed by the Executive Director, Resident Association Board President, or Tribal Chairman or other person authorized to make stated commitment attesting to at least the 25% match requirement. This form does not sign electronically. It must be signed, scanned and attached as a PDF.<br/><i>NOTE: If this form is missing from your application, it cannot be requested as part of a deficiency. Similarly, if key information is missing from the form, it may not be requested as part of the deficiency process.</i></p>                                                                                                                                                                                    |
| <p><u>HUD96010 - Logic Model</u></p>                   | <p>Required. If this form is missing, it cannot be requested by HUD during the deficiency or "cure" period. Similarly, if key information is missing from the form, it may not be requested as part of the deficiency process.</p> | <p>Applicants must use this form to show proposed performance measures and outcomes. Use ONLY the eLogic Model® form provided with this application – it can be found in the Instructions Download Zip File from Grants.gov. Read the Tabs labeled "Instructions," "Drop Down Guidance," and "How to Count" in the eLogic Model® in order to complete the eLogic Model® correctly. Applicants must fill out the eLogic Model® in its entirety. Following the instructions in the Instructions Tab in the eLogic Model®, “Annual” columns are left blank in columns 4 and 6 at the time of application. They are used when reporting. The</p>                                                                                              |

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|-------------------------------------------------------------------------|---------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                         |                           | <p>following should also be left blank at the time of application: Reporting period, the Reporting Start Date, and the Reporting End Date. They are used when reporting. Applicants should also fill out Sections A-E in column 7. Logic models must be completed for Years 1, 2, and 3. The TOTAL tab will populate automatically. There is no narrative required for this eLogic Model®. The data entered into the eLogic Model® should be consistent with your application. HUD should be able to review the eLogic Model® without further narrative explanation. <i>NOTE: If this form is missing from your application, it cannot be requested as part of a deficiency. Similarly, if key information is missing from the form, it may not be requested as part of the deficiency process.</i></p> |
| <p>See HUD52755 - Contract Administrator Partnership Agreement</p>      | <p>Required as noted.</p> | <p>This is a noncurable threshold requirement for all Resident Associations and PHAS-troubled PHAs. If this form is missing from your application, it cannot be requested as part of a deficiency. Similarly, if key information is missing from the form, it may not be requested as part of the deficiency process. This form is NOT required for 501(c)(3) non-profit applicants that are not themselves RAs. The Contract Administrator Partnership Agreement must cover the full three-year period of the grant.</p>                                                                                                                                                                                                                                                                               |
| <p>HUD52753 - Certification of Resident Council Board of Election</p>   | <p>Required as noted.</p> | <p>For RA applicants and 501(c)(3) non-profit applicants supported by an RA only. One certification is required from each RA applying or submitting a letter of support to a 501(c)(3) non-profit applicant. If RA applicants are submitting a joint application, one is needed for each RA applying.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <p>Conducting Business in Accordance with Ethical Standards/Code of</p> | <p>Required.</p>          | <p>Applicants are required to develop and maintain a written Code of Conduct in accordance with 2 CFR 200 "Uniform Administrative Requirements, Cost Principles, and Audit Requirements</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

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| Conduct                                                                                           |                                                                                   | for Federal Awards," sections 200.112 and 200.318. If an applicant's Code of Conduct is listed on the Department's website at: <a href="#">Code of Conduct</a> and if the information is still accurate, a Code of Conduct is not required to be submitted. Please refer to the FY2016 General Section for the information a Code of Conduct is required to contain. If information contained in an applicant's Code of Conduct does not address all the requirements, is incomplete or inconsistent, HUD may request the missing information through the deficiency process. |
| HUD52752 - Certification of Consistency with Indian Housing Plan                                  | Required for tribes/TDHE applicants.                                              | The name of the program is "ROSS-Service Coordinators."                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| HUD2991 - Certification of Consistency with the Consolidated Plan                                 | For all applicants except for tribes, TDHEs, and nonprofits serving tribes/TDHEs. | If more than one PHA is to be served, there must be one for each PHA. The HUD2991 must be signed by the city/county/parish entity that manages the Consolidated Plan used to access Community Development Block Grant Funds; OR, Instead of the HUD2991, an applicant may include a copy of the signed PHA Certification of Compliance for their current Annual PHA Plan.                                                                                                                                                                                                     |
| SF424 - Supplement-Faith Based EEO Survey                                                         | Optional                                                                          | For nonprofit applicants only. This form is also known as the Survey on Ensuring Equal Opportunity for Applicants, or SF424 SUPP.                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report | HUD will provide instructions to grantees on how the form is to be submitted.     | HUD will provide instructions to grantees on how the form is to be submitted.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

|                                                                       |                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|-----------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Acknowledgment of Application Receipt (HUD2993), if applicable</p> | <p>This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission.</p>                              | <p>This form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission.</p>                                                                                                                                                                                                                                                                                                                             |
| <p>SFLLL - Disclosure of Lobbying Activities</p>                      | <p>Required only if your organization engages in lobbying activities. This requirement is not applicable to federally recognized tribes and their TDHEs.</p> | <p>This form is only applicable if your agency has used or intends to use non-federal funds for lobbying activities. If it is not applicable, do not include it in your submission. In the application download on Grants.gov, do not put a check mark in the box, if you check the box the form becomes part of your submission and must be completed. If it is not applicable, do not include it in your submission; leave it on the left-hand side of the electronic application on grants.gov. HUD may contact an applicant who submits this form to clarify items on this form, and will be treated as a curable deficiency.</p> |

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

**(a) Narrative on Capacity/Past Performance**, for troubled renewal applicants and all new applicants. If the narrative is missing, it cannot be requested by HUD during the deficiency or "cure" period. Similarly, if key information is missing, it may not be requested as part of the deficiency process.

**(b) Letter(s) of Support from the PHA, tribe/TDHE, or RA** that non-RA 501(c)(3) applicants are applying to serve. If support letters are missing, they cannot be requested by HUD during the deficiency or "cure" period. Similarly, if key information is missing from the letter(s), it may not be requested as part of the deficiency process.

**(c) Documentation of salary comparability.** Applicants must base their ROSS-SC salary request (including fringe) on salaries for similar professions in their local area. Applicants must submit documentation showing the results of completed salary comparability studies they have conducted within the past year to support their salary request for the ROSS-SC position(s). Documentation must be on the applicant's letterhead; be dated between the publication date of this NOFA and the application deadline (or deadline associated with the deficiency period); list the name and contact information (address, telephone, and email address) of three local employers; wage rates (including benefits) for positions comparable to that of the ROSS-SC; and must be signed by the applicant's authorized representative. If applicable, an applicant may use the wages it pays its own workers in similar positions as one of the comparable salaries it provides. Applicants located in remote areas, such as tribes, may use comparability information from nearby metropolitan areas. A proposed salary request will be considered comparable if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. Salaries requested that are not supported by salary comparability studies, as noted above, are subject to reductions (including denial of an award) without further notice to eligible applicants prior to award announcement. It is requested that the letter containing the required salary comparability information be provided in chart form as indicated in the example provided below:

| Employer/Company Name        | Employer Contact Information (Name of Contact); telephone and email address       | Position Name | Annual Salary | Fringe Benefits | Total    |
|------------------------------|-----------------------------------------------------------------------------------|---------------|---------------|-----------------|----------|
| 1. Goodwill                  | Glenda Harris, 777-777-7777; <a href="mailto:gh@goodwill.org">gh@goodwill.org</a> | Social Worker | \$35,000      | \$5,350         | \$40,350 |
| 2. PHA Applicant             | Mike Ross, 222-222-2222; <a href="mailto:mr@pha.org">mr@pha.org</a>               | Case worker   | \$50,000      | \$10,500        | \$60,500 |
| 3. Child and Family Services | Michelle Wright; 202-555-5555; <a href="mailto:mw@cfs.gov">mw@cfs.gov</a>         | Case Worker   | \$52,000      | \$11,000        | 63,000   |

If this information is missing from an application, it will be requested as part of the deficiency process.

**(d) IRS Nonprofit Determination Letter Granting Tax-exempt Status and Copy of the 2015 annual information return (<https://www.irs.gov/Charities-&-Non-Profits/Annual-Reporting-&-Filing-1>) submitted to the IRS as evidence of the organization’s current tax-exempt status** (RA applicants with 501(c)(3) status, and non-RA 501(c)(3) non-profit applicants). If this documentation is missing from your application, it will be requested as part of the deficiency process.

**(e) State letter granting incorporated non-profit status and copy of 2015 annual nonprofit report submitted to the state** (for RA applicants that do not have 501(c)(3) status). If this documentation is missing from your application, it will be requested as part of the deficiency process.

**NOTE:** Applicants should make sure to submit all requested information according to the instructions found in this NOFA and the FY2016 General Section. This will help ensure a fair and accurate review of your application.

## 2. Format and Form.

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

Narrative statements must be no more than ten pages, double-spaced, with one inch margins and 12-point Times New Roman font.

**NOTE:** ONLY the Grants.gov electronic forms (located in the application download) are electronically signed. All narratives and forms requiring a signature that are not grants.gov electronic forms must be *signed*, scanned, and attached to your Grants.gov application.

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

### 1. SAM Registration Requirement.

Applicants must be registered with SAM before submitting their application. In addition, applicants must continue to maintain an active SAM registration with current information at all times during which they have an active Federal award or an application or plan under consideration by HUD.



## **2. DUNS Number Requirement.**

Applicants must provide a valid DUNS number in their application. DUNS numbers may be obtained for free at <http://fedgov.dnb.com/webform>.

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

The application deadline is 11:59:59 p.m. Eastern time on **05/16/2016**. 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 Grants.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, Grants.gov will not send your application to HUD, and HUD will not review your application.** If your status is "validated" your application will be forwarded to HUD by Grants.gov.

### **1. Amending or Resubmitting an Application.**

Before the submission deadline, applicants who choose to amend an application that has been validated by Grants.gov may resubmit a revised application containing the new or changed material. The resubmitted application must be received by the applicable deadline.

### **2. Grace Period for Grants.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.

### **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.

### **4. Corrections to Deficient Applications.**

Except as provided by the electronic submission grace period described in this notice, HUD may not consider any unsolicited information that applicants may want to provide after the application deadline. (Refer to 24 CFR part 4, subpart B.) In addition, HUD may not seek clarification of items or responses that improve the substantive quality of an applicant's response to any rating factors or which correct deficiencies which are in whole or part of a rating factor, including items that impact bonus points. HUD may contact the applicant to clarify other items in its application. In order not to unreasonably exclude applications from being rated and ranked in situations where there are curable deficiencies, HUD will notify applicants of each technical deficiency and will do so on a uniform basis.

If HUD finds a curable deficiency in an application, HUD will notify the applicant by email describing the clarification or technical deficiency. HUD will send an email to the person designated in item 8F of the SF424 and to the person listed as the authorized representative in item 21 of the SF424. Both email notifications will be sent from HUD with confirmation of delivery receipt requested. The email notifications will be the official notification of the need to cure a technical deficiency. It is the responsibility of applicants to provide accurate email addresses for receipt of these notifications and to monitor their email accounts to determine whether a cure letter has been received. The applicant must carefully review the request for cure of a technical deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Clarifications or corrections of technical deficiencies must be received by HUD within the time limits specified in the notification. In no case shall the time allowed to correct deficiencies exceed 14 calendar days or be less than 48 hours from the date of the email notification. The start of the cure period will be the date stamp on the email HUD sends to the applicant. If the deficiency cure deadline date falls on a Saturday, Sunday, federal holiday, or other day when HUD's Headquarters offices in Washington, DC, are closed, then the applicant's correction must be received on the next day that is not a Saturday, Sunday, or federal holiday, or other day when the HUD's Headquarters offices in Washington, DC, are closed.

Curable deficiency items must be submitted via email addressed to [ApplicationSupport@hud.gov](mailto:ApplicationSupport@hud.gov). When submitting technical deficiency cure items you must enter "Technical Cure" plus the Grants.gov application tracking number in the subject line of the email (e.g., Subject: Technical Cure - GRANT123456). 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.

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

## **E. Intergovernmental Review.**

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

## **F. Funding Restrictions.**

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

**2. Covered Salaries.** This program will fund up to \$70,000 in combined annual salary and fringe benefits, meeting the requirements of 2 CFR 200.431, for each eligible full-time SC position. Awards may be for up to three coordinators depending on size and type of applicant. Each coordinator position may not exceed \$70,000 including fringe benefits. Applicants may only request \$70,000 if comparable professions in their area support this salary level and if the documentation of salary comparability meets the requirements stated in IV.B.(1)(c) of this NOFA. Applicants may propose a part-time coordinator at a lesser salary. However, the minimum number of units (50) must still be served. More than one person may job-share each position. Once an award is made, a grantee may not pay their Service Coordinator(s) less than the amount funded. Salaries of the Service Coordinator may not be used to supplement salaries of other PHA staff.

**3. Training/Travel.** This program will cover up to \$2,000 per year, per SC position for pertinent training and associated travel. All training and associated travel must be pre-approved by the local HUD Field Office

or Area ONAP. A part-time SC will be entitled to the full amount of training/travel funds.

**4. Administrative Costs.** Administrative Costs will be approved up to \$10,000 per year per SC position. A part-time position will be entitled to the full amount of administrative funds. These funds may be used for activities including but not limited to:

- a. Administrative staff support;
- b. Local transportation by the SCs;
- c. Stipends for reasonable out-of-pocket costs incurred by the residents for such things as local transportation to and from job training and job interviews, supplemental educational materials, and child care expenses;
- d. Tracking and evaluation;
- e. Purchase of office furniture or office equipment and supplies;
- f. Purchase of hardware and software to support ROSS participants' educational, financial, professional, and informational needs and goals. Such purchases may not be made for individual participants, but rather must be used in the Service Coordinator's office, or a PHA/tribe's community room or Neighborhood Networks/computer center;
- g. Program outreach, printing and postage;
- h. Utilities, including Internet connectivity costs;
- i. Lease or rental of space for program activities, but only under the following conditions:
  - (1) The lease must be for existing facilities not requiring rehabilitation or construction except for minimal alterations to make the facilities accessible for a person with disabilities;
  - (2) No repairs or renovations of the property may be undertaken with ROSS funds; and
  - (3) Properties in the Coastal Barrier Resources System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased or rented with federal funds.

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

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

- a. Funds may not be used for any activities other than the salary and fringe benefits of ROSS-SCs and related administrative, training, and associated travel activities.
- b. Funds under this NOFA may not be used to pay the salary of an FSS coordinator for the Housing Choice Voucher (HCV) FSS, Public Housing (PH) FSS, or the newly combined FSS program. The funding for FSS program coordinators will be made available through a separate NOFA.
- c. If, upon review, the Field Office or Area ONAP finds that funds have been used for ineligible activities, the grantee will be required to repay those funds, and the remaining grant funds may be recaptured.
- d. ROSS funds cannot be used to hire or pay for the services of a Contract Administrator.
- e. Administrative funds may only be used to support the ROSS-SC program. A grantee's Central Office Cost Center may not use ROSS administrative funds to cover other PHA costs.
- f. PHAs **may not** pay their ROSS-SC less than the salary and fringe they were funded to pay under the ROSS-SC grant.

## **Indirect Cost Rate**

This program has received approval from the Secretary or delegate to deviate from negotiated Indirect Cost Rate.

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

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

### **1. Discrepancies between the NOFA on Grants.gov and Other Documents.**

The Program NOFA posted at the Grants.gov website is the official document HUD uses to solicit applications. Applicants are advised to review their application submission against the requirements in the posted Program NOFA. If there is a discrepancy between the Program NOFA posted on Grants.gov and other information provided in any other copy or version or supporting documentation, the posted Program NOFA located at [www.Grants.gov](http://www.Grants.gov) prevails. If discrepancies are found, please notify HUD immediately by calling the program contact listed in the Program NOFA. HUD will post any corrections or changes to a Program NOFA on the Grants.gov website. Applicants who enroll an email address at the application download page will receive an e-mail alert from Grants.gov in the event the opportunity is changed.

### **2. Application Certifications and Assurances.**

Applicants signing the SF424 cover page either through electronic submission or in paper copy submission (for those granted a waiver) affirm that the certifications and assurances associated with the application are material representations of the facts upon which HUD will rely when making an award to the applicant. If it is later determined that the signatory to the application submission knowingly made a false certification or assurance or did not have the authority to make a legally binding commitment for the applicant, the applicant may be subject to criminal prosecution, and HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to federally-recognized Indian tribes, and those applicable to applicants other than federally-recognized Indian tribes. All program-specific certifications and assurances are included in the program Instructions Download on Grants.gov.

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

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).

### **4. Indirect Cost Rate (ICR)**

If you are a governmental organization or agency that receives more than \$35 million in federal funding, you are required to request an Indirect Cost Rate from your cognizant agency (2 CFR 200 Appendix VII). If you have not requested an indirect cost rate or have not received a negotiated indirect cost rate, you may not claim indirect costs until you receive a negotiated rate.

Non-governmental organizations: If your organization has never had an indirect cost rate and wishes to use the *de minimis* rate, your application's budget narrative must clearly state you intend to use the *de minimis* 10% of Modified Total Direct Costs (MTDC). If you are using a negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and include a letter or other documentation from the cognizant agency showing the approved rate.

Governmental organizations: If your organization has a negotiated indirect cost rate, your application's budget narrative must include the rate and a letter or other documentation from the cognizant agency showing the negotiated rate. If your organization has prepared and maintains documentation supporting an indirect rate proposal but has not negotiated approval of the rate, your application's budget narrative must

include the rate and applicable distribution base. State and local government departments that have never negotiated indirect cost rates with the Federal government and receive less than \$35 million in direct Federal funding per year may use the 10% *de minimis* indirect cost rate, and must keep the documentation of this decision on file. Federally recognized Indian tribes that have never negotiated an indirect cost rate with the Federal government may also use the 10% *de minimis* rate and must keep the documentation of this decision on file.

## V. Application Review Information.

### A. Review Criteria.

#### 1. Rating Factors

**Past Performance Related to Capacity.** This eligibility requirement is divided into two sections: the first is for renewal applicants, the second is for new applicants. The section for new applicants is itself divided into two sections, one for “Capacity of Applicant/Contract Administrator and Proposed Staff” and the other for “Program Administration and Fiscal Management.” Please read the past performance sections below carefully for specific guidance on how to address this eligibility factor.

**A. Renewal Applicants. In order to be eligible for funding, renewal applicants will have to meet the eligibility requirements per the criteria contained in this section.** So that HUD may evaluate the past performance of renewal applicants, HUD’s field offices/area ONAPs will review materials submitted with the application, including the Logic Model, annual reporting materials submitted with the applicant's prior ROSS grant, as well as the criteria outlined in sub-paragraphs (1)-(4) below. Renewal applicants do not have to submit narratives for past performance *unless they are PHAS troubled (PHAs) or high-risk (tribes) as of the due date of this application or have been notified by their local HUD field office/area ONAP of performance deficiencies (these applicants must respond to either sub-paragraph 5 (for PHAs) or 6 (for tribes) below).* **NOTE:** Applicants who fail two or more of the sub-factors below will fail the past performance eligibility requirement and will not be eligible for funding:

1. Number of units served to ensure that the required 50-unit minimum was served each year under the prior grant;
2. Achievement of at least 50% of the goals contained in the 2013 Logic Model;
3. Timeliness of drawdowns. Drawdowns that occur on a monthly or two-month basis to pay for the salary of the ROSS-SC (or ongoing administrative or training costs) are considered timely drawdowns. Field offices will evaluate applicants who have not drawn down in a timely manner on a case-by-case basis to determine whether there was good cause to explain untimely drawdowns;
4. Timeliness of reporting. Annual reporting (yearly Logic Model and SF-425 financial statements) is due 30 days after the anniversary date of grant award; closeout reports (cumulative Logic Model and SF-425 financial statements) are due 90 days after grant closeout. Field offices will evaluate applicants who have not submitted 2 or more reports in a timely manner on a case-by-case basis to determine whether there was good cause to explain late submissions.
5. Troubled Status. PHAs that are renewal applicants who are designated PHAS troubled by the application deadline date of this NOFA or who have been informed by their field office of performance deficiencies must submit:
  - (i) A Contract Administrator Partnership Agreement (CAPA, see HUD sample form HUD52755); and
  - (ii) A narrative statement of no more than ten pages (double-spaced, Times New Roman font size 12, with one inch margins) addressing their Contract Administrator’s (CA) recent (within the past five years), relevant (pertaining to having provided or coordinated supportive services), and successful experience in assisting troubled PHAs meet the criteria outlined in paragraphs (1)-(4) above.

6. High-Risk Designation for Tribes. Tribes that have been informed of performance deficiencies or designated by their area ONAP as "high risk grantees" per 2 CFR Part 200.205 must submit a narrative of no more than 10 pages (double-spaced, Times New Roman font size 12, with one inch margins) addressing the corrective actions they have put in place in response to the area ONAP's findings. Any applicant that is unsure about whether they must submit a narrative should contact their local area ONAP.

**NOTE:** Applicants required to submit a CAPA and/or narrative who fail to submit them at the time of application *will fail* this eligibility requirement and will not receive further consideration for funding.

**B. New Applicants. In order to be eligible for funding, new applicants will have to meet the eligibility requirements per the criteria contained in this section.** All applicants applying for new funding must submit a narrative statement of no longer than 10 pages addressing the past performance factors outlined in sub-paragraphs (1) and (2) below. HUD's Field Offices/Area ONAPs will evaluate information and data provided by applicants. If a new applicant has had previous Public & Indian Housing or other HUD awards, the review will also take into account their past performance on these awards and whether the applicant adhered to grant and reporting requirements. The Past Performance Review will be conducted on a Pass/Fail Basis.

The following applicants are required to submit a Contract Administrator Partnership Agreement (CAPA, see HUD sample form HUD57255):

- PHAs designated as PHAS troubled as of the application deadline date of this NOFA; and
- All Resident Association applicants.

Applicants required to submit a CAPA should be sure to use the narrative to respond to the evaluation factors below by addressing both their own and the Contract Administrator's experience, as relevant. Any applicant that is unsure about whether they are required to submit a CAPA should contact their local HUD field office to determine whether they are required to submit a CAPA.

**NOTE:** Applicants who fail to submit a CAPA and narrative at the time of application *will fail* this eligibility requirement and will not receive further consideration for funding. Tribes who are considered "high risk grantees" by their area ONAP are not required to submit a CAPA but they must address subparagraph (2)(e) below.

### 1. Capacity of Applicant/Contract Administrator and Proposed Staff.

HUD will evaluate the past performance of a new applicant's (and/or Contract Administrator's) ability to successfully implement past grant programs designed to promote resident self-sufficiency or assist elderly or disabled residents to remain independent and age-in-place. Applicants must include in their application a narrative statement demonstrating the recent, relevant and successful experience of the applicant, proposed Service Coordinator(s) and/or partners in planning and managing Service Coordinator (SC) or *similar* programs. You may provide resumes or position descriptions (where staff is not yet hired) for SCs that will be on applicant staff or contracted. (Resumes, position descriptions, and other HUD forms do not count toward the narrative page limit. Please do not include any Social Security numbers.)

The narrative or other documentation should show that the applicant and/or the SC(s) on staff or proposed to be hired have (or will have):

- (a) Recent experience (within the last 5 years);
- (b) Relevant education and/or experience (pertaining to having provided or coordinated supportive services; please see "*Service Coordinator Qualifications*" under *Definition of Terms* for more information about the type of education and experience a ROSS-SC should have);
- (c) Successful experience in conducting and completing activities similar in scope to the ROSS-SC program (i.e., recruiting a significant number of residents, maintaining a substantial caseload, and producing specific results).

**NOTE:** applicants who fail two of the above evaluation criteria will fail the past performance eligibility requirement.

## 2. Program Administration and Fiscal Management

In describing past experience, the applicant must include (for itself and/or its Contract Administrator):

- (a) A list of grants for self-sufficiency work received in the last five years, the grant amounts, and grant terms (years) of the grants, and the source of the funding;
- (b) A description of timely expenditure of program funding throughout the term of past grants. Timely means regular draw-downs throughout the life of the grant, e.g., monthly or every two months; timely completion of activities; and all funds expended by the end of the grant term;
- (c) A description of how the applicant has leveraged funding or in-kind services equal to or beyond amounts that were originally proposed for the listed past projects;
- (d) A description of the project management structure; frequency of reporting; and program accountability including the use of a Contract Administrator (if applicable); how partners will report to the ROSS-SC(s); and how the ROSS-SC(s) will work with other senior staff; and
- (e) If applicable, a list of any audit findings in the past 5 years (e.g. Government Accountability, Inspector General (IG), management review, fiscal audits, etc.), notification of any material weaknesses and what the applicant has done to address them.

**NOTE:** applicants who fail two or more of the above evaluation criteria will fail the past performance eligibility requirement.

Maximum Points: 0

## 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.**

As stated above in Section V.A.1 of this NOFA, priority **points** are not available because applicants are not rated or ranked using a scoring system.

## 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.

## B. Reviews and Selection Process.

### 1. Past Performance

In evaluating applications for funding HUD will take into account an applicant's past performance in managing funds, including, but not limited to: the ability to account for funds appropriately; the timely use of

funds received from HUD or other federal, state, or local programs; the timely submission and quality of reports submitted to HUD; meeting program requirements; meeting performance targets as established in Logic Models or other performance evaluation tools approved as part of the grant agreement; the timelines for completion of activities and receipt of promised matching or leveraged funds; and the number of persons to be served or targeted for assistance. Before making a Federal award, HUD is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 note to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." HUD may consider other public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or hotline or other complaints that have been proven to have merit. In evaluating past performance, HUD may deduct points from the rating score or establish threshold levels as specified under the Factors for Award in the Program NOFAs. Each Program NOFA will specify how past performance will be rated.

## **2. Integrity**

HUD evaluates the integrity of the applicant as reflected in government-wide websites, information in HUD's files, the federal Do Not Pay portal, public information and information received during HUD's Name Check Review process. If this integrity evaluation results in an adverse finding, HUD reserves the right to take any of the remedies provided in Section III.C.4.a.5, Do Not Pay website Review.

**3. Reviews:** Applications are reviewed by the local HUD field office or Area ONAP office and the Grants Management Center (GMC) to determine if they are technically adequate based on the NOFA requirements. Field offices or Area ONAPs will provide GMC the information needed by the GMC to make its determination, such as past performance of applicants. Applications that meet all General Section and NOFA requirements will be entered into a lottery as described below.

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

a. RA Applicants. By statute, 25% of all ROSS funds must be awarded to qualified RAs to fund 1 SC per RA. RA applicants with 501(c)(3) status are reminded that if they choose to be selected as part of this 25% set-aside, they may only submit one application for 1 SC and must submit a CAPA. RA applicants for renewal and new grants are included in this set-aside. If there are more qualified resident organizations than can be funded through the 25% set-aside, a lottery will be conducted. If a lottery is held for the 25% RA set-aside, RA applications not selected will be placed in the appropriate renewal or new/other lottery. Please note that a maximum of three site-based Resident Association applications serving any one PHA (new or renewal applications) will be funded through this NOFA. If more than three RA applications are received from the same PHA that are deemed eligible for a lottery, the first three chosen will be funded. Applicants are reminded that PHAs/tribes/TDHEs may not receive more than 3 ROSS-SC positions from any combination of applications.

b. Renewal Applicants. After the RA 25% set-aside category is funded, qualified applicants with FY13 ROSS grants will be funded using a lottery system (see chart below).

c. New/Other Applicants. Once all qualified RA applicants and renewal applicants are funded, applicants that have either no prior ROSS grants, or no open ROSS grants will be funded on a lottery basis. Please see section below "Administration of Lotteries."

## **5. Administration of Lotteries:**

The term "lottery" refers to a simple random sample selection process, without replacement, through which each qualified applicant or qualified application has the same probability of being chosen. Once an applicant or application is selected from the pool, it will not be reintroduced to the pool when additional selections are to be made so as to deliberately avoid selecting the same applicant or application a second time.

A lottery for the 25% RA set-aside will only occur if there are more qualified RA applications than can be funded with the amount available in the set-aside. Otherwise, all qualified RA applicants will be funded. If a



lottery is run for the 25% RA set-aside, RA applications that are not selected will be placed in the appropriate lottery funding category.

|                   |                                                                |
|-------------------|----------------------------------------------------------------|
|                   | <b>25% Resident Set-Aside</b>                                  |
|                   | <b>If 25% set-aside exceeded, RA lottery will be conducted</b> |
| <b>Lottery #1</b> | <b>Renewal applicants</b>                                      |
|                   | <b>If funding remains continue to Lottery #2</b>               |
| <b>Lottery #2</b> | <b>New/Other applicants</b>                                    |

## 6. Corrections to Deficient Applications

Please be sure to read the FY2016 **General Section** to ensure that you meet the requirements to successfully file an application with Grants.gov and register with SAM which requires a DUNS number. For more information about conditions that allow a grace period, please see **Section VI.B.2** of the FY2016 **General Section**.

If HUD finds a curable deficiency in an application, HUD will notify the applicant in writing describing the clarification or technical deficiency. Clarifications or corrections of technical deficiencies in accordance with the information provided by HUD in the email notification of a technical deficiency must be received by HUD within 10 calendar days of the date of the HUD email notification. HUD will use, as the start of the cure period, the date stamp on the email that HUD sends to the applicant. (If the deficiency cure deadline date falls on a Saturday, Sunday, or federal holiday, then the applicant’s correction must be received by HUD on the next day that is not a Saturday, Sunday, or federal holiday.) For more information on the procedures to correct a deficient application, including how to email or fax information required to resolve the deficiency, please see **Section VI.B.7**. “Corrections to Deficient Applications” in the FY2016 **General Section**.

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

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

## C. Anticipated Announcement and Award Dates.

HUD expects to make awards by September 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. Award Announcements.** HUD will make announcements of grants awards after the review process is completed. HUD will first issue a press release which applicants may access by going to HUD's homepage at: [www.hud.gov](http://www.hud.gov). Subsequently, grantees will be notified by letter and will receive instructions on what steps they must take in order to access funding and begin implementing grant activities. Applicants who are not funded will also receive a letter via U.S. postal mail.

**2. Debriefings.** All applicants may request a debriefing related to their individual application. Applicants requesting to be debriefed must send a written request to Mr. Cedric Brown, Director, Grants Management Center, U.S. Department of Housing and Urban Development, 451 7th Street, S.W., B-133 Potomac Center, 3rd Floor, Washington, DC 20410.

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

For this NOFA, the following requirements apply:

### **Equal Protection for Faith-based and Community Organizations.**

Executive Order 13279, "Equal Protection of the Laws for Faith-based and Community Organizations," and Executive Order 13559, "Fundamental Principles and Policymaking Criteria for Partnerships with Faith-Based and Other Neighborhood Partnerships." Faith-based organizations are eligible to participate in HUD's programs and activities on the same basis as any other organization. HUD's regulation on the equal participation of faith-based organizations, consistent with Executive Order 13279, is at 24 CFR 5.109. Additionally, several HUD programs, particularly programs administered by the Office of Community Planning and Development, are subject to program-specific rules. The rule at 24 CFR 5.109 provides, among other things, that religious organizations may not engage in inherently religious activities as part of a HUD-funded program or activity; a religious organization that participates in a HUD-funded program or activity may retain its independence and continue to carry out its mission; and an organization that receives direct federal funds from HUD is not permitted to discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief in providing program assistance. Executive Order 13559 amended Executive Order 13279 to require additional protections for program beneficiaries. HUD is preparing a proposed rule that will amend its current regulations at 24 CFR 5.109 and elsewhere to implement the provisions of E.O. 13559 in accordance with the process set out in OMB Memorandum M-13-19. However, some program-specific rules have been amended to reflect the new provisions of E.O. 13559. Recipients and subrecipients of funds subject to those amended rules must comply with the new regulatory provisions.

### **Participation in a HUD-Sponsored Program Evaluation.**

As a condition of the receipt of financial assistance under a Program NOFA, all successful applicants will be required to cooperate with all HUD staff, contractors, or designated grantees performing research or evaluation studies funded by HUD.

### **Environmental Review:**

In accordance with 24 CFR 58.34(a)(3) or (a)(9), 58.35(b)(2) and 50.19(b)(3), (b)(9), or (b)(12), activities funded under this NOFA are categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under related laws and authorities.

### **OMB Administrative Requirements and Cost Principles.**

Unless excepted under 24 CFR chapters I through IX, 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.

### **Drug-Free Workplace.**

Applicants awarded funds from HUD are subject to 2 CFR part 2429, which implements the Drug-Free Workplace Act of 1988 (41 U.S.C. 701, et seq.), as amended, and required to provide a drug-free workplace. Compliance with this requirement means that the applicant will:

a. Publish a statement notifying employees that it is unlawful to manufacture, distribute, dispense, possess, or use a controlled substance in the applicant's workplace and such activities are prohibited. The statement must specify the actions that will be taken against employees for violation of this prohibition. The statement must also notify employees that, as a condition of employment under the federal award, they are required to abide by the terms of the statement and that each employee must agree to notify the employer in writing if the employee is convicted for a violation of a criminal drug statute occurring in the workplace, no later than 5 calendar days after such conviction.

b. Establish an ongoing drug-free awareness program to inform employees about:

- (1) The dangers of drug abuse in the workplace;
- (2) The applicant's policy of maintaining a drug-free workplace;
- (3) Available drug counseling, rehabilitation, or employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Notify HUD and other federal agencies providing funding in writing within 10 calendar days after receiving notice from an employee of a drug abuse conviction or otherwise receiving actual notice of a drug abuse conviction. The notification must be provided in writing to HUD's Office of Strategic Planning and Management, Grants Management Division, Department of Housing and Urban Development, 451 7th Street, SW, Room 3156, Washington DC 20410-3000, along with the following information:

- (1) The program title and award number for each HUD award covered;
- (2) The HUD staff contact name, telephone and fax numbers;
- (3) A grantee contact name, telephone and fax numbers; and
- (4) The convicted employee's position and title.

d. Require that each employee engaged in the performance of the federally funded award be given a copy of the drug-free workplace statement required in item (a) above and notify the employee that one of the following actions will be taken against the employee within 30 calendar days of receiving notice of any drug abuse conviction:

- (1) Institution of a personnel action against the employee, up to and including termination consistent with requirements of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended; or
- (2) Imposition of a requirement that the employee participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

e. Identify to the agency making the award all known workplaces under the award. The workplace identification must include the actual address of buildings or other sites where work under the award will take place. The applicant must also inform the agency of any workplace changes during the performance of the award. The identification of the workplaces must occur either:

- (1) At the time of application or upon award; or
- (2) In documents the applicant keeps on file in its offices during performance of the award, in which case the applicant must make the information available for inspection upon request by the agency.

### **Safeguarding Resident/Client Files.**

In maintaining resident and client files, funding recipients shall comply with the Privacy Act of 1974 (Privacy Act), the agency rules and regulations issued under the Privacy Act, and observe state and local laws concerning the disclosure of records that pertain to individuals. Further, recipients are required to comply with the Privacy Act in the design, development, or operation of any system of records on individuals and take reasonable measures to ensure that resident and client files are safeguarded, including when reviewing, printing, or copying client files.

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

Prime Grant Awardee Reporting. Prime recipients of HUD's financial assistance are required to report certain subawards in the Federal Funding Accountability and Transparency Act Subaward System (FSRS) website located at [www.fsrs.gov](http://www.fsrs.gov) or its successor system for all prime awards listed on the FSRS website. Prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subaward recipients, including awards made as pass-through awards or awards to vendors. For reportable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the SAM system, the prime recipient is not required to report this information. The reporting of award and subaward information is in accordance with the requirements of the Transparency Act, as amended by section 6202 of Public Law 110-252, and by section 3 of Public Law 113-101.

### **Physical Accessibility.**

Note that 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.

### **C. Reporting.**

**1. Race and Ethnicity Data Reporting Form.** HUD requires grantees that provide HUD-funded program benefits to individuals or families to report data on the race and ethnicity of those individuals receiving such benefits. Grantees that provide benefits to individuals during the period of performance, whether directly or through subrecipients or contractors, must report the data using the Race and Ethnic Data Reporting Form found on Grants.gov. The form is a data collection based on the standards published by OMB on August 13, 2002.

**2. Annual Performance Reports.** Grantees are expected to consistently meet their goals and submit their reports annually and on time. Further, because the ROSS-SC grant funds salaries primarily, HUD expects grantees to spend funds on a regular basis (monthly, or every two months) and avoid maintaining heavy grant balances. **NOTE:** HUD will review grantees' performance both in achieving their promised goals and the status of grant balances on a regular basis **and** when evaluating applications for future funding.

Annual progress reports must include financial reports (SF425) and the eLogic Model® (HUD96010) approved at grant award by the HUD field office/Area ONAP showing achievements to date against projections for services and outcomes. Grantees must follow the instructions contained in the ROSS-SC eLogic Model® for completing the form. Instructions include guidance for counting participants and for completing the mandatory and optional metrics. Grantees must use quantifiable data to measure performance against projected goals and objectives.

A narrative describing milestones, progress towards goals, and problems encountered and methods used to address the problems to support the data in the eLogic Model® is optional. HUD anticipates that some of the reporting of financial status and grant performance will convert during the life of this grant to an electronic or Internet-based submission. Such a system will replace the eLogic Model®. Performance reports are due to the field office 30 days after the anniversary of grant execution. Performance reports are due annually. If reports are not received by the deadline date, grant funds will be suspended until reports are received.

### 3. Grant Closeout:

**a. Final Report.** All grantees must submit a final report to their local field office or area ONAP that will include a financial report (SF425) and a final eLogic Model® or replacement reporting tool as specified by HUD. A narrative describing milestones, progress towards goals, and problems encountered and methods used to address the problems to support the data in the eLogic Model® is optional. Grantees must use quantifiable data to measure performance against goals and objectives. The financial report must contain a summary of all expenditures made from the beginning of the grant agreement to the end of the grant agreement and must include any unexpended balances. The final report is due to the field office 90 days after the termination of the grant agreement.

**b. Final Audit.** Grantees that expend \$750,000 or more in federal funds in a given program or fiscal year are required to obtain a complete final close-out audit of the grant's financial statements by a Certified Public Accountant (CPA), in accordance with generally accepted government audit standards. A written report of the audit must be forwarded to HUD within 30 days of issuance. Grant recipients must comply with the requirements of OMB Final Guidance "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," codified at 2 CFR Part 200.

**4. Section 3 Reporting.** The Section 3 regulations at 24 CFR Part 135, subpart E, impose certain reporting requirements on recipients, including the submission of an annual report, using form HUD60002. Additional information can be found at <http://portal.hud.gov/hudportal/documents/huddoc?id=2016nofa-gensec.pdf>.

Please direct questions regarding specific reporting requirements to the point of contact listed in Section VII below.

#### D. Debriefing.

For a period of at least 120 days, beginning 30 days after the awards for a Program NOFA are publicly announced, HUD will provide to a requesting applicant a debriefing related to its application. A request for debriefing must be made in writing or by email by the authorized official whose signature appears on the SF424 or by his or her successor in office, and be submitted to the person, organization, or email address identified as the contact under the section entitled Agency Contact(s) in the Program NOFA. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

#### 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 for this NOFA should be directed to the point of contact listed below.

Dina Lehmann-Kim

(202) 402-2430

[Dina.Lehmann-Kim@hud.gov](mailto:Dina.Lehmann-Kim@hud.gov)

Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

#### VIII. Other Information.

**Paperwork Reduction Act Statement.** The information collection requirements in this 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).

## Appendix.

Eligibility Chart:

| Applicant type | Number of SCs                                                                                         | Number of Applications                      | Notes                                                                                                                                                                                                                                                                                                                                                                    |
|----------------|-------------------------------------------------------------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PHAs           | Up to 3, depending on the number of occupied ACC units in their inventory as of 9/30/15.              | 1, either under the new or renewal category |                                                                                                                                                                                                                                                                                                                                                                          |
| Tribes/TDHEs   | Up to 3, depending on the number of occupied NAHASDA-assisted units in their inventory as of 9/30/15. | 1, either under the new or renewal category |                                                                                                                                                                                                                                                                                                                                                                          |
| Site-Based RAs | 1                                                                                                     | 1                                           | <ul style="list-style-type: none"> <li>• These applicants may submit under either the new or renewal category.</li> <li>• A maximum of three site-based Resident Associations serving the same PHA may be funded through this NOFA.</li> <li>• Site-based RA applicants may only apply for one SC</li> <li>• All Site-Based RA applicants must submit a CAPA.</li> </ul> |

|                                                                                                                                                       |                                                    |                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Non site-based RAs (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) <b>applying under the 25% RA set aside</b></p>     | <p>1</p>                                           | <p>1</p>                                                                                                                 | <ul style="list-style-type: none"> <li>• These applicants may submit one application under either the new or renewal category for one SC.</li> <li>• All RA applicants must submit a CAPA.</li> </ul>                                                                                                                                                                                                                                                                                                                                              |
| <p>Non site-based RAs (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) <b>not applying under the 25% RA set aside</b></p> | <p>Up to 3 per application for a maximum of 9.</p> | <p>Up to 3 total. Applications may be submitted under both renewal and new categories for a total of 3 applications.</p> | <ul style="list-style-type: none"> <li>• These applicants will be permitted to submit up to 3 applications if they are not availing themselves of the 25% RA set-aside.</li> <li>• These applicants may request more than one SC for PHAs, tribes/TDHEs depending on the unit count.</li> <li>• Applications submitted under the renewal category, <i>must</i> be submitted on behalf of the same organization the applicant was funded to serve in FY13.</li> <li>• All RA applicants must submit a CAPA.</li> </ul>                              |
| <p>Tax-exempt applicants with 501(c)(3) status</p>                                                                                                    | <p>Up to 3 per application for a maximum of 9.</p> | <p>Up to 3 total. Applications may be submitted under both renewal and new categories for a total of 3 applications.</p> | <ul style="list-style-type: none"> <li>• Applications submitted under the renewal category, <i>must</i> be submitted on behalf of the same organization the applicant was funded to serve in FY13.</li> <li>• Non-profit 501(c)(3) applicants may apply with the support of a PHA or Tribe/THDE, or with the support of one or more RAs.</li> <li>• Non-profit 501(c)(3) applicants applying with the support of a <i>site-based RA(s)</i> may apply for up to one SC per RA (or set of RAs if combining RAs is required to achieve the</li> </ul> |

minimum number of units (50) to be served) for a total of not more than three SCs per PHA.

- Non-profit 501(c)(3) applicants may apply to serve as many as 3 PHAs or tribes/TDHEs (up to 9 SCs), but must submit a separate application for each PHA or tribe/TDHE to be served unless they are proposing to split one SCs time between PHAs or tribes/TDHEs. In this case, one application may be submitted, but a letter of support from each PHA or tribe/TDHE (or RA at each PHA, tribe/TDHE) is required.