



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

Public and Indian Housing

Resident Opportunity & Self-Sufficiency Program

FR-6100-N-05

Application Due Date: 10/23/2017

Resident Opportunity & Self-Sufficiency Program  
FR-6100-N-05  
TABLE OF CONTENTS

- I. [Funding Opportunity Description.](#)
- II. [Award Information.](#)
- III. [Eligibility Information.](#)
  - A. Eligible Applicants.
  - B. Cost Sharing or Matching.
  - C. Other.
- IV. [Application and Submission Information.](#)
  - A. Obtaining an Application Package.
  - B. Content and Form of Application Submission.
  - C. System for Award Management (SAM) and Dun and Bradstreet Universal Numbering System (DUNS) Number.
  - D. Application Submission Dates and Times.
  - E. Intergovernmental Review.
  - F. Funding Restrictions.
  - G. Other Submission Requirements.
- V. [Application Review Information.](#)
  - A. Criteria.
  - B. Review and Selection Process.
  - C. Anticipated Announcement and Award Dates.
- VI. [Award Administration Information.](#)
  - A. Award Notices.
  - B. Administrative, National and Departmental Policy Requirements.
  - C. Reporting.
- VII. [Agency Contact\(s\).](#)
- VIII. [Other Information.](#)
- IX. [Appendix.](#)

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

<b>Program Office:</b>	Public and Indian Housing
<b>Funding Opportunity Title:</b>	Resident Opportunity & Self-Sufficiency Program
<b>Announcement Type:</b>	Modification
<b>Funding Opportunity Number:</b>	FR-6100-N-05
<b>Primary CFDA Number:</b>	14.870
<b>Due Date for Applications:</b>	<b>10/23/2017</b>

### Overview

**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 FY2017 NOFAs to the Office of Strategic Planning and Management, Grants Management and Oversight Division, at [AskGMO@hud.gov](mailto:AskGMO@hud.gov).

### 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 2017 Notices of Funding Availability for Discretionary Programs. Copies are available at [Grants.gov](http://Grants.gov) and HUD's [Funds Available](#) page.

1. Participative Planning and Implementation. HUD encourages applicants to ensure, where applicable, public decision making and meaningful participation throughout the visioning, development, and implementation of funded projects. HUD encourages applicants to work with all residents of affected areas, 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. 2000d 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

### I. Funding Opportunity Description.

## A. Program Description.

### 1. Purpose and Summary.

**a. Overview.** The Resident Opportunity & Self Sufficiency Service Coordinator (ROSS-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.

This program works to promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources, for supportive services and resident empowerment activities. ROSS-SC funds may be used for coordinator's salary and fringe benefits, traveling and training expenses, and administrative costs.

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

**Coordination:** The ROSS-SC must build partnerships with local service providers and work with the local Program Coordinating Committee (PCC) and with local service providers to ensure that program participants are linked to supportive services. ROSS-SC may also coordinate educational and/or community events that help residents become more self-sufficient. Grantees are encouraged to work with other organizations or internal staff to improve access to service delivery and decrease chances of duplication of services for residents.

**Case Management:** Provide general case management to residents which includes intake, assessment, education, and referral of residents to service providers in the local community.

**Outreach:** Grantees are encouraged to outreach to all residents in developments they are serving which includes single parent heads of household, elderly, person(s) with disabilities, formerly incarcerated persons, and transition age youth.

**Evaluation:** Grantees must evaluate the success of the program by using a reporting tool as directed by HUD.

### 2. Changes from Previous NOFA.

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

**b. HUD-52769:** Applicants no longer submit this form. The HUD-52768 has been revised to include the match information. See Section III.C.3.d of this NOFA for more information

**c. Determination of Need:** Under this NOFA applicants are not required to identify a minimum of ten need categories. However, all applicants must still identify the needs of residents the

ROSS-SC will address on the HUD-52768 form. This NOFA specifies the mandatory services to be coordinated and mandatory metrics that HUD will use to evaluate the progress of each grantee. See Section III.C.3.d of this NOFA for more information.

**d. Salary Comparability Information:** In the past, HUD has asked applicants to keep documentation on file demonstrating that the salary that they are requesting is comparable to local wages for similar professions. Under this NOFA, you are required to submit salary comparability information as part of your application by completing Part III of the HUD-52768 application form. See Section IV.B.2.c of this NOFA for more information.

**e. Current nonprofit status:** All Resident Associations (RA) and Nonprofits must either be a locally-incorporated nonprofit organization or a federally-designated 501(c)(3) tax-exempt nonprofit organization by the application deadline of this NOFA. All renewal applicants must certify that their nonprofit status is current and in good standing on the HUD-52768 application form. All new applicants that are RAs and Nonprofits must submit a copy of the 2016 federal annual information return submitted to the IRS (for 501(c)(3) applicants) or for locally-incorporated nonprofit organizations, the 2016 submission of the state or tribal equivalent. If this information is not included as part of the grant submission, it will not be requested during the deficiency period and the applicant will be deemed ineligible for ROSS-SC funding. Please see section IV.B.1.c for more information.

**f. Resident Association Funding Set-aside:** 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 FY17 renewal applicants. Please see Section V.B.4.a. for more information.

**g. Limit of ROSS-SC per PHA or Tribe/TDHE:** This NOFA explicitly limits the number of ROSS-SCs to any PHA or tribe/TDHE to three. Though not a change from last year, this requirement may be unfamiliar to FY17 renewal applicants. Please see Section III.E.4 for more information.

**h. Rental Assistance Demonstration (RAD) Conversions:** The NOFA specifies that PHAs may not apply to serve units that have received a RAD Commitment to enter into a Housing Assistance Payment (CHAP) at the time of application. This stipulation was included in the FY16 ROSS NOFA, but it will be new to FY17 applicants. Please see Section III.F.3 for more information.

**i. Threshold Requirements:** Past Performance and Capacity of Applicant are program requirements. All other thresholds-- match and letters of support for nonprofit applicants-- remain threshold requirements. This change was included in the FY16 ROSS NOFA, but it will be new to FY17 applicants. See Section III.C for more information.

**j. 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. Please see Section V.A.1.A.3 for more information.

**k. 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. Due to historical insufficient funding to address this category, it has been eliminated. This change was included in the FY16 ROSS NOFA, but it will be new to FY17 applicants. Please see Section V.B.5 for more information.

**l. Unexpended Balance Threshold.** Renewal applicants that have an unexpended balance of 70% or more of their FY14 ROSS funds by the application deadline are ineligible for FY17 ROSS funding. See Section II.C.2.a for more information.

**m. Reduced Awards:** HUD reserves the right to adjust requested funding amounts downward, as determined necessary by HUD, in its sole discretion, based on an applicant's demonstrated financial need, capacity, and prior performance.

**n. Grant Term:** The term of the FY17 ROSS grant is 36 months from the effective date of the grant agreement. See section III.E.9 for more information.

### **3. Definitions.**

#### **a. Standard Definitions**

Analysis of Impediments to Fair Housing Choice (AI) is a review of impediments or barriers that affect the rights related to fair housing choice, and pertains to program participants in jurisdictions operating under a current Consolidated Plan and public housing agencies operating under a PHA Plan.

Assessment of Fair Housing (AFH) is the analysis undertaken pursuant to 24 CFR 5.154. AFH includes an analysis of fair housing data, an assessment of fair housing issues and contributing factors, the prioritization of contributing factors, and the identification of fair housing goals. It is conducted and submitted to HUD using the Assessment Tool. Entities obligated to prepare and submit an AFH are: (1) Jurisdictions and Insular Areas that are required to submit Consolidated Plans for the following programs: (i) The Community Development Block Grant (CDBG) program (see 24 CFR part 570, subparts D and I); (ii) The Emergency Solutions Grants (ESG) program (see 24 CFR part 576); (iii) The HOME Investment Partnerships (HOME) program (see 24 CFR part 92); and (iv) The Housing Opportunities for Persons With AIDS (HOPWA) program (see 24 CFR part 574); and (2) Public housing agencies (PHAs) receiving assistance under sections 8 or 9 of the United States Housing Act of 1937 (42 U.S.C. 1437f or 42 U.S.C.1437g).

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

Catalog of Federal Domestic Assistance (CFDA) is a directory of the various Federal programs, projects, services and activities that offer financial and non financial assistance and benefits to the American public. CFDA Number is the unique number assigned to each program, project, service or activity listed in the Catalog of Federal Domestic Assistance (CFDA).

Consolidated Plan is a document developed by states and local jurisdictions, which they complete by engaging in a participatory process to assess their affordable housing and community development needs and market conditions, and to make data-driven, place-based

investment decisions with funding from formula grant programs. (See 24 CFR 91 for more information about the Consolidated Plan and related Annual Action Plan.)

Contract means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used with respect to awards, subawards, and cooperative agreements subject to 2 CFR part 200 does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward. (See 2 CFR 200.22 and 200.92.)

Contractor means an entity that receives a contract.

Deficiency – Deficiency is information missing or omitted 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.

- Curable Deficiency – Applicants may correct a curable deficiency 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.
- Non-Curable Deficiency – An applicant cannot correct a non-curable deficiency after the submission deadline. Non-curable deficiencies are deficiencies that if corrected would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination

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

Eligibility Requirements – 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.

Federal Awardee Performance and Integrity Information System (FAPIIS) is a database that has been established to track contractor misconduct and performance.

Grants.gov is the website that serves as the Federal government's central portal for searching for and applying for grants throughout the Federal government.

Non-Federal Entity means a state, local government, Indian tribe, institution of higher education (IHE), or non-profit organization that carries out a Federal award as a recipient or subrecipient.

Pass-through Entity means a non-Federal entity that provides a subaward to a subrecipient to

carry out part of a Federal program.

Personally identifiable information (PII), as defined in [Office of Management and Budget M-07-16](#), is any information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.

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

Preferred Sustainability Status Communities (PSS) for the purposes of HUD's FY2017 funding competitions, are communities that have received PSS under HUD's FY2011 Sustainable Communities Regional Planning Grant Program and/or HUD's FY2011 Community Challenge Planning Grant Program. [Click here for list](#). Promise Zones are federally-designated, high-poverty urban, rural and tribal communities where the Federal government will partner with and invest in communities to accomplish these goals: create jobs, leverage private investment, increase economic activity, expand educational opportunities, and reduce violent crime.

Promotores/Promotoras are Spanish-speaking Community Health Workers who work in their communities to reduce barriers to health services and make health care systems more responsive.

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

Section 3 Business Concern means a business concern (1) that is 51 percent or more owned by Section 3 residents; or (2) of which at least 30 percent of permanent, full-time employees are currently Section 3 residents, or were Section 3 Residents within three years of the date of first employment with the business concern; or (3) that provides evidence of a commitment to subcontract over 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications in this definition.

Section 3 Residents means: 1) Public housing residents; or 2) Low and very-low income persons, as defined in 24 CFR 135.5, who live in the metropolitan area or non-metropolitan county where a HUD-assisted project for housing or community development is located.

Standard Form 424 (SF-424) is the Application for Federal Assistance Programs required by discretionary grant programs.

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



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

System for Award Management (SAM), located at the website [sam.gov](http://sam.gov), is the official U.S. Government system that consolidated the capabilities of Central Contractor Registry (CCR), Excluded Parties List System (EPLS) and the Online Representations and Certifications Application (ORCA). Registration with [Sam.gov](http://sam.gov) is required for submission of applications via [grants.gov](http://grants.gov).

Threshold Requirement – Threshold requirements are a type of eligibility requirement. Threshold requirements 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. Threshold Requirements of this Program NOFA.

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

#### b. Program Definitions

**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 III.E.1 for more information.

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

**Grant Term** of the FY17 ROSS grant is 36 months. If awarded ROSS funds, the grant term will start the effective date of the grant agreement. The grant term is the period that HUD will use to review any reports and other relevant information needed to evaluate the grantee's performance.

**Indian Tribe** is a federally-recognized or state recognized tribe as defined in section 4(13) of the Native American Housing and Self-Determination Act (NAHASDA) 42 U.S.C. 4104, et seq.

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

**NAHASDA-Assisted Resident** is a eligible person who has been assisted under NAHASDA.

**New/Other Applicant** is an applicant that has never received ROSS funding or a previously awarded ROSS grantee with no ROSS funds remaining by the application deadline. FY15 and FY16 ROSS grantees will not be considered as new/other applicants and therefore ineligible for FY17 ROSS funding. Note: funding from the Public Housing Family Self-Sufficiency (FSS)

program is not considered ROSS funding.

**Nonprofit Organization** for the purposes of this NOFA refers to these two types of organizations:

**(1) Locally Incorporated Non-profit Organization** – A non-profit organization that has filed *articles of incorporation* with the state office (usually the Secretary of State or Attorney General) or tribal government responsible for incorporations and has been granted such status and has maintained this status by complying with state or tribal government requirements. Resident Association (RA) applicants, including tribal resident organizations, 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 new incorporated non-profit applicants must submit evidence of their incorporated non-profit status and a copy of their 2016 annual state filing or tribal equivalent as evidence of this status being current. Please see definitions of *Resident Association* and *Tribal/TDHE Resident Group* below for more information; or

**(2) Tax-Exempt Nonprofit Organization** is an organization that has been granted tax-exempt status by the IRS pursuant to 26 U.S.C. § 501(c)(3) before the deadline for submission of this application and is therefore exempt from federal taxation. For more information about tax-exempt status, go to [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. Tax-exempt nonprofits that are new applicants must submit their IRS determination letter to prove their tax-exempt status and a copy of their 2016 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 not be requested as a curable deficiency.

**Person with Disabilities** is a person who:

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

The term “person with disabilities” does not exclude persons who have acquired immunodeficiency syndrome (HIV/AIDS) or any conditions arising from the etiologic agent for AIDS. In addition, no individual shall be considered a person with disabilities, for purposes of eligibility for low-income housing, solely on the basis of any drug or alcohol dependence. 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.

**PHAS Troubled** is 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 and/or ONAP to determine whether they are required to have a Contract Administrator Partnership agreement.

**Project** is specific to PHAs, this term means a group of properties as defined in PIH Notice 2007-28, "Changes in the Project Numbering System and Process for Requesting Changes in Project Identifications." The term "new project number" will refer to the new project number that will be assigned to each Asset Management Project (AMP). Henceforward, the terms ‘AMP,’ ‘project,’ and ‘new project number’ will be synonymous. These projects are identified in PIC with 11-digit codes. For tribes/TDHEs previously funded through the 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.

**Renewal Applicants** are applicants that were grantees funded under the FY2014 ROSS-SC NOFA. 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 FY2014 ROSS-SC NOFA.

To view a list of grantees and projects funded under the FY14 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 FY17 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 FY14 application, a renewal applicant is eligible to apply only for the number of ROSS-SCs for which it is currently eligible.

A renewal applicant may make changes from its FY14 grant as to budget, projects served, number of SCs, serving family or elderly/disabled, partners, 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.

**Renewal Funding Category** is reserved for renewal applicants. After the RA 25% set-aside category is funded, eligible renewal applicants with FY14 ROSS grants will be funded using the lottery system. Applicants in the renewal funding category have priority over applicants in the new funding category.

**Resident Association (RA)** includes but is not limited to 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, Resident Management Corporations, and National Resident Organizations (NRO). The NOFA will use “Resident

Association” or “RA” to refer to all eligible types of resident organizations. All RA applicants must also submit form HUD-52753 “Certification of Election of Resident Council Board” and must indicate their RA type on the HUD-52768 “ROSS-SC Application Form.” All RAs must also be incorporated as a nonprofit organization as defined above in this NOFA

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

**Site-Based Resident Association** (or Local Resident Association) is a 501(c)(3) tax-exempt non-profit organization or a locally-incorporated non-profit organization 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.

**Tribes Designated High Risk** are Tribes that have been informed of performance deficiencies or desigated by their area ONAP as "high risk grantees" per 2 CFR Part 200.205. Please Section V.A.1.A.3 for more information.

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

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

#### 4. Resources.

- [Grants.gov](https://www.grants.gov)
- [HUD Funds available](#)
- [Code of Conduct list](#)
- [SAM](#)
- [Dun & Bradstreet](#)
- [Do Not Pay](#)
- [FAPIS](#)

#### **B. Authority.**

ROSS is authorized under Section 34 of the United States Housing Act of 1937 (42 U.S.C.1437z-6). ROSS is also governed by 24 CFR Part 964 and this NOFA. The funding authority for ROSS grants under this NOFA is provided by the Consolidated Appropriations

Act, 2017 (Public Law 115-31), approved May 5, 2017.

**II. Award Information.**

**A. Available Funds.**

\$35,000,000 is available through this NOFA.

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.

**1. Eligible Use of Funds:**

- a. Salary and Fringe Benefits:** Funds awarded to grantees under this NOFA will be used to pay the salary and fringe benefits of ROSS Service Coordinators (ROSS-SC).
- b. Training and Travel Related to Professional and/or Program Development:** Funds may also be used to pay for training and travel cost only if related to professional and/or program development of the FY17 ROSS program and service coordinator(s). 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.
- c. Administrative Costs.** 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 grantee costs.**

Please see **Section IV.F** for more information on allowable cost and funding restrictions.

**B. Number of Awards.**

HUD expects to make approximately 110 awards from the funds available under this NOFA. The chart below identifies the total funding available in the three most recent funding cycles and awards based on the funding category.

	<b>Funds Available (Approximate)</b>	<b>Number of Awards</b>	<b>Resident Associations</b>	<b>Renewal</b>	<b>New/Other</b>
2016	\$32,500,000	111	\$2,145,032	\$18,086,595	\$12,064,454
2015	\$34,000,000	117	\$4,541,977	\$19,641,188	\$8,033,810
2014	\$36,000,000	110	\$5,121,847	\$25,371,805	\$5,254,032

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

Per the chart below, you must base your request for SCs on the number of occupied

ACC/NAHASDA- assisted units in the PHA's/tribe/TDHE's portfolio as of September 30, 2016. All applicants must have a minimum of 50 units to be eligible for ROSS-SC funding.

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

**1. Salary Comparability Information:** Award amounts will vary depending on HUD’s determination of information provided in applicants' salary requests for the Service Coordinator positions. Applicants must request funding that is commensurate with local wages for professions comparable to that of a ROSS-Service Coordinator, and submit salaries for three comparable positions. **NOTE:** A salary request will be considered commensurate if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. We encourage you to use CareerOneStop salary finder (<http://www.careeronestop.org/toolkit/wages/find-salary.aspx>), but this tool can only be used as documentation for one of the comparable salaries. Please see Section IV.B.2.c

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

**a. Unexpended Balance Threshold:** Renewal applicants that have an unexpended balance of 70% or more of their FY14 ROSS grant funds by the application deadline are ineligible for FY17 ROSS funding. These applications will not be reviewed.

**b. Reduced Awards:** HUD reserves the right to adjust requested funding amounts downward as determined necessary by HUD, in its sole discretion, based on an applicant's demonstrated financial need, capacity, and prior performance. In reducing the FY17 award amount, HUD may take into consideration the applicant's FY14 award balance, grant term end date, and any grant extension(s) on the FY14 or prior ROSS grants that may have been provided, among other factors.

**c. Unexpended Funds:** HUD encourages FY17 ROSS renewal grantees to expend all FY14 ROSS funds awarded by the end of their grant term. This will avoid any further delays to the start of their FY17 grant since FY17 renewal grantees cannot expend funds from FY14 (or prior) and FY17 ROSS-SC grants at the same time.

**d. FY14 Grantees Awarded ROSS Funds After the Announcement Date:** A FY14 grantees that was not listed as a recipient of a FY14 ROSS award on the announcement press release dated February, 26 2015 (<https://archives.hud.gov/news/2015/pr15-021.cfm>), may still be eligible for funding if they have an unexpended balance of 70% or more of their FY14 ROSS grant funds by the application deadline. If any applicant believes they were announced as a recipient of FY14 ROSS funds after the FY14 ROSS announcement date (February 2015), they must contact HUD at ROSS-PIH@hud.gov before the application deadline.

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: 03/01/2018  
Estimated Project End Date: 02/28/2021  
Length of Project Periods: 36-month project period with three 12-month budget periods  
Length of Project Periods Explanation of Other: **Grant Extensions.** Requests to extend the grant term beyond 36 months must be submitted in writing to the Deputy Assistant Secretary of the Office of Public Housing Investments at HUD at least 60 days prior to the end 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, at HUD's sole discretion for good cause and subject to the applicable appropriations are requirements. Denials of extension requests are reserved for the Deputy Assistant Secretary of the Office of Public Housing Investments. Please note that grantees who receive extensions may receive unfavorable evaluations as part of reviews of future ROSS applications. Grant extensions may also affect future award amounts. Requests for grant extensions will be examined closely and are highly discouraged.

**E. Type of Funding Instrument.**

Funding Instrument Type: Grant

**III. Eligibility Information.**

**A. Eligible Applicants.**



Native American tribal governments (Federally recognized)  
Public housing authorities/Indian housing authorities  
Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education  
Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education  
The following entities are eligible to apply for FY17 ROSS-SC Funding:

- Native American tribal governments (federally recognized)
- Indian Housing Authorities/ Tribally Designated Housing Entities (TDHEs)
- Public Housing Agencies (PHAs)
- Nonprofits, including Resident Associations (RAs), having a 501(c)(3) status with the IRS, other than institutions of higher education
- Nonprofits, including Resident Associations (RAs), locally incorporated without 501(c)(3) status with the IRS, other than institutions of higher education

All applicants should see Section III.C "Threshold Requirements" and Section IV.B "Content and Form of Application Submission" for more information on eligibility for funding requirements.

**EDSC Provision:** PHAs that are currently eligible to receive annual funding under the Elderly/Disabled Service Coordinator (EDSC) program from the Public Housing Operating Fund that apply to serve elderly/disabled resident through this NOFA will forgo all future eligibility for EDSC funding through the Operating Fund. If you are receiving EDSC funds, you may apply to serve families only on the HUD-52768 to not risk your EDSC funding. To confirm if your PHA is affected by this EDSC provision, please see the list of PHAs that are eligible to receive EDSC funding (<http://portal.hud.gov/hudportal/documents/huddoc?id=EDSC-FY16-ROSS-AWARDS.xls>).

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

## **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. Please see section III.C.1 for more information on what is necessary to satisfy the match threshold.

## **C. 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.

1. 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. Application Submission Dates and Times.

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

a. Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (1) – (5) that have not been resolved to HUD’s satisfaction before or on the application deadline date are ineligible for funding. Such matters include:

- (1) Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;
- (2) Status as a defendant in a Fair Housing Act lawsuit filed by the 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 under 42 U.S.C. 3614(a);
- (3) Status as a defendant in any other lawsuit filed or joined by the Department of Justice, or in which the Department of Justice has intervened, or filed an amicus brief or statement of interest, alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, the Americans with Disabilities Act or a claim under the False Claims Act related to fair housing, non-discrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;
- (4) Receipt of a letter of findings identifying systemic non-compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or the Americans with Disabilities Act; or
- (5) Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

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

- Current compliance with a voluntary compliance agreement signed by all the parties;
- Current compliance with a HUD-approved conciliation agreement signed by all the parties;
- 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;
- Current compliance with a consent order or consent decree;

- Current compliance with a final judicial ruling or administrative ruling or decision; or
- Dismissal of charges.

### 3. Match.

a. The purpose of the match is to ensure your ROSS program includes committed partners who are able to address the needs of residents. All applicants are required to have in place a firmly committed match contribution equivalent to 25 percent of the total grant amount requested in order to be considered for funding. The match may be provided as a cash or in-kind donation. Resources/in-kind services that can be committed include: in-kind services provided to the applicant; funds from federal sources (not including ROSS 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.

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

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 may also be counted towards the value of match.

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

- The match certification on the HUD-52768 must be signed by the applicant's Executive Director, Resident Association Board President, Tribal Chairman or other person authorized to make the stated commitment and/or attest to the match contribution from other partners.
- Joint applicants must together have at least a 25 percent match.
- The value of 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)
- 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)

#### c. Match Letters:

Match donations must be firmly committed and explicit in writing, on the organization's

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.*

d. **Completing HUD-52768.** The source of funds for each match commitment must be identified on the HUD-52768 form. *If the applicant itself is proposing to provide the match, the applicant must indicate the funding source on the HUD-52768. Applicants should ensure that the needs and mandatory services to be coordinated have firmly committed partners and match. By signing the HUD-52768 applicants are certifying that their commitments will be available for the full three-year grant term.* Please see sample excerpted from the HUD-52768 below:

Need of Residents	Service to be Provided	Source of Match	Value of Match
Employment	Job Readiness Training	Tech for Adults	\$5,000
Education Attainment	GED Classes	JOY Community College	\$10,000
Childcare	After School Program	Boys & Girls Club	\$7,000

**Please note** that applicants are no longer required to identify a minimum of ten (10) need categories. However, applicants must ensure that the local needs of residents are closely linked to the proposed services and contributions the match partners are providing. Please see section III.E.2 for more information.

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

If you are a nonprofit organization that is not a RA you must include a letter of support from either the Public Housing Authority, tribe/TDHE(s), or the particular RA(s) you 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 and the total number of units to be served.
- Describe to what extent the PHA/tribe/TDHE/RA is familiar with your nonprofit organization and indicate their support for your application.
- Include contact information and the name and title of the person authorized to sign for the PHA, Tribe/TDHEs, and/or RA.

**5. Non-profit Status.** All RAs and Nonprofits must either be a locally-incorporated nonprofit (usually designated by the state or tribal government) or a 501(c)(3) nonprofit designated by the IRS. Renewal applicants must certify that their non-profit status is current and in good standing on the HUD-52768 form. **All new applicants must submit a copy of the 2016 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 not be requested during the deficiency period. If nonprofit status is submitted, HUD may contact an applicant to clarify items in regards to the non-profit status of the applicant and will be treated as a curable deficiency.

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

**7. Narrative Statement:** All new applicants and tribes designated as high-risk must submit a narrative statement. If the narrative statement is not submitted as part of the application, it will not be requested during the deficiency period. This is a non-curable deficiency. Please see section V.A

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

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

##### **1. Compliance with Non-discrimination and Related Requirements.**

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

##### **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. HUD requires recipients of funds, including those awarded and announced under HUD's FY 2017 Program NOFAs not specifically exempted, to take meaningful actions that affirmatively further fair housing.

Unless otherwise specified elsewhere in this Program NOFA, an applicant must discuss how it will carry out the proposed activities in a manner that affirmatively furthers fair housing in compliance with Section 808(e)(5) of the Fair Housing Act. If the applicant operates in a jurisdiction with an accepted Assessment of Fair Housing, the proposed activities should be consistent with the AFH's fair housing goals and with fair housing strategies specified in any

applicable Consolidated Plan or Public Housing Agency Plan.

Federally recognized Indian tribes are not subject to the requirement to affirmatively further fair housing in their use of certain HUD funds. Other tribal entities may also be exempt. If a tribal entity's use of HUD funds is subject to the Fair Housing Act, then its proposed activities under a particular program NOFA should be consistent with the AFH's fair housing goals and with fair housing strategies specified in any applicable Consolidated Plan.

**The requirement above has been modified under this NOFA as follows:**

You do not have to include a statement Affirmatively Furthering Fair Housing (AFFH) in your application; instead, successful applicant are **required** to undertake the following AFFH activities:

1. Ensure that each participant 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 instructed on how to file a fair housing complaint ([https://portal.hud.gov/hudportal/HUD?src=/topics/housing\\_discrimination](https://portal.hud.gov/hudportal/HUD?src=/topics/housing_discrimination)) and given the toll-free number for the Housing Discrimination Hotline: 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. Make available to all participants information on housing opportunities available throughout the region which will provide them with greater opportunities for employment, job training, highly ranked schools and varied cultural amenities, and how to access such opportunities through support organizations in the area.
5. Seek out fair housing training that will assist the coordinator in fulfilling fair housing responsibilities. Fair housing training may be available through the local Fair Housing Initiatives Program (FHIP) agency or the Fair Housing Assistance Program (FHAP) agency.

A listing of FHAPs can be found at [https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/fair\\_housing\\_equal\\_opp/partners/FHAP/agencies](https://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/partners/FHAP/agencies).

A listing of FHIPs can be found at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/fairhousingequalopp/partners/FHIP](http://portal.hud.gov/hudportal/HUD?src=/program_offices/fairhousingequalopp/partners/FHIP)

**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).**

Certain programs require recipients of assistance to 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. The regulations at 24 CFR part 135 implementing Section 3 ensure, to the

greatest extent feasible, that training, employment, contracting and other economic opportunities be directed to low- and very low-income persons, especially recipients of government assistance for housing, and to businesses that provide economic opportunities to low-and very low-income persons where a proposed project is located.

To implement 24 CFR 135.9(a) of the Department's Section 3 rules, program NOFAs where Section 3 applies must include information regarding how Section 3 activities will be considered in rating the application, the evaluation criteria utilized, and the rating points assigned. (See 24 CFR 135.9(a).) Applicants subject to this requirement must describe their plans to train and employ Section 3 residents and contract with Section 3 businesses. By submission of an application for programs covered by Section 3, applicants certify compliance with Section 3 requirements.

Section 3 fund recipients must comply with 24 CFR part 135. HUD encourages recipients to search the national Section 3 Business Registry to find local businesses that prioritize hiring Section 3 residents.

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

Executive Order (E.O.) 13166 seeks to improve access to federally assisted programs and activities for individuals who, because of national origin, have LEP. Recipients of HUD funds 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). LEP guidance and LEP information is available on [HUD's website](#).

### **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 allows persons with disabilities to access and use information and data comparably to those without disabilities unless an undue burden would result to the Federal agency. HUD encourages its recipients to adopt the goals and objectives of Section 508 by ensuring comparable access whenever EIT is used. Recipients must also comply with Section 504 of the Rehabilitation Act and, where applicable, the ADA. These statutes also require effective communication with individuals with disabilities and prohibit EIT-imposed barriers to access information, programs, and activities by persons with disabilities. (See Information on [accessible technology](#).)

## **2. HUD- or Federal government-wide Requirements.**

a. 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 negotiated repayment schedule is established and the repayment schedule is not

delinquent, or

- 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.

b. Sufficiency of Financial Management System. HUD will not award or disburse funds to applicants that do not have a financial management system that meets Federal standards as described at 2 CFR 200.302. HUD may arrange for a survey of financial management systems 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 standards, or for applicants considered high risk based on past performance or financial management findings.

c. Debarments and/or Suspensions – Under 2 CFR 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.

d. 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.

e. Pre-selection Review of Performance. – If your organization has delinquent federal debt or is excluded from doing business with the Federal government, the organization may be ineligible for an award. In addition, before making a Federal award, HUD reviews 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), and the “Do Not Pay” website. HUD may consider other public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or other complaints that have been proven to have merit. Applicants may review and comment on any information in FAPIIS through SAM. HUD reserves the right to:

- Deny funding, or with a renewal or continuing award, consider suspension or termination of an award immediately for cause,
- Require the removal of any key individual from association with management or implementation of the award, and
- Make provisions or revisions regarding the method of payment or financial reporting requirements.

f. Mandatory Disclosure Requirement. Recipients or applicants must disclose in writing to the

awarding program office at HUD, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award within ten days after learning of the violation. Recipients that have received a Federal award including the term and condition outlined in Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in §200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

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

Before entering into an agreement with HUD, applicants selected for award must ensure an up-to-date copy of the organization’s code of conduct, dated and signed by the Executive Director, Chair, or equivalent official, of the governing body of the organization has been submitted to HUD.

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 over minimal value by officers, employees, or agents for their personal benefit; and outline administrative and disciplinary actions available to remedy violations of such standards. (See 2 CFR 200.112 and 2 CFR 200.318.)

If the recipient has a parent, affiliate, or subsidiary organization, whether non-profit or for-profit, the recipient must also maintain written standards of conduct covering organizational conflicts of interest. “Organizational conflicts of interest” means that because of relationships with a parent, affiliate, or subsidiary organization, the recipient is unable, or appears to be unable, to be impartial in administering the award or serving as a pass-through-entity.

h. 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 2017 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 2017 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 2017 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:

- How the selection or non-selection of any applicant under a FY 2017 Program NOFA will affect the individual’s financial interests, as provided in 18 U.S.C. 208, or
- 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 2017 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 Services service at 1-800-877-8339.

i. . 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 awards from using appropriated funds for lobbying the executive or legislative branches of the Federal government in connection with a specific award. All applicants must submit with their application the signed Certification Regarding Lobbying included in the Application download from Grants.gov. In addition, applicants must disclose, using Standard Form LLL (SF-LLL), “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 SF-LLL if they have used or intend to use non-federal funds for lobbying activities.

k. 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 curable 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.

## **E. Program Specific Requirements.**

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

## **behalf of grantees.**

Contract Administrators may be, but are not limited to: local housing agencies; Public Housing Authorities (not troubled); community-based organizations such as community development corporations (CDCs), churches, temples, synagogues, 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.

**2. Achieving Results and Program Evaluation:** HUD requires all applicants to 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 evaluating the grantee's performance.

**a. Assessing Needs of Residents:** ROSS-SCs are to assess the needs of Public and Indian housing residents and link them to supportive services. All applicants must identify the needs of residents the ROSS-SC(s) will address on the HUD-52768 form. This NOFA specifies the mandatory services to be coordinated that will lead residents to economic self-sufficiency such as job training, employment, adult education, and health resources. Applicants must ensure that the match contributions through partnerships are linked to addressing the need of residents and the administration of the ROSS program.

**b. Evaluation Tool:** HUD requires applicants to develop an effective, quantifiable, outcome-oriented plan for measuring performance and determining that goals have been met. HUD will give more information on the evaluation tool all applicants must use for reporting to HUD if awarded FY17 ROSS funds.

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).

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

- **PHAs:** you may submit only one application, under the new or renewal category.
- **Tribes/TDHEs:** you may submit only one application, under the new or renewal category.
- **Site-based RAs:** you may submit only one application, under the new or renewal category.
- **Non site-based RAs (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) applying under the 25% RA set aside:** you may submit one application under the new or renewal category.

- **Non site-based RAs** (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) **not applying under the 25% RA set aside:** you may submit up to three applications under the new and/or renewal category.
- **Non-profit Organizations that are not RAs:** you 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 2014.

**Please Note:** If you are a non-site based RA or a non-profit applicant that is not an RA and submit 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.

**4. Maximum Number of ROSS-SCs per application:** Per the chart below, you must base your request for SCs on the number of occupied ACC/NAHASDA-assisted units in the PHA’s/tribe/TDHE’s portfolio as of September 30, 2016. All applicants must have a minimum of 50 units to be eligible for ROSS-SC funding.

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

If you are a newly consolidated PHA, the number of positions you may apply for shall be based on the total sum of the occupied units at each divesting PHA as of September 30, 2016. The resultant new PHA must be registered as a new entity at [www.sam.gov](http://www.sam.gov).

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

**5. Maximum Number of ROSS-SCs per PHA or tribe/TDHE.** There shall not be more than three ROSS-SC positions per PHA or Tribe/TDHE. If multiple applicants applying to serve the same PHA or Tribe/THDE exceeds three ROSS-SC and all applications are deemed eligible to enter a lottery, only the first chosen in the lottery will be funded. Applicants should coordinate their application efforts in order to ensure that their applications do not exceed this cap.

**6. Maximum Number of Applications per Development(s) to be served.** There shall not be more than one applicant applying to serve the same development(s). If more than one application proposing to serve the same development(s) is received, they will each be reviewed and, if each are deemed eligible to enter a lottery, only the first chosen in the lottery will be funded.

**7. 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 HUD-52768 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. All members of a consortium are subject to the requirements of this NOFA, the FY17 General Section, and the terms and conditions of the award. Lead applicants must ensure:

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

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

**7. 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.

**8. Balance.** All ROSS grantees should be expending and having timely draw downs of funds (timely draw-downs occur on a monthly or two-month basis). While there may be a period a grantee experiences staff turnover which may affect timely draw-downs, all grantees should make sure they are able to fill ROSS-SC positions in a timely manner so that there isn't a significant balance at the application deadline and a period that residents are not being served throughout the 36-month grant period.

**9. Grant term.** The term of the FY17 ROSS grant is 36 months. If awarded, the grant term will start the effective date of the grant agreement. The grant term is the period that HUD will use to review any reporting tools as specified by HUD and relevant information needed to evaluate the grantee's performance. The grant term may not change even if the grantee does not start implementing the ROSS program by the start of the grant term.

**10. Mandatory Services to be Coordinated.**

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

**b. Adult Basic Education/Literacy Classes.**

- Literacy Training and GED Preparation
- Basic Education
- English as a Second Language

**c. High School Diploma/ GED Program**

**d. Job Training/Skills**

- Skills Assessment of participating residents
- 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.
- Digital Literacy/Computer Skills Training

- Soft Skills training including problem-solving and other cognitive skills, oral, and written communication skills, workplace norms (appropriate dress, punctuality, etc), and interpersonal and teamwork skills
- Resume writing
- Interviewing techniques

**e. Financial Literacy**

- Financial Counseling
- Credit Repair
- Banking and Money Management

**f. 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.

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

- Assistance with activities of daily living for elderly/disabled residents.
- Meal services to meet nutritional needs of elderly/disabled residents.
- Personal emergency response resources.
- Disability Service Counseling

**11. Examples of Other 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 assist residents in making progress towards self-sufficiency. PLEASE NOTE: These services cannot be paid for using funds from this grant (except where allowed under administrative 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.

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

- Coaching
- Mentoring (for more information on what constitutes a quality mentoring program, please refer to the "[Elements of Effective Practice for Mentoring](#)")

**b. 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:

- Facilitating access to skills training and partnerships with community-based organizations to develop pathways to career-ladders.
- Providing information and access to green industry jobs.
- Providing mechanisms to ensure residents have long-term access to new employment

opportunities created in the local community.

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

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

- Set career goals.
- 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.
- 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.
- Work 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.

**e. 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:

- Information on Individual Savings Accounts (ISAs).
- 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>.
- 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.
- 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.

**f. After-School or Summer Programs.** After-school and/or summer programs for school-age children, including those with disabilities and have limited English proficiency, that provide

tutoring, remedial training, and computer skills.

**g. 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.

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

**i. Parenting Courses.**

**j. Nutrition Courses.**

**k. Resident Business Development.**

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

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

**n. Community Safety.**

**o. Civic Engagement** resources and training.

**p. 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.

## **F. Criteria for Beneficiaries.**

This program has eligibility criteria for beneficiaries.

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

**2. Eligible Projects.** Only 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 federally assisted (i.e., assisted under Section 8, Section 202, Section 811, Section 236), and others, are not eligible to participate in ROSS. *Applicants are not eligible to receive funding for projects that are currently being served by ROSS-SC grants awarded under the FY2015 or FY2016 competitions.*

**3. Rental Assistance Demonstration (RAD) Conversions:** PHAs may not apply to serve units that have received a RAD Commitment to enter into a Housing Assistance Payment (CHAP) at the time of application due date.

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

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

#### **Instructions for Applicants**

You must download both the Application Instruction and the Application Package from



[Grants.gov](https://www.grants.gov). To ensure you are using the correct Application Package and Application Instructions, you must verify that the CFDA Number and CFDA Description on the first page of the Application Package, and the Opportunity Title and the Funding Opportunity Number match the Program and NOFA to which you are applying.

The Application Package contains the Adobe forms created by Grants.gov. The Instruction download contains official copies of the General Section and Program NOFA, and forms necessary for a complete application. The Instruction download may include Microsoft Word, Microsoft Excel and additional Adobe Portable Document Format documents.

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

Tremayne Youmans  
Email: [ROSS-PIH@hud.gov](mailto:ROSS-PIH@hud.gov)  
HUD  
Office of Public Housing Investments  
451 7th Street, SW  
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. You must verify that boxes 11, 12, and 13 on the SF-424 match the NOFA for which you are applying. If they do not match, you have downloaded the wrong Application Instruction and Application Package.

Submission of an application under the wrong CFDA and Funding Opportunity Number is not a curable deficiency and will result in your application being declared ineligible for funding.

### **1. Content.**

Forms for your package include the forms outlined below:

<b>Forms / Assurances / Certifications</b>	<b>Submission Requirement</b>	<b>Notes / Description</b>
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SF-424 - Application for Federal Assistance.	Required. Electronic	Please see section IV.B.1.a for more information. Errors on this form will be treated as a curable deficiency.
HUD-52768 - ROSS-SC Application.	Required. Electronic	If this form is missing, or key information is missing from the form, it cannot be requested by HUD during the deficiency or "cure" period.
See HUD-52755 - Contract Administrator Partnership Agreement	Required.	This is a noncurable deficiency for all Resident Associations and PHAS-troubled PHAs. If the form is missing, or key information is missing from the form, it cannot be requested by HUD during the deficiency or "cure" period.
HUD-52753 - Certification of Resident Council Board of Election	Required.	For RA applicants and non-profit applicants supported by an RA only. One certification is required from each RA applying or submitting a letter of support to a non-profit applicant. If RA applicants are submitting a joint application, one is needed for each RA applying. HUD may contact an applicant to clarify any items on this form, and will be treated as a curable deficiency.
Conducting Business in Accordance with Ethical Standards/Code of Conduct	Required, if applicable	
HUD-52752 - Certification of Consistency with Indian Housing Plan	Required for tribes/TDHE applicants.	The name of the program is "ROSS-Service Coordinators." HUD may contact an applicant to clarify any items on this form, and will be treated as a curable deficiency.
HUD-2991 - Certification of Consistency with	For all applicants except for tribes, TDHEs, and nonprofits serving	If more than one PHA is to be served, there must be one for each PHA. The HUD2991 must be signed by

the Consolidated Plan	tribes/TDHEs.	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. HUD may contact an applicant to clarify items on this form and will be treated as a curable deficiency.
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.
Acknowledgment of Application Receipt (HUD2993), if applicable	This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission.	This form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission.
SFLLL - Disclosure of Lobbying Activities	Required, if applicable. Electronic	Required only if your organization engages in lobbying activities. This requirement is not applicable to federally recognized tribes and their TDHEs. This item is a curable deficiency.

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

**a. Narrative Statement**, is required for all new applicants and high-risk designated tribes/TDHEs. Failure to submit a narrative statement is not curable and shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria is missing, it shall not be requested as part of the deficiency process. Applicants failing to submit a required narrative statement and/or missing key criteria shall be deemed ineligible for FY17 ROSS-SC funding. See section V.A.1 for more information on narrative statements.

**b. Letter(s) of Support from the PHA, tribe/TDHE, or RA,** is required if you are a non-profit organization applying to serve a PHA, tribe/TDHE, or RA. If support letters are missing, they shall not be requested by HUD during the deficiency or "cure" period. Similarly, if key criteria is missing from the letter(s), it shall not be requested as part of the deficiency process. Applicants failing to submit required letters of support and/or missing key criteria shall be deemed ineligible for FY17 ROSS-SC funding.

**c. Letter Granting Non-profit (tax exempt) Status and Copy of the 2016 annual information return.** All new applicants that are either a Resident Association and/or Non-profit Organization must submit a copy of their 2016 federal annual information return submitted to the IRS (for 501(c)(3) applicants (<https://www.irs.gov/Charities-&-Non-Profits/Annual-Reporting-&-Filing-1>)) or the state or tribal equivalent (for locally incorporated nonprofits). If this documentation is missing from your application, it cannot be requested as part of the deficiency process. If you are a renewal applicant, you must certify on the HUD-52768 that your non-profit status is current and in good standing. Resident Associations and non-profit organizations that do not have a current non-profit status by the application deadline will be deemed ineligible for ROSS-SC funding.

## **2. Format and Form.**

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

**a. General.** Please note that the application consists of the "application download" and the "instructions download." Forms referred to as "electronic" are part of the application download in Grants.gov, and forms referred to as "attachments" are part of the instructions download in Grants.gov. Use only the forms included in Grants.gov application download and instructions download for this funding opportunity to avoid using outdated forms. All narratives and forms requiring a signature that are not Grants.gov electronic forms must be *signed*, scanned, and attached to your Grants.gov application submission. *Narrative statements must be no more than ten pages, double-spaced, with one inch margins and 12-point Times New Roman font.*

### **b. SF- 424**

Questions 2. - Renewal applicants should select the "continuation" box and "type of application." New applicants should select "new."

Question 5a. - The Federal identifier in 5a. is the PHA number of each applicant (e.g MD035 or AK002).

Question 5b. - If you are a renewal applicant, you will insert the grant number on the grant agreement/100 from your last grant (e.g., AZ004RPS008A006) If you are a new applicant, you will leave this blank.

Question 8.d - When entering the applicant zip code, enter the 9-digit zip code.

Questions 10, 11, 12 and 13 are pre-populated. Do not add anything or change anything.

Question 14 - You should identify the city or State affected by the program. You do not need to attach anything additional.

Question 15 - You may choose your title. However, we suggest using the name of the applicant plus ROSS (e.g. "Anytown PHA - ROSS-SC.")

Question 16 - If the location of the applicant's office and the location of the housing that you will be serving is within the same Congressional District, you should include the same answer for both parts.

Question 17 - Most applicants should indicate the period of performance dates, March 1, 2018 - February 28, 2021 (However, this is an estimate and the actual dates will be determined by the grant agreement).

Question 18- Complete 18a which is the amount you are requesting from HUD in this FY17 ROSS application. 18b is the match. 18g is the total and will populate automatically.

Question 19 - Select c. The Program is not covered by E.O. 12372.

Question 21 - The Authorized Representative listed on the SF-424 of your application should be the Executive Director of your organization, or some other designated official of your organization who is authorized to make contractual agreements on behalf of your agency. This person should review and sign the grant application before it is submitted.

*NOTE: Do not add attachments to the SF424. Use the Attachments form in the electronic application (HUD-52768) to submit attachments.*

**c. HUD- 52768.** This year, the HUD-52768 form, like the SF 424 will be completed electronically.

For Part II of the HUD-52768, 2nd column, "Project(s) to be Served": Those proposing to serve PHAs should list the Name AND 11-digit Project Number as identified in PIC of each project to be served by each ROSS-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 non-profit applicants should consult their PHAs regarding project names and numbers.

Part III of this form has been added for applicants to enter salary comparability information. You only need to complete Part III of this form as submission of the salary comparability information. Do not submit any other documentation to show salary comparability. Applicants must base their ROSS-SC salary request (including fringe) on salaries for similar professions in their local area. Similar positions are those whose responsibilities are similar to the responsibilities of an ROSS-SC. Examples include, but are not limited to: community and social service specialists, community outreach specialist, resident services coordinators, etc. The information must be based on 2015 or 2016 data.

If applicable, an applicant may use the wages it pays its own workers in similar positions as one of the comparable salaries it provides. The online resource, CareerOneStop salary finder (<http://www.careeronestop.org/toolkit/wages/find-salary.aspx>), may be used as the basis for only one of the comparable salaries. **We highly encourage all applicants to use CareerOneStop as one of their comparable salary submissions.** If using CareerOneStop, please use "community and social service specialist" as the job title to find salary comparability information. Applicants may also seek assistance from its local Workforce Investment Board

(WIB) in completing the salary comparability information. Applicants located in remote areas, such as tribes, that are unable to find reliable salary comparability information for such areas, may use the comparability information from nearby metropolitan areas. CareerOneStop.org does not include fringe benefits. If you choose to use CareerOneStop or any other online source that does not include fringe benefits, you will need to use another source (other than the two additional sources of salary comparability information) for fringe benefits. In such cases, include both sources in the “source” box and include the information for the Point of Contact (POC) for that second source, if the second source is not online.

The POC information (name, email, and telephone) may remain blank only if the applicant is using CareerOneStop or any other online source as the basis for one of the comparable salaries and fringe. The POC information must be completed in all other cases.

**A proposed salary request will be considered comparable if it does not exceed the average of the three salaries submitted for comparability purposes by more than 10%. Salaries requested that are not supported by salary comparability submissions, as noted above, are subject to reductions (including denial of an award) without further notice to eligible applicants prior to the award announcement.**

Also see Section III.C.3.d for completing the Part IV (Match) on the HUD-52768. When completing this form, please make sure you attach all forms that are applicable to you.

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

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

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

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

Applicants must provide a valid DUNS number, registered and active at SAM, in the application. DUNS numbers may be obtained for free from [Dun and Bradstreet](#).

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

Anyone planning to submit grant applications on behalf of an organization must register at Grants.gov and be approved by the EBiz Point of Contact in SAM to submit applications for the organization.

Registration for SAM and Grants.gov is a multi-step process and can take four (4) weeks or longer to complete if data issues arise. Applicants without a valid registration cannot submit an application through Grants.gov. Complete registration instructions and guidance are provided at [Grants.gov](#). See also Section IV.B for necessary form and content information.

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

The application deadline is 11:59:59 p.m. Eastern time on **10/23/2017**. Applications must be received no later than the deadline.

Submit your application to [Grants.gov](http://Grants.gov) unless a waiver has been issued allowing you to submit your application in paper form. Instructions for submitting your application to [Grants.gov](http://Grants.gov) are contained in the Application Package you downloaded from [Grants.gov](http://Grants.gov). Instructions for submitting your paper application will be contained in the waiver of electronic submission.

Applications under HUD's Continuum of Care (CoC) grant program are an exception to the submission requirements detailed in the previous paragraph. Applications for that grant program are submitted through HUD's e-snaps system.

“Received by [Grants.gov](http://Grants.gov)” means the applicant received a confirmation of receipt and an application tracking number from [Grants.gov](http://Grants.gov). [Grants.gov](http://Grants.gov) assigns an application tracking number and date- and time-stamps each application upon successful receipt by the [Grants.gov](http://Grants.gov) system. A submission attempt that does not result in confirmation of receipt and an application tracking number is not considered received by [Grants.gov](http://Grants.gov).

Applications received by Grants.gov must be validated by [Grants.gov](http://Grants.gov) in order to be received by HUD. “Validated by Grants.gov” means the application has been accepted and was not rejected with errors. You can track the status of your application by logging into Grants.gov, selecting “Applicants” from the top navigation, and selecting “Track my application” from the dropdown list. If the application status is “rejected with errors,” you must correct the error(s) and resubmit the application before the 24-hour grace period ends. Applications in “rejected with errors” status after the 24-hour grace period expires will not be received by HUD. Visit Grants.gov for a complete description of processing steps after submitting an application. To quickly check the status of your application:

- Go to [www.grants.gov](http://www.grants.gov).
- Under the APPLICANTS tab on the Home page header, select [Track My Application](#).
- In the text box provided, enter your Grants.gov application tracking number and click on the red Submit Application Tracking Numbers button. If the status is rejected with errors, you can get more information by logging in to Grants.gov with the username and password for the AOR account used to submit the application.

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

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

- Go to [www.grants.gov](http://www.grants.gov).
- On the top, right corner, click on the LOGIN link.
- Under the APPLICANT tab, enter the username and password for the AOR account used to submit the application and click on the LOGIN button.
- If your organization has Standard AOR Access Level, please click on the CHECK MY APPLICATION STATUS link on the left. If your organization has Expanded AOR Access Level, please click on the CHECK APPLICATION STATUS FOR ORGANIZATION link.
- Select SEARCH BY: ALL and click on the SEARCH button.
- Click on the submission you wish to download to highlight it.
- Click on the DOWNLOAD APPLICATION button.
- You will be prompted to OPEN or SAVE a ZIP file. Click on the button for the option of your choice.

Please make note of the associated tracking number as it will be referenced by the Grants.gov Help Desk. Make note of the ticket number in case you need help from grants.gov.

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

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

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

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

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

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

Before the submission deadline, you may amend an application that has been validated by Grants.gov by resubmitting a revised application containing the new or changed material. The resubmitted application must be received and validated by grants.gov by the applicable deadline. If HUD receives an original and a revised application for a single proposal, HUD will evaluate only the last submission received by Grants.gov before the deadline.

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

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

## **3. Late Applications.**

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

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

Except as provided by the electronic submission grace period described in this NOFA, HUD may not consider any information that applicants may want to provide after the application deadline. HUD may not seek or consider clarification of application items or responses that improve the substantive quality of an application or which correct deficiencies which are in whole or part of a rating factor, including items that impact preference 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 where there are curable deficiencies, HUD will uniformly notify applicants of each curable deficiency. A curable deficiency is an error or oversight which, if corrected, would not alter, in a positive or negative fashion, the review and rating of the application. Examples of curable (correctable) deficiencies include inconsistencies in the funding request, failure to submit the proper certifications, and failure to submit an application that contains a signature by an official able to make a legally binding commitment on behalf of the applicant. These examples are non-exhaustive.

When HUD identifies a curable deficiency, HUD will notify the authorized representative in item 21 of the SF-424 describing the curable deficiency. The email notifications are the official notification of the need to cure a curable deficiency. Each applicant must provide accurate email addresses for receipt of these notifications and must monitor their email accounts to determine whether a deficiency notification has been received. The applicant must carefully review the request for cure of a curable deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Applicants must email corrections of curable deficiencies to [applicationsupport@hud.gov](mailto:applicationsupport@hud.gov) within the time limits specified in the notification. The time allowed to correct deficiencies will not 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 sent from HUD (or GrantSolutions). 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 business day that HUD Headquarters offices in Washington, DC are open.



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

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

### **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. Grant awards may support up to three coordinators depending on size and type of applicant. Applicants may only request \$70,000 if comparable professions in their area support this salary level and if the salary comparability information on the HUD-52768 meets the requirements stated in IV.B.(1)(c) of this NOFA. Applicants may propose a part-time coordinator at a lesser salary. However, part-time coordinators must still serve the minimum number of units (50). More than one person may job-share each position. Grantees are expected to pay their Service Coordinator the amount funded for salaries and fringe benefits. Funds for the salaries of the ROSS-SCs may not be used to supplement salaries of other grantee staff members.

**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 a Family Self-Sufficiency (FSS) coordinator for the Housing Choice Voucher FSS, Public Housing 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 determines that funds have been used for ineligible activities, the grantee will be required to repay those funds, and the remaining grant funds may be recaptured.

d. ROSS funds cannot be used to hire or pay for the services of a Contract Administrator.

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

**Indirect Cost Rate.**

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

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

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

### **1. 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 must enroll an email address at the application download page to 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 References**

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

## **V. Application Review Information.**

### **A. Review Criteria.**

#### **1. Rating Factors.**

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

**A. Renewal Applicants.** In order to be eligible for funding, renewal applicants will have to meet the rating factor requirements contained in this section. So that HUD may evaluate the past performance of renewal applicants, HUD will review materials submitted with the application. HUD will also review the FY14 Logic Model and annual reporting materials submitted to HUD 30 days after the anniversary date of the start of the FY14 grant term to determine whether the criteria outlined in sub-factors (1) -(2) below have been met.

1. Achievement of at least 50% of services and outcomes. Applicants that have not achieved at least 50% of the services and outcomes goals contained in the FY14 Logic Model fail this sub-factor. HUD will base its calculations on the cumulative total for the years the grantee has completed.

2. Submission of Annual Reports. Annual reporting (yearly Logic Model and SF-425 financial statements) is due 30 days after the anniversary date of the start of the FY14 grant term. Applicants who have not submitted the required reports for their FY14 ROSS program fail this sub-factor.

**Note:** Applicants who fail both of the sub-factors outlined in sub-factors (1) – (2) will fail the rating factor eligibility requirement and will not be eligible for funding.

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

**B. New Applicants.** In order to be eligible for funding, new applicants will have to meet the rating factor requirements contained in this section. All applicants applying for new funding must submit a narrative statement of no longer than 10 pages addressing relevant experience and capacity outlined below. HUD will evaluate information provided by applicants. If a new applicant has had previous Public & Indian Housing or other HUD awards, the review will also take into account their past performance on these awards and whether the applicant adhered to grant and reporting requirements. This rating factor will be conducted on a Pass/Fail Basis.

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

The narrative must:

1. Describe experience and capacity to conduct the AFFH activities that include, but are not limited to the following:

- Ensure that each participant 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.
- Ensure that each participant is instructed on how to file a fair housing complaint (<https://www.hud.gov/affh>)

[://portal.hud.gov/hudportal/HUD?src=/topics/housing\\_discrimination](https://portal.hud.gov/hudportal/HUD?src=/topics/housing_discrimination)) and given the toll-free number for the Housing Discrimination Hotline: 800-669-9777.

- 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.
- Make available to all participants information on housing opportunities available throughout the region which will provide them with greater opportunities for employment, job training, highly ranked schools and varied cultural amenities, and how to access such opportunities through support organizations in the area.
- Seek out fair housing training that will assist the coordinator in fulfilling fair housing responsibilities. Fair housing training may be available through the local Fair Housing Initiatives Program (FHIP) agency or the Fair Housing Assistance Program (FHAP) agency. A listing of FHAPs can be found at [https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/fair\\_housing\\_equal\\_opportunities/partners/FHAP/agencies](https://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opportunities/partners/FHAP/agencies)”

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

3. Describe experience with providing supportive services to public housing and/or low income residents within the past 5 years.

4. Provide relevant experience and capacity to collect data on grant programs within the past 5 years.

5. Describe achievements of coordinating services for public housing or low income residents including coordinating employment related services, educational services, and health related services within the past 5 years.

**NOTE:** Applicants who fail one of the above evaluation criteria will fail this eligibility requirement and will not be eligible for ROSS funding.

Maximum Points: 0

## 2. Preference Points.

Preference points are not available for this program.

## B. Review and Selection Process.

### 1. Past Performance

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

- a. The ability to account for funds appropriately;
- b. Timely use of funds received from HUD;

- c. Timely submission and quality of reports submitted to HUD;
- d. Meeting program requirements;
- e. Meeting performance targets as established in the grant agreement;
- f. The applicant's organizational capacity, including staffing structures and capabilities;
- g. Time-lines for completion of activities and receipt of promised matching or leveraged funds; and
- h. The number of persons to be served or targeted for assistance.

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 or otherwise used in the determination of award amounts. Whenever possible, HUD will obtain past performance information from staff with the greatest knowledge and understanding of each applicant's performance. If this evaluation results in an adverse finding related to integrity or performance, HUD reserves the right to take any of the remedies provided in Section III.C.2.b.(5), Pre-selection Review of Performance, above.

## 2. Assessing Applicant Risk

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

**3. Reviews:** Applications are reviewed by HUD to determine if they are technically adequate based on the NOFA requirements. 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 are reminded that if they want 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 renewal applicants with FY14 ROSS grants will be funded using a lottery system (see chart below).

c. **New/Other Applicants.** After the RA 25% set-aside and renewal categories are funded, remaining qualified applicants that are new/other applicants 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 Association (RA) Set-Aside</b>
	<b>If RA applications exceed the 25% set-aside funding, 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 read the FY2017 **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 FY2017 **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 7 calendar days of the date of the HUD email notification. HUD will use, as the start of the cure period, the date stamp on the email that HUD sends to the applicant. (If the deficiency cure deadline date falls on a Saturday, Sunday, or federal holiday, then the applicant’s correction must be received by HUD on the next day that is not a Saturday, Sunday, or federal holiday.) For more information on the procedures to correct a deficient application, including how to email or fax information required to resolve the deficiency, please see **Section VI.B.7**. “Corrections to Deficient Applications” in the FY2017 **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 December 2017.

## **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 to the person listed as the AOR in item 21 of the SF-424.

**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., Room 3166, 3rd Floor, Washington, DC 20410.

**3. Appeals.** If an applicant wish to appeal the determination on their application, in accordance with the Office of Public and Indian Housing's policy, the applicant must submit a request within 30 calendar days of the date on the award/ineligible letter. The applicant's request must include the basis for the appeal and must be sent via email to Cedric A. Brown, Director, Grants Management Center, at [cedric.a.brown@hud.gov](mailto:cedric.a.brown@hud.gov). In the event that HUD committed an error that would result in funding when corrected, HUD may issue an award, subject to the availability of funds.

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

For this NOFA, the following requirements apply:

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

Consistent with Executive Order (E.O.) 13279, "Equal Protection of the Laws for Faith-Based and Community Organizations," as amended by E.O. 13559, "Fundamental Principles and Policy-making Criteria for Partnerships with Faith-Based and Other Neighborhood Organizations," faith-based organizations are eligible to participate in HUD's programs and activities on the same basis as any other organization.

HUD's regulations on the equal participation of faith-based organizations are at 24 CFR 5.109. On April 4, 2016, HUD amended 24 CFR 5.109 consistent with E.O. 13559. (See 81 FR 19355). These regulations apply to all HUD programs and activities, including all of HUD's Native American Programs, except as may be otherwise provided in the respective program regulations,



or unless inconsistent with the respective program authorizing statute. These regulations provide, among other things, that a faith-based organization that participates in a HUD-funded program or activity retains its independence, and may continue to carry out its mission provided that it does not use direct Federal financial assistance to support or engage in any explicitly religious activities; an organization that engages in explicitly religious activities must separate those activities, in time or location, from activities supported by direct Federal financial assistance and participation must be voluntary; a faith-based organization that carries out programs or activities with direct Federal financial assistance from HUD must provide beneficiaries and prospective beneficiaries with a written notice of certain protections; beneficiaries and prospective beneficiaries may object to the religious character of an organization, upon which the organization must undertake reasonable efforts to identify and refer the beneficiary or prospective beneficiary to an alternative provider; and an organization that receives Federal financial assistance under a HUD program or activity may not discriminate against a beneficiary or prospective beneficiary on the basis of religion, religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice. (See 24 CFR 5.109).

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

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

Recipients and subrecipients receiving 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:

- 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.
- Establish an ongoing drug-free awareness program to inform employees about:
  - The dangers of drug abuse in the workplace;
  - The applicant's policy of maintaining a drug-free workplace;
  - Available drug counseling, rehabilitation, or employee assistance programs; and
  - The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- 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:
  - The program title and award number for each HUD award covered;
  - The HUD staff contact name, telephone and fax numbers;
  - A grantee contact name, telephone and fax numbers; and
  - The convicted employee's position and title.
- 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:
  - 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
  - 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.
- 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:
  - At the time of application or upon award; or
  - 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. Recipients must 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.

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

### **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.

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

**1. Reporting Requirements and Frequency of Reporting.** This Program NOFA and award agreement will specify the reporting requirements, including content, method of data collection, and reporting frequency. Applicants should be aware that if the total Federal share of your Federal award may include more than \$ 500,000 over the period of performance, you may be subject to post award reporting requirements reflected in Appendix XII to Part 200--Award Term and Condition for Recipient Integrity and Performance Matters.

**2. Race, Ethnicity and Other Data Reporting.** HUD requires recipients that provide HUD-funded program benefits to individuals or families to report data on the race, color, religion, sex, national origin, age, handicap (disability), and family characteristics of persons and households who are applicants for, participants in, or beneficiaries or potential beneficiaries of HUD programs in order to carry out the Department's responsibilities under the Fair Housing Act, Executive Order 11063, Title VI of the Civil Rights Act of 1964, and Section 562 of the Housing and Community Development Act of 1987. Program NOFAs may specify the data collection and reporting requirements. Many programs use the Race and Ethnic Data U.S. Department of Housing OMB Approval No. 2535-0113 Reporting Form HUD-27061.

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

**4. 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 significant 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 submission of data in reporting tool specified by HUD showing achievements.

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.

### 5. 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 data report showing achievements to date through the 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 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.

**6. 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 of Section 3 outcomes using form HUD 60002 via the Section 3 Performance Evaluation and Registry System (SPEARS). Additional information can be found at [https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/fair\\_housing\\_equal\\_opp/section3/section3/spears](https://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/section3/section3/spears)

Please direct questions regarding specific reporting requirements to the point of contact listed in Section VII. Agency Contact(s), 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 funding was approved 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.

Tremayne Youmans  
[ROSS-PIH@hud.gov](mailto:ROSS-PIH@hud.gov)

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

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

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

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

**National Environmental Policy Act.**

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

<b>Applicant type</b>	<b>Number of SCs</b>	<b>Number of Applications</b>	<b>Notes</b>
PHAs	Up to 3, depending on the number of occupied ACC units in their inventory as of the application deadline	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 the	1, either under the new or renewal category	

	application deadline		
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>
Non site-based RAs (i.e., city-wide, intermediary, jurisdiction-wide, state-wide, and national) <b>applying under the 25% RA set aside</b>	1	1	<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>
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>	Up to 3 per application for a maximum of 9.	Up to 3 total. Applications may be submitted under both renewal and new categories for a total of 3 applications.	<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</li> </ul>

			<p>FY14.</p> <ul style="list-style-type: none"> <li>All RA applicants must submit a CAPA.</li> </ul>
Tax-exempt applicants with 501(c)(3) status	Up to 3 per application for a maximum of 9.	Up to 3 total. Applications may be submitted under both renewal and new categories for a total of 3 applications.	<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 FY14.</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 minimum number of units (50) to be served) for a total of not more than three SCs per PHA.</li> <li>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</li> </ul>



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