

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**RESIDENT OPPORTUNITY AND  
SELF-SUFFICIENCY (ROSS)  
PROGRAM**



## FUNDING AVAILABILITY FOR PUBLIC HOUSING RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY (ROSS) PROGRAM

### Program Overview

**Purpose of Program.** The purpose of the Public Housing Resident Opportunities and Self Sufficiency (ROSS) Program is to link services to public housing residents by providing grants for supportive services, resident empowerment activities and activities to assist residents in becoming economically self-sufficient.

**Available Funds.** Approximately \$55 million.

**Eligible Applicants.** Public Housing Agencies (PHAs), resident management corporations, resident councils, resident organizations, Intermediary Resident Organizations (IROs), City-Wide Resident Organizations (CWROs) and nonprofit entities supported by residents.

**Application Deadline.** **June 15, 2000**, for Resident Management and Business Development; **May 9, 2000**, for Capacity Building or Conflict Resolution; **May 9, 2000**, for Resident Service Delivery Models; and After publication of this SuperNOFA grant renewals will be accepted until all funds are awarded for Service Coordinators.

**Match.** At least 25% of the grant amount. This match does not have to be a cash match. The match can be in-kind and/or cash contributions.

### Additional Information

If you are interested in applying for funding under any of these programs, please review carefully the **General Section** of this SuperNOFA and the following additional information.

#### I. Application Due Date, Application Kits, Further Information and Technical Assistance.

**Application Due Date.** Your completed application (one original and two copies) is due on or before 12:00 midnight, Eastern time, on the following application due dates to HUD Headquarters at the address shown below.

**June 15, 2000**, for Resident Management and Business Development; **May 9, 2000**, for Capacity Building or Conflict Resolution; **May 9, 2000**, for Resident Service Delivery Models; and

After publication of this SuperNOFA, grant renewals will be accepted until all funds are awarded for Service Coordinators.

See the **General Section** of this SuperNOFA for specific procedures governing the form of application

submission (e.g., mail application, express mail, overnight delivery, or hand-carried).

**Address for Submitting Applications.** Submit your completed application (the original and one copy) to Grants Management Center (GMC), 501 School Street, SW, Suite 800, Washington, DC 20024.

Submit your second copy of your application to the local HUD Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public Housing. See Appendix A of the SuperNOFA for a list of HUD offices with delegated responsibility. The original application and one copy must be sent to the GMC. You may also call the SuperNOFA Information Center at 1-800-HUD-8929 if you have a question regarding where you should submit your application. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209.

On the application due date, hand carried applications will be accepted until 12:00 midnight in the South Lobby at HUD Headquarters, 451 Seventh Street, SW, Washington DC 20410.

**For Application Kits.** For an application kit and any supplemental material, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the ROSS Program, and provide your name, address (including zip code) and telephone number (including area code). An application kit is also available on the Internet through the HUD web site at <http://www.hud.gov>.

**For Further Information and Technical Assistance.** You may contact the local HUD field office where you will be submitting your application or you may call the Public and Indian Housing Information and Resource Center at 1-800-955-2232.

**Satellite Broadcast.** HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov>.

#### II. Amount Allocated

(A) **Total Amount.** For FY 2000, approximately \$55 million is available for the Resident Opportunities and Self Sufficiency Program.

(B) **Allocation.** To the extent that there are a sufficient number of qualified applications, not less than 25 percent of funds available for ROSS shall be

provided directly to resident councils, resident organizations, resident management corporations, Intermediary Resident Organizations (IROs), and City-Wide Resident Organizations (CWROs). This requirement will be implemented by the awards made to resident organizations for the Technical Assistance/Training Support for Resident Organizations and the Resident Service Delivery Models funding categories.

(C) **Funding Categories and Funds Allocated to Each Category.** There are three funding categories under ROSS. The funding categories and the amount allocated for each funding category and any subcategories are as follows:

(1) **Technical Assistance/Training Support for Resident Organizations.** A total of \$11 million is allocated for this first funding category.

(a) **Resident Management and Business Development (RMBD).** A total of \$6 million is allocated for this funding subcategory.

(i) Grants will be made directly to resident organizations to: increase resident involvement and participation in their housing developments; develop resident management opportunities; provide resident-led business or cooperative development opportunities; and obtain necessary supportive services for self-sufficiency.

(ii) The maximum grant award for this funding category is \$100,000 per applicant.

(b) **Capacity Building or Conflict Resolution (CB/CR).** A total of \$5 million is allocated for this funding subcategory. These are two separate funding categories that are described below:

(i) **Capacity Building (CB).** Grants to Intermediary Resident Organizations (IROs) for assistance to site-based resident associations who do not yet have the capacity to administer a welfare-to-work program or conduct management activities and non-profits which operate associations and networks that administer programs benefiting resident organizations. You may apply for funding that will be used to assist public housing residents in establishing a new resident organization or you may apply for funds to help or enhance the capacity of existing resident organizations to enable residents to participate in housing agency decision-making, manage all or a portion of their housing developments, and/or apply for and administer grants.

(ii) **Conflict Resolution (CR).** This funding category is designed to provide grants to Intermediary Resident Organizations (IROs) and non-profits which operate associations and

networks administering programs that benefit public housing residents, or resident organizations, and to partner with professional mediators or groups with grass roots intervention experience to resolve conflicts involving public housing residents, and/or site-based resident associations. (See Section IV of this ROSS competition for specific requirements for this funding category).

(iii) The maximum amounts for CB/CR are as follows: \$100,000 for City-Wide Resident Organizations (CWROs) per applicant, and \$240,000 per applicant for all other eligible applicants in these funding categories. Applicants are required to allocate two-thirds of the total grant to direct funding of CB or CR activities for Site-Based Resident Associations (RAs). CWROs are required to serve a minimum of 3 RAs. All other applicants are required to serve a minimum of 10 RAs.

(2) *Resident Service Delivery Models (RSDM)*. A total of \$24 million is allocated for this second category of funding.

(i) The Resident Service Delivery Models (RSDM) funding category provides grants to Public Housing Agencies (PHAs), or directly to resident management corporations, resident councils, or resident organizations, and nonprofit entities supported by residents. There are two sub-categories of grants under this funding category: Family—Grants for program-related activities and supportive services to establish and implement comprehensive programs that achieve resident self-sufficiency for families; and Elderly and Disabled—Grants for independent living for the elderly and persons with disabilities.

(iii) For RSDM, the maximum grant awards are as follows:

(A) For PHAs, the maximum grant application award will be based on the number of occupied units for family or the elderly and persons with disabilities, as applicable. For the RSDM category, PHAs must use the number of occupied units to determine the maximum grant amount in accordance with the categories listed below for families:

- For PHAs with 1 to 780 occupied family units, the maximum grant award is \$150,000.
- For PHAs with 781 to 7,300 occupied family units, the maximum grant award is \$500,000.
- For PHAs with 7,301 or more occupied family units, the maximum grant award is \$1,000,000.

(B) For Elderly and Disabled RSDM grants, PHAs may apply for the below listed maximums:

—For 1 to 217 units occupied by elderly residents or persons with disabilities, the maximum grant award is \$54,250.

—For 218 to 1,155 units occupied by elderly residents or persons with disabilities, the maximum grant award is \$200,000.

—For 1,156 or more units occupied by elderly residents or persons with disabilities, the maximum grant award is \$300,000.

(C) The maximum grant award for RAs is \$100,000.

(D) Nonprofit entities supported by residents or RAs are limited to \$100,000 for each RA. A non-profit may submit a single application for no more than three different RAs for a maximum grant award of \$300,000.

(3) *Service Coordinator Renewals*. A total of \$20 million is allocated for this third funding category.

(i) The Service Coordinator Renewal category provides grants to PHAs to address the needs of public housing residents who are elderly and disabled persons. Service coordinators help residents obtain supportive services that are needed to maintain independent living. Only renewals of prior FY 1995 Public Housing Elderly and Disabled Service Coordinator grants will be funded under this ROSS competition; no applications for new Service Coordinator grants will be accepted.

(ii) These funds may only be used as follows:

—Renewal of existing Service Coordinator (SC) grants from prior years. This limitation is imposed to achieve Congressional intent to renew all service coordinator and congregate services grants. No applications for new elderly Service Coordinator grants will be accepted under this funding category.

—For the Elderly and Persons with Disabilities Service Coordinators category, award amounts cannot be higher than your highest funding and staffing level for any one-year period that was approved for their last funded Service Coordinator Grant. An increase of up to 2 percent over this amount will be allowed if supported by a narrative justification.

(iii) The application period for SC renewals is open until all funds are awarded.

(D) *Transfer of Funds*. If all funds are not awarded in one funding category, funds are transferable to other ROSS funding categories in this competition.

(E) *Number of Applications Permitted*. You may submit no more than one application under this ROSS competition. The only exception is that PHAs applying for Service Coordinator

Renewal grants under this program section of the SuperNOFA may apply for one renewal grant and one additional grant in another category. A PHA and one of its RAs may not both submit an application to serve the same development. Please read each funding category carefully for additional limitations.

### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description*. The purpose of ROSS is to assist residents to become economically self sufficient by providing supportive services and resident empowerment activities. This program is consistent with the Department's goal to most effectively focus resources on "welfare to work" and on independent living for the elderly and persons with disabilities. HUD is looking for applications which implement practical solutions within the grant term, and result in improved economic self-sufficiency for public housing residents. HUD seeks holistic solutions that involve the support of the entire community in providing self sufficiency opportunities for residents. Therefore, HUD encourages you to involve elderly and disabled residents in activities which support self sufficiency, such as child care, mentoring, or after school care. This philosophy should be reflected in your proposed grant activities for all funding categories within this ROSS competition. A description of each of the funding categories was provided in Section II of this program section. This section describes the eligible applicants and eligible activities of each funding category.

(B) *Definitions*.

*City-Wide Resident Organization* consists of members from Resident Councils, Resident Management Corporations, and Resident Organizations who reside in housing developments that are owned and operated by the same PHA within a city.

*Community Facility* means a non-dwelling structure that provides space for multiple supportive services for the benefit of public housing residents and others eligible for the services provided. Services that may include but are not limited to:

- (1) Child care;
- (2) After-school activities for youth;
- (3) Job training;
- (4) Twenty/20 Education Communities (TECs) (formerly Campus of Learners) activities; and
- (5) English as a Second Language (ESL) classes.

*Contract Administrator* means an overall administrator and/or a financial

management agent that oversees the financial aspects of a grant and assists in the entire implementation of the grant. A signed Contractor Administrator Partnership Agreement must be included in your application. This agreement may be contingent upon you receiving a grant award and adherence to PHA procurement policies. The contract administrator must assure that the financial management system and procurement procedures fully comply with 24 CFR part 84. The Contract Administrator may be: Local Housing Agencies; community-based organizations such as Community Development Corporations (CDC), churches; non-profits; State/Regional associations and organizations. Troubled PHAs are not eligible to be Contract Administrators.

*Firmly Committed* means there must be a written agreement to provide resources. This written agreement may be contingent upon receiving an award.

*Elderly person* means a person who is at least 62 years of age.

*Jurisdiction-Wide Resident Organization* means an incorporated nonprofit organization or association that meets the following requirements:

(1) Most of its activities are conducted within the jurisdiction of a single housing agency;

(2) There are no incorporated Resident Councils or Resident Management Corporations within the jurisdiction of the single housing agency;

(3) It has experience in providing start-up and capacity-building training to residents and resident organizations; and

(4) Public housing residents representing unincorporated Resident Councils within the jurisdiction of the single housing agency must comprise the majority of the board of directors.

*Intermediary Resident Organizations* means Jurisdiction-Wide Resident Organizations, City-Wide Resident Organizations, State-Wide Resident Organizations, Regional Resident Organizations, and National Resident Organizations.

*National Resident Organization (NRO)* means an incorporated nonprofit organization or association for public housing that meets each of the following requirements:

(1) It is national (i.e., conducts activities or provides services in at least two HUD Areas or two States);

(2) It has experience in providing start-up and capacity-building training to residents and resident organizations; and

(3) Public housing residents representing different geographical

locations in the country must comprise the majority of the board of directors.

*Person with disabilities* means an adult person who:

(1) Has a condition defined as a disability in section 223 of the Social Security Act;

(2) Has a developmental disability as defined in section 102 of the Developmental Disabilities Assistance Bill of Rights Act; or

(3) Is determined to have a physical, mental, or emotional impairment which:

(a) Is expected to be of long-continued and indefinite duration;

(b) Substantially impedes his or her ability to live independently; and

(c) Is of such a nature that such ability could be improved by more suitable housing conditions.

The term "person with disabilities" does not exclude persons who have the disease of acquired immunodeficiency syndrome or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome. 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 provided above for persons with disabilities is the proper definition for determining program qualifications. However, the definition of a person with disabilities contained in section 504 of the Rehabilitation Act of 1973 and its implementing regulations must be used for purposes of reasonable accommodations.

*Program Coordinator* is a person who is responsible for coordinating various proposed activities to ensure that their accomplishment will assist in achieving the overall grant goals and objectives.

*Project* is the same as "low-income housing project" as defined in section 3(b)(1) of the United States Housing Act of 1937 (42 U.S.C. 1437 *et seq.*) (1937 Act).

*Resident Association (RA)* means any or all of the forms of resident organizations as they are defined elsewhere in this Definitions section and includes Resident Councils (RC), Resident Management Corporations (RMC), Regional Resident Organizations (RRO), Statewide Resident Organizations (SRO), Jurisdiction-Wide Resident Organizations, and National Resident Organizations (NRO).

*Resident Council (RC)* means (as provided in 24 CFR 964.115) an incorporated or unincorporated nonprofit organization or association that shall consist of persons residing in public housing and must meet each of the following requirements in order to receive official recognition from the

PHA/HUD, and be eligible to receive funds for RC activities and stipends for officers for their related costs for volunteer work in public housing. (Although 24 CFR part 964 defines an RC as an incorporated or unincorporated nonprofit organization, HUD requires RC applicants for ROSS grants to be registered with the State at the time of application submission.) The following also applies to resident councils:

(1) The RMC must adopt written procedures such as by-laws, or a constitution which provides for the election of residents to the governing board by the voting membership of the public housing residents. The elections must be held on a regular basis, but at least once every 3 years. The written procedures must provide for the recall of the resident board by the voting membership. These provisions shall allow for a petition or other expression of the voting membership's desire for a recall election, and set the percentage of voting membership which must be in agreement in order to hold a recall election. This threshold shall not be less than 10 percent of the voting membership.

(2) The RMC must have a democratically elected governing board that is elected by the voting membership. At a minimum, the governing board should consist of five elected board members. The voting membership must consist of heads of households (any age) and other residents at least 18 years of age or older and whose name appear on a lease for the unit in the public housing that the resident council represents.

(3) The RMC may represent residents residing in:

(a) Scattered site buildings in areas of contiguous row houses;

(b) One or more contiguous buildings;

(c) A development; or

(d) A combination of the buildings or developments described above.

*Regional Resident Organization (RRO)* means an incorporated nonprofit organization or association for public housing that meets each of the following requirements:

(1) The RRO is regional (i.e., not limited by HUD Areas);

(2) The RRO has experience in providing start-up and capacity-building training to residents and resident organizations; and

(3) Public housing residents representing different geographical locations in the region must comprise the majority of the board of directors.

*Resident Management Corporation (RMC)* (see 24 CFR 964.7, 964.120) means an entity that consists of

residents residing in public housing and must have each of the following characteristics in order to receive official recognition by the PHA and HUD:

(1) The RMC shall be a nonprofit organization that is validly incorporated under the laws of the State in which it is located;

(2) The RMC may be established by more than one RC, so long as each such council:

(a) Approves the establishment of the corporation; and

(b) Has representation on the Board of Directors of the corporation.

(3) The RMC shall have an elected Board of Directors, and elections must be held at least once every 3 years;

(4) The RMC's by-laws shall require the Board of Directors to; include resident representatives of each RC involved in establishing the corporation; include qualifications to run for office, frequency of elections, procedures for recall; and term limits if desired;

(5) The RMC's voting members shall be heads of households (any age) and other residents at least 18 years of age and whose name appears on the lease of a unit in public housing represented by the RMC;

(6) Where an RC already exists for the development, or a portion of the development, the RMC shall be approved by the RC board and a majority of the residents. If there is no RC, a majority of the residents of the public housing development it will represent must approve the establishment of such a corporation for the purposes of managing the project; and

(7) The RMC may serve as both the RMC and the RC, so long as the corporation meets the requirements of 24 CFR part 964 for an RC.

*Secretary* means the Secretary of Housing and Urban Development.

*Site-Based Resident Associations* means Resident Councils and Resident Management Corporations.

*Statewide Resident Organization (SRO)* means a Site-Based incorporated nonprofit organization or association for public housing that meets the following requirements:

(1) The SRO is Statewide;

(2) The SRO has experience in providing start-up and capacity-building training to residents and resident organizations; and

(3) Public housing residents representing different geographical locations in the State must comprise the majority of the Board of Directors.

(C) *Resident Management and Business Development (RMBD)*.

(1) *Eligible applicants*. Site-Based Resident Associations (RAs) and City-

Wide Resident Organizations (CWROs). If you are an RA that is a beneficiary or recipient of proposed grant activities by a CWRO, then you cannot also apply under this category. You may only submit one application under this funding category.

(2) *Eligible participants*. At least 75 percent of the persons participating and receiving benefits from RMBD activities must be residents of conventional public housing; any other persons (up to 25 percent per grantee) participating or receiving benefits from these programs must be recipients of Section 8 assistance. In addition, you must provide a certification that at least 51 percent of those served by your proposed activities are residents affected by welfare reform.

(3) *Eligible Activities*. Funding is limited to the following activities below:

(a) Training related to resident-owned business or cooperative development and technical assistance for job training and placement in housing developments;

(b) Technical assistance and training in resident managed business development through: feasibility and market studies; development of business plans; outreach activities; and innovative financing methods including revolving loan funds and the development of credit unions; and legal advice in establishing a resident-managed business entity or cooperative. Revolving loan funds can not be used for acquisition, disposition, or physical development.;

(c) Establishing and funding revolving loan funds. Revolving loan funds can not be used for acquisition, disposition, or physical development;

(d) Training residents, as potential employees of an RMC, in skills directly related to the operation, management, maintenance and financial systems of a development;

(e) Training residents with respect to fair housing requirements; and

(f) Gaining assistance in negotiating management contracts and designing a long-range planning system.

(g) Providing social support needs (such as self sufficiency and youth initiatives) including:

(h) Feasibility studies to determine training and social services needs;

(i) Training in management-related trade skills, computer skills, and similar skills;

(j) Management-related employment training and counseling including job search assistance, job development assistance, job placement assistance, and follow up assistance;

(k) Supportive services including: child care services; educational services,

remedial education, literacy training, ESL instruction, assistance in attaining a GED; vocational training including computer training; health care outreach and referral services; meal services for the elderly or persons with disabilities; personal assistance to maintain hygiene/appearance for the elderly or persons with disabilities; housekeeping assistance for the elderly or persons with disabilities; transportation services; congregate services for the elderly or persons with disabilities; and case management;

(l) Training for programs such as child care, early childhood development, parent involvement, volunteer services, parenting skills, before and after school programs;

(m) Training programs on health, nutrition, safety and substance abuse; Food costs that are directly attributable to the nutrition and health training are eligible grant expenditures. These are not food costs associated with entertainment.

(n) Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops can be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire, and Big Brother/Big Sisters;

(o) Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities;

(p) Physical improvements to facilities at public housing developments to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic improvements and repairs to space to conduct community activities; or to expand existing community space for your proposed ROSS activities. Your physical improvements may not exceed 50% of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments;

(i) Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare

architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.

(ii) The renovation, conversion, or combination of vacant dwelling units in a PHA development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvements.

(iii) The renovation of existing common areas in a PHA development to accommodate the provision of supportive services.

(iv) The renovation or repair of facilities located near the premises of one or more PHA developments to accommodate the provision of supportive services.

(v) If renovation, conversion, or repair is done off-site, the PHA or owner must provide documentation that it has control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation, or other appropriate documentation.

(vi) All renovations must meet appropriate accessibility requirements.

(q) Establishing and operating centers that use technology and telecommunications for job training, after-school youth programs and educational activities.

**(4) Ineligible Resident Management and Business Development Activities and Costs.**

(a) Entertainment, including associated costs such as food and beverages, except normal per diem for meals related to travel performed in connection with implementing the Work Plan. (See HUD Travel Notice 99-24 for more specific guidance.)

(b) Purchase or rental of land.

(c) Activities not directly related to the welfare-to-work initiatives (e.g., lead-based paint testing and abatement and operating capital for economic development activities).

(d) Purchase of any vehicle (car, van, bus, etc.).

(e) Payment of salaries for routine project operations, such as security and maintenance, or for applicant staff, except that a reasonable amount of grant funds may be used to hire a person to coordinate the Resident Management and Business Development grant activities or coordinate on-site social services.

(f) Payment of fees for lobbying services.

(g) Any expenditures that are fraudulent, wasteful or otherwise incurred contrary to HUD or OMB directives.

(h) Any cost otherwise eligible under this program section of the SuperNOFA for which funds are being provided from any other source.

(i) Entertainment equipment such as televisions, radios, stereos, and VCRs. An exception to this item may be granted by the HUD Field Office if funding is being utilized specifically for the purposes of establishing a business directly related to radio, television or film or some other form of technical communication, and equipment is being utilized for training of residents or RAs. All such exceptions must be authorized in writing by the HUD Field Office before purchases may be made.

(j) The cost of application preparation is not eligible.

(5) *Supporting Information.* The following information may be useful in developing proposed grant activities and costs:

(a) *Training.* Training activities may include training on HUD regulations and policies governing the operation of low-income public housing including contracting/procurement regulations; financial management; job and business development training; capacity building to develop the necessary skills to assume management responsibilities at the project and property management; and training in accessing other funding sources.

(b) *Hiring trainers or other experts.* Resident grantees must ensure that all training is provided by a qualified public housing or management specialist (Consultant/Trainer), HUD Headquarters, Field staff or the local PHA. To ensure the successful implementation of the grant Work Plan activities, you are required to determine the need to contract for outside consulting/training services. You and the PHA must jointly select and approve the consultant/trainer. Your application should make maximum use of your PHA, non profit, or other Federal, State, or local government resources for technical assistance and training needs. The amount allowed for hiring an individual consultant for this purpose shall not exceed 30% of your total grant amount or \$30,000, whichever is less. The amount available for all consultants and contracts should not exceed 50% of your grant amount or \$50,000 whichever is less. HUD Field Offices will monitor this process to ensure compliance with program and OMB requirements, and particularly the requirement for competitive bidding. Where it is necessary to exceed the 50% limitation you must use performance based contracting. Performance based contracts require that fees be paid in exchange for goods and services actually

delivered. For example, a trainer would be paid for the number of residents that were trained, *i.e.* performance, regardless of the maximum dollar amount quoted in the contract.

(c) *Stipends.* Trainees and program participants of an RA, or CWRO, may receive stipends for participating in or receiving training under Resident Management to cover reasonable costs related to participation in training and other activities in your program, subject to the availability of funds. The stipends should be used for additional costs incurred during the training programs, such as child care and transportation costs. The cost of stipends may not exceed \$200 per month per trainee without written HUD Field Office authorization.

(d) *Reimbursement of Reasonable Expenses.* Reimbursement of reasonable expenses incurred by Officers and Board members in the performance of their fiduciary duties and/or training related to the performance of their official duties.

(e) *Travel.* Travel directly related to the successful completion of your required Work Plan. You must adhere to the travel policy established by HUD Notice 99-24. This policy sets travel costs at a maximum amount of \$5,000 per RA without special HUD approval.

(f) *Child-Care Expenses.* Child care expenses for individual staff, board members, or residents in cases where those who need child care are involved in training-related activities associated with your grant activities.

(g) *Costs incurred by a RA in applying for 501(c) tax exempt status with Internal Revenue Service.* Please refer to the Internal Revenue Service (IRS) Publication 557, which describes the requirements for section 501(c) tax exempt organizations and list the applicable forms required.

(h) *Administrative costs.* These costs are necessary for the implementation of your grant activities. Administrative costs are not to exceed 20% of the grant. Appropriate administrative costs include, but are not limited to, the following reasonable costs or activities:

(i) *Space and equipment.* Maintenance, utility costs, postage, building lease/rental costs, purchase or lease of telephone, computer, printing, copying, and sundry non-dwelling equipment (such as office supplies, software, and furniture). You must justify the need for this equipment or space based on services being delivered in relationship to implementing your approved grant activities.

(ii) *Rental or lease of vehicles.* Rental or lease of a car, van, or bus by resident grantees to attend training;

(6) *Grant term.* The grant term for Resident Management and Business Development grants is thirty-six months from the execution date of your grant agreement.

(D) *Capacity Building or Conflict Resolution.*

(1) *Eligible applicants.* (a) Intermediary Resident Organizations (IROs) on behalf of public housing residents, which include Public Housing Site-Based Resident Councils and Resident Management Corporations may apply for Capacity Building and/or Conflict Resolution grants. IROs include National Resident Organizations, Statewide Resident Organizations, Regional Resident Organizations, City-Wide Resident Organizations, and Jurisdiction-Wide Resident Organizations.

(b) Eligible applicants cited above may submit either one application for conflict resolution or one application for capacity building under this funding category.

(c) Non-profits that operate as associations or networks that administer programs that benefit public housing resident organizations are also eligible for this funding category.

(2) *Eligible activities.* (a) *Conflict resolution.* Conflict resolution grant activities may include, but are not limited to:

(i) Establishing violence-free zones to enhance the quality of living environment for public housing residents. The eligible activities for your proposed program must address one or more of the following areas: violent crime, youth violence, and/or violent gang activity in your housing development or living environment. These areas must be addressed in your application. You must at a minimum focus on one of these areas, but may include the others where appropriate. Your grant application must include specific processes or techniques to prevent and reduce violent crime that are measurable within the grant term. Implementation strategies may include training at the grass roots level, resident employment; resident partnership with local law enforcement; personal skill-building to strengthen individual character development; and management techniques for preventing violence. You must identify the public housing development(s) that will serve as the focus for proposed grant activities. Any other areas, (e.g., negatively impacted neighborhoods and assisted/insured housing developments) which benefit from your proposed grant activities must be adjacent to the public housing development;

(ii) Training programs on mediation and communication skills;

(iii) Training programs on dispute resolution and reconciliation, including training addressing racial, ethnic and other forms of diversity;

(iv) Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, social skills, goal planning, health, wellness and nutrition. The workshops may be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire and Big Brother/Big Sisters, etc. Food costs that are directly attributable to the actual nutrition, wellness and health training are an eligible grant expenditure. These are not food costs associated with entertainment.

(v) Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities.

(b) *Capacity Building.* Eligible activities for CB grants may include, but are not limited to:

(i) Training Board members in community organizing, Board development, and leadership training;

(ii) Conducting the feasibility of training existing resident groups for resident management or for a specific resident management project;

(iii) Assisting in the creation of an RMC, such as consulting and legal assistance to incorporate, preparing by-laws and drafting a corporate charter;

(iv) Developing the management capabilities of existing resident organizations;

(v) Determining the feasibility of homeownership by residents, including assessing the feasibility of other housing (including HUD-owned or held single or multi-family) affordable for purchase by residents.

(3) *Ineligible Activities.* Ineligible activities are the same as those listed in Section III(C)(7) of this program section of the SuperNOFA, above.

(a) In addition, physical development activities are not eligible for funding under CB or CR grants.

(b) The cost of application preparation is not eligible.

(4) *Administrative costs* may include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance,

travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(5) *Grant term.* The grant term for both Conflict Resolution and Capacity Building grants is thirty-six months from the execution date of the grant agreement.

(D) *Resident Service Delivery Models (RSDM).*

(1) *Eligible Applicants.* (a) *Family.* This funding category provides grants to PHAs, resident management corporations, resident councils, or resident organizations, and nonprofit entities supported by residents, to enable them to establish and implement comprehensive programs that assist residents in becoming self-sufficient and/or enable independent living and aging in place.

(b) *Elderly and Disabled.* PHAs and non-profits supported by a duly elected resident council are the only eligible applicants in providing supportive services for the elderly and disabled.

(c) IROs with 501(c) status may apply as non-profit entities under this funding category.

(2) *Number of RSDM Applications Permitted.* (a) *General.* PHAs must submit an application either for a family or an elderly grant. ROs must submit one application for a family grant; and non-profits may submit one application for a family or elderly grant representing up to three public housing resident groups.

(b) *Joint applications.* Two or more applicants may join together to submit a joint application for proposed grant activities. Joint applications must designate a lead applicant. All parties in a joint application (lead or non-lead) are considered to be applying for ROSS and are therefore subject to the limit of one ROSS application per applicant, with the exception of those Public Housing Service Coordinator renewal applicants that may also apply in one additional ROSS category. Joint applications may include PHAs/IROs, nonprofit entities on behalf of residents and resident organizations. Joint applications must also provide evidence of resident support. The maximum funding for joint applications cannot exceed the sum of the individual grants as specified above. Any eligible applicant can serve as a lead applicant.

(3) *Eligible participants.* At least 75 percent of the persons participating and receiving benefits from these activities must be residents of conventional public housing. Any other persons (up to 25 percent per grantee) participating or receiving benefits from these programs must be recipients of Section 8 assistance.



(4) *Eligible activities.* Funds may be used for the activities described below for the family category.

(a) *Program Coordinator.* You are encouraged to include a Program Coordinator for proposed RSDM activities for the entire term of your grant. A Program Coordinator is a person who is responsible for coordinating various proposed activities to ensure that their accomplishment will assist in achieving overall grant goals and objectives.

(b) *Physical improvements.* Physical improvements to provide space for self-sufficiency activities for residents (i.e., to provide cosmetic repairs for space to conduct community activities; or to expand existing community space for proposed ROSS activities). Physical improvements may not exceed 50% of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Physical improvements include the following:

(i) Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements;

(ii) The renovation, conversion, or combination of vacant dwelling units in a housing development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvement;

(iii) The renovation of existing common areas in a housing development to accommodate the provision of supportive services is an eligible activity for physical improvements;

(iv) The renovation or repair of facilities located near the premises of one or more housing developments to accommodate the provision of supportive services is an eligible activity for physical improvements;

(v) If renovation, conversion, or repair is done off-site, you must provide documentation that you have control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation or other appropriate documentation.

(vi) All renovations must meet appropriate section 504 accessibility requirements.

(c) *Entrepreneurship training.* Entrepreneurship training includes literacy training, computer skills

training, business development planning.

(d) *Entrepreneurship development.* Entrepreneurship development includes entrepreneurship training curriculum, entrepreneurship courses.

(e) *Micro/Loan fund.* Developing a strategy for establishing a revolving micro/loan fund and/or capitalizing a loan fund, including licensing, bonding, and insurance needed to operate a business. Revolving loan funds can not be used for acquisition, disposition, or physical development;

(f) *Developing credit unions.* Developing a strategy to establish and/or create on-site credit union(s) to provide financial and economic development initiatives to PHA residents. (RSDM grant funds cannot be used to capitalize a credit union.) The credit union can support the normal financial management needs of the community (i.e., check cashing, savings, consumer loans, micro-businesses money management, home buyer counseling, educational loans, and other revolving loans).

(g) *Employment training and counseling* (e.g., job training (such as apprenticeship programs), preparation and counseling, job search assistance, job development and placement, and continued follow-up assistance).

(h) *Employer linkage and job placement.*

(i) *Family only—supportive services activities.* The provision of services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or educational programs. Eligible supportive services may include, but are not limited to:

(i) Child care, of a type that provides sufficient hours of operation and serves appropriate ages as needed to facilitate parental access to education and job opportunities.

(ii) Computer-based educational opportunities, skills training, and entrepreneurial activities.

(iii) Homeownership training and counseling, development of feasibility studies and preparation of homeownership plans/proposals.

(iv) Education including but not limited to: remedial education; computer skills training; career counseling; literacy training; assistance in the attainment of certificates of high school equivalency; two-year college tuition assistance; trade school assistance; youth leadership skills and related activities (activities may include

peer leadership roles training for youth counselors, peer pressure reversal, life skills, and goal planning). Academic support shall not be limited to TANF recipients.

(v) Youth mentoring of a type that mobilizes a potential pool of role models to serve as mentors to public housing youth. Mentor activities may include after-school tutoring, help with problem resolution issues, illegal drugs avoidance, job counseling, or mental health counseling.

(vi) Transportation costs, as necessary to enable any participating family member to receive available services to commute to his or her training or supportive services activities or place of employment.

(vii) Personal well-being (e.g., family/parental development counseling, parenting skills training for adult and teenage parents, self-development counseling, support groups/counseling for victims of domestic violence, and/or families with a mentally ill member, etc.).

(viii) Supportive health care services (e.g., outreach and referral services to substance and alcohol abuse treatment and counseling, mental health services, wellness programs). Food costs that are directly attributable to the actual nutrition and health training are an eligible grant expenditures. These are not food costs associated with entertainment.

(ix) Contracting for case management services or employment of case managers, which must ensure confidentiality about resident's disabilities.

(x) Establishing and/or operating centers that use technology and telecommunications for job training, after-school youth programs and educational activities.

(xi) Administrative costs may include, but are not limited to, purchase of furniture, office equipment and supplies, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(xii) Stipends. No more than \$200 per participant per month of the grant award may be used for stipends for active trainees and program participants to cover the reasonable costs related to participation in training and other activities.

(j) *Elderly and disabled—supportive services activities* may include, but are not limited to:

(i) Meal service adequate to meet nutritional need;

(ii) Assistance with daily activities;

(iii) Housekeeping aid;

(iv) Transportation services;

(v) Wellness programs, preventive health education, referral to community resources;

(vi) Personal emergency response;

(vii) Congregate services—includes supportive services that are provided in a congregate setting at a conventional public housing development; and

(viii) Case management.

(5) *Ineligible Activities*. Activities for which costs are ineligible for funding under the RSDM funding category include:

(i) Elderly Service Coordinator salary funding;

(ii) Payment of wages and/or salaries to participants receiving supportive services and/or training programs, except that grant funds under family RSDM may be used to hire a resident(s) as a Program Coordinator or to provide training program activities;

(iii) Purchase or rental of land;

(iv) New construction, materials, costs;

(v) Purchase of vehicles; and

(vi) Cost of application preparation is not eligible.

(6) *Grant term*. The grant term for Resident Service Delivery Models grants is thirty-six months from the execution date of the grant agreement.

(E) *Service Coordinators for Elderly and Persons with Disabilities*.

(1) *Eligible Applicants*. This funding category provides grants to PHAs with developments designated for the elderly and persons with disabilities which were initially awarded in FY 1995.

(2) *Joint Applications*. Two or more PHAs may join together to share a service coordinator and so submit joint applications. Joint applicants must designate a lead applicant. All joint applicants must be existing service coordinator grantees.

(3) *Eligible developments*. To be eligible, a development must have elderly residents and/or non-elderly residents with disabilities who together total at least 25 percent of the building's residents.

(4) *Eligible Activities*. Under this funding category, funds may be used for the following activities:

(a) *Service Coordinator*. To pay for the salary, fringe benefits, and related administrative costs for employing a service coordinator. A service coordinator is a social service staff person hired or contracted by the PHA. The coordinator is responsible for assuring that elderly residents, especially those who are frail or at risk, and those non-elderly residents with disabilities are linked to the supportive services they need to continue living independently in that development. The service coordinator, however, may not

require any elderly person or person with disabilities to accept the supportive services. For the purposes of this program, a service coordinator is any person who is responsible for one or more of the following functions:

(i) Working with community service providers to coordinate the provision of services and to tailor the services to the needs and characteristics of eligible residents;

(ii) Establishing a system to monitor and evaluate the delivery, impact, effectiveness and outcomes of supportive services under this program;

(iii) Coordinating this program with other independent living or self-sufficiency, education and employment programs;

(iv) Performing other duties and functions to assist residents to remain independent, and to prevent unnecessary institutionalization; and

(v) Mobilizing other national and local public/private resources and partnerships.

(b) *Administrative costs*.

Administrative costs may include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(5) *Ineligible Activities/Costs*. (a)

Applicants may not use these monies to replace current funding from other sources for a Service Coordinator or for some other staff person who performs service coordinator functions; and

(b) The cost of application preparation is not eligible.

(6) *Grant term*. The grant term for Elderly or Persons with Disabilities Service Coordinator grants is 12 months.

#### IV. Program Requirements

The requirements of this section are applicable to all applicants, and grantees under this announcing of funding availability.

(A) *Compliance with Fair Housing and Civil Rights Laws*. Your application must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA, as well as the following requirements.

(B) *Affirmatively Furthering Fair Housing*. You must adhere to the requirement as provided in Section II(D) of the General Section of the SuperNOFA.

(C) *Certifications and Assurances*. You must comply with the certifications and assurances contained in Section II(G) of the General Section of the SuperNOFA.

(D) *Applicant Internet Access*. Prior to the initial draw down, all grantees must have secured online access to the

Internet as a means to communicate with HUD on grant matters.

(E) *ROSS Evaluation and Assessment*. All applicants selected for award must be willing to participate in the evaluation and assessment that HUD intends to conduct for the ROSS Program. At grant award HUD will provide additional information on the evaluation and assessment for applicants who receive awards.

#### V. Application Selection Process

(A) *Application Selection Process for Resident Management and Business Development*

Applicants for Resident Management and Business Development grants are required to address application submission requirements, but are not required to address selection factors. HUD will accept for funding the first five eligible applications from each of the ten federal regions on a first-come, first-serve basis for 120 days after publication of this SuperNOFA. Any funds remaining after making awards to the first five eligible applications from each region will be awarded to the next eligible application from each region, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region. Where physical development activities are proposed, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected. If all funds are not awarded in one funding category, funds are transferable to other ROSS funding categories in this ROSS competition.

(B) *Application Selection Process for Capacity Building or Conflict Resolution*

Applicants for Conflict Resolution or Capacity Building grants are required to address application submission requirements but are not required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of Section IV of this program section of the SuperNOFA. HUD will accept for funding the first two eligible applications from each of the ten federal regions on a first-come, first-serve basis for 90 days after this SuperNOFA is published. Any funds remaining after making awards to the first two eligible applications from each region will be awarded to the next eligible application

from each region, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region. If all funds are not awarded in one funding category, funds are transferable to the other ROSS funding categories in this ROSS competition.

*(C) Application Selection Process for Resident Service Delivery Models*

(1) Three types of reviews will be conducted: a screening to determine if your application submission is complete and on time; a threshold review to determine applicant eligibility; and a technical review to rate your application based on the five rating factors provided in this section. A minimum score of 55 is required to be considered for funding. If you are not the PHA, where physical development activities are proposed, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected.

(2) The selection process is designed to achieve geographic diversity of grant awards throughout the country. HUD will first select the highest ranked application from each of the ten federal regions for funding. After this "round," HUD will select the second highest ranked application in each of the ten federal regions for funding (the second round). HUD will continue this process with the third, fourth, and so on, highest ranked applications in each federal region until the last complete round is selected for funding. If available funds exist to fund some but not all eligible applications in the next round, HUD will make awards to those remaining applications in rank order regardless of region and will fully fund as many as possible with remaining funds. In addition, if all funds are not awarded in this funding category, funds are transferable to other funding categories in this ROSS Competition.

*(D) Factors for Award Used to Evaluate and Rate RSDM Applications*

The factors for rating and ranking applicants and maximum points for each factor are provided below. The maximum number of points available for this program is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA. The application kit contains a certification that must be completed for the applicant to be considered for EZ/

EC bonus points and a listing of federally designated EZs and ECs. A RSDM application must receive a total of 55 points out of 100 to be eligible for funding.

**Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)**

This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor HUD will consider the extent to which the proposal demonstrates:

*(1) Proposed Program Staffing (7 Points)*

(a) *Experience. (4 Points)* The knowledge and experience of your proposed project director and staff, including the day-to-day program manager, sub-recipients and partners in planning and managing programs for which funding is being requested. Your experience will be judged in terms of recent, relevant and successful experience to undertake eligible program activities.

(b) *Sufficiency. (3 Points)* You and your sub-recipients, and partners have sufficient personnel or will be able to quickly access qualified experts or professionals, to deliver the proposed activities in each proposed service area in a timely and effective fashion, including your readiness and ability to immediately begin the proposed work program. To demonstrate sufficiency, you must submit the proposed number of staff years to be allocated to your program by employees and experts, the titles and relevant professional background and experience of each employee and expert proposed to be assigned to your program, and the roles to be performed by each identified employee and expert.

*(2) Program Administration and Fiscal Management (7 Points)*

(a) *Program Administration. (4 Points)* The soundness of the proposed management of your proposed RSDM program. To receive a high score, you must provide a comprehensive description of your project management structure. Your narrative must provide a description of how any co-applicants, sub-grantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of your proposed program.

(b) *Fiscal Management. (3 Points)* The soundness of your proposed fiscal management. To receive a high score you must provide a comprehensive description of the fiscal management

structure, including, but not limited to, budgeting, fiscal controls, and accounting. The application must identify the staff responsible for fiscal management, and the processes and timetable for implementation during the proposed grant period.

*(3) Applicant/Administrator Track Record (6 Points)*

To receive a high score, you must demonstrate your (or your proposed Administrator's) program compliance and successful implementation of any resident self-sufficiency, security or independence oriented grants (including those listed below) awarded to you or overseen by your Administrator. If you or your Administrator has no prior experience in operating programs that foster resident self-sufficiency, security or independence you will receive a score of 0 on this factor. Your past experience may include, but is not limited to, administering the following grants: Family Investment Center Program; Youth Development Initiative under Family Investment Center Program; Youth Apprenticeship Program; Apprenticeship Demonstration in the Construction Trades Program; Urban Youth Corps Program; HOPE I Program; Public Housing Service Coordinator Program; Public Housing Drug Elimination Program; Tenant Opportunities Program; Economic Development and Supportive Services; and Youth Sports Program.

**Rating Factor 2: Need/Extent of the Problem (20 Points)**

This factor addresses the extent to which there is a need for funding your proposed program activities to address a documented problem in the target area. You will be evaluated on the extent to which they document a critical level of need in the development or your proposed activities in the area where activities will be carried out. In responding to this factor, you will be evaluated on:

*(1) A Needs Assessment Document (18 Points)*

HUD will award up to 18 points based on the quality and comprehensiveness of the needs assessment document.

(a) To obtain maximum points for Family RSDM applications, this document must contain statistical data which provides:

(i) A thorough socioeconomic profile of the eligible residents to be served by your program, in relationship to PHA-wide and national public and assisted housing data on residents who are on TANF, SSI benefits, or other fixed

income arrangements; in job training, entrepreneurship, or community service programs; and employed;

(ii) Specific information on training, contracting, and employment through the PHA.

(iii) An assessment of the current service delivery system as it relates to the needs of the target population, including the number and type of services, the location of services, and community facilities currently in use;

(iv) A description of the goals, objectives, and program strategies that will result in the successful transition of residents from welfare-to-work.

(b) In order to obtain maximum points for Elderly and Persons with Disabilities RSDM applications, the needs assessment document should contain statistical data that provide:

(i) The numbers of residents needing assistance for activities of daily living.

(ii) An assessment of the current service delivery system as it relates to the needs of the target population, including the number and type of services, the location of services, and community facilities currently in use.

(iii) A description of the goals, objectives, and program strategies that will result in increased independence for proposed program participants.

**(2) Level of Priority in Consolidated Plan. (2 Points)**

Documentation of the level of priority the locality's, or in the case of small cities, the State's, Consolidated Plan has placed on addressing the needs. You may also address needs in terms of fulfilling the requirements of court actions or other legal decisions or which expand upon the Analysis of Impediments to Fair Housing Choice (AI) to further fair housing. If you address needs that are in your community's Consolidated Plan, AI, or a court decision, or identify and substantiate needs in addition to those in the AI, you will receive a greater number of points than applicants who do not relate their proposed program to the approved Consolidated Plan or AI or court action. There must be a clear relationship between your proposed activities, community needs and the purpose of the program funding for you to receive points for this factor.

**Rating Factor 3: Soundness of Approach (40 Points)**

This factor addresses the quality and cost-effectiveness of your proposed work plan. In rating this factor HUD will consider: the viability and comprehensiveness of your strategies to address the needs of residents; budget appropriateness/efficient use of grant;

the speed at which you can realistically accomplish the goals of the proposed RSDM program; the soundness of your plan to evaluate the success of your proposed RSDM program at completion and during program implementation; and resident and other partnerships; and policy priorities.

**(1) Viability and Comprehensiveness of the Strategies to Address the Needs of Residents (21 Points)**

The score under this subfactor will be based on the viability and comprehensiveness of your strategies to address the needs of residents.

(a) *Services. (18 Points for Family RSDM applicants and 21 Points for Elderly and Persons with Disabilities RSDM applicants.* More points are awarded in the Elderly and Persons with Disabilities RSDM applications to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant) The score under this subfactor will be based on the following:

(i) For Family RSDM applications, the extent to which your plan provides services that specifically address the successful transition from welfare to work of non-elderly families. To receive a high score, your plan must include case Management/counseling, job training/development/placement (and/or business training/development/startup), child care, and transportation services.

(ii) In order to receive maximum points, the goals and objectives of your proposed plan must represent significant achievements related to welfare-to-work and other self-sufficiency/independence goals. Specifically for those residents affected by welfare reform, the number of residents employed or resident businesses started are preferable to the number of residents receiving training.

(iii) For Elderly and Persons with Disabilities RSDM applications, services in your plan should include case management, health care, congregate services and transportation. To obtain maximum points, you must describe the goals, objectives, and program strategies that will result in increased independence for proposed program participants; your services must be located in a community facility; and must be available on a 12-hour basis or as needed by the eligible residents.

(b) *Resident Contracting and Employment. (3 Points)* The score in this factor will be based on the extent to which residents will achieve self-sufficiency through your contracts with resident-owned businesses and through

resident employment. A high score will be awarded where there is documentation (a letter or resolution from your governing body) describing your commitment to hire or contract with at least 15% of residents and a narrative describing the number of resident jobs or contracts involved, as well as the training processes related to the comprehensive plan of your application. Elderly and Persons with Disabilities RSDM applications will not be scored on the criterion in this subcategory.

**(2) Budget Appropriateness/Efficient Use of Grant. (5 Points.)**

The score in this factor will be based on the following:

(a) *Detailed Budget Break-Out.* The extent to which your application includes a detailed budget break-out for each budget category in the SF-424A.

(b) *Reasonable Administrative Costs.* The extent to which your application includes administrative costs at or below the 20% administrative cost ceiling.

(c) *Budget Efficiency.* The extent to which your application requests funds commensurate with the level of effort necessary to accomplish your goals and anticipated results.

**(3) Reasonableness of the Timetable**

(2 Points for Family RSDM applicants and 4 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant)

The score in this factor will be based on a reasonable response that you can accomplish the goals of your proposed RSDM program. To receive a high score, you must demonstrate that it will make substantial program implementation progress within the first six months after grant execution, including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals, and achieving other milestones that are prerequisites for implementation of the program. In addition, you must demonstrate that your proposed timetable for all components of the proposed program is feasible considering the size of your award and activities and results that can be accomplished within the 36-month time limit.

**(4) Program Assessment**

(3 Points for Family RSDM and Elderly and Persons with Disabilities RSDM) The score in this factor will be based on the soundness of your plan to evaluate the success of your proposed RSDM program both at the completion of your program and during program implementation. At a minimum, you must track the goals and objectives of your proposed work plan program, which must include, if applicable, a plan for monitoring your Contract Administrator's performance. Your application should track specific measurable achievements for the use of program funds, such as number of residents employed, salary scales of jobs obtained, persons removed from welfare roles 12 months or longer, number of elderly or persons with disabilities residents receiving supportive services, and number of persons receiving certificates for successful completion of training in careers such as computer technology.

**(5) Resident and Other Partnerships (9 Points for Family RSDM Applicants and 7 Points for Elderly and Persons With Disabilities RSDM Applicants)**

(a) *Resident Involvement in RSDM Activities* (3 Points for Family RSDM applicants and 4 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant): The score in this factor will be based on the extent of resident involvement in developing your proposed RSDM program as well as the extent of proposed resident involvement in implementing your proposed RSDM program. To receive a high score on this factor, you must describe the involvement of residents in the planning phase for this program, and a commitment to provide continued involvement in grant implementation. For applicants to receive the maximum number of points, a work plan, must be included.

(b) *Other Partnerships. (3 Points)* The score in this factor will be based on the successful integration of partners into implementation of the proposed RSDM program. To receive a high score, you must provide a signed Memorandum of Understanding (MOU) or other equivalent signed documentation that delineates the roles and responsibilities of each of the parties in your program and the benefits they will receive. In assessing this subfactor, HUD will

examine a number of aspects of the proposed partnership, including:

(i) The division of responsibilities/management structure of your proposed partnership relative to the expertise and resources of your partners;

(ii) The extent to which the partnership as a whole addresses the unmet resident needs; and (iii) The extent to which the addition of the partners provides the ability to meet needs that the applicant could not meet without the partner(s).

(c) *Overall Relationship/Coordination.* (3 Points for Family RSDM only) For Family RSDM applicants, the score in this factor will be based on the extent of coordination between your proposed RSDM program and any existing or proposed programs within your jurisdiction. To receive a high score, you must contain an MOU that describes collaboration between the applicant and residents on all of the specific components related to the work plan of the proposed RSDM program. To receive points, at a minimum, you must have a narrative description of this collaboration. Elderly and Persons with Disabilities RSDM applications will not be scored on this criterion.

**Rating Factor 4: Leveraging Resources (10 Points)**

This factor addresses your ability to secure community resources (note: financing is a community resource) that can be combined with HUD's program resources to achieve program purposes. You must have at least a 25% cash or in-kind match to receive points under this rating factor. Leveraging in excess of the 25% of the grant amount will receive a higher point value. In evaluating this factor HUD will consider:

The extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed program activities. The budget, the work plan, and commitments for additional resources and services, other than the grant, must show that these resources are firmly committed, will support the proposed grant activities and will, in combined amount (including in-kind contributions of personnel, space and/or equipment, and monetary contributions) equal at least 25% of the RSDM grant amount proposed in this application. "Firmly committed" means there must be a written agreement with the provider of resources, signed by an official legally able to make commitments on behalf of the organization. The signed, written agreement may be contingent upon you receiving a grant award. Other resources

and services may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (not including RSDM funds); funds from any State or local government sources; and funds from private contributions. You may also partner with other program funding recipients to coordinate the use of resources in your target area.

You must provide evidence of leveraging/partnerships by including in the application letters of firm commitments, Memoranda of Understanding, or agreements to participate from those entities identified as partners in the application. To be firmly committed there must be a written agreement with the provider of resources signed by an official legally able to make commitments on behalf of the organization. This agreement may be contingent upon you receiving a grant award. Each letter of commitment, Memorandum of Understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program.

**Rating Factor 5: Comprehensiveness and Coordination (10 Points)**

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD funding resources and other resources available to the community.

In evaluating this factor HUD will consider the extent to which your application addresses:

(1) *Coordination with the Consolidated Plan* (2 Points for Family RSDM applicants and 6 points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded for Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant.) Demonstrates the applicant has reviewed the community's Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice, and has proposed activities that address the priorities, needs, goals or objectives in those documents; or substantially furthers fair housing choice in the community.

(2) *For Family RSDM Applications, Coordination with the State (4 Points):* Provides evidence that your proposed RSDM program has been coordinated with and supports the PHA's, efforts to increase resident self-sufficiency and is

coordinated and consistent with the State, or local Welfare Plan.

(3) *Coordination with Other Activities (4 Points)* Demonstrates that in carrying out your program activities, you will develop linkages with: other HUD-funded program activities proposed or on-going in the community; or other State, Federal or locally funded activities proposed or on-going in the community which, taken as a whole, support and sustain a comprehensive system to address the needs.

(D) *Application Selection Process for Service Coordinators*

Applicants for Service Coordinators are required to address application submission requirements but are not required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of Section IV of this program section of the SuperNOFA. HUD will accept for funding all eligible renewals until funds are exhausted.

## VI. Application Submission Requirements

### (A) All Applications

All applications for assistance under the ROSS competition regardless of funding categories must include the forms, certifications and assurances listed in Section IV of the *General Section* of the SuperNOFA (collectively referred to as the "standard forms") These forms are:

- SF-424, Application Federal Assistance;
- HUD-424M, Federal Assistance Funding Matrix;
- SF-424A, Federal Assistance Budget Information—Non Construction;
- SF-424B, Assurances for Non-Construction Programs;
- HUD Form 50070, Drug-Free Workplace Certification;
- HUD Form 50071, Certification of Payments to Influence Federal Transactions, and if applicable SF-LLL, Disclosure of Lobbying Activities;
- HUD Form 2880, Applicant/Recipient Disclosure/Update Report;
- HUD Form 2992, Certification of Debarment and Suspension;
- HUD Form 2993, Acknowledgement of Application Receipt.

The standard forms can be found in Appendix B to the **General Section** of the SuperNOFA. The remaining application items that are forms (*i.e.*, excluding such items as narratives), referred to as the "non-standard forms" can be found as Appendix A to this program section of the SuperNOFA.

All applicants must include the following information regardless of the

category under which they are applying for funds.

- (1) ROSS Application Cover Sheet;
- (2) ROSS Fact Sheet;
- (3) ROSS Program Summary;
- (4) Certification of Consistency and Compliance with threshold requirements of General Section of the SuperNOFA;
- (5) *Match Requirement.* (a) Your must supplement grant funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: The value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS funds); funds from any State or local government sources; and funds from private contributions. Any services, such as child care or mentoring, conducted by elderly or disabled residents who are not TANF participants, will not be counted toward your match requirement. You may also satisfy the match requirement by establishing the in-kind value of computer and office equipment, software and space used for training in computer technology, education/employment and skills development for self sufficiency training programs such as Twenty/20 Education Communities (TEC Centers).

(b) Your must demonstrate that the cash or in-kind resources and services, which you will use as match amounts (including resources from a Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization and specifies the cash and/or in-kind assistance to be provided. If offering in-kind assistance, the letter should provide an estimated dollar value for the in-kind services. The written agreement may be contingent upon your receiving a grant award. The following are guidelines for valuing certain types of in-kind contributions:

(c) The value of volunteer time and services shall be computed at a rate of six dollars per hour except that the value of volunteer time and services involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the activity is located; and

(d) The value of any donated material, equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated not more than one-year old taken from the community where the item or activity is located, as appropriate. You may also satisfy the match requirement by establishing the in-kind value of computer and office equipment, software and space used for training in computer technology, education/employment and skills development for sufficiency training programs such as Twenty/20 Education Communities (TEC Centers).

### (B) *RMBD Applications.*

Applicants for Resident Management and Business Development grants are required to address application submission requirements, but are not required to address selection factors. Only threshold requirements, and not application submission requirements, will be used for determining eligibility for first-come first serve funding.

All applications for funding under this funding category must contain the following documents and information (Please note that items 1–8 are threshold requirements used to determine awards for this category; items 9–13 will be used for grant administration):

(1) Your application must contain a written certification that at least 51 percent of the public housing residents (including Section 8 tenants as applicable) to be included in the proposed program are currently eligible to receive, are currently receiving, or have received within the preceding four years, assistance or services funded under the TANF, SSI, or food stamp programs.

(2) Your application must contain a signed Memorandum of Understanding (MOU) between the RA and PHA which describes the specific roles, responsibilities and activities to be undertaken by all parties to the MOU. Your MOU, at a minimum must identify the principal parties (*i.e.* the name of the PHA and RA, the terms of agreement), expectations or terms for each party, and indicate that the agreement pertains to the support of your grant application.

This document is the basis for the foundation of the relationship between the Ra and PHA. The MOU must be precise and outline the specific duties and objectives to be accomplished under the grant. All MOUs must be finalized, dated and signed by duly authorized officials of both the RA and PHA upon submission of the

application. Submission of the MOU is not required as part of the application process.

(3) Accessible Community Facility. You must provide written evidence (e.g. through an executed use agreement if the facility is to be provided by an entity other than the PHA) that a majority of the proposed activities will be administered at community facilities within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation of the property represented by the PHA. The written agreement must certify that community facilities meet the structural accessibility requirement of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

(4) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See section VI (A) (5) of the program section of this SuperNOFA.

(5) You must provide either a signed certification from HUD or an Independent Public Accountant that your financial management system and procurement procedures fully comply with 24 CFR part 84, or your application must contain a signed Contract Administrator Partnership Agreement that you will use the services of a Contract Administrator in administering your grant. Applicants that are troubled PHAs are required to provide written agreement that a Contract Administrator has been retained for the term of the grant. In cases where the Contract Administrator is the PHA, the Contract Administration responsibilities can be incorporated into the MOU discussed above.

(6) If you are a RA/RC/RMC/CWRO you must include evidence that your organization is registered with the State as a nonprofit corporation at the time of application submission or has section 501(c) status with the United States Internal Revenue Service at the time of application. Evidence of State registration shall be a copy of the certificate of incorporation or certificate of good standing from the State Government (i.e. Secretary of State or Secretary of Corporations). Evidence of 501 (c) status shall be a copy of the IRS 501 (c) designation.

(7) Certification of Resident Council Board Elections. If you are a Resident Organization, you must submit certifications of the RA board election as required by HUD, signed by the local PHA and/or an independent third party monitor and notarized;

(8) List of RAs participating with the City-Wide Resident Organization (CWRO). You must list in your application, the name(s) of RAs that will receive services and you must submit letters of support from each RA identified in your application;

(9) Physical Improvements. You must submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities. You must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this ROSS competition.

The following are application submission requirements and will not be used for determining eligibility for first-come first serve funding.

(10) Explanations for proposed grant activities must be provided by narrative statements or descriptions;

(11) Resident Management and Business Development grant applications must include a narrative description (two page limit) describing the activities that you will carry out with RMBD grant funds. Your description must include specific goals, objectives and program strategies that will result in successful transition of residents from welfare to work or other proposed grant activities;

(12) Your RMBD application must provide information about the RA, including its history, staff qualifications, and its previous experience (two page limit). For proposed grant staffing, you must include a resume or summary of qualifications for all proposed grant staff:

Chart A—RMBD Program Staffing

Chart B—RMBD Applicant/  
Administrator Track Record

Chart C—Summary RMBD Budget Line  
Items

(13) You must provide a summary of a proposed work plan to carry out proposed grant activities. This work plan must include tasks, budgeted amounts, and dates for all activities during the grant period.

Chart D—Budget Workplan Summary

(C) *Applications for Capacity Building or Conflict Resolution.*

All applications for funding under this funding category must contain the following documents and information (Please note that items 1–5 are threshold requirements used to determine awards for this category; items 6–10 will not be used to select awardees):

(1) Written Agreement with Mediator. Only conflict Resolution applicants must develop a work plan with a professional mediator or “grass roots” mediation organization (mediation/partner) that outlines the roles and responsibilities of each party. The work plan must specify that the mediation/partner will train grantee staff and/or volunteers such that the grantee will be capable of providing mediation assistance independently by the end of the grant term.

(2) Mediation Experience/Referral Agreement. Only conflict Resolution applicants must provide evidence that their mediator/partner has at least one year of experience in providing mediation services and at least one year of mediation training. Include either one referral agreement with a judicial, law enforcement, or social service agency such as the court system or Welfare Department for mediation of public housing residents, or a narrative description of direct experience with public or assisted housing residents.

(3) Applicant Nonprofit Status. You must provide evidence that your organization has registered with the State as a nonprofit corporation or has 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

(4) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See section VI(A)(5) of this program section of the SuperNOFA.

(5) List of RAs Receiving Support. In CB and CR applications, you must list in your application the name of the RA that will receive training, technical assistance and/or coordinated supportive services and you must submit letters of support from each entity identified in your application.

The following are application submission requirements. Only threshold requirements, and not application submission requirements, will be used to determine eligibility for first-come first serve funding.

(6) Explanations for proposed grant activities must be provided by narrative statements or descriptions as well as the forms indicated below:

(7) Needs Assessment. For the CB and CR grant applications you must provide a narrative description of proposed activities that addresses the following information:

(i) A description of the geographic boundaries of the RAs or RMCs included in the application;

(ii) A description of the public housing community;

(iii) A detailed description of the issues or problems involved with each RA to be served by the grant; and

(iv) The resources that are currently being devoted to the problem or issue under consideration.

(8) Proposed Program Activities. Resident Management and Business Development grant applications must include a narrative description describing the activities that you will carry out with CB/CR grant funds. Your description must include specific goals, objectives and program strategies that will result in successful proposed grant activities;

(9) Experience and Staffing. Your CB/CR grant application must provide information about the RA, including its history, staff qualifications, and its previous experience (two page limit). For proposed grant staffing, you must include a resume or summary of qualifications for all proposed grant staff:

Chart A—CB/CR Program Staffing

Chart B—CB/CR Applicant/

Administrator Track Record

Chart C—Summary CB/CR Budget Line Items

(10) Budget and Cost Information. You must provide a summary of your proposed work plan to carry out your proposed grant activities. The work plan must include tasks/activities, budgeted amounts, and start and end dates for all activities during the grant period.

Chart D—Budget Workplan Summary

*(D) Application Submission Requirements for Resident Service Delivery Models*

All applications for funding under this funding category must contain the following documents and information (Please note that items 1–9 are threshold requirements used to determine scoring of ranking and ranking factors for this category):

(1) Your application must contain a written certification that at least 51 percent of the public housing residents (including Section 8 tenants as applicable) to be included in the proposed program are currently eligible to receive, are currently receiving, or have received within the preceding four years, assistance or services funded under the TANF, SSI, or food stamp programs.

(2) Elderly and/or Disabled Housing Development Certification. A certification that at least 25% of the residents of the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application.

(3) Accessible Community Facility. You must provide evidence (e.g.

through an executed use agreement if the facility is to be provided by an entity other than the PHA) that a majority of the proposed activities will be administered at community facilities within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation of the property represented by the PHA. The written agreement must certify that the community facilities meet the structural accessibility requirements of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

(4) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See section VI (A)(5) of this program section of the SuperNOFA.

(5) Physical Improvements. You must submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities. You must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this ROSS competition.

(6) You must provide either a signed certification from HUD or an Independent Public Accountant that your financial management system and procurement procedures fully comply with 24 CFR part 84, or your application must contain a signed Contract Administrator Partnership Agreement that you will use the services of a Contract Administrator in administering your grant. Applicants that are troubled PHAs are required to provide evidence that a Contract Administrator has been retained for the term of the grant. In cases where the Contract Administrator is the PHA, the Contract Administration responsibilities can be incorporated into the MOU discussed above.

(7) Applicant Non-Profit Status. Except for PHAs, you must provide evidence that the applicant is registered with the State as a nonprofit corporation or has 501(c) status with the United States Internal Revenue Service at the time of application submission. Evidence of State registration shall be a copy of the certificate of incorporation or certificate of good standing from the State Government (i.e. Secretary of State or Secretary of Corporations). Evidence of 501(c) status shall be a copy of the IRS 501(c) designation.

(8) Certification of Resident Council Board Elections;

(9) List of RAs Receiving Support. In RSDM applications you must list in your application the name of the RAs that will receive training, technical assistance and/or coordinated supportive services and must submit letters of support from each entity identified in your application.

(10) Responses to Factors of Award may be narrative statements or descriptions and the forms indicated below:

Factor 1—Capacity of the Applicant and Relevant Organizational Experience;

Chart A—Program Staffing

Chart B—Applicant/Administrator Track Record

Factor 2—Need/Extent of the Problem;

Chart C—Summary Budget Line Items

Chart D—Budget Workplan Summary

Factor 3—Soundness of Approach;

Factor 4—Leveraging Resources; and

Factor 5—Comprehensiveness and Coordination.

Certification of Consistency with the Consolidated Plan

Bonus Points

Certification of Consistency with the EZ/EC Strategic Plan

*(E) Application Submission Requirements for Service Coordinators for the Elderly and Persons With Disabilities*

All applications for funding under this funding category must contain the following documents and information (Please note that items 1–4 are threshold requirements used to determine renewal funding for this category):

(1) Elderly Housing Development Certification. A certification that at least 25% of the residents of the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application.;

(2) Accessible Community Facility. The application must provide evidence (e.g., through an executed use agreement or MOU if the facility is to be provided by an entity other than the PHA. The majority of the proposed activities will be administered at community facilities within easy transportation access, i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation, to the property represented by the PHA. Your executed use agreement or MOU must specifically state that the community facilities meet the structural accessibility requirements of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

(3) Your application must contain letter(s) of support indicating supplemental grant funds of not less



than 25% of the grant amount. See section VI (A)(5) of this program section of the SuperNOFA.

(4) SC Request Letter Format; The following are application submission requirements. Only threshold requirements, and not application submission requirements, will be used for determining eligibility for renewal funding.

(5) Evidence of comparable salaries in local area;

(6) Lead Agency letter format (if appropriate);

#### **VII. Corrections to Deficient Applications**

The **General Section** of the SuperNOFA provides the procedures for corrections to deficient applications.

#### **VIII. Environmental Requirements**

It is anticipated that most activities under this ROSS funding will be categorically excluded under 24 CFR 50.19(b)(3), (b)(9), (b)(12), or (b)(14). An applicant proposing any acquisition, including long-term leasing, disposition, or physical development activities is prohibited from rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) If the grantee is not a PHA, HUD has completed an environmental review to the extent required by 24 CFR part 50, prior to grant award.

(2) If the grantee is a PHA, HUD has approved the grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review under 24 CFR part 58, where required, or if HUD has determined in accordance with § 58.11 to perform the environmental review itself under part 50, HUD has completed the environmental review.

#### **IX. Authority**

Section 34 of the U.S. Housing Act of 1937.

BILLING CODE 4210-32-P

Appendix A

The non-standard forms, which follow, are required for the ROSS application.

**RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM**

**APPLICATION FOR FY 2000 FUNDING COVER SHEET**

**Funding Category (Check only ONE):**

- Resident Management and Business Development
- Capacity Building
- Conflict Resolution
- Resident Service Delivery Models – Family
- Resident Service Delivery Models – Elderly/Disabled
- Service Coordinators

**Submitted By:**

\_\_\_\_\_ (Applicant Name)

**Contact Person:**

\_\_\_\_\_

**Telephone:** (    )

\_\_\_\_\_

**Delivered To:**

\_\_\_\_\_ (HUD Field Office)

**Date:**

\_\_\_\_\_

**PLEASE USE THIS PAGE AS COVER PAGE**

**ROSS FY 2000 FUNDING**

**FACT SHEET**

**Applicant Information**

Applicant: \_\_\_\_\_

Applicant Type: \_\_\_\_\_ PHA \_\_\_\_\_ RA \_\_\_\_\_ IRO \_\_\_\_\_ NONPROFIT

HUD Region: \_\_\_\_\_ State: \_\_\_\_\_ HUD Field Office: \_\_\_\_\_

**Contact**

Name/Title \_\_\_\_\_

Street Address \_\_\_\_\_

City/State/Zip \_\_\_\_\_

Telephone No. ( ) \_\_\_\_\_

Fax No. ( ) \_\_\_\_\_

**Assistance for which the applicant is applying:**

- \_\_\_\_\_ Resident Management and Business Development
- \_\_\_\_\_ Capacity Building
- \_\_\_\_\_ Conflict Resolution
- \_\_\_\_\_ Resident Service Delivery Models - Family
- \_\_\_\_\_ Resident Service Delivery Models - Elderly/Disabled
- \_\_\_\_\_ Service Coordinator Renewal

**SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION**

Name of Board Member	Title	Appointment	Term Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Date of Last Board Election: \_\_\_\_\_

Does the organization have block captains? Yes\_\_\_\_ No\_\_\_\_

Does the organization have an operating committee? Yes\_\_\_\_ No\_\_\_\_

**ROSS FY 2000 FUNDING**

**PROGRAM SUMMARY**

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Applicant type:** \_\_\_\_\_ **PHA** \_\_\_\_\_ **RA** \_\_\_\_\_ **IRO** \_\_\_\_\_ **NONPROFIT**

**Funding Category:** \_\_\_\_\_

This narrative will be used for congressional notification and will serve as the official program summary.

**A.** Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

**ROSS FY 2000 FUNDING**

**PROGRAM SUMMARY (continued)**

**B.** Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name                      In-Kind/Cash Contribution      # Persons Served

\_\_\_\_\_

Partner's Address

\_\_\_\_\_

Partner's Name                      In-Kind/Cash Contribution      # Persons Served

\_\_\_\_\_

Partner's Address

\_\_\_\_\_

Partner's Name                      In-Kind/Cash Contribution      # Persons Served

\_\_\_\_\_

Partner's Address

\_\_\_\_\_

Partner's Name                      In-Kind/Cash Contribution      # Persons Served

\_\_\_\_\_

Partner's Address

\_\_\_\_\_

TOTAL                                      \_\_\_\_\_

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**APPLICATION CHECKLIST**

**I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.**

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
**Applicant Chief Executive Officer or Other Authorized Representative**

For Applicant: \_\_\_\_\_

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

**COVER MATERIALS (See Part II of this application kit for forms in this tab.)**

- Table of Contents \_\_\_\_\_
- Application Checklist \_\_\_\_\_
- Application for Federal Assistance  
(Form SF-424) \_\_\_\_\_
- Federal Assistance Funding Matrix  
(Form SF-424M) \_\_\_\_\_
- Standard Form for Budget Information—  
Non-Construction Programs (Form SF-424A) \_\_\_\_\_
- Assurances—Non-Construction Programs  
(Form SF-424B) \_\_\_\_\_
- Fact Sheet \_\_\_\_\_
- Program Summary \_\_\_\_\_

**TAB 1: Threshold Requirements**

- Threshold Checklist \_\_\_\_\_
- RMBD Certification on Residents Affected by  
Welfare Reform \_\_\_\_\_

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**APPLICATION CHECK LIST (Continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Memorandum of Understanding (MOU) for Partnership between Applicant/PHA	_____	_____
<input type="checkbox"/> Accessible Community Facility – Executed Use Agreement or MOU	_____	_____
<input type="checkbox"/> Match Agreements – Not less than 25% of grant requested	_____	_____
<input type="checkbox"/> Contract Administrator Signed Statement	_____	_____
<input type="checkbox"/> Proof of Applicant Nonprofit Status – Copy of Certification of Incorporation or Good Standing from the State	_____	_____
<input type="checkbox"/> Certification of Resident Council Board Election	_____	_____
<input type="checkbox"/> List of RAs To Receive Support (CWROs only)	_____	_____
<input type="checkbox"/> Physical Improvements (Only for applicants proposing physical improvements) --A description of the renovation or conversion to be conducted, along with a budget and timetable for those activities --A firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities.	_____	_____
<input type="checkbox"/> Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements	_____	_____

**TAB 2: Program Description and Budget**

<input type="checkbox"/> Program Activities Description—Narrative	_____	_____
<input type="checkbox"/> Your Resident Organization and it's History—Narrative	_____	_____
<input type="checkbox"/> Chart A: RMBD Grant Staffing	_____	_____

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**APPLICATION CHECK LIST (Continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Resumes	_____	_____
<input type="checkbox"/> Chart B: RMBD Applicant/Administrator Track Record	_____	_____
<input type="checkbox"/> Chart C: RMBD Summary Budget Line Items	_____	_____
<input type="checkbox"/> Chart D: RMBD Budget Work Plan Summary, Parts I and II	_____	_____

**TAB 3: Other Certifications and Assurances  
(See Part VII of this Application Kit for all forms in this tab.)**

<input type="checkbox"/> Certification for a Drug-Free Workplace (Form HUD-50070)	_____	_____
<input type="checkbox"/> Certification of Payments to Influence Federal Transactions (Form HUD-50071)	_____	_____
<input type="checkbox"/> Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A)	_____	_____
<input type="checkbox"/> Applicant/Recipient Disclosure/Update Report (Form HUD-2880)	_____	_____
<input type="checkbox"/> Certification or Disbarment and Suspension (Form HUD-2992)	_____	_____
<input type="checkbox"/> Acknowledgement of Application Receipt (Form HUD-2993)	_____	_____
<input type="checkbox"/> Client Comments and Suggestions (Form HUD-2994)	_____	_____



**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

***THRESHOLD CHECKLIST***

**Applicant:** \_\_\_\_\_

**Date:** \_\_\_\_\_

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section IV (A)(8) and SuperNOFA, General Section II.)

<b>THRESHOLD REQUIREMENT</b>	<b>APPLICANT USE ONLY</b>	<b>HUD USE ONLY</b>
1. Certification on Residents Affected by Welfare Reform	_____	_____
2. Memorandum of Understanding (MOU) for Partnership between Applicant/PHA	_____	_____
3. Accessible Community Facility - Executed Use Agreement or MOU	_____	_____
4. Match Agreements	_____	_____
5. Contract Administrator Signed Statement	_____	_____
6. Proof of Applicant Nonprofit Status	_____	_____
7. Certification of Resident Council Board Election	_____	_____
8. List of RAs to Receive Support (CWRO applicants only)	_____	_____
9. Physical Improvements (Only for applicants proposing physical improvements)	_____	_____
10. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements	_____	_____
11. All Certifications and Assurances required by General Section SuperNOFA are in Tab 3	_____	_____

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: \_\_\_\_\_

Date: \_\_\_\_\_

**THRESHOLD REQUIREMENTS**

1. Focus on Residents Affected by Welfare Reform. Your RMBD application must contain the following written certification that at least 51% of residents to be included in your proposed program are affected by welfare reform.

**RMBD CERTIFICATION ON RESIDENTS AFFECTED  
BY WELFARE REFORM**

I certify that a total of \_\_\_\_\_ people reside in the housing developments listed below, which are targeted for activities during the proposed RMBD grant.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This proposed RMBD grant will serve a total of \_\_\_\_\_ residents. Included in the recipients to be served are residents affected by welfare reform who are:

(1) Currently eligible to receive, are currently receiving, or shall have received within the preceding 4 years assistance or services funded under Temporary Assistance for Needy Families (TANF), SSI, or Food Stamps.

(2) Elderly or disabled, otherwise not affected by welfare reform, who will provide services such as child care or mentoring to families affected by welfare reform.

I certify that \_\_\_\_\_% of the residents to served are affected by welfare reform, as defined above. **At least 51% of residents must be affected by welfare reform for your application to meet the threshold requirement of this NOFA.**

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*President of Resident Organization or other Authorized Representative*

For: \_\_\_\_\_  
*Applicant Name*

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

- 6. Proof of Applicant Nonprofit Status. You must submit evidence that your organization are registered with the State as a nonprofit corporation at the time of application submission. Evidence of State incorporation/registration for all applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations).

In addition, **CWROs only** must have Section 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission. Evidence of 501(c) status shall be a copy of the IRS 501(c) designation.

- 7. Certification of Resident Council Board Election. You must submit certification of the Resident Organization board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

**CERTIFICATION OF RESIDENT COUNCIL BOARD ELECTION**

I CERTIFY that \_\_\_\_\_  
(name of organization)

located in \_\_\_\_\_ has duly elected  
(city & state)

all of the Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations, Part 964.

Date of Last Resident Council Board Election: \_\_\_\_\_.

\_\_\_\_\_  
(Name and Title of Certifying Housing Agency Official)

\_\_\_\_\_  
(Signature) (Date)

\_\_\_\_\_  
(Name and Title of Independent Third-Party Monitor)

\_\_\_\_\_  
(Signature) (Date)

\_\_\_\_\_  
NOTARY (Signature & Date)



**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**Certification of Consistency and Compliance with General  
SuperNOFA Threshold Requirements**

I CERTIFY that the proposed RMBD activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*President of Resident Organization or Other Authorized Representative*

For: \_\_\_\_\_  
*Applicant*

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**Chart A: RMBD Grant Staffing**      Applicant Name: \_\_\_\_\_

I. Applicant (RA or CWRO)				
Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant
II. CONTRACT ADMINISTRATOR				
Contract Administrator to be Solicited				
II. CONSULTANT(S)/TRAINERS/SVC. PROVIDERS/OTHER EXPERTS				
Consultants/Trainers to be Solicited				

**Chart B: RMBD Applicant/Administrator Track Record**  
**Applicant:**

Program	Project No.	% of Term Complete	% of Funds Drawn Down	Major Goal #1	% Complete	Major Goal #2	% Complete

**ROSS FY 2000 FUNDING  
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**CHART C  
RMBD BUDGET LINE ITEM SUMMARY**

**Applicant Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Please check the following as appropriate for your proposed program.

**Resident Management and Business Development**

- |       |             |  |
|-------|-------------|--|
| _____ | <b>1010</b> | <b>Physical Improvements</b>                           |
| _____ | <b>1020</b> | <b>Resident Business Development</b>                   |
| _____ | 1021        | Develop Business Plan                                  |
| _____ | 1022        | Conduct Market Analysis                                |
| _____ | 1023        | Licensing, Insurance Bonding                           |
| _____ | 1024        | Training Related to Resident Owned Business            |
| _____ | 1025        | Establishment of Resident Managed Business Development |
| _____ | 1026        | Technical Assistance                                   |
| _____ | <b>1030</b> | <b>Resident Organization Development Activities</b>    |
| _____ | 1031        | Organize Community                                     |
| _____ | 1032        | Operating Procedures                                   |
| _____ | 1033        | Develop MOU  |
| _____ | 1034        | Develop Plan for Technical Assistance                  |
| _____ | 1035        | Consultant Contracts                                   |
| _____ | 1036        | Self Sufficiency Programs                              |
| _____ | <b>1040</b> | <b>Resident Management</b>                             |
| _____ | 1041        | Conduct Feasibility Study                              |
| _____ | 1042        | Secure Training/Skills/Expertise                       |
| _____ | 1043        | Develop MOU  |
| _____ | 1044        | Secure T/A to Draft Contract                           |
| _____ | 1045        | Negotiate Contract with PHA                            |
| _____ | 1046        | Conduct Resident Training/Preparation                  |
| _____ | <b>1050</b> | <b>Self Sufficiency Program</b>                        |
| _____ | 1051        | Employment and Job Readiness                           |
| _____ | 1052        | Job Training   |
| _____ | 1053        | Management Related Employment Training                 |
| _____ | 1054        | Vocational Training                                    |
| _____ | 1055        | Technical Assistance                                   |
| _____ | <b>1060</b> | <b>Supportive Services</b>                             |
| _____ | <b>9100</b> | <b>Travel Costs</b>                                    |
| _____ | <b>9200</b> | <b>Other Resident Costs (Stipends, Reimbursements)</b> |
| _____ | <b>9300</b> | <b>Contract Administrator</b>                          |
| _____ | <b>9400</b> | <b>Administrative and Other Costs</b>                  |



**Chart D: RMBD Budget Workplan Summary - Part I**      **Applicant:** \_\_\_\_\_

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
<b>1010 Physical Improvements</b>				
TOTAL: \$				
<b>1020 Resident Business Dev.</b>				
TOTAL: \$				
1021	Develop Business Plan			
1022	Conduct Market Analysis			
1023	Licensing, Insurance, Bonding			
1024	Training Related to Resident Owned Business			
1025	Establishment of Resident Managed Business Dev.			
1026	Technical Assistance			

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**Chart D: RMBD Budget Workplan Summary – Part I (cont'd) Applicant:**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
<b>1030 Resident Org. Dev. Activities</b> TOTAL: \$				
1031 Organize Community				
1032 Operating Procedures				
1033 Develop MOU				
1034 Develop Plan for Technical Assistance				
1035 Consultant Contracts				
1036 Self Sufficiency Programs				
<b>1040 Resident Management</b> TOTAL: \$				

**Chart D: RMBD Budget Workplan Summary - Part I (cont'd) Applicant:**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
1041 Conduct Feasibility Study				
1042 Secure Training/Skills/Expertise				
1043 Develop MOU				
1044 Secure T/A to Draft Contract				
1045 Negotiate Contract with PHA				
1046 Conduct Resident Training/Preparation				
<b>1050 Self Sufficiency Program</b> Total: \$				

**Chart D: RMBD Budget Workplan Summary - Part I (cont'd)**      Applicant: \_\_\_\_\_

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
<b>1051</b> Employment and Job Readiness				
<b>1052</b> Job Training				
<b>1053</b> Management Related Employment Training				
<b>1054</b> Vocational Training				
<b>1055</b> Technical Assistance				
<b>1060 Supportive Services</b>				
TOTAL: \$				
<b>9100 Travel Costs</b>				
TOTAL: \$				
<b>9200 Other Resident Costs (Stipends, Reimbursements)</b>				
TOTAL: \$				

**Chart D: RMBD Budget Workplan Summary - Part I (cont'd)**      Applicant: \_\_\_\_\_

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RMBD GRANT FUNDS	NON-RMBD/PARTNER FUNDS	ACTIVITY START/END DATES
<b>9300 Contract Administrator</b>				
TOTAL: \$				
<b>9400 Admin. and Other Costs</b>				
TOTAL: \$				

**Chart D: RMBD Budget Workplan Summary - Part II**

Please insert below the totals for each Summary Budget Line Item to be included in your grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	RMBD GRANT TOTAL
1010 Physical Improvements	\$
1020 Resident Business Development	\$
1030 Resident Organization Development Activities	\$
1040 Resident Management	\$
1050 Self Sufficiency Program	\$
1060 Supportive Services	\$
9100 Travel Costs	\$
9200 Other Resident Costs (Stipends, Reimbursements, etc.)	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
<b>TOTAL of all RMBD Funds Requested</b>	\$

**ROSS FY 2000 FUNDING**

**CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**APPLICATION CHECKLIST**

I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
**Applicant Chief Executive Officer or Other Authorized Representative**

For Applicant: \_\_\_\_\_

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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**Cover Materials**  
 (See Part II of this application kit for forms in this tab.)

- |  |       |       |
|--|-------|-------|
| <input type="checkbox"/> Table of Contents   | _____ | _____ |
| <input type="checkbox"/> Application Checklist   | _____ | _____ |
| <input type="checkbox"/> Application Cover Sheet   | _____ | _____ |
| <input type="checkbox"/> Application for Federal Assistance<br>(Standard Form SF-424)              | _____ | _____ |
| <input type="checkbox"/> Federal Assistance Funding Matrix<br>(Standard Form SF-424M)              | _____ | _____ |
| <input type="checkbox"/> Budget Information — Non-Construction<br>Programs (Standard Form SF-424A) | _____ | _____ |
| <input type="checkbox"/> Assurances—Non-Construction Programs<br>(Standard Form SF-424B)           | _____ | _____ |
| <input type="checkbox"/> Fact Sheet  | _____ | _____ |
| <input type="checkbox"/> Program Summary   | _____ | _____ |

**CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**APPLICATION CHECKLIST (continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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**TAB 1: Threshold Requirements**

- Threshold Checklist \_\_\_\_\_
- Written Agreement/Work Plan With Mediator  
(Conflict Resolution only) \_\_\_\_\_
- Mediation Experience Certification **AND** one  
referral agreement with a judicial, law  
enforcement, or social service agency  
**OR** a narrative on direct experience with  
public or assisted housing residents. \_\_\_\_\_
- Proof of Applicant Nonprofit Status -- Copy of  
Certification of Incorporation or Good Standing  
from the State **and** Copy of IRS 501(c) designation \_\_\_\_\_
- Match Agreements -- Not less than 25% of  
grant requested \_\_\_\_\_
- List of RAs to Receive Support \_\_\_\_\_
- Certification of Consistency and Compliance  
with General SuperNOFA Threshold Requirements \_\_\_\_\_

**TAB 2: Program Description and Budget**

- Needs Assessment Report \_\_\_\_\_
- Program Activities Description \_\_\_\_\_
- Experience and Staffing—Narrative \_\_\_\_\_
- Chart A: CB/CR Grant Staffing \_\_\_\_\_
- Resumes \_\_\_\_\_
- Chart B: Applicant Track Record \_\_\_\_\_
- Budget and Cost Information Summary \_\_\_\_\_
- Chart C: Summary Budget Line Items \_\_\_\_\_
- Chart D: Budget Workplan Summary, Parts I and II \_\_\_\_\_

**CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**APPLICATION CHECKLIST (continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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**TAB 3: Other Certifications and Assurances**  
 (See Part VII of this Application Kit for all forms in this tab.)

- Certification for a Drug-Free Workplace  
 (Form HUD-50070) \_\_\_\_\_
- Certification of Payments to Influence Federal  
 Transactions (Form HUD-50071) \_\_\_\_\_
- Disclosure of Lobbying Activities  
 (Form SF- LLL) and Disclosure of Lobbying  
 Activities Continuation Sheet (Form SF-LLL-A) \_\_\_\_\_
- Applicant/Recipient Disclosure/Update  
 Report (Form HUD-2880) \_\_\_\_\_
- Certification or Disbarment and Suspension  
 (Form HUD-2992) \_\_\_\_\_
- Acknowledgement of Application Receipt  
 (Form HUD-2993) \_\_\_\_\_
- Client Comments and Suggestions  
 (Form HUD-2994) \_\_\_\_\_



**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**THRESHOLD CHECKLIST**

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See ROSS NOFA, Section IV (B) (7) and General SuperNOFA Section II)

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE ONLY
1. Written Agreement/Work Plan with Mediator (Conflict Resolution only)	_____	_____
2. Mediation Experience Certification <b>AND</b> one referral agreement with a judicial, Law enforcement, or social service agency <b>OR</b> a narrative on direct experience with public or assisted housing residents. (Conflict Resolution only)	_____	_____
3. Proof of Applicant Nonprofit Status -- Copy of Certification of Incorporation or Good Standing from the State <b>and</b> Copy of IRS 501(c) designation	_____	_____
4. Match Agreements	_____	_____
5. List of RAs to Receive Training, Technical Assistance, or Supportive Services	_____	_____
6. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements	_____	_____
7. All Certifications and Assurances required by the General Section of the SuperNOFA are in Tab 3	_____	_____

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**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

***Threshold Requirements***

1. Written Agreement/Work Plan with Mediator. **Conflict Resolution applicants only** must develop a work plan with a professional mediator or mediation organization (mediator/partner) that outlines the roles and responsibilities of each party, as well as any compensation to the mediator/partner (which must be reasonable and based on the work to be performed). The work plan must specify that the mediator/partner will train grantee staff and/or volunteers such that the grantee staff and/or volunteers will be capable of providing mediation assistance independently by the end of the grant term.
  
2. Mediation Experience/Referral Agreement. **Conflict Resolution applicants only** must provide evidence that their mediator/partner has at least one year of experience in providing mediation services and at least one year of experience in mediation training. Include **either** one referral agreement with a judicial, law enforcement, or social service agency such as the court system or Welfare Department for mediation referral of public housing residents, **or** a narrative description of direct experience with public or assisted housing residents.

To demonstrate mediation experience, also complete the Certificate of Mediation Experience that follows. Please add partner agency names and signatures as necessary.

**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**CERTIFICATE OF MEDIATION EXPERIENCE**

All Conflict Resolution applicants must provide the following certification of their mediation/PHA partner's experience with providing mediation services and mediation training/grass roots intervention experience. All applicants must also attach **either** one referral agreement with a judicial, law enforcement, or social service agency such as the court system or Welfare Department for mediation referral of public housing residents, or a narrative description of direct experience with public or assisted housing residents.

The Applicant \_\_\_\_\_ certifies that:

\_\_\_\_\_ All mediator/PHA partners must have at least one year of experience in providing mediation services.

**AND**

\_\_\_\_\_ All mediator/PHA partners must have at least one year of experience in providing mediation training and/or effective grass roots intervention experience.

\_\_\_\_\_  
Applicant Signature Date

\_\_\_\_\_  
Partner Agency Name Date

\_\_\_\_\_  
Partner Signature

\_\_\_\_\_  
Partner Agency Name Date

\_\_\_\_\_  
Partner Signature

**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

3. Applicant Nonprofit Status. You must provide evidence that the applicant is both registered with the State as a nonprofit corporation **and** has 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

Evidence of State registration shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (i.e. Secretary of State or Secretary of Corporations). Evidence of an applicant's current 501(c) nonprofit status shall be a copy of the IRS's 501(c) designation.

4. Match Requirement. CB and CR applicants must supplement grants funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS funds); funds from any State or local government sources; and funds from private contributions.

Both CB and CR applications must demonstrate that the cash or in-kind resources and services, which the applicant will use as match amounts (including resources from the applicant's Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services, signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon an applicant receiving a grant award.

Attach all separate firm commitments that equal at least 25% of the CB/CR grant amount requested. See the NOFA Section IV (B)(7)(e) for guidelines on valuing in-kind contributions.

5. List of RAs to Receive Support. In both CB and CR applications, eligible applicants **must** list in their application the name of the RAs that will receive training, technical assistance and/or coordinated supportive services **and** must submit letters of support from each entity identified in the application. Also acceptable is one statement of support for the application that is signed by each Resident Association to be served.

FY 2000 Capacity Building/Conflict Resolution

Name of the Resident Association	Resident Contact Person	Address, City & State	Housing Authority

Applicant: \_\_\_\_\_

**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant: \_\_\_\_\_

Date: \_\_\_\_\_

6. General SuperNOFA Threshold Requirements {Section II (B), (C), (D), (F), & (H)}.

You must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). If you, the applicant, **(a)** have been charged by the Secretary with a systemic violation of the *Fair Housing Act* alleging ongoing discrimination, **(b)** are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination, or **(c)** have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, then you are not eligible to apply for funding under this NOFA until you resolve such charge, lawsuit, or letter of findings to the satisfaction of HUD. HUD will verify the applicant's compliance with this portion of the General SuperNOFA thresholds. You are **not** required to submit any documentation in your application.

To meet the additional General SuperNOFA Threshold Requirements, you **must** complete the following Certification of Consistency and Compliance with General SuperNOFA Requirements.

**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

***Certification of Consistency and Compliance with General  
SuperNOFA Threshold Requirements***

I CERTIFY that the proposed CB or CR activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in your application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*Applicant Chief Executive Officer or Other Authorized Representative*

For: \_\_\_\_\_

Chart A: CB/CR GRANT STAFFING      Applicant Name: \_\_\_\_\_

I. APPLICANT				
Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant
II. CONTRACTOR ROLE				
Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program		



**Chart B: CB/CR Applicant Track Record**  
**Applicant:** \_\_\_\_\_

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete

**ROSS FY 2000 FUNDING  
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**CHART C  
CB/CR SUMMARY BUDGET LINE ITEMS**

**Applicant Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Check the appropriate line items for the grant for which you are applying.

**Capacity Building**

- \_\_\_\_\_ **3000**            **Capacity Building Activities**
- \_\_\_\_\_ 3010            Training
- \_\_\_\_\_ 3011            Consultants
- \_\_\_\_\_ 3012            Other
  
- \_\_\_\_\_ **9100**           **Travel Costs**
- \_\_\_\_\_ **9400**           **Administrative Costs**

**Conflict Resolution**

- \_\_\_\_\_ **4000**            **Mediation Activities**
- \_\_\_\_\_ 4010            Establishment of Violence Free Zones
- \_\_\_\_\_ 4011            Youth Services Activities
- \_\_\_\_\_ 4012            Resident/PHA Issues
- \_\_\_\_\_ 4013            Development of Materials
- \_\_\_\_\_ 4014            Training for Mediation/Reconciliation
- \_\_\_\_\_ 4015            Technical Assistance to RAs
  
- \_\_\_\_\_ **9100**           **Travel Costs**
- \_\_\_\_\_ **9400**           **Administrative Costs**

**CHART D: BUDGET WORK PLAN SUMMARY -PART I (Capacity Building or Conflict Resolution) Applicant Name:**

BUDGET LINE ITEM Include grant funding totals in each bolded line item.	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	CB/CR GRANT FUNDS	NON-CB/CR PARTNER FUNDS	ACTIVITY START/END DATE
<b>3000 Capacity Building Activities</b>				
TOTAL: \$				
3010				
Training				
3011				
Consultants				
3012				
Other				
<b>9100 Travel Costs</b>				
TOTAL: \$				
<b>9400 Administrative Costs</b>				
TOTAL: \$				

**CHART D: BUDGET WORK PLAN SUMMARY-PART I (Continued)**

<b>BUDGET LINE ITEM</b> Include grant funding totals in each bolded line item.	<b>ACTIVITIES</b> (Identify lead agency: housing authority, contractor, subgrantee, etc)	<b>CB/CR GRANT FUNDS</b>	<b>NON-CB/CR PARTNER FUNDS</b>	<b>ACTIVITY START/END DATE</b>
<b>4000 Mediation Activities</b>				
TOTAL: \$				
4010				
Establishment of Violence Free Zones				
4011				
Youth Services Activities				
4012				
Resident/PHA Issues				
4013				
Development of Materials				
4014				
Training for Mediation/Reconciliation				
4015				
Technical Assistance to RAs				

**CHART D: BUDGET WORK PLAN SUMMARY-PART I (Continued)**

BUDGET LINE ITEM Include grant funding totals in each bolded line item.	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	CB/CR GRANT FUNDS	NON-CB/CR PARTNER FUNDS	ACTIVITY START/END DATE
<b>9100 Travel Costs</b> TOTAL: \$				
<b>9400 Administrative Costs</b> TOTAL: \$				

**Chart D: CB/CR Budget Work Plan Summary - Part II (Capacity Building)**

Please insert below the totals for each Summary Budget Line Item to be included in your Capacity Building grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	CB GRANT TOTAL
3000 Capacity Building Activities	\$
9100 Travel Costs	\$
9400 Administrative and Other Costs	\$
<b>TOTAL of all Capacity Building Funds Requested</b>	\$

**Chart D: CB/CR Budget Work Plan Summary - Part II (Conflict Resolution)**

Please insert below the totals for each Summary Budget Line Item to be included in your Conflict Resolution grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	CR GRANT TOTAL
4000 Mediation Services	\$
9100 Travel Costs	\$
9400 Administrative and Other Costs	\$
<b>TOTAL of all Conflict Resolution Funds Requested</b>	\$

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**APPLICATION CHECKLIST**

**I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.**

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
Applicant Chief Executive Officer or Other Authorized Representative

For Applicant: \_\_\_\_\_

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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**COVER MATERIALS (See Part II of this application kit for forms in this tab.)**

- Application Checklist \_\_\_\_\_
- Application Cover Sheet \_\_\_\_\_
- Application for Federal Assistance  
(Standard Form SF-424) \_\_\_\_\_
- Federal Assistance Funding Matrix  
(Standard Form SF-424M) \_\_\_\_\_
- Standard Form for Budget Information—  
Non-Construction Programs (SF-424A) \_\_\_\_\_
- Assurances – Non-Construction  
Programs (Form SF-424B) \_\_\_\_\_
- Fact Sheet \_\_\_\_\_
- Program Summary \_\_\_\_\_

**TAB 1: Threshold Requirements**

- Threshold Checklist \_\_\_\_\_
- Certification on Resident Affected by Welfare  
Reform (Family RSDM Applicants Only) \_\_\_\_\_
- Elderly Housing Development Certification  
(Elderly RSDM Applicants Only) \_\_\_\_\_

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**APPLICATION CHECKLIST (Continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Accessible Community Facility—Executed Use Agreement or MOU	_____	_____
<input type="checkbox"/> Match Agreements-Not less than 25% of grant requested	_____	_____
<input type="checkbox"/> Physical Improvements (Only for applicants proposing physical improvements) --A description of the renovation or conversion to be conducted, along with a budget and timetable for those activities --A firm commitment of assistance from one or more sources enduring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities.	_____	_____
<input type="checkbox"/> Contract Administrator Signed Statement	_____	_____
<input type="checkbox"/> Proof of Nonprofit Status (RA, IRO, and Nonprofit Applicants Only)	_____	_____
<input type="checkbox"/> Certification of Resident Council Board Election (RA Applicants Only)	_____	_____
<input type="checkbox"/> List of RAs to Be Served	_____	_____
<input type="checkbox"/> Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements Certification	_____	_____

**TAB 2: Capacity of the Applicant and Relevant Organizational Experience**

<input type="checkbox"/> Chart A: Program Staffing	_____	_____
<input type="checkbox"/> Narrative on proposed staffing and coordination among service providers	_____	_____
<input type="checkbox"/> Chart B: Applicant/Administrator Track Record	_____	_____
<input type="checkbox"/> Organization Chart	_____	_____
<input type="checkbox"/> Staff Position Descriptions	_____	_____
<input type="checkbox"/> Staff Resumes	_____	_____

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**APPLICATION CHECKLIST (Continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Narrative on program administration and fiscal management structure	_____	_____
<b>TAB 3: Needs/Extent of Problem</b>		
<input type="checkbox"/> Needs Assessment Report	_____	_____
<input type="checkbox"/> Narrative on level of priority in Consolidated Plan	_____	_____
<b>TAB 4: Soundness of Approach</b>		
<input type="checkbox"/> Narrative describing proposed services	_____	_____
<input type="checkbox"/> Narrative on resident contracting and employment	_____	_____
<input type="checkbox"/> Chart C: Summary Budget Line Items	_____	_____
<input type="checkbox"/> Chart D: Budget Work Plan Summary, Parts I and II	_____	_____
<input type="checkbox"/> Narrative on program assessment	_____	_____
<input type="checkbox"/> Narrative on resident involvement and other partnerships	_____	_____
<input type="checkbox"/> Narrative on relationship coordination	_____	_____
<b>TAB 5: Leveraging Resources</b>		
<input type="checkbox"/> Narrative on the contributions, roles, and responsibilities of each partner	_____	_____
<b>TAB 6: Comprehensiveness and Coordination</b>		
<input type="checkbox"/> Narrative demonstrating review of Consolidated Plan	_____	_____
<input type="checkbox"/> Narrative summarizing State or local welfare plan	_____	_____
<input type="checkbox"/> Narrative on coordination with other activities	_____	_____
<input type="checkbox"/> Certification of Consistency w/ the Consolidated Plan	_____	_____



**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**APPLICATION CHECKLIST (Continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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**TAB 7: Bonus Points**

- EZ/EC Certification \_\_\_\_\_

**TAB 8: Other Certifications and Assurances**

(See Section VII of this Application Kit for all forms in this tab.)

- Certification for a Drug-Free Workplace  
(Form HUD-50070) \_\_\_\_\_
- Certification of Payments to Influence  
Federal Transactions (Form HUD 50071) \_\_\_\_\_
- Disclosure of Lobbying Activities (Form SF- LLL)  
and Disclosure of Lobbying Activities Continuation  
Sheet (Form SF-LLL-A) \_\_\_\_\_
- Applicant/Recipient Disclosure/Update Report  
(Form HUD-2880) \_\_\_\_\_
- Certification or Disbarment and Suspension  
(Form HUD-2992) \_\_\_\_\_
- Acknowledgement of Application Receipt  
(Form HUD-2993) \_\_\_\_\_
- Client Comments and Suggestions (Form HUD-2994) \_\_\_\_\_

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

***THRESHOLD CHECKLIST***

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section V (G) and General SuperNOFA Section II).

<b>THRESHOLD REQUIREMENT</b>	<b>APPLICANT USE ONLY</b>	<b>HUD USE ONLY</b>
1. Certification on Residents Affected by Welfare Reform (Family applicants only)	_____	_____
2. Elderly Housing Development Certification (Elderly applicants only)	_____	_____
3. Accessible Community Facility-- Executed Use Agreement or MOU	_____	_____
4. Match Agreements	_____	_____
5. Physical Improvements (Only for applicants proposing physical improvements)	_____	_____
6. Contract Administrator Signed Statement	_____	_____
7. Proof of Applicant Nonprofit Status <del>(RA and non-profit applicants only)</del>	_____	_____
8. Certification of Resident Board Election (RA applicants only)	_____	_____
9. List of RAs to be Served	_____	_____
10. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements Certification	_____	_____

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**Applicant:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**THRESHOLD REQUIREMENTS**

1. Focus on Residents Affected by Welfare Reform. This requirement is not applicable to your program if it serves the elderly or persons with disabilities. Your Family RSDM application must contain a certification (using the certification provided below) that at least 51% of residents to be included in your proposed program are affected by welfare reform.

**RSDM CERTIFICATION ON RESIDENTS AFFECTED  
BY WELFARE REFORM**

I certify that a total of \_\_\_\_\_ people reside in the housing developments listed below, which are targeted for activities during the proposed RSDM grant.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This proposed RSDM grant will serve a total of \_\_\_\_\_ residents. Included in the recipients to be served are residents affected by welfare reform who are either:

- (1) Currently eligible to receive, are currently receiving, or shall have received within the preceding 4 years assistance or services funded under Temporary Assistance for Needy Families (TANF), SSI, or Food Stamps.
- (2) Elderly or disabled persons, otherwise not affected by welfare reform, who will provide services such as child care or mentoring to families affected by welfare reform.

I certify that \_\_\_\_\_% of residents to be served are affected by welfare reform, as defined above. **At least 51% of residents must be affected by welfare reform for your application to meet the threshold requirement of this NOFA.**

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*Applicant Executive Director or other Authorized Representative*

For: \_\_\_\_\_  
*Applicant Name*

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**Applicant:** \_\_\_\_\_

**Date:** \_\_\_\_\_

2. Elderly Housing Development Certification. You must certify that at least 25% of the residents in the development(s) proposed for the grant activities are elderly and/or non-elderly people with disabilities.

**RSDM ELDERLY HOUSING  
DEVELOPMENT CERTIFICATION**

I CERTIFY that \_\_\_\_\_% of the residents in the development(s) proposed for the grant activities are elderly and/or non-elderly people with disabilities at the time of the application; thereby meeting or exceeding the 25% requirement.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*Applicant Executive Director or other Authorized Representative*

For: \_\_\_\_\_  
*Applicant Name*

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

Applicant: \_\_\_\_\_

Date: \_\_\_\_\_

7. Applicant Nonprofit Status. Both RA and nonprofit applicants (including Intermediary Resident Organizations) must submit evidence that the applicant is registered with the State as a nonprofit corporation at the time of application submission. Nonprofit applicants (including Intermediary Resident Organizations) also must have Section 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

Evidence of State incorporation for all nonprofit applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of a nonprofit applicant's 501(c) status shall be a copy of the IRS 501(c) designation.

8. Certification of Resident Board Election. RA applicants must submit certification of the RA board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

***Certification of Resident Council Board Election***

I CERTIFY \_\_\_\_\_  
(name of organization)

located in \_\_\_\_\_ has duly elected all  
(city & state)

of Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations (CFR), Part 964.

Date of Last Resident Council Board Election: \_\_\_\_\_

\_\_\_\_\_  
(Name and Title of Certifying Housing Agency Official)

\_\_\_\_\_  
(Signature) (Date)

\_\_\_\_\_  
(Name and Title of Independent Third-Party Monitor)

\_\_\_\_\_  
(Signature) (Date)

NOTARY (*Signature & Date*) \_\_\_\_\_



**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**CERTIFICATION OF CONSISTENCY AND COMPLIANCE WITH  
GENERAL SUPERNOFA THRESHOLD REQUIREMENTS**

I CERTIFY that the proposed RSDM activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and **implementing** regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*Applicant Chief Executive Officer or Other Authorized Representative*

For: \_\_\_\_\_  
*Applicant*

**Chart A: RSDM GRANT STAFFING**      Applicant Name: \_\_\_\_\_

<b>I. APPLICANT STAFF</b>				
Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant
Budget line item 2005 Program Coordination				
<b>II. CONTRACTOR/CONSULTANT ROLE</b>				
Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program		
<b>III. Contract Administrator</b>				
Budget Line Item 9300 Contract Administrator				



**Chart B: RSDM Applicant/Administrator Track Record**  
Applicant: \_\_\_\_\_

Program	Project No.	% of Term Complete	% of Funds Drawn Down	Major Goal #1	% Complete	Major Goal #2	% Complete

**ROSS FY 2000 FUNDING  
RESIDENT SERVICE DELIVERY MODELS**

**Chart C  
RSDM SUMMARY BUDGET LINE ITEMS**

**Applicant Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Please check specific budget amounts for each line item. These budget line items and amounts will be programmed into HUD's Line of Credit Control System (LOCCS) for designating and tracking uses of grant drawdowns.

BUDGET LINE ITEM	AMOUNT
<b>2005</b> <b>Program Coordinator</b>	_____
<b>2010</b> <b>Physical Improvements</b>	_____
<b>2020</b> <b>Entrepreneur Business Development</b>	_____
2021      Establishing A Revolving Loan Fund	_____
2022      Developing a Credit Union	_____
<b>2030</b> <b>Business Development</b>	_____
2031      Develop Business Plan	_____
2032      Conduct Market Analysis	_____
2033      Secure Licensing, Insurance, Bonding	_____
2034      Training Related to Resident Owned Business	_____
2035      Establishment of Resident Managed Business Development	_____
<b>2040</b> <b>Resident Organization Development Activities</b>	_____
2041      Organize Community	_____
2042      Operating Procedures	_____
2043      Develop MOU	_____
2044      Develop Plan for Technical Assistance	_____
2045      Consultant Contracts	_____
2046      Self Sufficiency Programs	_____
<b>2050</b> <b>Resident Management</b>	_____
2051      Conduct Feasibility Study	_____
2052      Secure Training/Skills/Expertise	_____
2053      Develop MOU	_____
2054      Consultant	_____
2055      Secure T/A to Draft Contract	_____
2056      Negotiate Contract with PHA	_____
2057      Conduct Resident Training Preparation	_____

**SUMMARY BUDGET INFORMATION (continued)**

<b>2060</b>	<b>Self Sufficiency Program</b>	_____
2061	Program Coordinator	_____
2062	Physical Improvements	_____
2063	Employment and Job Readiness	_____
2064	Job Training	_____
2065	Management Related Employment Training	_____
2066	Vocational Training	_____
2067	Technical Assistance	_____
<b>2070</b>	<b>Family Supportive Services</b>	_____
<b>2870</b>	<b>Elderly Supportive Services</b>	_____
<b>9100</b>	<b>Travel Costs</b>	_____
<b>9200</b>	<b>Other Resident Costs</b>	_____
	<b>(Stipends, Reimbursements)</b>	_____
<b>9300</b>	<b>Contract Administrator</b>	_____
<b>9400</b>	<b>Administrative and Other Costs</b>	_____

**CHART D: RSDM Budget Workplan Summary – Part I**      **Applicant Name:**

<b>BUDGET LINE ITEM</b> For each bolded line item, enter total grant funds	<b>ACTIVITIES</b> (Identify lead agency: housing authority, contractor, subgrantee, etc)	<b>RSDM GRANT FUNDS</b>	<b>NON-RSDM/ PARTNER FUNDS</b>	<b>ACTIVITY START/END DATE</b>
<b>2005 Program Coordinator</b> <b>TOTAL: \$</b>				
<b>2010 Physical Improvements</b> <b>TOTAL: \$</b>				
<b>2020 Entrepreneur Bus. Dev.</b> <b>TOTAL: \$</b>				
2021 Establish a Revolving Loan Fund				
2022 Develop a Credit Union				
<b>2030 Business Development</b> <b>TOTAL: \$</b>				
2031 Develop Business Plan				
2032 Conduct Market Analysis				
2033 Secure Licensing, Insurance, Bonding				

**CHART D: RSDM Budget Workplan Summary – Part I (continued)**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: Housing Authority, Contractor, Subgrantee, or other partners)	RSDM GRANT FUNDS	NON-RSDM/PARTNER FUNDS	ACTIVITY START/END DATE
<b>2034</b> Training Related to Resident Owned Business				
<b>2035</b> Establishment of Resident Managed Business Development				
<b>2040 Resident Organization Development Activities</b> <b>TOTAL: \$</b>				
2041 Organize Community				
2042 Operating Procedures				
2043 Develop MOU				
2044 Develop Plan for Technical Assistance				

**CHART D: RSDM Budget Workplan Summary – Part I (continued)**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
<b>2045</b> Consultant Contracts				
<b>2046</b> Self Sufficiency Programs				
<b>2050 Resident Management</b>				
<b>TOTAL: \$</b>				
2051 Conduct Feasibility Study				
2052 Secure Training/Skills/Expertise				
2053 Develop MOU				
2054 Consultant				

**CHART D: RSDM Budget Workplan Summary – Part I (continued)**

<b>BUDGET LINE ITEM</b> For each bolded line item, enter total grant funds	<b>ACTIVITIES</b> (Identify lead agency: housing authority, contractor, subgrantee, etc)	<b>RSDM GRANT FUNDS</b>	<b>NON-RSDM/ PARTNER FUNDS</b>	<b>ACTIVITY START/END DATE</b>
2055 Secure T/A to Draft Contract				
2056 Negotiate Contract with PHA				
2057 Conduct Resident Training Preparation				
<b>2060 Self Sufficiency Program</b> <b>TOTAL: \$</b>				
2061 Program Coordinator				
2062 Physical Improvements				
2063 Employment and Job Readiness				

**CHART D: RSDM Budget Workplan Summary -- Part I (continued)**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/PARTNER FUNDS	ACTIVITY START/END DATE
<b>2064</b> Job Training				
<b>2065</b> Management Related Employment Training				
<b>2066</b> Vocational Training				
<b>2067</b> Technical Assistance				
<b>2070 Family Supportive Svs</b> TOTAL: \$				
<b>2870 Elderly Supportive Svs</b> TOTAL: \$				
<b>9100 Travel Costs</b> TOTAL: \$				
<b>9200 Other Resident Costs (Stipends, Reimbursements)</b> TOTAL: \$				



**CHART D: RSDM Budget Workplan Summary -- Part I (continued)**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
<b>9300 Contract Administrator</b>				
TOTAL: \$				
<b>9400 Admin. &amp; Other Costs</b>				
TOTAL: \$				

**Chart D: RSDM Budget Workplan Summary - Part II**

Please insert below the totals for each Summary Budget Line Item to be included in your grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	RSDM GRANT TOTAL
2005 Program Coordinator	\$
2010 Physical Improvements	\$
2020 Entrepreneur Business Development	\$
2030 Business Development	\$
2040 Resident Organization Development Activities	\$
2050 Resident Management	\$
2060 Self Sufficiency Programs	\$
2070 Family Supportive Services	\$
2870 Elderly Supportive Services	\$
9100 Travel Costs	\$
9200 Other Resident Costs (Stipends, Reimbursements, etc.)	\$
1060 Supportive Services	\$
9100 Travel Costs	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
<b>TOTAL of all RSDM Funds Requested</b>	\$

## ROSS FY 2000 FUNDING SERVICE COORDINATORS

### APPLICANT CHECKLIST

I **CERTIFY** that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By : \_\_\_\_\_  
Applicant Chief Executive Officer or Other Authorized Representative

For Applicant: \_\_\_\_\_

**Submit a copy of this form with your application.**

- Cover Materials (See Part II or Part VII of this application kit for some forms in this tab.)**
  - Application Checklist
  - Application Cover Sheet
  - Request Letter
  - Lead agency letter form (if applicable)
  - Application for Federal Assistance - Standard Form SF-424
  - Federal Assistance Funding Matrix - Standard Form 424-M
  - Budget Information – Non-Construction Programs – Standard Form SF-424A
  - Assurances – Non-Construction Programs (Form SF-424B)
  - Chart A: Summary Budget Line Items
- TAB 1: Threshold Requirements**
  - Elderly Housing Development Certification
  - Accessible Community Facility evidence and description
  - Match Agreements – not less than 25% of grant amount
  - Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements

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## ROSS FY 2000 FUNDING SERVICE COORDINATORS

- **TAB 2: Certifications and Assurances (See Part VII of this application kit.)**
  - Certification for a Drug-Free Workplace (Form HUD-50070)
  - Certification of Payments to Influence Federal Transactions (Form HUD-50071)
  - Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A)
  - Applicant/Recipient Disclosure/Update Report (Form HUD-2880)
  - Certification or Disbarment and Suspension (Form HUD-2992)
  - Acknowledgement of Application Receipt

**ROSS FY 2000 FUNDING  
SERVICE COORDINATORS**

**REQUEST LETTER FORMAT**

Dear \_\_\_\_\_ Date: \_\_\_\_\_  
Director, Public Housing

The following is my request for a one-year Service Coordinator renewal grant. I am requesting a total grant amount of \$ \_\_\_\_\_.

**I. APPLICANT AND DEVELOPMENT(S)**

- 1. PHA name and address:
- 2. Development name(s) and address(s):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- 3. Development number(s) and Congressional District(s):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- 4. Did you have a FY 1995 Elderly Service Coordinator grant? \_\_\_ Yes \_\_\_ No.

**II. DEVELOPMENT INFORMATION**

- 1. Total Number of Units Occupied by the Elderly and/or Persons with Disabilities: \_\_\_\_\_.
- 2. Total Number of Residents: \_\_\_\_\_.
- 3. Estimated Number Frail Elderly and Persons with Disabilities: \_\_\_\_\_.
- 4. Estimated Number At-Risk Elderly: \_\_\_\_\_.
- 5. Applicant will contract out for a Service Coordinator. \_\_\_ Yes \_\_\_ No

6. Development will share a Service Coordinator with other development(s) or applicant(s). \_\_\_ Yes \_\_\_ No

If yes, please give name and address of the development(s) and applicant(s), if different.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

7. Total number of Service Coordinators to be funded by the grant funds: \_\_\_\_\_

**III. COSTS**

FY 2000 award amounts cannot be higher than the applicant's highest funding and staffing level approved for a one-year period for the applicant's last funded Service Coordinator grant. An increase of up to 2% will be allowed if supported by a narrative justification attached to this Request Letter.

**1. Salary Rate**

- a. Determine the base salary level, looking at comparable positions (modified by number of hours worked).

Base salary level \$ \_\_\_\_\_

- b. Fringe benefits

% of base salary \_\_\_\_\_%

Dollar value \$ \_\_\_\_\_

- c. Salary rate

\$ \_\_\_\_\_ + \$ \_\_\_\_\_ = \$ \_\_\_\_\_  
 base salary                      fringe benefits                      salary rate

III. COSTS (continued)

2. Administrative Costs

Any administrative costs may amount to no more than 20% of the total grant.

Item	Amount
_____	\$ _____
_____	\$ _____
_____	\$ _____
Total:	\$ _____

3. Total Cost

One-year total costs:

Allowable administrative costs	\$ _____	+
Annual salary rate	\$ _____	=
 Total Cost	 \$ _____	

We appreciate your consideration of this request. If there are any questions, your staff may call \_\_\_\_\_ at \_\_\_\_\_ for further information.

Sincerely,

Signature	Typed Name	Title
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**ROSS FY 2000 FUNDING  
SERVICE COORDINATORS**

**TRANSMITTAL LETTER FORMAT FOR DESIGNATED  
LEAD AGENCY**

If more than one public housing agency is proposing to share a service coordinator, one agency **must** designate itself the "lead." This agency must submit a letter following this format on organization letterhead, signed by an authorized person.

Dear \_\_\_\_\_  
Director, Public Housing \_\_\_\_\_ Date \_\_\_\_\_

The following PHAs are jointly submitting a single Service Coordinator application:

\_\_\_\_\_  
\_\_\_\_\_

This request includes \_\_\_\_\_ (specify the number) developments, which will share a Service Coordinator. The developments are:

<u>Development Name and Address</u>	<u>Amount Requested (\$)</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

The completed requests from each of these \_\_\_\_ (specify number) \_\_\_\_ applicants are attached to this letter.

Sincerely,

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Title

**ROSS FY 2000 FUNDING  
SERVICE COORDINATORS**

**Applicant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

***THRESHOLD REQUIREMENTS***

The Grants Management Center (GMC) will conduct a threshold review to determine your eligibility. Under the threshold review, you will be rejected from the competition if you are not in compliance with the threshold requirements.

1. Elderly Housing Development Certification. You must certify that at least 25% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly persons with disabilities at the time of the application.

**SERVICE COORDINATOR  
ELDERLY HOUSING DEVELOPMENT CERTIFICATION**

I CERTIFY that \_\_\_\_% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application; thereby meeting or exceeding the 25% requirement.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000

By: \_\_\_\_\_  
*Applicant Executive Director or other Authorized Representative*

For: \_\_\_\_\_  
*Applicant Name*



**ROSS FY 2000 FUNDING  
SERVICE COORDINATOR****CERTIFICATION OF CONSISTENCY AND COMPLIANCE WITH  
GENERAL SUPERNOFA THRESHOLD REQUIREMENTS**

I CERTIFY that the proposed Service Coordinator activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2000.

By: \_\_\_\_\_  
*Applicant Chief Executive Officer or Other Authorized Representative*

For: \_\_\_\_\_  
*Applicant*

