

**DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

**[Docket No. FR-5300-N-09]**

**Notice of Funding Availability (NOFA) for HUD's Fiscal Year 2009  
Public and Indian Housing Family Self-Sufficiency Program under the Resident  
Opportunity and Self-Sufficiency (ROSS) Program**

**AGENCY:** Office of the Assistant Secretary for Public and Indian Housing, HUD.

**ACTION:** Notice of Funding Availability for HUD's Fiscal Year (FY) 2009 Public and Indian Housing Family Self-Sufficiency Program

**SUMMARY:** This NOFA announces the availability of funding for approximately \$12 million for HUD's FY2009 Public and Indian Housing Family Self-Sufficiency Program. HUD's Public and Indian Housing Family Self-Sufficiency Program is authorized by Section 34 of the Housing and Urban Development Act of 1937, and the Family Self-Sufficiency program regulations at 24 CFR Part 984. HUD's FY2009 Notice of Funding Availability Policy Requirements and General Section (2009 General Section) published in the Federal Register on December 29, 2008 (73 FR 79548), as amended on April 16, 2009 (74 FR 17685) along with subsequent 2009 General Section technical corrections or supplementary information published in the Federal Register, establish threshold and other critical application submission requirements that affect this NOFA. Applicants for this assistance are, therefore, directed to review the 2009 General Section and supplemental publications for critical information prior to submitting an application. Applicants should take particular note that they must follow the application submission instructions contained in this NOFA and not use those in the General Section.

**DATES:** The application deadline date is **August 11, 2009**. All applications will be on paper this year and must be received by the Grants Management Center delivered by Federal Express, United Parcel Service or United States Postal Service Express Mail Overnight delivery service

by 5:00pm on the deadline date. Proof of Timely Submission for late applications will only be considered if the applicant has a receipt from the delivery service indicating that the application was delivered to the delivery service 48 hours in advance of the deadline date.

**FOR FURTHER INFORMATION CONTACT:** Questions regarding specific program requirements should be directed to the agency contact identified in this program NOFA.

Questions regarding the 2009 General Section should be directed to the Office of Departmental Grants Management and Oversight at 202-708-0667 (this is not a toll-free number) or the NOFA Information Center at 1-800-HUD-8929 (toll-free). Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Information Relay Service at 1-800-877-8339. The NOFA Information Center is open between the hours of 10:00 a.m. and 6:30 p.m. eastern time, Monday through Friday, except federal holidays.

**OVERVIEW INFORMATION:**

**A. Federal Agency Name:** Department of Housing and Urban Development, Office of Public and Indian Housing, Office of Public Housing Investments.

**B. Funding Opportunity Title:** Public and Indian Housing Family Self-Sufficiency (PH FSS) Program Coordinators.

**C. Announcement Type:** Initial announcement.

**D. Funding Opportunity Number:** FR5300-N-09; OMB Approval Number is 2577-0229.

**E. Catalog of Federal Domestic Assistance (CFDA) Number:** 14.877.

**F. Dates:** The application deadline date is **August 11, 2009**. All applications will be on paper this year and must be received by the Grants Management Center delivered by Federal Express, United Parcel Service or United States Postal Service Express Mail Overnight delivery service by 5:00pm on the deadline date. Proof of Timely Submission for late applications will only be

considered if the applicant has a receipt from the delivery service indicating that the application was delivered to the delivery service 48 hours in advance of the deadline date.

**G. Overview Content Information:**

1. Purpose of Program. The purpose of the Public Housing FSS (PH FSS) program is to promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources, enable participating families to increase earned income and financial literacy, reduce or eliminate the need for welfare assistance, and make progress toward achieving economic independence and housing self-sufficiency. The FSS program and this FSS NOFA support the Department's strategic goals of helping HUD-assisted renters make progress toward housing self-sufficiency. The FSS program provides critical tools that can be used by communities to support welfare reform and help families develop new skills that will lead to economic self-sufficiency. As a result of their participation in the FSS program, many families have achieved stable, well-paid employment, which has made it possible for them to become homeowners or move to other non-assisted housing. An FSS program coordinator assures that program participants are linked to the supportive services they need to achieve self-sufficiency. In addition to working directly with families, an FSS Program Coordinator is responsible for building partnership with employers and services providers in the community to help participants obtain jobs and services.
2. Funding Available. Approximately \$12 million is available for HUD's Public and Indian Housing Family Self-Sufficiency Program under the Resident Opportunity and Self-Sufficiency (ROSS) Program for FY2009 under the Department of Housing and Urban Development Appropriations Act, 2009 (Pub. L. 111-8, approved March 11, 2009).

3. Award Amounts. Awards will pay only for the annual salary and fringe benefits of PH FSS Program Coordinators. Award amounts will be based on locality pay rates for similar professions. Each new or renewal position amount will not exceed \$68,000.
4. Eligible Applicants. Eligible applicants are Public Housing Authorities (PHAs) and tribes/Tribally Designated Housing Entities (TDHEs) that administer PH FSS programs. All applicants must have an approved PH FSS Action Plan on file with their local HUD field office or Area Office of Native American Programs (ONAP) prior to this NOFA's application deadline. Non-profit organizations and resident associations are not eligible to apply for funding under this program.
5. Cost Sharing/Match Requirement. There is no matching requirement for this grant. HUD has determined that the statutory requirement for match is met because of the comprehensive nature of the funding award. These funds fully support the program structure, the regulatory requirements of the Program Coordinating Committee, and the FSS Action Plan submitted by each Field Office.
6. Grant Term. The grant term is one year from the execution date of the grant agreement.

## **FULL TEXT OF ANNOUNCEMENT**

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

**A. Authority and Program Description.** The Department of Housing and Urban Development Appropriations Act, 2009 (Pub. L. 111-8, approved March 11, 2009), allows funding for program coordinators under the Resident Opportunity & Self-Sufficiency program. Through annual NOFAs, HUD has provided funding to public housing agencies (PHAs) or tribes/TDHEs that are operating PH FSS programs to enable those applicants to employ program coordinators to support their PH FSS programs. In this FY2009 PH FSS Program Coordinator NOFA, HUD

is again making funding available to PHAs/Tribes/TDHEs to employ PH FSS program coordinators for one year. HUD will accept applications from both new and renewal applicants that have HUD approval to administer a PH FSS program. PHA/Tribe/TDHEs funded under the ROSS PH FSS NOFA in FY 2006, 2007 or 2008 are considered “renewal” applicants in this NOFA. These renewal applicants are invited to apply for funds to continue previously funded PH FSS program coordinator positions. Funding priority will be given to renewals applicants that have achieved a “High Performer” status on their most recent Public Housing Assessment System (PHAS) review and to tribes/THDEs that have been determined eligible as a renewal applicant (PHAS score requirement is not applicable to tribes/THDEs). Second priority will be given to standard performer renewal applicants. The PHAS score in effect on the deadline date of the NOFA will be the one applicable to the application. Third priority will be given to troubled performer renewal applicants and fourth priority will be given to new applicants. There will be no funding for expanding the number of coordinator positions in an existing program.

The maximum number of positions that a new applicant, including new joint applicants, may receive is one full-time FSS program coordinator.

Applicants must administer the FSS program in accordance with HUD regulations and requirements in 24 CFR Part 984, which govern the PH FSS program and must comply with the existing Public Housing program requirements, notices, and guidebooks. This includes using a Program Coordinating Committee (PCC) to secure the necessary resources to implement the FSS Program. See 24 CFR 984.202 for more information.

**B. Number of Positions for Which Eligible Applicants May Apply.** Eligible applicants may apply for funding for PH FSS program coordinator positions under this NOFA as follows:

1. **Renewal Applicants.** Applicants that qualify as eligible renewal applicants under this NOFA may apply for the continuation of each PH FSS coordinator position awarded under the ROSS PH FSS NOFA in FY 2006, 2007 or 2008 (whichever was the latest year funded).

2. **New Applicants.** An applicant that meets the requirements for a new applicant under this FSS NOFA may apply for PH FSS program coordinator positions as follows:

a. Up to one full-time PH FSS coordinator position for an applicant with HUD approval to administer a PH FSS program of 25 or more FSS slots; or

b. Up to one full-time PH FSS coordinator position per application for joint applicants that together have HUD approval to administer a total of at least 25 PH FSS slots.

**C. Definitions.** The following definitions apply to the funding available under this NOFA.

1. **Renewal Applicant.** Applicants that received funding under the ROSS PH FSS NOFA in FY 2006, 2007 or 2008.

2. **New Applicant.** Applicants that did not receive funding under the ROSS PH FSS NOFA in FY 2006, FY2007, or FY2008 that have HUD approval to administer a PH FSS program of at least 25 slots or that fulfill the 25 slot minimum by applying jointly with one or more other applicants who together have approval to administer at least 25 PH FSS slots.

3. **Tribally Designated Housing Entity (TDHE)** is an entity authorized or established by one or more Indian tribes to act on behalf of each such tribe authorizing or establishing the housing entity as defined by Section 4(22) of the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA).

4. **Indian Tribe.** The definition of Indian tribe under this NOFA shall be the same definition of Indian tribe in section 4(13) of NAHASDA which is: a tribe that is a federally recognized tribe or a State recognized tribe.

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

b. **STATE RECOGNIZED TRIBE-**

(i) **IN GENERAL-** The term `State recognized tribe' means any tribe, band, nation, pueblo, village, or community--

(I) that has been recognized as an Indian tribe by any State; and (II) for which an Indian Housing Authority has, before the effective date under section 705, entered into a contract with the Secretary pursuant to the United States Housing Act of 1937 for housing for Indian families and has received funding pursuant to such contract within the 5-year period ending upon such effective date.

5. **MTW PHAs.** New and renewal PHAs that are under MTW agreements with HUD may qualify for funding under this NOFA if the PHA administers an FSS program. When determining the size of a new applicant, MTW PHA's HUD-approved FSS program, the PHA may request the number of FSS slots reflected in the HUD-approved MTW Plan be used instead of the number in the PHA's FSS Action Plan. However, this number must be at least 25 in order to qualify as a new applicant.

6. **FSS Program Size.** The total number of PH FSS program slots identified in the applicant's HUD-approved PH FSS Action Plan, or, if requested by MTW PHA applicants, the number of

slots in the applicant's HUD-approved MTW Plan. The total may include both voluntary and mandatory PH FSS program slots.

7. **Action Plan.** Describes the policies and procedures of the PHA or tribe/TDHE for operation of a local FSS program. For a full description of the minimum amount of information that the Action Plan must contain, please see 24 CFR 984.201.

8. **Positive Graduation Percentage.** The percent of public housing FSS families that have successfully graduated from the program between October 1, 2000, and the publication date of this NOFA as shown in FSS exit reports submitted to HUD on Form HUD-50058 (or HUD-50058-MTW). The data source is Form HUD-52767 as well as HUD's PIC data system records of Form HUD-50058 PH FSS program exit reports that were effective between October 1, 2000, and the publication date of this NOFA. The HUD-52767 submitted with the application will take precedence.

9. **The Number of PH FSS Program Participants.** The total number of families formerly or currently enrolled in the applicant's PH FSS program between October 1, 2000, and the publication date of this NOFA. For renewal applicants funded for the first time under the 2008 NOFA, please use the enrollments anticipated by the deadline date of this NOFA. The data source is Form HUD-52767 as well as HUD's PIC data system records of Form HUD-50058 reports that were effective between October 1, 2000, and the publication date of this NOFA. The HUD-52767 submitted with the application will take precedence.

10. **Percentage of Families with Positive FSS Escrow Balances.** The number of current or former PH FSS families who achieved positive escrow balances as a percentage of total number of PH FSS program participants. The data source is Form HUD-52767 as well as HUD's PIC data system records of Form HUD-50058 (or HUD-50058-MTW) PH FSS program progress



reports that were effective between October 1, 2000, and the publication date of this NOFA. The HUD-52767 submitted with the application will take precedence.

**11. PH FSS Program Coordinator.** A person responsible for linking FSS program participants to supportive services. Program Coordinators will work with the Program Coordinating Committee and local service providers to ensure that the necessary services and linkages to community resources are being made, such as ensuring that the services included in participants' contracts of participation are provided on a regular, ongoing, and satisfactory basis; making sure that participants are fulfilling their responsibilities under the contracts, and ensuring that FSS escrow accounts are established and properly maintained for eligible families. FSS Coordinators may also perform job development functions for the FSS program.

## **II. Award Information**

**A. Available Funds.** This NOFA announces the availability of approximately \$12 million in FY2009 to employ FSS program coordinators for the PH FSS program. If additional funding becomes available during FY2009, HUD may increase the amount available for PH FSS program coordinators under this NOFA. A maximum of \$68,000 is available for each full-time coordinator position funded. Salaries and fringe are to be based on local comparables. The funding will be provided as a one-year grant. Funding amounts for individual grantees will be contingent upon HUD field office approval.

**B. Grant Term.** The grant term is one year from the execution date of the grant agreement.

**C. Grant Extensions.** Requests to extend the one-year grant term beyond the grant term must be submitted in writing to the local HUD field office or Area ONAP at least 90 days prior to the expiration of the grant term. Requests must explain why the extension is necessary, what work remains to be completed, and what work and progress was accomplished to date. Extensions

may be granted only once by the field office or Area ONAP for a period not to exceed 6 months and may be granted for longer upon rigorous evaluation and with just cause by the HUD Headquarters Program Office at the request of the Field Office or Area ONAP.

### **III. Eligibility Information**

**A. Eligible Applicants.** Eligible applicants are PHAs and tribes/TDHEs that administer low-rent public housing programs. New and renewal applicants must have an approved PH FSS Action Plan on file with their local HUD field office or Area ONAP prior to this NOFA's application deadline. PHAs/tribes/TDHEs eligible to apply for funding under this NOFA are:

1. **Renewal Applicants.** PHAs or Tribes/TDHEs that received funding under the PH FSS NOFA in FY 2006, 2007 or 2008. To continue to qualify as renewal applicants, the FY2009 application of joint applicants must include at least one applicant that meets this standard. Joint applicants can change the lead applicant in their FY2009 application. A grantee that was originally funded as part of a joint application, that wishes to now apply separately will continue to be considered a renewal applicant for funding purposes, but must be able to meet the FSS minimum program size requirement of a HUD-approved PH FSS program of at least 25 slots that applies to new applicants.

2. **New Applicants.** Applicants that were not funded under the PH FSS NOFA in FY 2006, 2007 or 2008. The new applicant PHA or Tribe/TDHE must be authorized through its HUD-approved FSS Action Plan to administer a PH FSS program of at least 25 slots, or be an applicant with HUD approval to administer PH FSS programs of fewer than 25 slots that applies jointly with one or more other applicants so that together they have HUD approval to administer at least 25 PH FSS slots. Joint applicants must specify a lead co-applicant that will receive and administer the FSS program coordinator funding.

3. **Moving to Work (MTW) PHAs.** New and renewal PHAs that are under the MTW demonstration may qualify for funding under this NOFA if the PHA administers a PH FSS program. When determining the size of a MTW PHA's HUD-approved PH FSS program, the PHA may request that the number of PH FSS slots reflected in the PHA's HUD-approved MTW Plan be used instead of the number in the PHA's PH FSS Action Plan. However, this number must be at least 25 in order to qualify as a new applicant.

#### 4. **Troubled Applicants**

a. An applicant that carries a designation by HUD as "troubled" under the Public Housing Assessment System (PHAS) on the deadline date of the application. b. The requirements that apply to an applicant whose PHA's troubled designation has not been removed by HUD by the deadline date are stated in the Program Requirements section of this NOFA.

**B. Cost Sharing or Matching.** There is no matching requirement for this grant. HUD has determined that the statutory requirement for match is met because of the comprehensive nature of the funding award. These funds fully support the program structure, the regulatory requirements of the Program Coordinating Committee, and the FSS Action plan submitted by each Field Office.

#### **C. Other**

1. **Eligible Activities.** Funds awarded to applicants under this FSS NOFA may only be used to pay salaries and fringe benefits of PH FSS program staff. Funding may be used to employ or otherwise retain the services of PH FSS program coordinators. PH FSS coordinator support positions funded under previous FSS NOFAs that made funding available for such FSS positions may be continued. A part-time program coordinator may be retained where appropriate. Please note that even with a part-time program coordinator, the 25-slot minimum must be retained.

The funds for a coordinator position may be used to job-share with more than one employee. The funds may be pro-rated to more than one staff member if FSS functions are shared. However, funds under this NOFA may not to be used for performance of routine PH program functions that are normally covered under other Operating or Capital Fund uses.

## 2. **Threshold Requirements**

### a. **All Applicants**

(1) **Eligibility.** Each applicant must qualify as an eligible applicant under this NOFA and must have submitted an FSS application in the format required by this NOFA that was received by the Grants Management Center no later than 5:00 pm on the application deadline date.

(2) **Past Performance.** All applications will undergo a Past Performance review by their local Field Office or Area ONAP during the competition processing.

(a) For renewal applicants that executed their first grant agreement more than a year prior to the deadline date of this NOFA, this review will include a review of the HUD-52767 submitted with the application, a review of the approved PH FSS Action Plan on file and recent Logic Model and budgetary reporting received by the Field Office/Area ONAP. It may also include a review of PIC data as applicable. The Field Office may consider if the applicant is at or near its approved program size, meeting or near to meeting its stated Logic Model goals from recent years of funding and is expending funds and reporting in a timely manner. If a renewal applicant is not at or near its approved program size, not near to meeting the goals stated in the PH FSS Logic Model, or has not consistently expended or reported in a timely manner, and wishes to include an explanation for the Field Office to consider during Past Performance review, they *may* include a Past Performance Statement of no more than five pages (double spaced, 12pt Times New Roman, 1 inch margins) in this application. If the Field Office has

concerns about the Past Performance of a renewal applicant, funds may still be awarded, but the Field Office, in consultation with the Program Office may execute the grant agreement with a probationary contingency as an addendum.

(b) For new applications and renewal applicants that executed their first grant agreement less than a year prior to the deadline date of this NOFA , this review will include a confirmation that the applicant has an approved PH FSS Action Plan on file as well as other General Section requirements such as Civil Rights compliance.

(3) *All applications must include a Dun and Bradstreet Universal Numbering System (DUNS) number and current registration in the Central Contractor Registration (CCR). Submitting a paper application does not release an applicant from this requirement.* The applicant must submit in the application a DUNS number that corresponds to the applicant legal name identified in box 8a of the form SF-424. The applicant legal name must be as it appears in the applicant organization's active Central Contractor Registration A failure to meet this requirement will be treated as a correctable deficiency. If the DUNS number– or remedy to any discrepancy in the applicant legal name is not provided within the cure period, the application will not be funded. (See the **General Section** for further information about the DUNS number requirement.)

(4) The applicant must have a financial management system that meets federal standards. See the **General Section** regarding those applicants that may be subject to HUD's arranging for a pre-award survey of an applicant's financial management system.

(5) Applicants must comply with the requirements for funding competitions established by the HUD Reform Act of 1989 (42 U.S.C. 3531 et seq.) and other requirements as defined in the **General Section**, as amended.

(6) **Civil Rights Thresholds, Non-discrimination.** All applicants must comply with the requirements in Section III .C.2.c of the General Section.

b. **Renewal Applicants.** Continued funding for existing coordinator positions. In addition to meeting the other requirements of this FSS NOFA, renewal applicants must continue to operate a PH FSS program **and have executed FSS contract(s) of participation with PH FSS program families.**

c. **New Applicants.** New applicants must meet all of the requirements of this FSS NOFA including those in Section III.A above regarding eligibility.

d. **Troubled Applicants.** Contract Administrator Partnership Agreement. Applicants that are on the PHAS Troubled list generated by the Real Estate Assessment Center (REAC) at the deadline date of the application are required to submit a signed Contract Administrator Partnership Agreement. The agreement must be for the entire grant term. If an applicant that is required to have a Contract Administrator Partnership Agreement fails to submit one or if it is incomplete, incorrect, or insufficient, this will be treated as a technical deficiency. The Contract Administrator must ensure that the financial management system and procurement procedures that will be in place during the grant term will fully comply with 24 CFR Part 85. Contract Administrators are expressly forbidden from accessing HUD's Line of Credit Control System (LOCCS) and submitting vouchers on behalf of grantees. Contract Administrators must also assist grantees to meet HUD's reporting requirements. Contract Administrators may be: local housing agencies; community-based organizations such as community development corporations (CDCs), churches, temples, synagogues, mosques; nonprofit organizations; state/regional/local associations, agencies and organizations. Troubled PHAs are not eligible to be Contract Administrators. Organizations that the applicant proposes to use as the Contract Administrator

must not violate or be in violation of other conflicts of interest as defined in 24 CFR part 85.

HUD Field Offices or Area ONAPs will have final approval of Contract Administrators at time of grant agreement execution.

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

a. **Hiring a PH FSS Program Coordinator.** Funds awarded under this NOFA may only be used to employ or retain the services of a PH FSS Program Coordinator for the one-year grant term. A PH FSS Program Coordinator must:

(1) Work with the Program Coordinating Committee and with local service providers to ensure that PH FSS program participants are linked to the supportive services they need to achieve self-sufficiency.

(2) Ensure that the services included in participants' contracts of participation are provided on a regular, ongoing, and satisfactory basis; that participants are fulfilling their responsibilities under the contracts; and that FSS escrow accounts are established and properly maintained for eligible families. All of these tasks should be accomplished through case management. FSS coordinators may also perform job development functions for the FSS program.

(3) Monitor the progress of program participants and evaluate the overall success of the program.

b. **Salary Comparables.** For all positions requested under this NOFA, evidence of salary and fringe comparability to similar positions in the local jurisdiction must be kept on file in the PHA/Tribe/TDHE office.

c. **FSS Action Plan.** The requirements for the PH FSS Action Plan are provided in 24 CFR 984.201. For a new applicant to qualify for funding under this NOFA, the PHA/Tribe/TDHE's

initial PH FSS Action Plan or amendment to change the number of PH FSS slots in the PHA/Tribe/TDHE's previously HUD-approved PH FSS Action Plan, must be submitted to and approved by the local HUD field office or Area ONAP prior to the application deadline date of this PH FSS NOFA. An FSS Action Plan can be updated by means of a simple one-page addendum that reflects the total number of PH FSS slots (voluntary and /or mandatory slots) the applicant intends to fill. New applicants with previously approved PH FSS Action Plans may wish to confirm the number of HUD-approved slots their local HUD field office has on record. An MTW PHA may request that the number of PH FSS slots reflected in its HUD-approved MTW Plan be used instead of the number of slots in the PHA's PH FSS Action Plan.

d. **Eligible families.** Current residents of Public/Indian housing are eligible. Eligible families that are currently enrolled or participating in local Public/Indian housing self-sufficiency programs are also eligible. HUD encourages outreach to single heads-of-households.

e. **Contract of participation.** Each family that is selected to participate in an FSS program must enter into a contract of participation with the PHA or tribe/TDHE that operates the FSS program. The contract shall be signed by the head of the FSS family and be individually designed to benefit the subject family.

f. **Contract term.** The contract with participating families shall be for 5 years. During this time, each family will be required to fulfill its contractual obligations. PHAs or tribes/TDHEs may extend contracts for no more than 2 years for any family that requests an extension of its contract, provided the PHA or tribe/TDHE finds good cause exists to provide an extension. This extension request must be in writing. See 24 CFR 984.303 for more information on contracts of participation.



g. **Escrow accounts for very low or low-income participating families.** Such accounts shall be computed using the guidelines set forth in 24 CFR 984.305. NOTE: FSS families that are not low-income are not entitled to an escrow/credit.

h. **Affirmatively Furthering Fair Housing.** Section III.C.4.b of the **General Section** of the NOFA informs applicants that HUD has a statutory duty to affirmatively further fair housing, and that HUD requires the same of its funding recipients. Successful applicants for this program will certify in their grant agreement/other funding arrangement that they will take reasonable steps to affirmatively further fair housing and maintain records of these steps and their impacts. Reasonable steps include, but are not limited to: (1) advertising for the Service Coordinator position widely in the community, (2) marketing the program to all eligible persons, including persons with disabilities and persons with limited English proficiency, (3) making buildings and communications that facilitate applications and service delivery accessible to persons with disabilities (see, for example, HUD's rule on *effective communications* at 24 CFR 8.6), (4) providing fair housing counseling services or referrals to fair housing agencies, (5) informing participants of how to file a fair housing complaint, including providing the toll-free number for the Housing Discrimination Hotline: 1-800-669-9777, and (6) if the program has a goal of homeownership or housing mobility, recruiting landlords and service providers in areas that expand housing choice to program participants. Record-keeping covers, but is not limited to, the race, ethnicity, familial status, and disability status of program participants. Prior to execution of the grant agreement/other funding arrangement, the successful applicant will submit a statement to the HUD Field Office outlining the reasonable steps it plans to take to affirmatively further fair housing and how it proposes to maintain records of such activities and their impact.

Indian tribes and tribally designated housing entities receiving assistance under NAHASDA are not subject to the Fair Housing Act and, therefore, are not required to submit a statement on affirmatively furthering fair housing. (24 CFR 1000.12(d))

4. **Staffing Guidelines.** Under normal circumstances, a full-time FSS program coordinator should be able to serve approximately 50 FSS participants, depending on the coordinator's case management function.

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

**A. Addresses to Request Application Package.** Applications and forms that you need to apply for funding under this NOFA are available from

<http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. You may request general information, from the NOFA Information Center (800-HUD-8929) between the hours of 10 a.m. and 6:30 p.m. (Eastern Time) Monday through Friday, except on federal holidays. Persons with hearing or speech impairments may use access this number via TTY (text telephone) by calling the Federal Information Relay Service at 800-877-8339. (These are toll-free numbers.) When requesting information, please refer to the name of the program you are interested in. The NOFA Information Center opens for business simultaneously with the publication of the General Section. You can also obtain information on this NOFA from HUD's website at

<http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

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

1. **Content of Application.** In addition to any information required in the General Section, each new and renewal applicant must complete the forms on the list below. Copies of the forms may be downloaded with the application package and instructions from

<http://www.hud.gov/offices/adm/grants/fundsavail.cfm> . You must use the forms that are

included with the 2009 application so as to avoid using outdated forms that may be on HUDCLIPS or found from another source. *Please note that all forms requiring signatures must have an ORIGINAL signature in the application sent to the GMC. All forms that previously used electronic signature must have an original signature for a paper application submitted to the Grants Management Center.* A COPY form with signature should be in the application sent to the Field Office or Area ONAP. Your application should be submitted in a 1-inch three-ring binder in the order listed below. Unsolicited material will not be reviewed or considered in the application. Please do not submit extraneous materials.

**a. TAB 1 - HUD-Required Forms**

- 1) HUD-2993 – Acknowledgement of Application Receipt – please fill in the top.
- 2) SF-424 - Application for Federal Assistance - In completing the SF-424, renewal applicants should select the continuation box on question 2, type of application. In section 18 of the SF-424, estimated funding, complete only 18.a., which will be the amount requested from HUD in the FY2009 FSS application, and 18.g., Total. The Federal Identifier requested in 5a. is the PHA number of each applicant (e.g., MD035 or AK002). The Federal Award Identifier is the grant number on your Grant Agreement/1044 from your last grant (e.g. AZ004RFS008A006). If you are a new applicant, you will not have a Federal Award Identifier.
- 3) SF-LLL Disclosure of Lobbying Activities (if applicable).
- 4) HUD-2880 – Applicant/Recipient Disclosure/Update Report. The answer to Part 1 Thresholds Determination Question 1 is “YES”. The answer to Part 1 Thresholds Determination Question 2 is “NO” **unless** you are applying for **more than \$200,000** in THIS APPLICATION. If you answered “NO” to EITHER QUESTION, you do not need to fill out the rest of the form, but you still must send it in, signed.

- 5) HUD-2991 – Certification of Consistency with the Consolidated Plan (for PHA applicants).
- 6) HUD-52752 – Certification of Consistency with Indian Housing Plan (for Tribes/TDHE applicants).
- 7) Code of Conduct per General Section instructions.
- 8) The HUD-2994-A – “You Are Our Client Applicant Survey” (optional).

**b. TAB 2 - Program Forms**

- 1) HUD-52767 Family Self-Sufficiency Funding Request Form.
- 2) Past Performance statement (optional).
- 3) Completed Logic Model (form HUD 96010) showing **proposed** performance measures. See the **General Section** for information on the Logic Model. There is no narrative required for this Logic Model.
- 4) Contract Administrator Partnership Agreement, required for troubled PHA applicants (see HUD-52755 for a sample).

**c. Budget Forms.** There are no budget forms required for this application.

**C. Date and Time.** Your completed application must be received by the Grants Management Center no later than 5:00 p.m. eastern time on the application deadline date. Copies of the application to HUD Field Offices and Area ONAP offices must be received no later than 4:00pm on the deadline date.

**D. Intergovernmental Review.** Intergovernmental Review is not applicable to this program.

**E. Funding Restrictions**

1. **Salary Cap.** Awards under this NOFA are subject to a cap of \$68,000 per year per full-time coordinator position funded. Under this NOFA, if applicants apply jointly, the \$68,000

maximum amount that may be requested per position applies to up to one full time coordinator position for the application as a whole, not to each applicant separately.

**2. Limitation on Renewal Funding Increases.** For renewal coordinator positions, applicants will be limited to a three percent increase above the amount of the most recent award for the position unless a higher increase is approved by the local HUD field office after review of the applicant's written justification and at least three comparables that must be submitted to the field office by the applicant before the deadline date of this NOFA. Examples of acceptable reasons for increases above 3 percent would be the need for a coordinator with higher level of skill, to increase the hours of a part-time coordinator to full-time, to bring the salary into competitive range for the area or because fringe rates have increased. Total positions funded cannot exceed the maximum number of positions for which the applicant is eligible under this NOFA. If the funding increase is not approved by the local field office or Area ONAP, the applicant will be eligible for renewal at the level of the most recent award.

### **3. Ineligible Activities**

- a. Funds under this NOFA may not be used to pay the salary of an FSS coordinator for a Housing Choice Voucher (HCV) FSS program. A PH FSS program coordinator may only serve Low-Rent Public Housing families while the HCV FSS program serves only HCV families. The funding for HCV FSS program coordinators is being made available through a separate NOFA.
- b. Funds under this FSS NOFA may not be used to pay for services for FSS program participants.
- c. Funds under this FSS NOFA may not be used to pay for administrative activities.
- d. Funds under this NOFA may not be used for performance of routine PH program functions that are normally covered under other Operating or Capital Fund uses.

**F. Other Submission Requirements.***1. Delivery and Receipt Procedures.*

Please read the following instructions carefully and completely, as failure to comply with these procedures may disqualify your application.

a. A complete application should be submitted by courier service to the Public and Indian Housing Grants Management Center (GMC) as well as a complete copy to your local HUD Field Office or Area ONAP. *The application submitted to the GMC will be the application of record, as the GMC is the “official place of receipt.”*

b. HUD urges applicants sending packages by delivery service to the Public and Indian Housing Grants Management Center to use the following services, as these services have unescorted access to these buildings: United States Postal Service Express Mail Overnight Delivery, Federal Express (FedEx), and United Parcel Service (UPS).

c. Packages may NOT be mailed using the United States Postal Service – standard mail service, as those packages may come damaged due to security regulations. All mail to the Federal Government undergoes a process of irradiation in case of anthrax or other contamination. This process may take several weeks and could impair timely delivery of applications or result in an unreadable application.

d. Applications mailed to a location or office that is not designated for receipt of the application, which results in the designated office not receiving your application in accordance with the requirements for timely submission, will cause your application to be considered late and ineligible to receive funding consideration. HUD will not be responsible for directing packages to the appropriate office. Applicants should pay close attention to these submission and timely receipt instructions as they can make a difference in whether HUD will accept your application for funding consideration. Please remember that mail sent to federal facilities is screened prior to

delivery, so please allow sufficient time for your package to be delivered. If an application is received late because of the processing time required for the screening, it will not be considered for funding. If you are using the United States Postal Service Express mail service, you can check delivery dates and times and plan ahead to ensure that your application will be received on time in accordance with the instructions in the NOFA. The Grants Management Center will provide the applicant with a copy of the HUD-2993 – Acknowledgement of Receipt as evidence of receipt of the application at the GMC. If your application is determined to be late, you will have ten business days from the date of receipt indicated on the remitted HUD-2993 to send proof of timely submission, as indicated below, to the GMC.

e. Hand deliveries will NOT be permitted.

f. HUD will not accept or consider any applications sent by facsimile.

## *2. Proof of Timely Submission.*

a. Timely submission shall be evidenced either by receipt of the application at the GMC prior to the deadline or via a delivery service receipt indicating that the applicant delivered the application to a delivery service named in this NOFA at least 48 hours prior to the application deadline. If the package is not received on or before the deadline, through no fault of the applicant, the receipt will serve as proof of timely submission. All deliveries should be planned to arrive on weekdays, no later than 5:00 p.m. eastern time, when the Federal Government is open for deliveries. Federal Offices are closed on Federal holidays and weekends. Delivery Services turned away from a HUD facility due to security issues will not be considered as meeting the requirement of “no fault of the applicant,” because applicants have been advised that delivery delays can arise when using courier services, resulting in a late application receipt.

3. *Addresses.* Send your application to the PIH Grants Management Center, Mail Stop: Public Housing FSS Program, 2461 South Clark Street, Suite 430, Arlington, VA 22202. When sending your application, you must refer to the name of the program for which you are applying and include the correct room number to ensure your application is properly directed. Addresses for field office locations may be found at

<http://www.hud.gov/offices/pih/about/focontacts.cfm#6BPH>. For applications directed to the Office of Native American Programs (ONAP), please use the addresses found at <http://www.hud.gov/offices/pih/ih/codetalk/onap/map/nationalmap.cfm> (click your region under “ONAP Regions” and scroll down to “contact information.”) Please be sure to include the Program NOFA name and room or suite number on your submission package.

4. *Copies of Applications.* To facilitate the review of your application, one copy of the application also must be sent to your local HUD Field Office or Area ONAP. The determination that your application was received on time will be made solely on receipt of the application at the GMC. The review of the completeness of an application will be conducted based solely on the application submitted to the GMC. If a piece of the application is not in the original submitted to the GMC, but is in the copy submitted to the field office or Area ONAP, it will still be considered a deficiency for purposes of grant review. Copies of applications that are not complete either submitted to the GMC or the Field office; or arrive late to the GMC or the Field Office will not be considered, unless the applicant can provide proof of timely placement with the delivery service as indicated in this Notice.

## **V. Application Review Information**

**A. Criteria.** The funds available under this NOFA are being awarded based on demonstrated performance. Applications are reviewed by the local HUD field office or Area ONAP office and



the Grants Management Center to determine if they are technically adequate based on the NOFA requirements. Field offices or Area ONAPs will provide to the Grants Management Center (GMC) in a timely manner, as requested, information needed by the GMC to make its determination, such as the HUD-approved PH FSS program size of new applicants and information on the administrative capabilities of applicants.

## **B. Reviews and Selection Process**

1. **Funding Priority Categories.** If HUD receives applications for funding greater than the amount made available under this NOFA, HUD will divide eligible applications into priority categories as follows:

a. **Funding Category 1** – Applications from eligible renewal applicants designated “high performer” in their most recent PHAS review and tribes/THDEs that have been determined eligible as a renewal applicant (PHAS score requirement is not applicable to tribes/THDEs) will be funded for continuation of previously funded eligible positions. The PHAS score in effect on the deadline date of the NOFA will be the one applicable to the application.

b. **Funding Category 2** – Eligible renewal applicants designated standard performers on the most recent PHAS review will be funded for continuation of previously funded eligible positions. The PHAS score in effect on the deadline date of the NOFA will be the one applicable to the application.

c. **Funding Category 3** – Eligible renewal applicants designated troubled performers on the most recent PHAS review will be funded for continuation of previously funded eligible positions. The PHAS score in effect on the deadline date of the NOFA will be the one applicable to the application.

d. **Funding Category 4** –Eligible new applicants agreeing to implement an FSS program of at least 25 slots will be funded for newly funded eligible positions.

**2. Order of Funding.**

a. **Funding Category 1.** Starting with Funding Category 1, HUD will first determine whether there are sufficient monies to fund all eligible positions requested in the funding category. If available funding is not sufficient to fund all positions requested in the category, HUD will obtain from the HUD-52767 submitted with the application, for each eligible applicant, the applicant's Graduation Percentage, Positive Escrow Percentage and Program Size and will use these in making further funding decisions.

HUD will begin funding eligible Funding Category 1 applicants starting with the applicants with the highest Graduation Percentage first. If monies are not sufficient to fund all applicants with the same Graduation Percentage, HUD will fund eligible applicants in order starting with those that have the highest Positive Escrow Percentage first. If funding is not sufficient to fund all applicants with the same FSS Graduation Percentage and/or Positive Escrow Percentage, HUD will select among eligible applicants by PH FSS program size starting with eligible applicants with the largest PH FSS program size first. Definitions of the FSS Graduation Percentage, Positive Escrow Percentage and PH FSS Program Size are included in the Definitions Section (Section I.C.) of this NOFA.

b. **Funding Category 2.** If funding remains after funding all Funding Category 1 applications, HUD will then process eligible Funding Category 2 applications. If there are not enough funds to fund all of Funding Category 2, HUD will use same criteria as provided for Funding Category 1.

**c. Funding Category 3.** If funding remains after funding all Funding Category 2 applications, HUD will then process eligible Funding Category 3 applications. If there are not enough funds to fund all of Funding Category 3, HUD will use the same criteria as provided for Funding Category 1.

**d. Funding Category 4.** If funding remains after funding all Funding Category 1, 2, and 3 applications, HUD will then process requests of eligible Funding Category 4 applicants. If there are not sufficient monies to fund all eligible positions requested, HUD will begin funding positions starting with applicants with the largest PH FSS program size (number of approved slots) first.

3. Based on the number of applications submitted, the GMC may elect not to process applications for a funding priority category where it is apparent that there are insufficient funds available to fund any applications within the priority category.

**4. Corrections to Deficient Applications.** Applicants will have 14 calendar days in which to provide missing information requested by HUD. Instructions on submission of cures for deficiencies will be provided with the request for the deficiency sent by the Grants Management Center.

**5. Unacceptable Applications.** Applications received after the deadline date and time are not acceptable. Applications received on time will be reviewed for completeness. Applicants will be notified of any technical deficiencies. After the technical deficiency correction period, the GMC will disapprove applications that it determines are not acceptable for processing.

## **VI. Award Administration Information**

### **A. Award Notices.**

**1. Notification.** Successful applicants will receive an award letter from HUD. Successful applicants will be notified by letter and will receive instructions for the steps they must take to access funding and begin implementing grant activities. Applicants who are not funded will receive rejection letters via U.S. postal mail.

**2. Debriefings.** The applicant may request an applicant debriefing. Applicants requesting to be debriefed must send a written request to: Keia L. Neal, Acting Director; Grants Management Center, U. S. Department of Housing and Urban Development, 451 7<sup>th</sup> St., SW B133 Potomac Center, 3<sup>rd</sup> Floor, Washington, DC 20410.

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

**1. Applicable Requirements.** Grantees are subject to regulations and other requirements found in:

- a. OMB Circular A-87 “Cost principles for State, Local, and Indian Tribal Governments”;
- b. OMB Circular A-133 “Audits of States, Local Governments, and Non-Profit Organizations”;
- c. HUD Regulations 24 CFR Part 984 “Section 8 and Public Housing Family Self-Sufficiency Program”; and
- d. HUD Regulations 24 CFR Part 85 “Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally Recognized Indian Tribal Governments”.

**2. Economic Opportunities for Low- and Very Low-Income Persons (Section 3).** Grantees must comply with Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u and ensure that training, employment, and other economic opportunities shall, to the greatest extent feasible, be directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing and to business concerns that provide economic opportunities to low- and very low-income persons. For this program, this applies to the hiring of FSS Coordinators. The Section 3 regulations at 24 CFR Part 135, subpart E, impose

certain reporting requirements on recipients, including the submission of an annual report, using form HUD-60002 or HUD's online system at [www.hud.gov/section3](http://www.hud.gov/section3). See Section III.C. of the General Section for more information.

3. **Fair Housing and Civil Rights Laws.** Grantees and their sub-recipients must comply with all Fair Housing and Civil Rights laws, statues, regulations and Executive Orders as enumerated in 24 CFR 5.105(a), as applicable. Please see the General Section III.C. for details.

4. **Provision of Services to Individuals with Limited English Proficiency (LEP).** Recipients must comply with obligations under Title VI of the Civil Rights Act and Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency (LEP)." Executive Order 13166 seeks to improve access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. Applicants obtaining federal financial assistance from HUD shall take reasonable steps to ensure meaningful access to their programs and activities to LEP individuals. For assistance and information regarding LEP obligations, applicants should refer to the "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons", published in the Federal Register on January 22, 2007 (72 FR 2732). For assistance and information regarding LEP obligations, go to

<http://www.hud.gov/offices/ftheo/promotingfh/lep.cfm>.

5. **Communications.** Successful applicants should ensure that notices of and communications during all training sessions and meetings shall be provided in a manner that is effective for persons with hearing, visual, and other sensory disabilities consistent with Section 504 of the Rehabilitation Act of 1973. See 24 CFR Section 8.6. In addition, successful applicants must ensure training facilities and services are physically accessible to persons with disabilities in

accordance with Section 504. Furthermore, HUD encourages all grant recipients and sub-recipients to adopt the goals and objectives of Section 508 of the Rehabilitation Act of 1973 by ensuring that electronic and information technology is made available to persons with disabilities on a comparable basis as it is made available to persons without disabilities. See the discussion of Accessible Technology Requirements in Section III.C. of the General Section.

6. **HUD Policy Priorities.** This NOFA supports the HUD policy priority of Improving the Knowledge of Homeowners, Homebuyers and Renters to be Aware of Discriminatory Practices in Real Estate and Lending; their Rights; and Increase Financial Literacy to Prevent Foreclosure to Address the Needs of Households Facing Foreclosure. See, Section V.B. of the **General Section** for a full discussion of HUD's policy priorities.

**C. Reporting.** NOTE: Effective October 1, 2009, the new Federal Financial Report, SF-425, will replace the SF-269 and SF-269-A. Successful applicants must report activities of their FSS enrollment, progress and exit activities of their FSS program participants through required submissions of the Form HUD-50058 (or HUD-50058-MTW). HUD's assessment of the accomplishments of the FSS programs of grantees funded under this NOFA may be based in part on Public Housing Information Center (PIC) system data obtained from the Form HUD-50058.

A grantee is also required to submit a completed Logic Model (HUD-96010) showing accomplishments against proposed outputs and outcomes as part of their annual reporting requirement to HUD. Grantees shall use quantifiable data to measure performance against goals and objectives outlined in their Logic Model. Applicants must establish interim benchmarks, or outputs, for their proposed program that lead to the ultimate achievement of outcomes.

"Outputs" are the direct products of a program's activities. Examples of outputs are: the number of eligible families that participate in supportive services, the number of new services provided,

the number of residents receiving training, etc. Outputs should produce outcomes for your program. “Outcomes” are benefits accruing to the residents, families, and/or communities during or after participation in the program. Outcomes are not the development or delivery of services or program activities but the results of the services delivered or program activities – the ultimate results of the program. Applicants must clearly identify the outcomes to be achieved and measured. *Before adding new outputs or outcomes, please CAREFULLY review the options given in the drop-down menus. HUD intends that most of the eligible program activities and overall outcomes will be represented already.*

*Logic Models should be completed and submitted in paper format. Upon selection for funding, HUD will request applicants to submit electronic versions of approved Logic Models so that HUD can obtain projected performance data and then reports in electronic format.*

Annual Performance Reports consisting of the updated Logic Model are due in the field office on January 31 of each year. In addition, HUD requires that funded recipients collect racial and ethnic beneficiary data. It has adopted the Office of Management and Budget’s Standards for the Collection of Racial and Ethnic Data. In view of these requirements, funded recipients should use Form HUD-27061, Racial and Ethnic Data Reporting Form. Form 50058 used in concurrence with the PIC Data system is a comparable form.

In furtherance of the Federal Funding Accountability and Transparency Act of 2006, funded applicants will be required to provide information on sub-awards made as a result of this award. Sub-award reporting requirements take effect January 1, 2009 or as directed by the Office of Management Budget (OMB). HUD will provide further details of this reporting requirement as details are finalized. Applicants that receive awards from HUD should be

prepared to report on additional measures that HUD may designate at the time of award. Please see the General Section of this NOFA for more information.

All grantees must submit a final report to their local field office or Area ONAP that will include a financial report (SF-425) and a final Logic Model. A narrative describing milestones, progress towards goals, and problems encountered and methods used to address the problems to support the data in the Logic Model is optional. Grantees must use quantifiable data to measure performance against goals and objectives. The financial report must contain a summary of all expenditures made from the beginning of the grant agreement to the end of the grant agreement and must include any unexpended balances. The final report is due to the field office 90 days after the termination of the grant agreement.

## **VII. Agency Contacts**

**A. For Technical Assistance.** For answers to your questions, you may contact the Public and Indian Housing Resource Center at 800-955-2232. Prior to the application deadline, staff at the number given above will be available to provide general guidance, but not guidance on actually preparing the application. For programmatic questions, you may contact Anice Schervish, ROSS Program Manager at [Anice.M.Schervish@hud.gov](mailto:Anice.M.Schervish@hud.gov) or 202-402-2341. Any FAQs or further information will be available at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm> or on the NOFA-specific page that may be accessed from that page. Following selection, but prior to award, HUD staff will be available to assist in clarifying or confirming information that is a prerequisite to the offer of an award by HUD. Persons with hearing or speech impairments may use the toll-free Federal Information Relay Service at 800-877-8339.

**B. Satellite Broadcast.** HUD will hold an information broadcast via satellite for potential applicants to learn more about the PH FSS program and preparation of an application. For more



information about the date and time of this broadcast, you should consult the HUD webcast website at <http://www.hud.gov/webcasts/index.cfm>

### **VIII. Other Information**

**A. Code of Conduct.** Please see the **General Section** for more information. Further information may also be found at <http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>.

**B. Transfer of Funds.** If transfer of funds from any of the ROSS programs does become necessary, HUD will consider the amount of un-funded qualified applications in deciding to which program the extra funds will be transferred.

**C. Paperwork Reduction Act.** The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2577-0229. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 6 hours per respondent for the application. This includes the time for collecting, reviewing, and reporting the data for the application. The information will be used for grantee selection and monitoring the administration of funds.

Response to this request for information is required in order to receive the benefits to be derived.

**D. Environmental Impact.** Under 24 CFR 50.19(b)(4) and (12), activities under this NOFA are categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities. This NOFA does not direct, provide for assistance or loan and mortgage insurance for, or otherwise govern or regulate, real property acquisition, disposition, leasing, rehabilitation,

alteration, demolition, or new construction, or establish, revise or provide for standards for construction or construction materials, manufactured housing, or occupancy. Accordingly, under 24 CFR 50.19(c)(1), this NOFA is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

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

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Paula O. Blunt  
General Deputy Assistant Secretary for  
Public and Indian Housing

**[FR-5300-N-09]**