

**DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**  
**[Docket No. FR-5500-N-07**

**Notice of Funding Availability (NOFA) for HUD's Fiscal Year 2011 Housing Choice  
Voucher Family Self-Sufficiency Program**

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

**ACTION:** Notice of Funding Availability for HUD's Fiscal Year (FY) 2011 Housing Choice Voucher Family Self-Sufficiency (HCV FSS) Program.

**SUMMARY:** This Notice makes available \$59.88 million in FY2011 funding for the Housing Choice Voucher Family Self-Sufficiency (HCV FSS) Program. This Notice is comprised of the Notice of HUD's FY2011 NOFA, Policy Requirements and General Section (General Section) to HUD's FY2011 NOFAs for Discretionary Programs, posted on [www.Grants.gov](http://www.Grants.gov) on April 4, 2011, and this program section to the NOFA.

PHAs that administer HCV FSS programs enter into five-year contracts with new families on an ongoing basis, but HUD funding for coordinator salaries is awarded on an annual basis. To ensure continuity of services to those families currently enrolled in HCV FSS, the Department will first fund PHA applicants that are currently administering HCV FSS programs that meet performance standards/threshold that are established in this NOFA. If funding remains, the Department will fund additional applicants that wish to establish new HCV FSS programs. Priority will be given to both existing and new programs that adopt HUD policy priorities. Those priorities are intended to enhance education, training and job opportunities available to HCV FSS program participants. The Family Self-Sufficiency Program is authorized by section 23 of the United States Housing Act of 1937. HUD's FY2011 Notice of Funding Availability Policy Requirements and General Section (2011 General Section) published on April 4, 2011, along with any subsequent published 2011 General Section technical corrections or supplementary information, establish threshold and other critical application submission requirements that affect this NOFA. Applicants for assistance under this NOFA are, therefore, directed to review the 2011 General Section prior to submitting an application.

**DATES:** The application deadline date is 11:59:59 p.m. eastern time on **June 8, 2011**. Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. See Section IV of the **General Section** regarding application submission procedures and timely receipt requirements. Please allow time to ensure that you meet the timely receipt requirements.

**FOR FURTHER INFORMATION CONTACT:** 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 that number will be available to provide general guidance, but not guidance with actually preparing the application. Questions regarding the 2011 **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 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 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 and Voucher Programs.

**B. Funding Opportunity Title:** Housing Choice Voucher (HCV) Family Self-Sufficiency (FSS) Program Coordinators.

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

**D. Funding Opportunity Number:** FR-5500-N-07, the OMB Approval Number is 2577-0178.

**E. Catalog of Federal Domestic Assistance (CFDA) Number(s):** 14.871, Section 8 Housing Choice Vouchers.

**F. Dates:** The application deadline date is 11:59:59 p.m. eastern time on **June 8, 2011**. Applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. Please see the **General Section** for timely receipt requirements. Please allow time for this process to ensure that you meet the timely receipt requirements.

### G. Additional Overview Content Information:

**1. Purpose of the Program.** The purpose of the HCV FSS program is to promote the development of local strategies to coordinate the use of assistance under the HCV program with public and private resources to enable participating families to increase earned income and financial literacy, reduce or eliminate the need for welfare assistance, and make progress toward economic independence and self-sufficiency. The FSS program and this FSS NOFA support the Department's strategic goal of utilizing housing as a platform for improving quality of life by helping HUD-assisted renters increase economic security and self-sufficiency. The FSS program provides critical tools that can be used by communities to 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 employment. 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 service providers in the community to help participants obtain jobs and services. FSS Program Coordinators must ensure that the services included in contracts of participation of program participants 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.

**2. Funding Available.** HUD expects to award a total of approximately \$59.88 million in FY2011 funding plus any available FY2010 HCV FSS carryover funding.

**3. Award Amounts.** Awards will pay only for the annual salary and fringe benefits of HCV FSS Program Coordinators. Awards will be based on locality pay rates for similar professions. Each new or on-going position award will not exceed \$69,000. There will be no salary increases for positions funded under the FY2010 HCV FSS NOFA.

**4. Eligible Applicants.** Eligible applicants are Public Housing Agencies (PHAs) that currently administer a HCV FSS program or have HUD field office approval of their FSS Action Plan authorizing them to implement a HCV FSS program.

**5. Coordination between Programs with Services or Service Coordination.** In any jurisdiction or neighborhood that receives funding, for either the same geographic area or the same population, for ROSS Service Coordinators, Public Housing Family Self-Sufficiency, Housing Choice Voucher Family Self-Sufficiency, HOPE VI Revitalization, Choice Neighborhoods, Elderly/Disabled Service Coordinators, HUD-VASH, Family Unification Vouchers, Multi-Family Service Coordinators, Continuum of Care programs and/or other special use housing assistance with services or service coordination, HUD encourages coordination among the programs, where appropriate, so as to leverage shared resources, avoid duplication of services, and improve access and service delivery for participating families. One example of sharing is that PHAs that administer both Public Housing and HCV FSS programs may use a single Program Coordinating Committee.

## **FULL TEXT OF ANNOUNCEMENT**

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

**A. Authority and Program Description.** Funding for this program is authorized by Department of Defense and Full-Year Continuing Appropriations Act, 2011. Public Law 112-10, approved April 15, 2011.

On an annual basis, HUD has provided funding to PHAs that are operating HCV FSS programs to enable those PHAs to employ program coordinators to support their HCV FSS programs. In the Fiscal Year (FY) 2011 HCV FSS Program Coordinator NOFA, HUD is again making funding available to PHAs to employ HCV FSS program coordinators for one year. HUD will accept applications from PHAs that are currently administering a HCV FSS program, whether or not they received funding for a HCV FSS program coordinator in a previous year, and from PHAs that are not currently administering a HCV FSS program that have a HUD-approved FSS Action Plan that authorizes them to implement a HCV FSS program. Funding priority under this NOFA will be provided to applicants that currently administer a HCV FSS program with Public Housing Information Center (PIC) data demonstrating program accomplishments such as increased earned income of program participants, and families successfully completing their FSS contracts. HUD will first fund renewal positions of applicants that were funded under the FY2010 HCV FSS NOFA that meet the performance requirements of III.A.1.a and III.A.2 and Selection Process in Section V.B 1 to 3 of this NOFA. If funding remains, HUD will then fund applicants that currently administer HCV FSS programs that were not funded in FY2010 that meet the performance requirements of III.A.1.a, III.A.2.in accordance with the Selection

Process in Section V.B.1 to 3. Eligible PHAs that do not yet operate a program, but have HUD approval to implement a HCV FSS program and meet the requirements of III.A.1.b. of this NOFA, will be funded in accordance with the Selection Process in Section V.B. 2. and 3.

PHAs are encouraged to outreach to persons with disabilities who are HCV program participants and might be interested in participating in the FSS program. PHAs are also encouraged to include agencies on their FSS Program Coordinating Committee (PCC) that work with and provide services to families with disabilities.

Although the requirements of Section 3 of the Housing and Urban Development Act of 1968 do not apply to this NOFA, PHAs that are awarded funding are encouraged to make low- and very low-income public housing residents aware of training and employment opportunities created as a result of the funds awarded under this NOFA. When new HCV FSS program coordinators are hired, PHAs are encouraged to target low- and very low-income residents of the PHA and other low- and very low-income residents of the metropolitan area for new positions.

Applicants must administer the HCV FSS program in accordance with HUD regulations and requirements in 24 CFR part 984, which govern the HCV FSS Program, and must comply with existing HCV program requirements, notices, and guidebooks. This includes using a Program Coordinating Committee (PCC) to secure the necessary resources to implement and administer the FSS program. If appropriate, the HCV FSS program may share a coordinating committee with their PHA's Public Housing program or with another PHA. See 24 CFR 984.202 for more information.

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

**1. Action Plan.** The Action Plan describes the policies and procedures of the PHA 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 984.2011.

**2. FSS Program Size.** The total number of HCV FSS program slots identified in the PHA's HUD-approved FSS Action Plan, or if requested by Moving to Work (MTW) PHA applicants, the number of slots in the applicant's MTW agreement. The total may include both voluntary and mandatory HCV FSS program slots. This number is used in determining the eligibility of PHA applicants under this NOFA that are not currently administering an FSS program.

**3. HCV FSS Program Coordinator.** The 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.

**4. HCV Program Size** means the number of HCVs in a PHA's program as determined by HUD. This number will be used as a tie-breaker in determining order of funding.

**5. Number of HCV FSS Program Participants.** The total number of families shown in HUD's PIC data system or applicable MTW report, as enrolled in the applicant's HCV FSS program during a specified time period, including those that successfully completed their FSS contracts during that period. HUD will post a report on the HCV program webpage at <http://www.hud.gov/offices/pih/programs/hcv/> showing PIC data of existing HCV FSS programs for the specified time period. Any PHA that believes its posted number is incorrect and that it will be underfunded or ineligible as a result must provide documentation to the public housing director in its local HUD field office to confirm the higher number. This documentation must be submitted on or before the application deadline under this NOFA. Documentation may include, but is not limited to, an ad hoc report from PIC or another listing generated from the PHA's software that identifies all families that were under HCV FSS contract during the target period of this NOFA. Similar documentation must be submitted to their local HUD field office on or before the application deadline date by a PHA whose data is not included in the posting on the HCV program webpage.

**6. Moving to Work (MTW) PHAs.** New and renewal PHAs that are under MTW agreements with HUD that 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.

**7. Percentage of Families with Positive FSS Escrow Balances.** A percentage that will be computed by HUD for applicants that currently administer HCV FSS programs. This percentage will be used to determine funding order of eligible applicants in any priority category under this NOFA where funding is not sufficient to fund all applicants in the priority category that are currently administering HCV FSS programs. It is the sum of the number of HCV FSS families with positive escrow balances and the number of families that successfully completed their FSS contracts as a percentage of HCV FSS families with FSS progress reports. This calculation will be made using data for the period from January 1, 2010 through December 31, 2010 that has been submitted to HUD on the Form HUD-50058 or for MTW PHAs, the HUD-50058-MTW.

**8. PHA Applicants Not Currently Administering an HCV FSS Program.** PHAs that do not currently administer an HCV FSS program and consequently do not have FSS data in HUD's PIC data system, but have a HUD-approved FSS Action Plan authorizing them to implement an HCV FSS program. For purposes of eligibility under this NOFA, the approved program size must meet the requirements of III.A.1.b. of this NOFA.

**9. Salaries Subject to a Salary Limitation.** Salaries for coordinator positions that were funded under the FY2010 HCV FSS NOFA. There will be no increase under this NOFA for these positions. (For information about requirements for salaries of all other positions, you

should refer to Part II of this NOFA. Also see section IV.E. for further information about funding restrictions under this NOFA.)

## **II. Award Information**

**A. Available Funds.** The funding for this program is authorized by Department of Defense and Full-Year Continuing Appropriations Act, 2011. Public Law 112-10, approved April 15, 2011.

**B. Positions.** For positions not funded under the FY2010 NOFA, a maximum of \$69,000 is available for each full-time coordinator position funded. The maximum salary for a part-time position may not exceed 50 percent of the comparable salary for a full-time position adjusted for the number of hours worked. Salaries must be based on local comparables that must be kept on file in the PHA's offices. The funding will be provided as a one-year HCV funding increment under the PHA's Annual Contributions Contract (ACC). HUD reserves the right to adjust funding for positions in order to ensure a fair and reasonable distribution of funding based on factors such as geographic distribution.

## **III. Eligibility Information**

**A. Eligible Applicants.** PHAs eligible to apply for funding under this NOFA are: PHAs currently administering HCV FSS programs that have served at least the minimum number of families required by this NOFA and PHAs that do not currently administer HCV FSS programs that have HUD field office approval of their FSS Action Plan authorizing them to implement a HCV FSS program of at least the minimum size required by this NOFA as identified below. State and regional agencies that administer HCV FSS programs in administratively distinct parts of a state or region may request that the eligibility requirements be applied to each separate area where they administer a HCV FSS program of the required size. To qualify, state and regional PHAs must submit an ad hoc report from PIC or another listing generated from the PHA's software that identifies separate administrative areas and the participating HCV FSS families in those areas. This documentation must be submitted to the applicant's local HUD field office prior to the application deadline.

### **1. Eligibility for an Initial Position.**

**a. PHAs currently administering HCV FSS programs.** For PHAs, including those participating in MTW, determination of eligibility for funding for existing HCV FSS programs will be based on data in HUD's Public Housing Information Center (PIC) system. Eligibility will be based on the number of families participating in the PHA's HCV FSS program for the period from January 1, 2010 to December 31, 2010 except as indicated in III.A.1.a.(1)(b) or III.A.1.a.(2)(c) below.

**(1) To qualify for an initial full-time position the PHA must fall into one of the following categories:**

(a) Served a minimum of 25 families in their HCV FSS program during the target period.

(b) Received initial funding under the FY2010 HCV FSS NOFA to establish a new HCV FSS program and started to enroll families between January 1, 2011 and the closing date of this NOFA. (PHAs in this category were funded based on their certification that they would implement an FSS program of at least 25 families. Because such PHAs would have less than a year from the award date of their FY2010 HCV FSS funding increment to implement their programs, the requirement that a PHA serve a minimum number of 25 families will not apply to them under this NOFA.) On or before the application deadline date, PHAs that begin to enroll families between January 1, 2011 and the closing date of this NOFA, must submit data to their local HUD field office confirming the enrollment.

(c) Apply jointly with one or more other PHAs to meet the 25 HCV FSS family threshold.

**(2) To qualify for a part-time position of up to fifty percent of a full-time coordinator's salary:**

(a) A PHA that served between 15 and 24 HCV FSS families during the target time period.

(b) PHAs that apply jointly with one or more other PHAs to meet the 15 – 24 HCV FSS family requirement of this section.

(c) Received initial funding under the FY2010 HCV FSS NOFA as discussed in III.A.1.a.(1)(b) above.

**b. PHAs that do not currently administer HCV FSS programs but have a HUD-approved FSS Action Plan.**

**(1) To qualify for a full-time position.**

(a) PHA with a HUD- approved FSS Action Plan authorizing implementation of an HCV FSS program of at least 25 slots.

(b) PHAs that apply jointly with one or more other PHAs to meet the 25 HUD-approved FSS slot threshold;

**(2) To qualify for a part-time position of up to 50 percent of a full-time coordinator's salary.**

(a) PHA with 15 to 24 approved HCV FSS slots in its HUD-approved FSS Action Plan.

(b) PHAs that applying jointly with one or more other PHAs to meet the 15-24 slot requirement of this section.

**2. Funding for Additional Positions for Existing HCV FSS Programs.** Eligibility will be based on the number of HCV FSS families served. The minimum number of families served to qualify for each new funding level will be 50 families higher than the previous level. For example: To qualify for a second position, a PHA must have served at least 75 families; for a third position, a PHA must have served at least 125 families, etc. Further information on order of funding is in V.B.3. of this NOFA.

**3. Troubled PHAs.** (See section III.C.3.c. of this NOFA for further information on when HUD requires a contract administrator.)

a. A PHA that has been designated by HUD as a troubled PHA under the Section Eight Management Assessment Program (SEMAP), or that has serious program management findings from Inspector General audits or serious outstanding HUD management review or Independent Public Accountant (IPA) audit findings for the PHA's HCV or Moderate Rehabilitation programs that are resolved prior to this NOFA's application deadline. (Serious program management findings are those that would cast doubt on the capacity of the PHA to administer its HCV FSS program in accordance with applicable HUD regulatory and statutory requirements.)

b. A PHA whose SEMAP troubled designation has not been removed by HUD or whose major program management findings or other significant program compliance problems have not been resolved by the application deadline may apply if the PHA meets the requirements stated in Section III.C.2 and III.C.3.c. of this NOFA, including all threshold and eligibility requirements.

**B. Cost Sharing or Matching.** None required.

### C. Other

1. **Eligible Activities.** Funds awarded to PHAs under this FSS NOFA may only be used to pay salaries and fringe benefits of HCV FSS program staff. Funding may be used to employ or otherwise retain for one year the services of HCV FSS program coordinators. HCV FSS coordinator support positions funded under previous FSS NOFAs that make funding available for such FSS positions may be continued. A part-time program coordinator may be retained where appropriate. 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 be used for performance of routine HCV program functions that are covered by HCV administrative fees.

## 2. Threshold Requirements

### a. All Applicants

(1) Each applicant must qualify as an eligible PHA under Section III.A. of this NOFA and must have met the timely receipt requirements and the format required in Section IV. of this NOFA.

(2) All applications must include a Dun and Bradstreet Universal Numbering System (DUNS) number. (See the **General Section** for further information about the DUNS number requirement.)

(3) Resolution of Outstanding Civil Rights Matters. Section III.C.5.a. of the **General Section** applies.

(4) Additional nondiscrimination and other requirements. See Section III.C.5. of the **General Section**. Section 3 of the Housing and Urban Development Act of 1968 does not apply to this

program. See Affirmatively Furthering Fair Housing requirements in section III.C.3.e. of this NOFA.

(5) The PHA 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.

(6) 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**.

(7) Applicants must meet the performance requirements of III.A. of this NOFA.

(8) Capacity to Administer HCV FSS. The local HUD field office of each applicant will evaluate capacity of the applicants during the application processing period. For PHAs currently administering HCV FSS programs, the review will cover past HCV FSS program performance and will include management review and audit findings affecting the FSS program as well as findings concerning HCV FSS financial and tenant data reporting or HCV FSS logic model reporting. Renewal PHA applicants that have been notified of deficiencies in reporting and/or performance in their HCV FSS program by the Field Office that have failed to address these deficiencies in the timeframe established in the notification by the Field Office must engage another entity acceptable to HUD to administer their HCV FSS program during the term of the FY2011 funding to be awarded under this NOFA. For PHAs not currently administering the FSS program, capacity of the PHA's HCV program will be evaluated and field office approval of their HCV FSS Action Plan will be confirmed. For both categories of applicants, those found to have capacity or past performance problems that call into question the ability of the PHA to properly administer an effective HCV FSS program will be required to contract with an entity acceptable to the field office to act as contract administrator for the program. The field office will evaluate the capacity of each entity proposed as a contract administrator and determine whether that entity is approvable and the proposed agreement acceptable.

### **3. Program Requirements**

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

**b. FSS Action Plan.** The requirements for the FSS Action Plan are stated in 24 CFR 984.201. For a PHA applicant that does not currently administer an FSS program to qualify for funding under this NOFA, the PHA's initial FSS Action Plan must be submitted to and approved by the PHA's local HUD field office prior to the application deadline of this FSS NOFA. A MTW PHA that has not yet implemented an FSS program may request that the number of FSS slots in its MTW agreement be used instead of the number of slots in the PHA's FSS Action Plan.

**c. Troubled PHAs.** A PHA whose SEMAP troubled designation has not been removed by HUD or that has major program management findings or other significant program compliance problems that have not been resolved by the application deadline, may apply if the PHA submits an application that designates another organization or entity that is acceptable to HUD and that:

(1) Includes an agreement by the other organization or entity to administer the FSS Program on behalf of the PHA; and

(2) In the instance of a PHA with unresolved major program management findings, includes a statement that outlines the steps the PHA is taking to resolve the program findings.

Any PHA that is unsure of their status should contact the Office of Public Housing in the local HUD field office to determine whether they are required to have an agreement. If an applicant that is required to have an agreement under this section fails to submit the required agreement, this will be treated as a technical deficiency. See **General Section** for more information on Corrections to Deficient Applications.

**d. Conducting Business in Accordance with Core Values and Ethical Standards.** To reflect core values, all PHAs shall develop and maintain a written code of conduct in the PHA administrative plan that:

(1) Requires compliance with the conflict-of-interest requirements of the HCV program at 24 CFR 982.161; and

(2) Prohibits the solicitation or acceptance of gifts or gratuities, in excess of a nominal value, by any officer or employee of the PHA, or any contractor, subcontractor, or agent of the PHA. The PHA's administrative plan shall state PHA policies concerning PHA administrative and disciplinary remedies for violation of the PHA code of conduct. The PHA shall inform all officers, employees, and agents of its organization of the PHA's code of conduct. See the **General Section** for additional information on the Code of Conduct requirement.

**e. Affirmatively Furthering Fair Housing.** Each program that receives funding under this NOFA must affirmatively further fair housing by complying with the requirements of section III.C.4.a (2) of this NOFA.

#### **4. Program Coordinator Responsibilities and Staffing Guidelines.**

**a. Responsibilities of the HCV FSS Program Coordinator.** A HCV FSS Program Coordinator must:

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

(2) Affirmatively Furthering Fair Housing,

(a) Ensure that each participant receives training and information on rights and remedies available under the federal, state and local fair housing and civil rights laws and a copy of the housing discrimination complaint form.

- (b) Ensure that each participant is told how to file a fair housing complaint and given the toll-free number for the Housing Discrimination Hotline; 800-669-9777.
- (c) If the family is currently living in a high poverty census tract in the PHA's jurisdiction, ensure that the family is provided with an explanation of the advantages of moving to an area that does not have a high concentration of low-and very low-income people.
- (d) Seek out fair housing training that will assist the coordinator fulfill fair housing responsibilities. Fair housing training may be available through the local Fair Housing Initiatives Program (FHIP) agency or the Fair Housing Assistance Program (FHAP) agency. A listing of FHIPs and FHAPs can be found at [www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm](http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm) (FHIP) and [www.hud.gov/offices/fheo/partners/FHAP/agencies.cfm](http://www.hud.gov/offices/fheo/partners/FHAP/agencies.cfm) (FHAP).
- (3) Ensure that the services included in the 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.
- (4) Monitor the progress of participants and evaluate the overall success of the program.

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

**5. Coordination.** In any jurisdiction or neighborhood that receives funding, for either the same geographic area or the same population, for ROSS Service Coordinators, Public Housing Family Self-Sufficiency, Housing Choice Voucher Family Self-Sufficiency, HOPE VI Revitalization, Choice Neighborhoods, Elderly/Disabled Service Coordinators, HUD-VASH, Family Unification Vouchers, Multi-Family Service Coordinators, Continuum of Care programs and/or other special use housing assistance with services or service coordination, HUD encourages coordination among the programs, where appropriate, so as to leverage shared resources, avoid duplication of services, and improve access and service delivery for participating families.

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

### **A. Addresses to Request Application Package**

See the **General Section** for specific procedures concerning the electronic application submission and timely receipt requirements. Copies of the published NOFAs and application forms for HUD programs announced through NOFAs may be downloaded from the grants.gov website at [http://www07.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www07.grants.gov/applicants/apply_for_grants.jsp); if you have difficulty accessing the information, you may receive customer support from Grants.gov by calling its Support Desk at 800-518-GRANTS, or by sending an email to [support@grants.gov](mailto:support@grants.gov). The Grants.gov help desk is open 7 days a week, 24 hours a day, except federal holidays.

You may request general information from the NOFA Information Center at 800-HUD-8929 or 800-HUD-2209 (TTY) between the hours of 10 a.m. and 6:30 p.m. eastern time, Monday through Friday, except on federal holidays. 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.

For program specific technical assistance see Section VII.A. of this FSS funding announcement.

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

**1. Content of Application.** Each applicant must complete the forms listed below. Use the forms that are included in the 2011 application posted on Grants.gov to avoid using outdated forms. Unsolicited material will not be reviewed or considered in the application. Please do not submit extraneous materials.

- a. Form SF\_424;
- b. SF\_LLL, if appropriate;
- c. Form HUD\_52651, the HCV FSS application form;
- d. HUD\_2880, “Applicant/Recipient Disclosure/Update Report” (HUD Applicant Recipient Disclosure Report on Grants.gov);
- e. Acknowledgment of Application Receipt (HUD\_2993), if applicable;
- f. HUD Facsimile Transmittal (HUD\_96011, Third Party Documentation Facsimile Transmittal);
- g. HUD\_2991, Certification of Consistency with the Consolidated Plan or a copy of the signed PHA Certification of Compliance for their current Annual PHA Plan.
- h. Logic Model, form HUD\_96010. The application must include a completed Logic Model (form HUD\_96010) showing proposed performance measures applicable to the one-year term of the funding requested under this FSS NOFA. 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 participants receiving training, etc. Outputs should produce outcomes for your program. “Outcomes” are benefits accruing to the participants, 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 contained in the Logic Model.

HUD intends that most of the eligible program activities and overall outcomes will be represented already. Please remember that the Logic Model will be reviewed to determine eligibility for Policy Priority Status. See the **General Section** for further information on the Logic Model.

## **2. Locating and completing forms.**

**a. General.** A copy of form HUD\_52651, the HCV FSS application form, and the HUD\_96010, Logic Model form, are part of the INSTRUCTIONS download.

**b. SF\_424.** In completing the SF\_424, PHAs funded in FY2009 under the FY2010 HCV FSS NOFA should select the continuation box on question 2, type of application. The Federal Identifier requested in 5a. is the PHA number of each applicant PHA (e.g., MD035 or AK002). The Federal Award Identifier is the PHA number plus “FSS8”. All PHA applicants should enter the effective date of January 1, 2012 and expiration date of December 31, 2012 as the proposed ACC amendment effective and ending dates for the requested FSS coordinator funding in Section 17 of the SF\_424. When entering the applicant zip code, be sure to enter the 9 digit zip code. In Section 18 of SF\_424 (Estimated Funding), complete 18.a. which will be the amount requested from HUD in this FY2010 FSS application, and 18.g., Total. The dollar amounts entered in both 18.a. and 18.g. must be the total requested under this NOFA. Those totals should include the dollar amounts for fringe benefits, if applicable. Enter zero (0) in 18.b. through 18.f.

**c. HUD\_52651.** All applicant PHAs must complete Part I of the form HUD\_52651. PHAs that currently administer HCV FSS programs will also complete Part II. PHAs that are not currently administering a HCV FSS program will complete Parts I and III. A PHA that qualifies for a part-time position under III.A.1.a.(2) of this NOFA should enter ½ in Part II.C.1. of the HUD\_52651. A PHA that qualifies for a part-time position under III.A.1.b.(2) of this NOFA should enter ½ in Part III.C.1. of the HUD\_52651.

**C. Receipt Dates and Times.** Your completed application must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. Applicants should carefully read the section titled “APPLICATION and SUBMISSION INFORMATION” in the **General Section**. Please note that only the final submission received and validated by Grants.gov will be processed by HUD. If you re-submit, you must re-submit the entire application and re-fax any faxed attachments.

**D. Intergovernmental Review.** This NOFA is not subject to Executive Order (EO) 12372, Intergovernmental Review of Federal Programs.

## **E. Funding Restrictions**

**1. Salary Cap.** Awards under this NOFA are subject to a cap of \$69,000 per year per full-time coordinator position funded. Under this NOFA, if PHAs apply jointly, the \$69,000 maximum amount that may be requested per position applies for the application as a whole, not to each PHA separately. See Part II of this NOFA for information about part-time positions and salary comparability requirements.

**2. Limitation on Funding Increases.** There will be no funding increases for positions that were funded under the FY2010 HCV FSS NOFA.

### **3. Ineligible Activities**

- a. Funds under this NOFA may not be used to pay the salary of an FSS coordinator for a public housing FSS program. An HCV FSS program coordinator may only serve HCV families while the public housing FSS program serves only public housing residents.
- b. Funds under this FSS NOFA may not be used to pay for services for FSS program participants.
- c. Funds under this NOFA may not to be used for performance of routine HCV program functions that are covered by HCV administrative fees.
- d. Funds under this NOFA may not be used to compensate coordinators for homeownership functions performed for families not enrolled in the HCV FSS program.

### **F. Other Submission Requirements**

**1. Application Submission and Receipt Procedures.** See the **General Section**. Electronic application submission is mandatory unless an applicant requests, and is granted, a waiver to the requirement. Applicants should submit their waiver requests in writing using email. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to Laure.Rawson@hud.gov and to Kathryn.L.Greenspan@hud.gov. The subject line of the email message should be FY2011 HCV FSS NOFA Waiver Request. If an applicant is granted a waiver, then the approval will provide instructions for submitting paper copies to the appropriate HUD office(s). All paper applications must be received by the application deadline date to meet the requirements for timely submission.

### **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 and by the Grants Management Center (GMC) to determine whether or not they are technically adequate based on the NOFA requirements. Field offices will provide to the GMC in a timely manner, as requested, information needed by the GMC to make its determination, such as the HUD-approved HCV FSS program size of new PHA applicants and information on the administrative capabilities of PHAs. Categories of applications that will not be funded are stated in Section V.B.6. of this FSS NOFA.

#### **1. Policy Priority Status**

**a. Policy Priority Status.** This NOFA supports the HUD policy priorities of (1) Job Creation/Employment, (4) Capacity Building and Knowledge Sharing and (5) Using Housing as

a Platform for Improving Other Outcomes. See, Section I.B. of the **General Section** for a full discussion of HUD's policy priorities. Please read these sections carefully. *In order to receive funding status priority, the applicant's logic model must include **at least two of the following three categories** of activities/outputs and the related required outcomes.*

**(1) For Policy Priority #1, Job Creation/Employment**, this NOFA specifically supports:

(a) Improving access to job opportunities through information sharing, coordination with federal, state, and local entities, and other means (Subgoal 3C);

(b) Increasing access to job training, career services, and work, supports through coordination with federal, state, and local entities (Subgoal 3C); and

(c) Expanding economic and job creation opportunities for low-income residents and creating better transportation access to those jobs and other economic opportunities by partnering with federal and nonprofit agencies, private industry, and planning and economic development organizations and by leveraging federal and private resources (Subgoal 4A).

In order to receive status consideration for this Policy Priority, applicants' Logic Models must include **activity/output** of :

- "Policy Priority- Job Creation/Employment- Partnership with Workforce Investment Board (WIB) to establish apprenticeship programs and/or job opportunities" **or**
- "Policy Priority-Job Creation/Employment- Partnerships with local unions to establish apprenticeship programs and/or job opportunities".

The corresponding **outcomes** must be **at least one of the following:**

- "Policy Priority- Job Creation/Employment-Number of job placements as a result of partnerships with the Workforce Investment Board"
- "Policy Priority- Job Creation/Employment-Number of job placements as a result of partnerships with local unions"
- "Policy Priority-Job Creation/employment-Number of new apprenticeship programs established as a result of partnership(s) with Workforce Investment Board" **and/or**
- "Policy Priority-Job Creation/employment-Number of new apprenticeship programs established as a result of partnership(s) with local unions."

**(2) For Policy Priority #4, Knowledge Sharing and Capacity Building**, this NOFA specifically supports:

(a) Support knowledge sharing and innovation by disseminating best practices, encouraging peer learning, publishing data analysis and research, and helping to incubate and test new ideas (Subgoal 4E).

In order to receive status consideration, applicants' Logic Models must include the **activity/output** of:

- “Policy Priority-Capacity Building and Knowledge Sharing-Meet with local PCC (minimum 4 meetings per year) and conduct gap analysis” showing a *goal of a minimum of four meetings each year*.

The corresponding **outcome** must be **one or more of the following**

- “Policy Priority- Capacity Building and Knowledge Sharing- Number of education/training services available from partners added as a result of the gap analysis”
- “Policy Priority- Capacity Building and Knowledge Sharing- Number of employment/placement opportunities added as a result of the gap analysis”
- “Policy Priority-Capacity Building and Knowledge Sharing- Number of health/mental health services available from partners added as a result of the gap analysis”
- “Policy Priority-Capacity Building and Knowledge Sharing-Number of New Supportive Services partners providing services as a result of the gap analysis”

**(3) For Policy Priority #5, Using Housing as a Platform for Improving Other Outcomes, this NOFA specifically supports:**

- (a) Increasing access to high quality early learning programs and services through coordination with local programs (Subgoal 3A)
- (b) Utilize HUD assistance to improve health outcomes (subgoal 3B) and
- (c) Utilize HUD assistance to increase economic security and self-sufficiency (subgoal 3C).

In order to receive status consideration, applicants’ Logic Models must reflect the **activity/output of at least one** of the following:

- “Policy Priority-Housing as a Platform-Partnerships established with high performing Early Childhood Education Programs”.

The corresponding **outcome** must be

- “Policy Priority-Housing as a Platform- Number of children enrolled in high performing early childhood education programs with an identification of young children enrolled in high performing early childhood programs; **or**
- “Policy Priority-Housing as a Platform-Partnerships established with local community health clinics”

The corresponding **outcome** must be,

- “Policy Priority-Housing as a Platform-Number of Households that have a medical home”

A Medical Home is an approach to providing comprehensive primary care that facilitates partnerships between individual patients, and their personal providers; and, when appropriate, the

patient's family. The provision of medical homes can allow better access to health care, increased satisfaction with care, and improved health.

HUD may request documentation of meetings held or partnerships/MOUs established at such time as a grantee indicates on their logic model report that the activity is complete.

## **B. Review and Selection Process**

**1. Technically Acceptable Applications.** All technically adequate applications will be funded to the extent funds are available.

**2. 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:

**Funding Category 1** – PHAs funded under the FY2010 HCV FSS NOFA. Renewal of positions awarded in FY2010 HCV FSS NOFA that meet the requirements of III.A.1.a. and III.A.2. of this FSS NOFA.

**Funding Category 2** – PHAs that received Category 1 funding under this NOFA that: (a) lost positions in FY2009 although they met the performance requirements under Notice PIH 2009-40 (HA) and (b) received funding for a higher number of positions under the FY2008 HCV FSS NOFA than under the FY2010 HCV FSS NOFA. These PHAs may receive funding for up to the total number of lost positions requested by the applicant in its FY2011 HCV FSS application for which the applicant meets the requirement of III.A.2. of this NOFA.

**Funding Category 3** – PHAs that are currently administering HCV FSS programs that were not funded in categories I or II above that meet the requirements of III.A.1.a. and III.A.2. of this NOFA.

**Funding Category 4** - PHA applicants that do not currently administer a HCV FSS program that meet the requirements of III.A.1.b. of this NOFA.

**Funding Category 5** – Category 1 PHA applicants that qualify for new positions based on the requirements for the number of families served in III.A.2 of this NOFA..

**3. Order of Funding.** Eligible positions in each Funding Category will be funded in order starting with Category 1, then Category 2, etc. In each Funding Category, HUD will first fund applicants that qualify for HUD Policy Priority status under this NOFA, followed by those applicants that did not receive Policy Priority status. (See section V.A.1. for further information on qualifying for HUD Policy Priorities under this NOFA.) Starting with Funding Category 1, HUD will determine whether there are sufficient monies for all eligible positions requested in the Funding Category. If there are not sufficient funds for all eligible positions in a Funding Category, HUD will determine the order of funding in that Funding Category as follows:

**a. Funding Category 1.** - HUD will first determine whether all eligible renewal positions of Policy Priority status Category 1 applicants can be funded. If all cannot be funded, HUD will

begin funding eligible renewal positions of Category 1 Policy Priority status applicants in a round robin fashion, first with all eligible applicants getting one position, then a second, etc., until there are insufficient funds for all eligible renewal positions in that round. In that final round, order of funding will be determined based on the percentage of families with positive escrow balances and HCV program size. Preference will be given to applicants with the highest percent of families with positive escrow balances. HCV program size will be used as a tie breaker where necessary giving preference to the smallest HCV programs first. If funding is sufficient for all renewal positions of Category 1 Policy Priority applicants but not for all Category 1 non-Policy Priority Category 1 applicants, a round robin approach will also be used for eligible renewal positions of non-Policy Priority Category 1 applicants with preference for applicants with the highest percentage of families with positive escrow balances. HCV program size will again be used as a tie breaker with preference for the smallest HCV programs first.

**b. Funding Category 2.** HUD will begin funding eligible Policy Priority Category 2 applicants starting with those that qualify to have the highest number of lost positions restored. If not all can be funded, percentage of families with positive escrow balances and HCV program size will be used to determine funding order and as tie breakers as for Funding Category 1 above. If funding remaining after funding all eligible positions of Category 2 Policy Priority applicants is not sufficient to fund all eligible non-Policy Priority applicants, non-Policy Priority Category 2 applicant funding order will be based on the highest number of lost positions that would be restored, percentage of families with positive escrow balances and HCV program size.

**c. Funding Category 3–.** If all eligible Policy Priority Category 3 applicants cannot be funded, HUD will begin funding eligible positions of Category 3 Policy Priority applicants in a round robin fashion, using procedures similar to those used for Category 1 Policy Priority status applicants as described in paragraph a. of this section. If funding remains after all Category 3 Policy Priority positions have been funded but it is not sufficient to fund all non-Policy Priority Category 3 applicants, a round robin approach will then be employed for non-Policy Priority Category 3 applicants with preference for applicants with the highest percentage of families with positive escrow balances and using HCV program size as a tie breaker as was done for non-Policy Priority Category 1 applicants in paragraph a. of this section.

**d. Funding Category 4.** If there are not sufficient monies to fund an initial position for all eligible Category 4 applicants, Policy Priority status applicants will be funded first based on HCV program size starting with applicants with the smallest HCV programs first. If monies remain after funding all eligible Category 4 Policy Priority applicants but not sufficient for all non-Policy Priority Category 4 applicants, then HUD will begin funding eligible non-Policy Priority applicants starting with applicants with the smallest HCV programs first.

**e. Funding Category 5.** If there are not sufficient monies to fund all new positions requested by PHAs whose renewal positions were funded in Category 1, HUD will begin funding those eligible Category 5 applicants that qualify for Policy Priority status. HUD will begin funding Policy Priority applicants in a round robin fashion starting with those applicants qualifying for a second position. If funding remains, the funding of the Policy Priority applicants will continue in a round robin fashion, funding a third position and then a fourth, etc. If funding remains after funding all eligible Policy Priority Category 5 applicants, HUD will then follow the same

process for non-Policy Priority applicants funding first a second position, then a third, etc. If there is not enough funding for all applicants in either Policy Priority or non-Policy Priority categories, HUD will use highest percentage of families with positive escrow balances to determine order of funding. HUD program size will be used if a tie breaker is needed with preference for the smallest HCV programs first.

**4. Processing of Applications if there are Insufficient Funds.** The GMC may elect not to process applications for a funding category where there are insufficient funds available for any applications in that funding category.

**5. Corrections to Deficient Applications.** The **General Section** provides the procedures for corrections to deficient applications.

**6. Unacceptable Applications.** After the technical deficiency correction period (as provided in the **General Section**), the GMC will disapprove applications that it determines are not acceptable for processing. Applications that fall into any of the following categories are ineligible for funding under this NOFA:

- a. An application submitted by an entity that is not an eligible PHA as defined under Section III.A. and Section III.C. of this NOFA or an application that does not comply with the requirements of Section IV.B., IV.C., and IV.F. of this NOFA.
- b. An application that does not meet the fair housing and civil rights compliance requirements of the **General Section**.
- c. An application that does not comply with the prohibition against lobbying activities of the **General Section**.
- d. An application that as of the application deadline has not made progress satisfactory to HUD in resolving serious outstanding Inspector General audit findings, or serious outstanding HUD management review or Independent Public Accountant audit findings for the HCV program and/or Moderate Rehabilitation program or has a “troubled” rating under SEMAP, and has not designated another organization acceptable to HUD to administer the FSS program on behalf of the PHA as required in Section III.C.3.c. of this FSS NOFA before the end of the technical deficiency correction period established by the GMC.
- e. An application from a PHA that has been debarred or otherwise disqualified from providing assistance under the program.
- f. Applications that do not meet the Threshold requirements identified in this NOFA and the **General Section**.
- g. Applicants that submit only a SF424 and applicants that fail to submit form HUD52651.

**C. Anticipated Announcement and Award Dates.** It is anticipated that award announcements will take place by September 30, 2011.

## **VI. Award Administration Information**

**A. Award Notices.** Successful applicants will receive an award letter from HUD. Funding will be provided to successful applicants as an amendment to the ACC of the applicant PHA. In the case of awards to joint applicants, the funding will be provided as an amendment to the ACC of the lead PHA that was identified in the application.

Unsuccessful applicants will receive a notification of rejection letter from the GMC that will state the basis for the decision. The applicant may request an applicant debriefing. Beginning not less than 30 days after the awards for assistance are publicly announced and for a period of at least 120 days, HUD will, upon receiving a written request, provide a debriefing to the requesting applicant. (See the **General Section** for additional information regarding a debriefing.) Applicants requesting to be debriefed must send a written request to: 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. HUD's Strategic Goals.** HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission. The FSS program and this FSS NOFA support the Department's strategic goal of utilizing housing as a platform for improving quality of life. You can find out about HUD's Strategic Framework and policy priorities in the **General Section**.

**2. Environmental Impact.** This NOFA provides funding under 24 CFR 984, which does not contain environmental review provisions because it concerns only activities listed in 24 CFR 50.19(b). Accordingly, under 24 CFR 50.19(c)(5), this NOFA is categorically excluded from environmental review under the National Environment Policy Act of 1969 (42 U.S.C. 4321).

### **C. Reporting.**

#### **1. PIC and VMS.**

Successful applicants must report activities of their FSS enrollment, progress and exit activities of their HCV FSS program participants through required submissions of the form HUD\_50058. MTW PHAs will report using the form HUD\_50058\_MTW. HUD's assessment of the accomplishments of the FSS programs of PHAs funded under this NOFA will be based primarily on PIC system data obtained from forms HUD\_50058 and HUD\_50058\_MTW. The amount of FSS escrow deposits and FSS escrow forfeitures and FSS coordinator expenses must be entered in HUD's Voucher Management System (VMS) on an ongoing basis.

#### **2. Logic Model.**

Each recipient is also required to submit a completed Logic Model showing accomplishments against proposed outputs and outcomes as part of their annual reporting requirement to HUD. Recipients shall use quantifiable data to measure performance against goals and objectives contained in their Logic Model (HUD\_96010).

An annual Performance Report consisting of the updated Logic Model (HUD\_96010) and answers to the Logic Model Program Management and Evaluations Questions must be submitted to the Public Housing Director in the recipient's local HUD field office no later than 30 days after the ending date of the one-year funding increment provided to the recipient under this NOFA.

**3. Racial and Ethnic Data.** HUD requires that funded recipients collect racial and ethnic beneficiary data. It has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, funded recipients should use Form HUD\_27061, Racial and Ethnic Data Reporting Form (HUD Race Ethnic Form on Grants.gov), or a comparable form. Form HUD\_50058, which provides racial and ethnic data to HUD's PIC data system, is a comparable program form that should be used by PHAs for reporting racial and ethnic data for HCV FSS program participants.

#### **4. Transparency Act Reporting.**

##### **a. Recipient Reporting to Meet the Requirements the Federal Financial Assistance Accountability and Transparency Act of 2006 as amended.**

**1. Prime Awardee Reporting.** Prime recipients of HUD financial assistance are required to report subawards made either as pass-through awards, subrecipient awards, or vendor awards in the federal governmentwide website [www.fsr.gov](http://www.fsr.gov) or its successor system.

Starting with awards made October 1, 2010, prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subawards, including awards made as pass-through awards or awards to vendors, where both the initial award is \$25,000 or greater or the cumulative award will be \$25,000 or greater if funding incrementally as directed by HUD in accordance with OMB guidance. The reporting of award and subaward information is in accordance with the requirements of Federal Financial Assistance Accountability and Transparency Act of 2006, as amended by section 6202 of Public Law 110-252, hereafter referred to as the "Transparency Act" and OMB Guidance issued to the Federal agencies on September 14, 2010 (75 FR 55669) and in OMB Policy guidance. The prime awardee will have until the end of the month plus one additional month after a subaward or pass-through award is obligated to fulfill the reporting requirement. The Transparency Act requires the creation of a public governmentwide website in which the following subaward data will be displayed:

- (a) Name of entity receiving award;
- (b) Amount of award
- (c) Funding agency;
- (d) North American Industry Classification System (NAICS) code for contracts/CFDA program for financial assistance awards;
- (e) Program source;
- (f) Award title descriptive of the purpose of the funding action;
- (g) Location of the entity (including Congressional district);
- (h) Place of Performance (including Congressional district);
- (i) Unique identifier of the entity and its parent; and

(j) Total compensation and names of top five executives.

For the purposes of reporting into the FFATA Subaward Reporting System (FSRS) reporting site, the unique identifier is the DUN and Bradstreet Universal Numbering System (DUNS) number the entity has obtained from Dun and Bradstreet, and for Prime awardees the DUNS number registered in the Central Contractor Registration as required by HUD regulation 24 CFR 5.1004.

**2. Prime Awardee Executive Compensation Reporting.** Prime awardees must also report in the governmentwide website the total compensation and names of the top five executives in the prime awardee organization if:

(a) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and

(b) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

**3. Subaward Executive Compensation Reporting.** Prime awardees must also report in the governmentwide website the total compensation and names of the top five executives in the subawardees, pass-through or vendor organization if:

(a) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and

(b) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

**4. Transparency Act Reporting Exemptions.** The Transparency Act exempts any sub-awards less than \$25,000 made to individuals and any sub-awards less than \$25,000 made to an entity whose annual expenditures are less than \$300,000. Subawards with a cumulative total of \$25,000 or greater are subject to subaward reporting beginning the date the subaward total award amount reaches \$25,000. Any other exemptions to the requirements must be approved by the Office of Management and Budget.

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

Further, each recipient of federal funds with a cumulative value greater than \$10 million and their direct (i.e., first-tier) subrecipients would be required to report to the FAPIIS system. The data collection requirements include information about certain civil judgments, criminal

convictions, and outcomes of administrative proceedings that reached final disposition within the most recent 5-year period and were connected with the award or performance of a federal or state award. Recipients and first-tier subrecipients must report information at least semi annually to maintain the currency of the information. Section 872 also requires that an entity be allowed to submit comments to the data system about any information that system contains about the entity. Use of the FAPIIS system requires a DUNS number and current valid registration in the CCR for HUD awardees and first-tier subrecipients.

Prior to making a funding decision, the federal official authorized to make the award is required to determine whether the entity is qualified to receive an award, taking into consideration any information about the entity that is in the data system. OMB is in the process of issuing regulations regarding federal agency implementation of Section 872 requirements. A proposed rule was published in the Federal Register on February 18, 2010, by OMB seeking public comments no later than April 19, 2010.

HUD's terms and conditions to its FY2011 awards will contain requirements related to meeting Section FFATA and Section 872 requirements.

## **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. Persons with hearing or speech impairments may access this number via TTY (text telephone) by calling the Federal Information Relay Service at 800-877-8339. (These are toll-free numbers). Prior to the application deadline, staff at the numbers given above will be available to provide general guidance, but not guidance in actually preparing the application. 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.

**B. Satellite Broadcast.** HUD will hold an information broadcast via satellite for potential applicants to learn more about the HCV FSS program and preparation of an application. For more information about the date and time of this broadcast, you should consult the HUD website at [www.hud.gov](http://www.hud.gov).

## **VIII. Other Information**

**A. 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 2577-0178. 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 one hour per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application and other required reporting. 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.

**B. Public Access, Documentation, and Disclosure.** See Section VIII. G. of the **General Section.**

Date: 4/15/11

for Sandra B. Henriquez  
Sandra B. Henriquez  
Assistant Secretary for Public and Indian  
Housing

[FR-5500-N-07]