

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**[Docket No.FR-5500-N-09]****Notice of Funding Availability (NOFA) for HUD's Fiscal Year 2011
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) 2011 Public and Indian Housing Family Self-Sufficiency Program

SUMMARY: Today's posting provides information and instructions for the FY2011 Public Housing Family Self-Sufficiency program. This Notice is comprised of both the Notice of HUD's Fiscal Year (FY) 2011 Notice of Funding Availability (NOFA), Policy Requirements and General Section (General Section) to HUD's FY2011 NOFAs for Discretionary Programs, posted on www.Grants.gov on April 4, 2011, and this program section to the NOFA. PHAs that administer PH 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 PH FSS, the Department will first fund PHA applicants that are currently administering PH 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 PH 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 PH FSS program participants. HUD's Public and Indian Housing Family Self-Sufficiency Program is authorized by Section 34 and Section 23 of the Housing and Urban Development Act of 1937, and the Family Self-Sufficiency program regulations at 24 CFR Part 984. HUD's FY2011 Notice of Funding Availability Policy Requirements and General Section (2011 General Section) published on Grants.gov on April 4, 2011 establish threshold and other critical application submission requirements that affect this NOFA. Applicants for this assistance therefore, must review the 2011 General Section and supplemental publications for critical information prior to submitting an application.

DATES: The application deadline is 11:59:59 p.m. eastern time on **June 29, 2011**. Applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. Applications submitted to Grants.gov go through a validation process before they are accepted by the Grants.gov system. Please allow time for this process to ensure that you meet the timely receipt requirements. See Section IV of the **General Section** regarding application submission procedures and timely receipt requirements.

FOR FURTHER INFORMATION CONTACT: Questions regarding specific program requirements should be directed to Anice Schervish Chenault at Anice.S.Chenault@hud.gov or

202-402-2341. Prior to the application deadline, program staff 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 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 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: FR-5500-N-09; OMB Approval Number is 2577-0229.

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

F. Dates: The application deadline is 11:59:59 p.m. eastern time on **June 29, 2011**. Applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. Please carefully read the Notice of HUD's Fiscal Year (FY) 2011 Notice of Funding Availability (NOFA) Policy Requirements and General Section to HUD's FY2011 NOFAs for Discretionary Programs, posted on Grants.gov on April 4, 2011. Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Please allow time for this process to ensure that you meet the timely receipt requirements.

G. Additional 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 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. 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. For FY2011 approximately \$15 million is available for HUD's Public and Indian Housing Family Self-Sufficiency Program under the Resident Opportunity and Self-Sufficiency (ROSS) Program.

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 \$69,000. There will be no salary increases this year for renewal positions funded under this NOFA. Renewal applicants may apply for the amount for which they were last funded. HUD will provide at least 30 days from the FY10 award announcement before the FY11 applications are due.

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.

7. 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.

FULL TEXT OF ANNOUNCEMENT

A. Funding Opportunity Description.

1. Authority and Program Description. The authority for this program is the Department of Defense and Full-Year Continuing Appropriations Act, 2011. Public Law 112-10, approved April 15, 2011. 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 FY2011 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 FY2008, 2009 or 2010 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. 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 and administering escrow accounts for participants. See 24 CFR 984.202 for more information.

a. 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:

b. 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 FY2008, 2009 or 2010 (whichever was the latest year funded).

c. 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.

d. 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 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.

2. 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.

3. 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- IN GENERAL-** The term 'State recognized tribe means any tribe, band, nation, pueblo, village, or community

(1) that has been recognized as an Indian tribe by any State; and

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

4. 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.

5. NAHASDA-assisted resident. A NAHASDA-eligible person who has been assisted under NAHASDA.

6. New Applicant. New Applicants are applicants that did not receive funding under the ROSS PH FSS NOFA in FY2008, FY2009, or FY2010 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.

7. 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 2010 NOFA, please use the enrollments anticipated by the deadline date of this NOFA. The data

source is Form HUD52767 as well as HUD's PIC data system records of Form HUD50058 reports that were effective between October 1, 2000, and the publication date of this NOFA. The HUD52767 submitted with the application will take precedence.

8. 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 HUD52767 as well as HUD's PIC data system records of Form HUD50058 (or HUD50058_MTW) PH FSS program progress reports that were effective between October 1, 2000, and the publication date of this NOFA. The HUD52767 submitted with the application will take precedence.

9. 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.

10. 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 HUD50058 (or HUD50058_MTW). The data source is Form HUD52767 as well as HUD's PIC data system records of Form HUD50058 PH FSS program exit reports that were effective between October 1, 2000, and the publication date of this NOFA. The HUD52767 submitted with the application will take precedence

11. Renewal Applicant. A renewal applicant is an applicant that received funding under the ROSS PH FSS NOFA in FY2008, 2009 or 2010.**Tribally Designated Housing Entity (TDHE).** A tribally designated housing entity 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).

II. Award Information

A. Available Funds.

The funding is to be used to employ FSS program coordinators for the PH FSS program. If additional funding becomes available during FY2011, HUD may increase the amount available for PH FSS program coordinators under this NOFA. A maximum of \$69,000 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. There will be no salary increases this year for renewal positions funded under this NOFA. Renewal applicants may apply for the amount for which they were last funded. HUD will

provide at least 30 days from the FY10 award announcement before the FY11 applications are due.

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 60 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 by the field office or Area ONAP with good cause. Denials of extension requests are reserved by HUD Headquarters. Grantees will not be penalized for extensions resulting from overlaps in funding due to HUD grant-making cycles.

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. Renewal applicants are PHAs or Tribes/TDHEs that received funding under the PH FSS NOFA in FY 2008, 2009 or 2010. To continue to qualify as renewal applicants, the FY2011 application of joint applicants must include at least one applicant that meets this standard. Joint applicants can change the lead applicant in their FY2011 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. New applicants are applicants that were not funded under the PH FSS NOFA in FY2008, 2009 or 2010. 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. Troubled applicants are:

- 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 PHAS 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 met the timely receipt requirements. See the General Section.

(2) Past Performance Related to Capacity. As part of the HUD evaluation of Capacity all applicants will undergo a Past Performance review by their local Field Office or Area ONAP during the competition processing.

(a) **Renewal Applicants.** For renewal applicants that executed their first grant agreement more than a year prior to the deadline date of this NOFA (i.e. not grantees that were first granted for PH FSS in the FY10 competition), this review will include a review of the HUD52767 submitted with the application, a review of the approved PH FSS Action Plan on file and Logic Model and budgetary reporting received by the Field Office/Area ONAP. It may also include a review of PIC data as applicable.

Performance deficiencies of concern to HUD are:

- (1) A renewal applicant not at or near its approved program size;
- (2) Not near to meeting the goals stated in the PH FSS Logic Model, or has not provided an explanation for the deviations in the Logic Model projections and actual results,

- (3) Has not consistently expended or reported in a timely manner; or
- (4) Is not actively working with the Field Office to address noted deficiencies.

If a renewal applicant has been notified of deficiencies in reporting and/or performance by the Field Office or Area ONAP and has failed to address these deficiencies in the timeframe established in the notification by the Field Office or Area ONAP, the applicant will not be funded for this grant application. The Past Performance Review will be conducted on a Pass/Fail Basis. Renewal applicants need not submit anything extra pertaining to their past performance in this application.

(b) **New Applicants.** HUD's field offices/Area ONAPs will evaluate data provided by applicants as well as an applicants' past performance on other HUD awards to determine whether the applicant has the organizational capacity and resources necessary to successfully implement the proposed activities within the grant period. Field offices/Area ONAPs will evaluate the contract administrator's appropriateness for applicants required to have a contract administrator. For new applicants and renewal applicants that executed their first grant agreement less than a year prior to the deadline date of this NOFA (i.e. grantees awarded funds for PH FSS for the first time in the FY10 competition), this review will include a confirmation that the applicant has an approved PH FSS Action Plan on file and is in compliance with General Section Threshold Requirements. If a new applicant has had previous Public & Indian Housing awards with HUD, the review will also take into account information in HUD's records regarding adherence to reporting requirements. HUD may also take into account the applicant's past history in providing timely responses to HUD inquiries and meeting program requirements under past awards for which it has been funded. The Past Performance Review will be conducted on a Pass/Fail Basis.

(3) Other General Threshold Requirements.

(a) Applicants must meet the threshold requirements in section III.C.2 of the General Section.

(b) *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 SF424. 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.)

b. Renewal Applicants. Renewal applicants are requesting continued funding for existing coordinator positions. In addition to meeting the threshold and program requirements of this FSS NOFA, renewal applicants must continue to operate a PH FSS program **and have executed at least one FSS contract(s) of participation with PH FSS program families.** For renewal

applicants that were funded for the FIRST TIME in FY2010, the requirement to have executed a Contract of Participation is waived for this FY11 NOFA due to the proximity of FY2010 award announcements and grant executions to the publication of the FY2011 NOFA.

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

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) Affirmatively Further Fair Housing

Section 808(e)(5) of the Fair Housing Act requires HUD to affirmatively further fair housing in its programs and activities, and HUD extends this obligation to the activities of the Department's funded recipients. Section III.c.5.b of the General Section directs applicants to discuss in their application how they will carry out their proposed activities in a manner that affirmatively further fair housing in their proposed activities, unless otherwise directed in the program NOFA. Applicants under this NOFA do not have to include a statement on AFFH in their application, because successful applicants will undertake the following AFFH activities:

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

(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; 1-800-669-9777.

(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. Participants in the program shall be provided information on housing opportunities available throughout the region which will provide the participant the opportunity to be closer to work or school; provide for economic, cultural, racial and ethnic diversity with lower poverty rates, high school dropout rates and/or greater access to essential goods and services: and how to access such opportunities through support organizations in the area.

(d) Seek out fair housing training and technical assistance which will assist the coordinator and the PHA develop steps to affirmatively further fair housing for their program participants. Fair housing training and technical assistance may be available through the local Fair Housing Initiatives Program (FHIP) agency or the Fair Housing Assistance Program (FHAP) agency. A listing of FHIPs and FHAPs can be found at www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm (FHIP) and www.hud.gov/offices/fheo/partners/FHAP/agencies.cfm (FHAP).

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

(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.

Please Note: *Under normal circumstances, a full-time PH FSS Program coordinator should be able to serve approximately 50 FSS participants, depending on the coordinator's case management functions.*

b. 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.

c. 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.

d. 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.

e. 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.

f. **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.

g. **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.

h. **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. MTW agencies may petition the program office to institute alternative escrow structures upon execution of a PH-FSS grant agreement.

i. **Logic Model.** A grantee is also required to submit a completed Logic Model (HUD96010), 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 contained in the Logic Model. HUD intends that most of the eligible program activities and overall outcomes will be represented already.

Applicants must fill out the eLogic Model in its entirety, which includes Columns 1-7, and Sections A-E in column 7. Please remember that the Logic Model will be reviewed to determine eligibility for Policy Priority Status.

Please note that the logic models are reviewed for completeness only during the competition process. Successful applicants will be given the opportunity to revise their logic models upon grant agreement. Deficiencies found in Column 7 will not be treated as deficiencies for the competition process, but will need to be remedied by successful applicants in the grant agreement process.

j. 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 meet HUD's threshold requirements and 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.

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. Applications and forms that you need to apply for funding under this NOFA are available from http://www.grants.gov/applicants/apply_for_grants.jsp . If applicants have difficulty accessing the information, applicants may call the help desk help line at 800 518-GRANTS or e-mailing support@grants.gov. The Grants.gov help desk is available 24 hours a day, 7 days per week, except federal holidays.

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 Grants.gov. You must use the forms that are included with the 2011 application so as to avoid using outdated forms that may be on HUDCLIPS or found from another source. Unsolicited material will not be reviewed or considered in the application. *Please do not submit extraneous materials. Applications that are submitted with ONLY the electronic forms and none of the other required attachments will be deemed "ineligible."*

a. Required Forms

(1) HUD2993_ Acknowledgement_ of_ Application_ Receipt. Please fill in the top. (Only used if a waiver to the electronic application requirement is granted).

(2) SF424_ Application_ for_ Federal_ Assistance.

- In completing the SF424, renewal applicants should select the continuation box on question 2, type of application. New applicants should select "new."

- The Federal Identifier requested in 5a. is the PHA number of each applicant (e.g., MD035 or AK002).
- 5b, Federal Award Identifier is the grant number on your Grant Agreement/1044 from your last grant (e.g. AZ004RFS008A006). If you are a new applicant, you will not have a Federal Award Identifier.
- In block 8.d of the form, you must include a 9 digit number for your organization's zip code (zip plus 4).
- Questions 10, 11, 12 and 13 are pre-populated. Do not add anything or change anything
- Question 15 – use your own title – for example, “Anytown PHA – PH FSS”
- Question 16 – if the location of the applicant's office and the location the housing that you will be serving is within the same Congressional District, you should include the same answer for both parts.
- Question 18 - complete only 18.a, which will be the amount requested from HUD in the FY2011 FSS application, and 18.g., Total, which will populate when you complete 18a.
- Question 19 – answer c. Program is not covered by E.O. 12372.
- Do not add attachments to the SF-424.

(3) SFLLL_Disclosure_of_Lobbying_Activities (if applicable – it is only applicable if your agency engages in lobbying. This requirement is not applicable to federally recognized tribes and their TDHEs. If it is not applicable, do not include it in your submission. Leave it in the left box of the application).

(4) HUD2880_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. If you answered YES to Question 2, you must fill in the rest of the form (Parts 2 and 3) even if the answers are “N/A.” It will be considered as signed as a result of your electronic application submission.

(5) HUD2991_Certification_of_Consistency_with_the_Consolidated_Plan (for PHA applicants). The name of the program is “Public Housing Family Self-Sufficiency.” The HUD2991 must be signed by the city/county entity that manages the Consolidated Plan used to access Community Development Block Grant Funds. OR, instead of the HUD2991, an applicant may submit a copy of the signed PHA Certification of Compliance for the current Annual PHA Plan for the PHA that they are serving.

(6) HUD52752_Certification_of_Consistency_with_Indian_Housing_Plan (for Tribes/TDHE applicants). The name of the program is “Public/Indian Housing Family Self-Sufficiency.” If you are under the same Indian Housing Plan that you were when you submitted your 2010 PH FSS application, you may send in the signed, dated HUD52752 with a handwritten or typed annotation to that effect.

(7) Facsimile_Transmittal_Form (HUD96011) (MUST be used as the cover sheet for any faxes pursuant to an electronic application. You must also include it in the application even if faxes are not sent. If faxes are not sent, enter “1” for the number of pages. See **General Section** for more information.);

(8) Code of Conduct per General Section instructions.

b. Program Forms

(1) HUD52767_Family_Self_Sufficiency_Funding_Request – *Failure to include this form in your application package will result in a determination of “ineligible.”*

- You may indicate your funding category or leave it blank. HUD will review your application and logic model to determine your funding category.
- Definitions for question 9 are found in the definitions section of this NOFA.

(2) Past Performance statement (optional).

(3) Completed Logic Model (form HUD96010) showing **proposed** performance measures. See the **General Section** for information on the Logic Model.

- A narrative is not required as part of your Logic Model submission. The data entered into the Logic Model should be consistent with your application. HUD should be able to review the Logic Model without further narrative explanation.
- Use ONLY the eLogic Model[®] form provided with this application – it can be found in the Instructions Download Zip File from Grants.gov.
- Read the Instructions Tab in the eLogic Model[®] and be sure that you enable the Macros
- *Applicants must fill out the eLogic Model in its entirety*, Following the instructions in the Instructions Tab in the eLogic Model[®]. “Post and YTD” columns are left blank in columns 4 and 6 at the time of application. They are used when reporting. Reporting period, the Reporting start Date and the Reporting End Date should also be left blank at the time of application. They are used when reporting. The reporting Tab is also left blank at the time of application.
- Applicant should also fill out Sections A-E in column 7.
- Please remember that the Logic Model will be reviewed to determination eligibility for Policy Priority Status.

(4) Contract Administrator Partnership Agreement, required for troubled PHA applicants (see HUD52755 for a sample).

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

C. Receipt Dates and Times. Your completed application must be received Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. Following receipt the application will go through a validation process. If the application fails the Grants.gov validation process, it will be rejected. Please see the FY2011 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read the section titled “INSTRUCTIONS ON HOW TO DOWNLOAD AND APPLICATION PACKAGE AND APPLICATION INSTRUCTIONS” in the 2011 **General Section**. This section contains information on using Adobe Reader, HUD’s timely receipt policies, and other application information.

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 \$69,000 per year per full-time coordinator position funded. Under this NOFA, if applicants apply jointly, the \$69,000 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.

There will be no salary increases this year for renewal positions funded under this NOFA. Renewal applicants may apply for the amount for which they were last funded. HUD will provide at least 30 days from the FY10 award announcement before the FY11 applications are due.

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. Applications under this NOFA must be received electronically through the Federal website Grants.gov, unless a waiver for good cause in accordance with HUD’s waiver policy of 24 CFR 5.1005 to the electronic application requirements is approved by HUD. Applicants requesting a

waiver should submit their waiver requests in writing using mail or email. Waiver requests must be postmarked (or for email, dated) no later than 15 days prior to the application deadline date and must be submitted to: Anice Schervish Chenault, 451 Seventh Street, SW, Room 4130, Washington, DC 20410 or Anice.S.Chenault@hud.gov. Paper applications will not be accepted from applicants that have not been granted a waiver. If an applicant is granted a waiver, approval notice will provide instructions for submission. For reference, there were no waivers requested or granted for this grant program in 2010.

Please note that ONLY the final submission received and validated by Grants.gov will be processed in the competition. If you re-submit, you must re-submit the entire application and re-fax any faxed attachments.

2. Proof of Timely Receipt. Please see the **General Section** for this information. Applicants that fail to meet the timely receipt requirements will not receive funding consideration.

3. For Waiver Recipients Only. If HUD grants a waiver, the applicant will be notified of the application submission requirements for paper copy applications. Paper copy applications must be received by the appropriate HUD office in accordance with the instructions included in the waiver approval letter and no later than the application deadline date to meet the timely receipt requirements. Any paper applications submitted without an approved waiver will be considered ineligible and will not receive funding consideration.

V. Application Review Information

A. Criteria. The funds available under this NOFA are being awarded based on demonstrated performance and responses to the HUD policy priorities. 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 and review of logic model for 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.”

Please note, for applicants serving Tribes, WIB should be understood to mean “WIB or comparable tribal program/entity.”

Please note, the policy priorities that reference unions may also be met by partnering with other trade associations such as Associated Builders and Contractors (ABC) www.abc.org.

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:

- Increasing access to high quality early learning programs and services through coordination with local programs (Subgoal 3A)
- Utilizing HUD assistance to improve health outcomes (subgoal 3B) and
- Utilizing 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. 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 that have met the Policy Priority status designation as determined by a review of the submitted logic model.

b. Funding Category 2 – Eligible renewal applicants that have not met the Policy Priority status designation.

c. Funding Category 3 – Eligible new applicants agreeing to implement an FSS program of at least 25 slots AND that have met the policy priority status designation will be funded for newly funded eligible positions.

d. Funding Category 4 – Eligible new applicants agreeing to implement an FSS program of at least 25 slots, but that do NOT meet the policy priority status designation.

2. Order of Funding.

A. Funding Categories.

1. 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 HUD52767 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.

2. 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.

3. Funding Category 3. If funding remains after funding all Funding Category 1 and 2 applicants, HUD will then process requests of eligible Funding Category 3 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.

4. 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.

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.

B. 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.

C. 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 a rejection letter via U.S. postal mail.

2. Debriefings. The applicant may request an applicant debriefing related to their individual application. Applicants requesting to be debriefed must send a written request to: Cedric Brown, Acting Director; Grants Management Center, U. S. Department of Housing and Urban Development, 451 7th St., SW B133 Potomac Center, 3rd 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” codified at 2 C.F.R. Part 225;

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 contracting 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, these requirements apply to the hiring of FSS Coordinators. The Section 3 regulations at 24 CFR Part 135, subparts B and E, impose certain reporting requirements on recipients, including the submission of an annual report, using form HUD60002 on HUD’s online system at www.hud.gov/section3. See Section III.C. of the General Section for more information.

3. Compliance with Fair Housing and Civil Rights Laws All applicants must comply with the requirements in Section III.C.5.a. b. c. and f. of the General Section.

4. 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.

C. Reporting. NOTE: Effective October 1, 2009, the new Federal Financial Report, SF425, replaced the SF269 and SF269-A.

1. Form HUD50058 (or Form HUD50058-MTW). Successful applicants must report activities of their FSS enrollment, progress and exit activities of their FSS program participants through required submissions of the Form HUD50058 (or HUD50058-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 HUD50058.

2. Annual Performance Reports. 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 HUD27061, Racial and Ethnic Data Reporting Form. Form 50058 used in concurrence with the PIC Data system is a comparable form.

3. Final Report. All grantees must submit a final report to their local field office or Area ONAP that will include a financial report (SF425) and a final 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.

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 sub-awards made either as pass-through awards, sub-recipient awards, or vendor awards in the federal government-wide website 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 sub-awards and executive compensation information both for the prime award and sub-awards, 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 sub-award 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 sub-award or pass-through award is obligated to fulfill the reporting requirement. The Transparency Act requires the creation of a public government-wide website in which the following sub-award 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 Sub-award 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 government-wide 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) Sub-award Executive Compensation Reporting. Prime awardees must also report in the government-wide website the total compensation and names of the top five executives in the sub-awardees, 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. Sub-awards with a cumulative total of \$25,000 or greater are subject to sub-award reporting beginning the date the sub-award total award amount reaches \$25,000. Any other exemptions to the requirements must be approved by the Office of Management and Budget.

5. 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 government-wide 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) sub-recipients 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 five year period and were connected with the award or performance of a federal or state award. Recipients and first-tier sub-recipients 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 sub-recipients.

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. 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 Chenault, ROSS Program Manager at Anice.S.Chenault@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 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>.

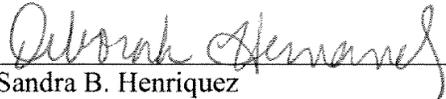
B. Transfer of Funds. If transfer of funds from any of the ROSS programs does become necessary, HUD will consider the amount of un-funded qualified applications in deciding to which program the extra funds will be transferred.

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: 4/15/11

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

FR-5500-N-09