



HOME SINGLE FAMILY

RESERVATION SYSTEM PARTICIPATION

APPLICATION SUBMISSION PROCEDURES MANUAL (“ASPM”)

Table of Contents

Part I: General Application Information.....	3
1) HOME Overview	3
2) General Applicant Eligibility Requirements	3
3) Application Submission.....	3
4) Application Fee and Waiver of Application Fee	4
5) Application Limitations	5
6) Application Review Process (Reservation Cycle).....	5
7) Administrative Deficiencies	5
8) Audit Requirements.....	6
9) Performance Reviews and Sanctions.....	7
10) Dispute Resolution/Appeal.....	7
Part II: Application Submission Format.....	8
1) Required Format.....	8
2) Excel Application Document.....	8
3) PDF Application Document.....	8
4) Submission Procedure	10
Part III: Application Procedures and Contents.....	11
1) Application Procedures.....	11
2) All Applications	11

Part I: General Application Information

1) HOME Overview

- a) The State of Texas receives an annual fund allocation from the U.S. Department of Housing and Urban Development (“HUD”).
- b) The HOME Investment Partnerships Program (“HOME”) is authorized by Title II of the Cranston-Gonzalez National Affordable Housing Act of 1990 (42 United States Code Sections 12701-12839) and the Federal HOME Final Rule at 24 CFR Part 92, as amended.
- c) This application is governed by the Texas Department of Housing and Community Affairs’ HOME Rules at Title 10, Part 1, Chapter 23, Texas Administrative Code (“TAC”) in effect at the time the application is submitted.
- d) Additional or ‘cross-cutting’ Federal regulations cited in 24 CFR Part 92 must also be followed in administering any HOME Program Activity.
- e) The Texas Government Code §2306.111(c) requires that the Texas Department of Housing and Community Affairs (“TDHCA” or the “Department”) expend 95% of HOME Program funds for the benefit of nonparticipating small cities and rural areas that do not qualify to receive funds under the Cranston-Gonzales National Affordable Housing Act directly from HUD. Five percent (5%) of the funds will be for the benefit of persons with disabilities who live in any area of the state.
- f) In accordance with Texas Government Code Chapter §2306.111(d), non set-aside housing funds awarded in the HOME Program must be allocated utilizing the Regional Allocation Formula (“RAF”) developed by the Department. Funds are allocated to urban and rural areas of each uniform state service region using a formula developed by the Department, known as the RAF.
- g) Applicants recommended for funding consideration and approved by the TDHCA Governing Board will execute a written agreement with TDHCA and will agree to comply with all statutory, regulatory, and other legal requirements applicable to the HOME Program as described in the application.
- h) TDHCA provides technical assistance to all HOME Program Applicants to ensure that participants understand the State and Federal regulations governing the HOME Program.

2) General Applicant Eligibility Requirements

- a) Eligible Applicants are Units of General Local Government (“UGLG”), Nonprofit Organizations, Public Housing Authorities (“PHAs”), and Councils of Government (“COGs”).
- b) If an Applicant that is a nonprofit organization is requesting a waiver of the grant application fee, they must do so in the resolution, and must state that the nonprofit organization offers expanded services such as child care, nutrition programs, job training assistance, health services, or human services.
- c) Applicants are encouraged to familiarize themselves with the Department’s certification and debarment policies prior to application submission.
- d) All applicants will be subject to a Previous Participation Review by the Department.

3) Application Submission

- a) Applicants must submit a completed application, required documentation, and associated application materials, as described in this NOFA and as detailed in the Application Submission Procedures Manual (“ASPM”). All scanned copies must be scanned in accordance with the guidance provided in the ASPM.

- b) All Application materials including manuals, this NOFA, program guidelines, and applicable HOME rules, are available on the Department’s website at <http://www.tdhca.state.tx.us/home-division/applications.htm>. Applications will be required to adhere to the HOME Rule and threshold requirements in effect at the time of the Application submission. Applications must be on forms provided by the Department, cannot be altered or modified, and must be in final form before submitting them to the Department.
- c) Applicants are required to remit a non-refundable Application fee payable to the Texas Department of Housing and Community Affairs in the amount of \$30 per Application. Payment must be in the form of a check, cashier’s check or money order. **Do not send cash.** Pursuant to §2306.147(b) of the Texas Government Code, the Department will waive Application fees for private nonprofit organizations that offer expanded services such as child care, nutrition programs, job training assistance, health services, or human services. These organizations must include proof of their exempt status and a description of their supportive services in lieu of the Application fee. The Application fee is not an allowable or reimbursable cost under the HOME Program. Application fees for Applicants who have submitted an Application under the 2015 HOME Single Family Programs Competitive NOFA will be waived for the purposes of this NOFA at the request of the Applicant.
- d) For proper completion of the application, the Department strongly encourages potential applicants to review the State and Federal regulations, and contact the HOME Division for guidance and assistance.
- e) Audit Requirements. An applicant is not eligible to receive funds or any other assistance from the Department unless a past audit or Audit Certification Form has been submitted to the Department in a satisfactory format, per 10 TAC §1.3(d). This is a threshold requirement outlined in the application; therefore applications that have outstanding prior audits will be disqualified. Staff will not recommend applications for funding unless the Applicant has successfully completed a previous participation review as outlined in 10 TAC §1.303.
- f) One copy of the Application in EXCEL format, and one copy of the Application including all attachments in PDF format must be uploaded to TDHCA’s FTP server and received by the Department by the application deadline.

4) Application Fee and Waiver of Application Fee

- a) Applicants are required to remit a non-refundable application fee payable to the Texas Department of Housing and Community Affairs in the amount of \$30.00 per application. Please send a check, cashier’s check, or money order. Do not send cash.
- b) The application with the required fee must be received by the Department at the time of application submission.
- c) Application fees for Applicants who have submitted an Application under the 2015 HOME Single Family Programs Competitive NOFA will be waived at the request of the Applicant.
- d) Texas Government Code §2306.147(b) requires the Department waive application fees for nonprofit organizations that offer expanded services such as child care, nutrition programs, job training assistance, and health or human services. If the Applicant wishes the Department to waive the application fee, the Applicant must state in the Resolution that the nonprofit organization offers expanded services to be eligible for this fee exemption.
- e) The application fee is not an eligible or reimbursable cost under the HOME Program.

5) Application Limitations

Administrative funds for HRA and HBA are limited to 4% of the total Direct Project Costs, exclusive of Match. Administrative funds for TBRA are limited to 4% of the total Direct Project Costs, exclusive of Match funds; however, an additional 1% in Administrative funds may be requested if Match provided meets or exceeds 5% of Direct Project Costs.

6) Application Review Process (Reservation Cycle)

- a) The process for application review is described in the HOME rules at 10 TAC §23.22. The NOFA indicates the approximate amount of available funds on either a statewide or regional basis. The amount of funding available by region and subregion is available for review at <http://www.tdhca.state.tx.us/home-division/applications.htm>. Funds set-aside for Persons with Disabilities (“PWD”), Contract for Deed Conversion (“CFD”), and Disaster Relief are not subject to the Regional Allocation Formula.
- b) In accordance with 10 TAC §23.23, Applications in response to the NOFA will be reviewed and processed in the order the in which they are deemed acceptable for processing by the Department.
- c) The Department will ensure review of materials required under the NOFA and the application, and will issue a notice of any administrative deficiencies in accordance with 10 TAC §23.24. Note that administrative deficiencies that are not resolved timely may result in a termination of the Application.
- d) All Applicants will be processed through the Department’s Application Evaluation System, which will include a previous award and past performance evaluation. Poor past performance may disqualify an Applicant for a funding recommendation, or the recommendation may include conditions.
- e) The Department may decline to consider any Application if the proposed activities would not, in the Department’s sole determination, represent a prudent use of the Department’s funds. The Department is not obligated to proceed with any action pertaining to any Applications that are received, and may decide it is in the Department’s best interest to refrain from processing an RSP Agreement. The Department reserves the right to request clarification on individual elements of any Application.

7) Administrative Deficiencies

- a) If an application contains deficiencies, staff may request that an Applicant provide clarification, correction, or non-material missing information to resolve inconsistencies in the original Application or to assist staff in evaluating the Application. The Department staff will request clarification or correction in a deficiency notice via an email or if an email address is not provided in the Application, by facsimile to the Applicant. Responses are required to be submitted electronically. The time period for responding to a deficiency notice commences on the first business day following the deficiency notice date. If an administrative deficiency is not resolved to the satisfaction of the Department by 5:00 pm CT on the fifth business day following the date of the deficiency notice, the application shall be terminated. Applicants that have been terminated may reapply. Department staff may in good faith provide an Applicant confirmation that an administrative deficiency response has been received or that such response is satisfactory. Communication from staff that the response was satisfactory does not establish any entitlement to points,

eligibility status, or to any presumption of having fulfilled any requirements. An administrative deficiency may not be cured if it would, in the Department's determination, substantially change an Application, or if the Applicant provides any new unrequested information to cure the deficiency.

- b) Pursuant to 10 TAC §23.25(5) an Application must be substantially complete when received by the Department. An Application will be terminated if an entire tab of the Application is missing; has excessive omissions of documentation from the threshold or selection criteria or uniform Application documentation; or is so unclear, disjointed, or incomplete that a thorough review cannot reasonably be performed by the Department, as determined by the Department. Such Application will be terminated without being processed as an administrative deficiency.
- c) In accordance with §2306.082 Texas Government Code and 10 TAC §1.17, it is the Department's policy to encourage the use of appropriate Alternative Dispute Resolution procedures ("ADR") under the Governmental Dispute Resolution Act, Chapter 2009, Texas Government Code, to assist in resolving disputes under the Department's jurisdiction. As described in Texas Government Code, Chapter 154, Civil Practices and Remedies Code, ADR procedures include mediation.
- d) Except as prohibited by the Department's ex parte communications policy, the Department encourages informal communications between Department staff and Applicants, and other interested persons, to exchange information and informally resolve disputes. The Department also has administrative appeals processes to fairly and expeditiously resolve disputes. If at any time an Applicant or other person would like to engage the Department in an ADR procedure, the person may send a proposal to the Department's Dispute Resolution Coordinator. For additional information on the Department's ADR Policy, see the Department's General Administrative Rule on ADR at 10 TAC §1.17.
- e) An Applicant may appeal decisions made by staff in accordance with 10 TAC §1.7.

8) Audit Requirements

- a) An applicant is not eligible to receive funds or any other assistance from the Department unless a past audit or Audit Certification Form has been submitted to the Department in a satisfactory format in accordance with 10 TAC §1.3(d). Staff will not recommend applications for funding unless the Applicant has successfully completed a previous participation review as outlined in 10 TAC §1.303.
- b) Applicants are required to have a Data Universal Numbering System ("DUNS") number. A DUNS number is a unique nine-digit identification number provided by the commercial company D&B. Call D&B at 866-705-5711 if you do not have a DUNS number or register on line at www.dnb.com and click on the tab "D&B D-U-N-S Number" then follow the directions provided. The process to request a DUNS Number is short and free of charge.
- c) Applicants are also required to register in the System for Award Management ("SAM"). The SAM is the primary registrant database for the U.S. Federal Government. SAM collects, validates, stores, and disseminates data in support of agency acquisition missions, including Federal agency contract and assistance awards. Please note that the term "assistance awards" includes grants, cooperative agreements and other forms of Federal assistance. Whether applying for assistance awards, contracts, or other business opportunities, all entities are considered "registrants".
- d) Both current and potential Federal government registrants are required to register in SAM in order to be awarded contracts by the Federal government. You may register in the SAM at <https://www.sam.gov>. You must have a DUNS number in order to register with the SAM.

9) Performance Reviews and Sanctions

The Department may review and monitor the performance of Administrators in carrying out its responsibilities in accordance with the Contract, 10 TAC Chapter 23, the Final Rule and any other applicable Federal and State requirements.

10) Dispute Resolution/Appeal

- a) In accordance with §2306.082 of the Texas Government Code and 10 TAC §1.17, it is the Department's policy to encourage the use of appropriate alternative dispute resolution procedures ("ADR") under the Governmental Dispute Resolution Act, Chapter 2009, of the Texas Government Code, to assist in resolving disputes under the Department's jurisdiction. As described in Chapter 154, Civil Practices and Remedies Code, ADR procedures include mediation. Except as prohibited by the Department's ex parte communications policy, the Department encourages informal communications between Department staff and Applicants, and other interested persons, to exchange information and informally resolve disputes. The Department also has administrative appeals processes to fairly and expeditiously resolve disputes. If at any time an Applicant or other person would like to engage the Department in an ADR procedure, the person may send a proposal to the Department's Dispute Resolution Coordinator. For additional information on the Department's ADR Policy, see the Department's Rule on ADR at 10 TAC §1.17.
- b) An Applicant may appeal decisions made by staff in accordance with 10 TAC §1.7.

Part II: Application Submission Format

1) Required Format

- a) Applications must be on forms provided by the Department, cannot be altered or modified, and must be in final form before submission to the Department.
- b) One copy of the Application in EXCEL format, and one copy of the Application including all attachments in PDF format must be submitted electronically using TDHCA's FTP server as instructed in and in accordance with the application.
- c) Hard copy submissions are not an acceptable application format. Any hard copies received by the Department will be confidentially destroyed and will not be considered as an Application for the purposes of review or receipt of an Application.

2) Excel Application Document

- a) The application is an EXCEL Workbook, and consists of a series of tabs. Please fill out each tab to the best of your ability. Please use the drop-down menu when prompted, to answer questions. To complete the EXCEL workbook:
 - i) Click the "Options" button by the Security Warning.
 - ii) A Window will pop up.
 - iii) Select "Enable this content"
 - iv) Click "OK"
- b) Ensure that "Enable this content" is selected **before** you start the application. If macros are not enabled, required submission information may be inadvertently left out and could result in a point reduction or disqualification of the application.
- c) After you complete the application, save it as an excel document using the following format:
APPLICANT_NAME_RSP_Application.xls

3) PDF Application Document

- a) The PDF Application file is created by converting the EXCEL Workbook file to PDF format. The workbook can be converted using the following steps:



- i) Click the Microsoft Office Button
- ii) Point to the arrow next to Save As, and then click **PDF or XPS**
- iii) In the File Name list, type or select a name for the workbook using the following format:
APPLICANT_NAME_RSP_Application.pdf
- iv) In the Save as type list, click **PDF**
- v) If you want to open the file immediately after saving it, select the **Open file after publishing** check box. This check box is available only if you have a PDF reader installed on your computer.
- vi) Under Optimize for, click **Standard (publishing online and printing)**
- vii) Click **Options**
- viii) Under Publish What: select **Entire Workbook** then click **OK**

ix) Click **Publish**

b) Remember that there are tabs that require support documentation and/or signatures. Once you have executed all required documents and forms, scan them and insert the scanned documents and forms into the PDF application file, behind the respective tab. The Application must be the electronic PDF file created from the Excel file, not a scanned copy of the Excel or PDF file. Scanned copies of the Application are difficult to read, and slow down the process for staff and make it more difficult for applicants to review for completeness of the application prior to submission.

c) Creating Bookmarks

- i) After the Excel file has been converted to PDF and all executed forms have been re-inserted into their appropriate location within the file, you will need to create Bookmarks. To correctly set the Bookmark locations you must have the PDF file open in Adobe Acrobat. Click on the Bookmark icon located on the left-hand side of the Adobe Acrobat screen, or go to the task bar and select these options in the following order: **View → Navigation Panels → Bookmarks.**
- ii) If a Bookmark has already been created for each tab within the Excel file, simply re-set the bookmarks to the correct locations. To re-set the location for the Bookmarks, go to the first page of each separately labeled form/exhibit. You will then right-click on the corresponding Bookmark for the form/exhibit you are currently viewing. Select **Set Destination** and a pop-up box will appear asking you the following: "Are you sure you want to set the destination of the selected bookmark to the current location?" Select **Yes.**
- iii) If Bookmarks were not already created within the Excel file, then you will need to create these Bookmarks. Go to **Document → Add Bookmark.** Right-click on the first Bookmark and re-name it for the appropriate form or exhibit. You will then need to set the location of the Bookmark by going to the first page of each form or exhibit, right click on the corresponding Bookmark and select **Set Destination.** A pop-up box will appear asking you the following: "Are you sure you want to set the destination of the selected bookmark to the current location?" Select **Yes.**
- iv) If after conversion of the Excel file to PDF you have extra blank pages of any exhibit, you can delete those pages in order to limit the size of the file. To delete any extra, unnecessary pages identify the page number(s) you want deleted. On the Adobe Acrobat Task Bar click on Document and select Delete Pages from the drop down list. A box will appear prompting you to select which page(s) you would like to delete. Enter the page numbers to be deleted and hit **OK.**
- v) The PDF formatted file must be checked for the following prior to submission:
 - (1) Each tab must be correctly bookmarked
 - (2) Files should average less than 100 kilobytes per page
 - (3) Files must be readable with free PDF file viewers including Adobe Reader and be compatible with Adobe Reader 5.0 and above
 - (4) Files should be saved so that "Fast Web View" (or page at a time downloading) is enabled
 - (5) Text within the PDF file should be searchable using the "Find" command in the PDF viewer

4) Submission Procedure

One copy of the Application in EXCEL format, and one copy of the Application including all attachments in PDF format must be submitted electronically using TDHCA's FTP server. To submit via the FTP server, go to the following website and use the username and password below

<https://sf-files.tdhca.state.tx.us/>

User Name : HOMEApp

Password: H44QYxF

Upload your application by using the "upload" button in the lower left-hand corner of your screen.

Part III: Application Procedures and Contents

1) Application Procedures

- a) Each RSP application for HOME Single-Family Programs contains general applicant information, the cash reserve threshold requirement, and Activity specific information, including additional threshold criteria.
- b) Additional documentation requirements are only required to be present on the PDF Application Document.

2) All Applications

- a) **Tab 1: Copy of application fee payment (if applicable).** Place copy of payment after the instructions and in front of Tab 2: Applicant Information.
- b) **Tab 2: Applicant Information.** This tab requires general information about the Applicant. Complete all highlighted fields.
- c) **Tab 3: Disclosures.** This tab may require submission of a supplemental narrative behind the tab if the Applicant answers questions under Part A in the affirmative.
- d) **Tab 4: Program Activities.** Applicant must select the Program Activity or Activities which Applicant plans to administer as an RSP. Additional tabs will be activated upon each selection that corresponds to activity type selected.
- e) **Tab 5: Local Cash Reserves. Adequate cash reserves are a threshold requirement for all applications.** Cash reserves up to the maximum amount required for any application submitted under the NOFA is reported on this tab. Additional documentation must be submitted behind the tab as further described in the Application.
- f) **Tab 6: Matching Funds.**
 - i) Each Application must meet the tiered Match requirement per Activity. Applications proposing Match in amounts that do not equal or exceed the Threshold requirements for the Activity type selected may be terminated without further review. Threshold Match Requirements are found in 10 TAC Chapter 23.30(a) for HRA and 23.40(a) for HBA. Match is not required for TBRA, but may be provided in accordance with 10 TAC 23.61(i) in order to qualify the entity for additional Administrative funds of 1%. Match is also not required under the disaster relief and Persons with Disabilities set-asides.
 - ii) To be considered eligible Match, a contribution must be properly documented and must be a permanent contribution to the HOME project, and must not be federally sourced. Match must meet the requirements of 24 CFR Part 92 and 10 TAC Chapter 23. Please review [TDHCA's HOME Single Family Match Guide](#) for information on the match requirement.
 - iii) **HBA and HRA Matching Funds.** Matching funds are a threshold requirement for HRA and HBA. Applicants must list all anticipated sources of Match on this tab. Match that is shown on the tab should be supported by documentation submitted behind the tab. The source of the Match contribution may change after a contract is awarded under the NOFA, but the total Match contribution pledged in the Application will be contractually required.
For HBA: Match is at least 5% of Direct Project Costs.
For HRA: Match is determined by population. Please refer to the HOME Rule for requirements. To determine the required Match percentage for submission, applicants should include the census information from the US census bureau's most recently

available American Community Survey (“ACS”) for [American Fact Finder](#) data to obtain the correct population information. This data provides ACS Demographic and Housing Estimates. (For assistance in utilizing this website, please contact the HOME Division: HOME@tdhca.state.tx.us.)

- iv) **TBRA Administrative and Matching Funds:** In accordance with [10 TAC 23.61\(g\)\(1\) and \(2\)](#), applicants must elect how they want to receive administrative funding. Also, match is not a requirement for TBRA, however Applicants are encouraged to provide Match. Applicants must list all anticipated sources of Match on this tab. Match that is shown on the tab should be supported by documentation submitted behind the tab. The source of the Match contribution may change after an RSP Agreement is awarded under the NOFA, but the total Match contribution pledged in the Application will be contractually required if increased Administrative funds for TBRA are awarded based on the Match pledged at Application.
- v) **CFD Matching Funds.** Match is not a threshold item for CFD.
- g) **Tab 7: Applicant’s Service Area(s).** The Application will encompass specified service area per activity type. The service area may be amended upon request.
- h) **Tab 8: Previous Participation.** This tab requires submission of the Previous Participation information more thoroughly described in the Application.
- i) **Tab 9: Affirmative Fair Housing Marketing Plan:** Applicants must submit an Affirmative Fair Housing Marketing Plan in accordance with 10 TAC 20.9(d).
- j) **Tab 10: Resolution.** Submission of a resolution which includes all provisions listed in the Application and at 10 TAC §23.25(2)(a-e) is a threshold requirement for all Activities.
- k) **Tab 11: Nonprofit Organization Information.** This tab is required for all nonprofit organizations applying for HOME funds. This tab does require submission of the organization’s by-laws behind the tab if applicant is applying for HRA and HBA activities. By-laws are not required for TBRA.
- l) **Tab 12: Administrative Forms.** Required forms for all Applications as described in the Application must be submitted behind this tab.
- m) **Tab 13: Construction Oversight.** Applicants must provide detailed information about the Applicant’s staff member (not a consultant) who will be primarily responsible for construction oversight.
- n) **Tab 14: Lender Products and Homebuyer Counseling.** Applicants must submit letters from lenders as detailed in the Application behind this tab. Applicants must provide information about the Applicant’s Homebuyer Counseling program, including the certification of the trainer, if applicable.
- o) **Tab 15: Self-Sufficiency Plan.** Applicants must describe the self-sufficiency plan for the TBRA program. The self-sufficiency plan must contain information about transition of tenants towards self-sufficiency, and towards obtaining permanent housing (either assisted or unassisted) before the end of the 24 month term of assistance to the household.
- p) **Tab 16: Certificate of Applicant.** The tab must be executed by the Applicant’s signature authority as well as indicate “yes” or “no” for electing an indirect cost rate.
- q) **Tab 17: Program Activity Questionnaire(s).** Applicants must complete the questionnaire for each activity.
- r) **Tab 18: Application Checklist.** Applicants should verify on the application checklist that all applicable criteria are included in submission.
- s) **Tab 19: Application Reference Material.** Application reference website links to assist in completion of the application.