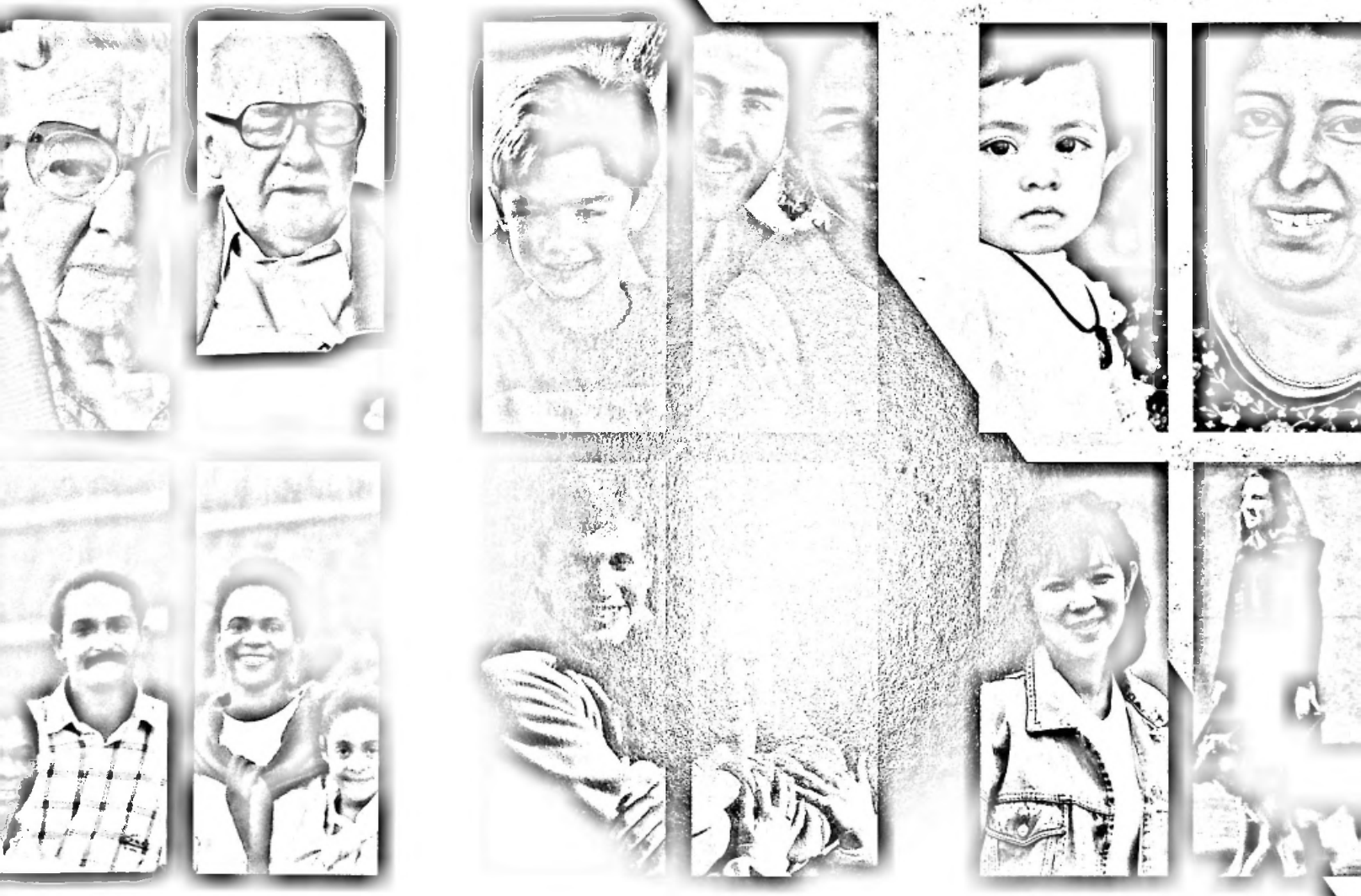
HOPE VI Programs Application

Revitalization Program
Demolition Program



2000

U.S. Department of Housing and Urban Development
Andrew Cuomo, Secretary

hud

U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D.C. 20410-0001

THE SECRETARY

February 24, 2000

Dear Friend:

For the third year, we are pleased to issue a Super Notice Of Funding Availability (SuperNOFA) for HUD's competitive grant programs. Our SuperNOFA approach simplifies the application process, brings consistency and uniformity to the selection process, and enables you to identify a wider variety of HUD programs that can help your community.

The SuperNOFA – a single notice announcing funding for 39 HUD grant programs and program components – gives you a "menu" of those programs and allows you to choose those which can best meet your local needs. By announcing the vast majority of funding opportunities in one document, it also is intended to encourage you to work with other local and regional applicants to better coordinate activities to meet local objectives. HUD's SuperNOFA can help you create a comprehensive and seamless approach to issues and opportunities in your community and throughout your region – and this year we also are announcing the availability of Section 8 Housing Voucher Assistance for the elderly and persons with disabilities.

This has been an outstanding year for the Department. Fiscal Year 2000's budget is the best in a decade, with increased funding for virtually every program. Our programs offer opportunity and security for those who are often left behind – including 60,000 new vouchers for citizens in our most distressed communities, the elderly, and homeless individuals and families. For FY 2001, President Clinton has proposed a $6 billion increase in HUD's budget, to $32.1 billion – the strongest HUD budget in more than 20 years, with increases in every program area.

We look forward to working with you to help you create communities of opportunity: with housing, economic development, citizen-empowerment and self-sufficiency for all.

Sincerely,

Andrew Cuomo

FY 2000 HOPE VI
Revitalization and Demolition Application Kit

Table of Contents

PART I

FY 2000 SuperNOFA GENERAL SECTION

SuperNOFA for HUD's Housing, Community Development, and Empowerment Programs and Section 8 Voucher Assistance

General Section Table of Contents

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

As Published in the Federal Register on February 24, 2000 (est.)
[Docket No. FR-4560-N-01]

Super Notice of Funding Availability (SuperNOFA) for HUD's Housing, Community Development and Empowerment Programs and Section 8 Housing Voucher Assistance for Fiscal Year 2000

AGENCY: Office of the Secretary, HUD.

ACTION: Super Notice of Funding Availability (SuperNOFA) for HUD Grant Programs.

SUMMARY: This Fiscal Year 2000 Super Notice of Funding Availability (SuperNOFA) announces the availability of approximately **$2.424 billion** in HUD program funds covering 39 grant categories within programs operated and administered by HUD offices and Section 8 housing voucher assistance.

The **General Section** of this SuperNOFA provides the application procedures and requirements that are applicable to all the programs in this SuperNOFA. The **Programs Section** of this SuperNOFA provides a description of the specific programs for which funding is made available and describes any additional procedures and requirements that are applicable to a specific program. Please be sure you read both the **General Section** and the **Program Section** of this SuperNOFA to ensure you respond to all the requirements for funding.

APPLICATION DUE DATES: The information in this "APPLICATION DUE DATES" section applies to all programs that are part of this SuperNOFA. You, the applicant, must submit a completed application to HUD no later than the application due date established for the program for which you are seeking funding. HUD will not accept for review and evaluation any applications sent by facsimile (fax).

ADDRESSES AND APPLICATION SUBMISSION PROCEDURES:

Addresses. You, the applicant, must submit a complete application to the location identified in the **Programs Section** of this SuperNOFA. When submitting your application, please refer to the **name of the program** for which you are seeking funding.

For Applications to HUD Headquarters. If your application is due to HUD Headquarters, you must send the application to the following address: Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410 (see the Program Chart or **Programs Section** for Room location and additional information regarding the addresses for application submission). Please make sure that you note the room number. The correct room number is very important to ensure that your application is not misdirected.

For Applications to HUD Field Offices. If your application is required to be submitted to a HUD Field Office, please see the **Programs Section** for the exact office location for submission of your application.

Applications Submission Procedures.

Mailed Applications. Your application will be considered timely filed if your application is postmarked on or before **12:00 midnight** on the application due date and received by the designated HUD Office on or within **ten (10)** days of the application due date.

Applications Sent by Overnight/Express Mail Delivery. If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date.

Hand Carried Applications.

Hand-carried to HUD Headquarters. If your application is required to be submitted to HUD Headquarters, and you arrange for the application to be hand carried, hand carried applications delivered before and on the application due date must be brought to the specified location at HUD Headquarters and room number between the hours of **8:45 am to 5:15 pm, Eastern time.** Applications hand carried **on the application due date** will be accepted in the South Lobby of the HUD Headquarters Building at the above address from **5:15 pm until 12:00 midnight, Eastern time.** This deadline date is firm. Please make appropriate arrangements to arrive at the HUD Headquarters Building before **12:00 midnight, Eastern time,** on the application due date.

Hand-carried to HUD Field Office. If your application is required to be submitted to a HUD Field Office, your application must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the **Programs Section** of the SuperNOFA. A hand carried application will be accepted at the specified HUD Field Office during normal business hours before the application due date. **On the application due date, business hours will be extended to 6:00 pm, local time. (Appendix A-1** to this **General Section** of the SuperNOFA lists the HUD Field Offices and the hours of operation.) Please be sure to arrive at the HUD Field Office with adequate time to submit the application before the 6:00 pm deadline on the application due date.

Copies of Applications to HUD Offices. The **Programs Section** of this SuperNOFA may specify that to facilitate the processing and review of your application, a copy of the application also must be sent to an additional HUD location (for example, a copy to the HUD Field Office if the original application is to be submitted to HUD Headquarters, or a copy to HUD Headquarters, if the original application is to be submitted to a HUD Field Office). Please follow the directions of the **Programs Section** to ensure that you submit your application to the proper location. For some programs, HUD requests additional copies in order to expeditiously review your application, and to ensure that all reviewers receive complete applications to review. HUD appreciates your assistance in providing the copies. Please note that for those applications for which copies are to be submitted to the Field Offices and HUD Headquarters, timeliness of submission will be based on the time your application is received at HUD Headquarters.

FOR APPLICATION KITS, FURTHER INFORMATION AND TECHNICAL ASSISTANCE:
The information in this section is applicable to all programs that are part of this SuperNOFA. This section describes how you may obtain application kits, further information about the SuperNOFA and technical assistance. A guidebook to HUD programs, titled "Connecting with Communities: A User's Guide to the HUD Programs and the 2000 SuperNOFA Process." This guidebook provides a brief description of all of HUD's programs, a description of the SuperNOFA programs, and eligible applicants for these programs, and examples of how programs can work in combination to serve local community needs. The main sources for obtaining this information are:

The **SuperNOFA Information Center**, which you may reach by calling **1-800-HUD-8929** or the **Center's TTY number at 1-800-HUD-2209**; and **HUD's web site** on the Internet at **http://www.hud.gov.**

For Application Kits and SuperNOFA User Guide. HUD is pleased to provide you with the FY 2000 application kits and/or a guidebook to all HUD programs that are part of this SuperNOFA. For some announcements of funding availability in this SuperNOFA, the process for applying for funds is so simple no application kit is required. Where this is the case, the program section for that funding will note that there is no application kit. The application kits are designed to guide you through the application process and ensure that your application addresses all requirements for the program funding you are seeking. **Please note that if there is a discrepancy between information provided in the application kit and the information provided in the published SuperNOFA, the information in the published SuperNOFA prevails**. Therefore, please be sure to review your application submission against the requirements in the SuperNOFA.

You may request general information and application kits from the **SuperNOFA Information Center**. When requesting an application kit from the SuperNOFA Information Center, please refer to the **name of the program** of the application kit you are interested in receiving. Please be sure to provide your name, address (including zip code), and telephone number (including area code). To ensure sufficient time to prepare your application, requests for application kits can be made immediately following publication of the SuperNOFA. The SuperNOFA Information Center opens for business simultaneously with the publication of the SuperNOFA.

The SuperNOFA Information Center (1-800-HUD-8929) can provide you with assistance, application kits, and guidance in determining which HUD Office(s) should receive a copy of your application. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. Additionally, you can obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at **http://www.hud.gov.**

Consolidated Application Submissions. If you, the applicant, would like to apply for funding under more than one program in this SuperNOFA, you need only submit one originally signed SF-424 and one set of original signatures for the other standard assurances and certifications, accompanied by the matrix that is provided in each application kit. As long as you submit one **originally signed set** of these documents with an application, you need only submit copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications. Additionally, the **Programs Section** may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA.

For Further Information. For answers to your questions about this SuperNOFA, you have several options. You may call, during business hours, the SuperNOFA Information Center at 1-800-HUD-8929, or you may contact the HUD Office or Processing Center serving your area at the telephone number listed in the application kit for the program in which you are interested. If you are a person with a hearing or speech impairment you may call the Center's TTY number at 1-800-HUD-2209. You may also obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at **http://www.hud.gov.**

For Technical Assistance. Before the application due date, HUD staff will be available to provide you with general guidance and technical assistance about this SuperNOFA. HUD staff, however, are not permitted to assist in preparing your application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD.

Satellite Broadcasts. HUD will hold information broadcasts via satellite for potential applicants to learn more about the programs in this SuperNOFA and preparation of the applications. For more information about the date and time of the broadcast, you should consult the HUD web site at **http://www.hud.gov.**

INTRODUCTION TO THE FY 2000 SUPERNOFA

HUD'S FY 2000 SUPERNOFA PROCESS

Background

This year marks the third year that HUD is issuing a SuperNOFA for almost all of its competitive grant programs, and the first year, as further discussed below, that HUD has added to the SuperNOFA its announcements of funding availability for Section 8 housing voucher assistance for certain initiatives. The SuperNOFA approach, in which the great majority of HUD's competitive funds are announced in one document, is designed to simplify the application process, bring consistency and uniformity to the application and selection process, and accelerate the availability of funding. Equally important, the SuperNOFA approach is designed to increase the ability of applicants to consider and apply for funding under a wide variety of HUD programs. The SuperNOFA provides a "menu" of HUD competitive programs. From this menu, communities will be made aware of funding available for their jurisdictions. Nonprofits, public housing agencies, local and State governments, tribal governments and tribally designated housing entities, veterans service organizations, faith-based organizations and others will be able to identify the programs for which they are eligible for funding.

The most creative and novel element of the SuperNOFA is that it places heavy emphasis on the coordination of activities assisted by HUD funds to provide (1) greater flexibility and responsiveness by potential grantees in meeting local housing and community development needs, and (2) greater flexibility for eligible applicants to determine what HUD program resources best fit the community's needs. The SuperNOFA's promotion of coordination and comprehensive planning of HUD assistance reduces duplication in the delivery of services by organizations and communities, and allows for delivery of a wider more integrated array of services, thereby resulting in more efficient use of HUD funds to more effectively serve a greater number of those most in need of HUD assistance.

Changes Made in the SuperNOFA Process for FY 2000

Addition of Section 8 Housing Voucher Assistance for Certain Initiatives. In the FY 2000 SuperNOFA, HUD adds three NOFAs that provide Section 8 housing voucher funding for persons with disabilities under the following initiatives: (1) mainstream housing opportunities for persons with disabilities (Mainstream Housing); (2) rental assistance for non-elderly persons with disabilities related to certain types of Section 8 project-based developments and Section 202, 221(d)(3) and Section 236 developments (Certain Developments); and (3) rental assistance for non-elderly persons with disabilities in support of designated housing plans (Designated Housing). Although in prior years, these NOFAs were published independently of the SuperNOFA, HUD believes that the inclusion in this SuperNOFA of funding for Mainstream Housing Opportunities for Persons with Disabilities is especially helpful for nonprofit organizations coordinating housing assistance proposals for persons with disabilities under the Section 811 Program of Supportive Housing for Persons with Disabilities. (Please note that the notices of funding availability for Section 8 Family Self-Sufficiency Program Coordinators, and Section 8 voucher assistance for Fair Share Allocation of Incremental Voucher Funding are not part of the SuperNOFA but will be published in the near future.)

Encouraging Participation in Certain Policy Initiatives. In addition to the policy initiatives for which HUD encouraged applicant participation in the FY 1999 SuperNOFA, HUD adds two additional initiatives to this year's SuperNOFA. They are:

(1) Partnership for Advancing Technology in Housing. President Clinton officially launched the Partnership for Advancing Technology in Housing (PATH) on May 4, 1998, in Los Angeles, California, during ground-breaking ceremonies for 186 energy-efficient, moderately priced homes. HUD's FY 2000 SuperNOFA encourages this partnership. PATH is discussed in more detail in Section VI of the General Section of this SuperNOFA.

(2) Bridging the Digital Divide. Bridging the Digital Divide is an initiative whose objective is to provide access to computers to low- and moderate- income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. The Bridging the Digital Divide Initiative is discussed in more detail in Section VI of the General Section of this SuperNOFA.

Civil Rights/Fair Housing Compliance Certification. Applicants familiar with the HUD SuperNOFA may note that the certification that the applicant will comply with the requirements of the Fair Housing Act and civil rights and nondiscrimination statutes has been removed from the list of required forms, certifications and assurances. Although HUD has removed the independent certification for compliance with fair housing and civil/rights nondiscrimination requirements, the certification requirement remains. The certification is part of the Standard Form for Assurances. For Non-Construction Programs that form is SF-424B; for Construction Programs, the form is SF-424D.

Program Changes. The main difference between the FY 2000 SuperNOFA and the FY 1999 SuperNOFA are the programs that comprise the SuperNOFA. As noted earlier, the SuperNOFA adds three new funding availability announcements that provide Section 8 voucher funding for specified persons.

Programs that are no longer included in the SuperNOFA are HUD's Comprehensive Improvement Assistance Program (CIAP) and Public Housing Drug Elimination Program (PHDEP), which now distribute funds through formula. (CIAP funds will eventually become part of HUD's new Capital Fund Program, which also will be distributed by formula.) HUD's Multifamily Drug Elimination Program and the New Approach Anti-Drug Program remain part of the SuperNOFA. Additionally, this FY 2000 SuperNOFA includes Public Housing Drug Elimination Technical Assistance for Safety and Security.

HUD's Tenant Opportunities Program (TOP) and Economic Development Supportive Services Program (EDSS) have been replaced by a new program -- the Resident Opportunities and Self-Sufficiency (ROSS) Program.

In this FY 2000 SuperNOFA, in addition to the Hispanic Serving Institutions Assisting Communities Program, there is also funding for the Alaska Native/Native Hawaiian Institutions Assisting Communities Program.

HUD's Healthy Homes Initiative that was published as a separate NOFA in FY 1999, is part of the FY 2000 SuperNOFA.

Inclusion of Application Forms. HUD is including with this publication of the SuperNOFA the application forms you will need to fully complete your application. Application kits have been prepared and will also be available after publication of this SuperNOFA, but the inclusion of application forms in this publication minimizes the possibility of any delay in timely completion and submission of applications.

Organization of the SuperNOFA

The SuperNOFA is divided into two major sections. The **General Section** of the SuperNOFA describes the procedures and requirements applicable to all applications. The **Programs Section** of the SuperNOFA describes each program that is part of this SuperNOFA. For each program, the **Programs Section** describes the eligible applicants, eligible activities, factors for award, and any additional requirements or limitations that apply to the program.

Please read carefully both the **General Section** and the **Programs Section** of the SuperNOFA for the program(s) for which you are applying. Your careful reading will ensure that you apply for program funding for which your organization is eligible to receive funds and that you fulfill all the requirements for that program(s).

As part of the simplification of this funding process, and to avoid duplication of effort, the SuperNOFA provides for consolidated applications for several of the programs that are part of this SuperNOFA. HUD programs that provide assistance for, or complement, similar activities (for example, the Continuum of Care programs and CPD Technical Assistance programs) have a consolidated application that reduces the administrative and paperwork burden applicants would otherwise encounter in submitting a separate application for each program. The Program Chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants.

As noted earlier in this Introduction to the FY 2000 SuperNOFA, HUD is providing copies of the application forms in this publication. The standard forms, certifications and assurances applicable to all programs, or the great majority of programs, in the SuperNOFA follow the **General Section** as **Appendix B**. The forms and any additional certifications and assurances that are unique to the individual program will follow that program section of the SuperNOFA.

The specific statutory and regulatory requirements of the programs that are part of this SuperNOFA continue to apply to each program. The SuperNOFA will identify, where necessary, the statutory requirements and differences applicable to the specific programs. Please pay careful attention to the individual program requirements that are identified for each program. Note that not all applicants are eligible to receive assistance under all programs identified in this SuperNOFA.

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THE PROGRAMS OF THIS SUPERNOFA AND THE AMOUNT OF FUNDS ALLOCATED

The programs that are part of this SuperNOFA are identified in the chart below. The approximate available funds for each program are based on appropriated funds, and for some programs, the available funding include funds already recaptured. In the event (1) HUD recaptures funds (either for programs for which funding already reflects recaptured funds or other programs for which funding does not reflect recaptured funds), or (2) other funds become available for any program, HUD reserves the right to increase the available funding amount for a program by the additional amounts that become available.

The chart also includes the application due date for each program, the OMB approval number for the information collection requirements contained in the specific program, and the Catalog of Federal Domestic Assistance (CFDA) number.

HUD FY 2000 SUPERNOFA FUNDING

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
HOUSING AND COMMUNITY DEVELOPMENT			
Community Development Technical Assistance (TA)	**Up to $22.74 million**		
Community Housing Development Organization (CHDO) TA CFDA No. 14.239 OMB Approval No.:2506-0166	Up to $8 million	May 19, 2000	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOME TA CFDA No. 14.239 OMB Approval No.:2506-0166	Up to $9 million	May 19, 2000	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
McKinney Act Homeless Assistance Programs TA CFDA No. 14.235 OMB Approval No.:2506-0166	Up to $4 million	May 19, 2000	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOPWA TA CFDA No. 14.241 OMB Approval No.:2506-0133	Up to $1.74 million	May 19, 2000	HUD Headquarters Room 7251

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
UNIVERSITY AND COLLEGE PARTNERSHIPS			
University and College Programs	**$26.5 million**		
Community Outreach Partnership Centers (COPC) CFDA No: 14511 OMB Approval No.:2528-0180	$8 million	May 10, 2000	HUD Headquarters Room 7251
Historically Black Colleges and Universities (HBCUs) Program CFDA No.: 14.237 OMB Approval No.: 2506-0122	$10 million	May 10, 2000	HUD Headquarters Room 7251 and one copy to local HUD Field Office
Hispanic-Serving Institutions Assisting Communities (HSIAC) Program CFDA No.: 14.514 OMB Approval No.:2528-0198	$6.5 million	May 10, 2000	HUD Headquarters Room 7251
Alaska Native/Native Hawaiian Institutions Assisting Communities Program (AN/NHIAC) CFDA No.: 14.515 OMB Approval No.:2528-0206	$2 million	May 10, 2000	HUD Headquarters Room 7251

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
FAIR HOUSING OUTREACH, ENFORCEMENT AND HOUSING COUNSELING			
Fair Housing and Housing Counseling Programs	**$31.1 million**		
Fair Housing -- Private Enforcement Initiative (PEI) CFDA No.: 14.410 OMB Approval No.: 2529-0033	$9.7 million	May 16, 2000	HUD Headquarters Room 5224
Fair Housing -- Education and Outreach Initiative (EOI) CFDA No.: 14.409 OMB Approval No.: 2529-0033	$6.5 million	May 16, 2000	HUD Headquarters Room 5224
Fair Housing Organizations Initiative (FHOI) CFDA No.: 14.413 OMB Approval No.: 2529-0033	$1.8 million	May 16, 2000	HUD Headquarters Room 5224
Housing Counseling -- Local Housing Counseling Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	$5.6 million	May 16, 2000	Appropriate HUD Homeownership Center (HOC)
Housing Counseling -- National, Regional, and Multi-State Intermediaries CFDA No.: 14.169 OMB Approval No.: 2502-0261	$6.5 million	May 16, 2000	HUD Headquarters Room 9166
Housing Counseling -- State Housing Finance Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	$1 million	May 16, 2000	Appropriate HUD Homeownership Center (HOC)

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
LEAD HAZARD CONTROL			
Lead-Based Paint Hazard Control Programs	**$67.0 million**		
Lead-Based Paint Hazard Control Program CFDA No.: 14.900 OMB Approval No.: 2539-0015	$59 million	May 17, 2000	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room P3206
Research to Improve Evaluation and Control of Residential Lead-Based Paint Hazards CFDA No.: 14.900 OMB Approval No.: 2539-0010	$1.5 million	May 17, 2000	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room P3206
Healthy Homes Initiative CFDA No.: 14.900 OMB Approval No.:2539-0015	$6.5 million	May 17, 2000	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room P3206
PUBLIC AND INDIAN HOUSING REVITALIZATION AND DEMOLITION			
Revitalization and Demolition Programs	**$563.8 million**		
HOPE VI Revitalization Grants CFDA No.: 14.866 OMB Approval No.: 2577-0208	$513.8 million	May 18, 2000	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
HOPE VI Demolition Grants CFDA No.: 14.866 OMB Approval No.: 2577-0208	$50 million	June 14, 2000	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING			
Drug Elimination Programs	**$44.890 million**		
Public Housing Drug Elimination - Technical Assistance (DETAP) CFDA No.: 14.854 OMB Control No.: 2577-0124	$ .5 million	June 9, 2000	HUD Headquarters Room 4206 and one copy to appropriate local HUD Field Office
Public Housing Drug Elimination Technical Assistance for Safety and Security (DETASS) CFDA No.: 14.854 OMB Control No.: 2577-0124	$1.140 million	June 2, 2000	HUD Headquarters Room 4206
Drug Elimination New Approach Anti-Drug Program (Formerly Safe Neighborhood Grant) CFDA No.: 14.854 OMB Control No.: 2577-0124	$27 million	June 7, 2000	Appropriate local HUD Field Office or Area Office of Native American Programs
Drug Elimination Grants for Multifamily Low Income Housing CFDA No.: 14.193 OMB Approval No.: 2502-0476	$16.25 million	May 25, 2000	Appropriate local HUD Field Office or Area Office of Native American Programs

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
ECONOMIC DEVELOPMENT AND EMPOWERMENT			
Economic and Empowerment Programs	**$195.3 million****		
Resident Opportunity and Self-Sufficiency (ROSS) Program	$55 million		
ROSS for Resident Management and Business Development CFDA No.: 14.870 OMB Approval No.: 2577-0211	$6 million	June 15, 2000	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Capacity Building and Conflict Resolution CFDA No.: 14.870 OMB Approval No.: 2577-0211	$5.5 million	May 9, 2000	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Resident Service Delivery Models CFDA No.: 14.870 OMB Approval No.: 2577-0211	$24 million	May 9, 2000	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Service Coordinators CFDA No.: 14.870 OMB Approval No.: 2577-0211	$20 Million	Until funds are awarded	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Outreach and Assistance Training Grants (OTAG)	$6 million		
OTAG Technical Assistance for Tenants or Tenant Groups in Properties with Project-Based Rental Assistance Above or Below Comparable Market Rent Levels CFDA No.: 14.197 OMB Approval No.: 2502-0519	$6 million	April 26, 2000	Postal Service: HUD Headquarters, Portals Building Suite 4000 1280 Maryland Ave Washington DC

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
ECONOMIC DEVELOPMENT AND EMPOWERMENT			
Economic Development Initiative (EDI) CFDA No.: 14.246 OMB Approval No.: 2506-0153	$24.1 million	May 24, 2000	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Brownfields Economic Development Initiative (BEDI) CFDA No.: 14.246 OMB Approval No.: 2506-0153	$25 million	June 13, 2000	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Self-Help Homeownership Opportunity Program (SHOP) CFDA No.: 14.247 OMB Approval No.: N/A	$20 million	April 25, 2000	HUD Headquarters Room 7251
Youthbuild CFDA No.: 14.243 OMB Approval No.: 2506-0142	$40 million	June 6, 2000	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Rural Housing and Economic Development Program ** CFDA No.: 14.250 OMB Approval No.:Pending **** Because of the statutory deadline for award of funds, this NOFA was published in the Federal Register on February 16, 2000.**	$24.7 million	April 7, 2000	HUD Headquarters Room 7255

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
TARGETED HOUSING, HOMELESS AND SECTION 8 VOUCHER ASSISTANCE			
Targeted Housing and Homeless Assistance Programs	**$1,498.25 million**		
Continuum of Care Homeless Assistance - Supportive Housing CFDA No.: 14.235 - Shelter Plus Care CFDA No.: 14.238 - Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) CFDA No.: 14.249 OMB Approval No.: 2506-0112	$850 million	May 31, 2000	HUD Headquarters Room 7270 and two copies to appropriate local HUD Field Offices
Housing Opportunities for Persons with AIDS CFDA No.: 14.241 OMB Approval No.: 2506-0133	$23 million	May 23, 2000	HUD Headquarters Room 7251 and two copies to appropriate local HUD Field Office
Section 202 Supportive Housing for the Elderly CFDA No.: 14.157 OMB Approval No.: 2502-0267	$426 million	May 18, 2000	Appropriate local HUD Multifamily Hub or Multifamily Program Center
Section 811 Supportive Housing for Persons with Disabilities CFDA No.: 14.181 OMB Approval No.: 2502-0462	$109 million	May 18, 2000	Appropriate local HUD Multifamily Hub or Multifamily Program Center

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
TARGETED HOUSING, HOMELESS AND SECTION 8 VOUCHER ASSISTANCE			
Section 8 Housing Vouchers for Persons with Disabilities	$90.25 million		
Mainstream Housing Opportunities for Persons with Disabilities CFDA No.: 14.857 OMB Approval No.: 2577-0169	$50.25 million	July 18, 2000	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC and one copy to appropriate local HUD Field Office
Rental Assistance for Non-Elderly Persons with Disabilities Related to Certain Types of Section 8 Project-Based Developments and Sections 202, 221(d) and 236 Developments CFDA No.: 14.857 OMB Approval No.: 2506-0169	$20 million	June 20, 2000	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC and one copy to appropriate local HUD Field Office
Rental Assistance for Non-Elderly Persons with Disabilities in Support of Designated Housing Plans CFDA No.: 14.857 OMB Approval No.:2577-0169	$20 million	June 20, 2000	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC and one copy to Special Applications Center, Room 2401, 77 West Jackson Boulevard, Chicago, IL, and one copy to the appropriate local HUD Field Office

Paperwork Reduction Act Statement. The information collection requirements in this SuperNOFA have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). The chart shown above provides the OMB approval number for each program that is part of this SuperNOFA. Where the chart notes that an OMB number is pending, this means that HUD has submitted the information to OMB to obtain an approval number and HUD's request for the number is pending. As soon as HUD receives the approval number, the number will be published in the Federal Register and provided to the SuperNOFA Information Center. Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

GENERAL SECTION OF THE SUPERNOFA

I. Authority; Purposes of the FY 2000 SuperNOFA; Funding Available; Eligible Applicants and Eligible Activities

(A) Authority. HUD's authority for making funding under this SuperNOFA is the Fiscal Year 2000 Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 2000 (Pub.L. 106-74, 113 Stat. 1047, approved October 20, 1999) (FY 2000 HUD Appropriations Act). Generally, the authority is not repeated in the individual program sections of this SuperNOFA. The authority provision of the program sections identify additional laws and regulations that authorize the requirements listed for the funding competitions that make up this SuperNOFA.

(B) Purposes. The purposes of this SuperNOFA are to:

(1) Make funding available to empower communities and residents. The funding made available by this SuperNOFA will assist community leaders and residents, particularly low- and moderate-income residents, in using HUD funds to develop viable communities and provide decent housing for all citizens, without discrimination.

(2) Simplify the application process for funding under HUD programs. This year's SuperNOFA continues to provide a single, uniform set of rating factors and submission requirements. This year's SuperNOFA also allows, as did last year's, for you, the applicant, to apply for more than one program with a single application.

(3) Promote comprehensive approaches to housing and community development. Through the SuperNOFA process, HUD encourages you, the applicant, to focus on the interrelationships that exist in a community and in HUD's funding programs, and to build community-wide efforts that coordinate the resources of multiple applicants and programs. To successfully address community needs and solve community problems, and to take advantage of existing resources, HUD encourages members of a community to join together and pool all available resources in a common, coordinated effort. By making all of HUD's competitive funding available in one document, HUD allows you, the applicant, to be able to relate the activities proposed for funding under this SuperNOFA to the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice.

(C) Funding Available. As noted in the Introduction Section to the SuperNOFA, the HUD programs that are part of this SuperNOFA are allocated amounts based on appropriated funds. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding amounts by the amount of funds recaptured.

(D) Eligible Applicants and Eligible Activities. The **Programs Section** of the SuperNOFA describes the eligible applicants and eligible activities for each program.

II. Requirements and Procedures Applicable to All Programs

Except as may be modified in the **Programs Section** of this SuperNOFA, or as noted within the specific provisions of this Section II, the requirements, procedures and principles listed below apply to all programs that are part of this SuperNOFA. Please be sure to read the **Programs Section** of the SuperNOFA for additional requirements or information.

(A) Statutory Requirements. To be eligible for funding under this SuperNOFA, you, the applicant, must meet all statutory and regulatory requirements applicable to the program or programs for which you are seeking funding. If you need copies of the program regulations, they are available from the SuperNOFA Information Center or through the Internet at the HUD web site located at **http://www.hud.gov**. Among the reasons that HUD may find an application ineligible to receive further funding consideration is if the activities or projects proposed in the application are not eligible activities and projects. In addition (with the exception of the Section 202 and Section 811 programs) HUD may eliminate the ineligible activities from funding consideration and reduce the grant amount accordingly.

(B) Threshold Requirements.

(1) Compliance with Fair Housing and Civil Rights Laws. With the exception of Federally recognized Indian tribes, **all applicants and their subrecipients** must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a). If you are a Federally recognized Indian tribe, you must comply with the nondiscrimination provisions enumerated at 24 CFR 1000.12.

If you, the applicant --

(a) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(b) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(c) Have received a letter of noncompliance findings under Title VI, Section 504, or Section 109--

HUD will not rate and rank your application under this SuperNOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(2) Other Threshold Requirements. The program section for the funding for which you are applying may specify other threshold requirements. Additional threshold requirements may be identified in the discussion of "eligibility" requirements in the program section.

(C) Additional Nondiscrimination Requirements. You, the applicant and your subrecipients, must comply with the Americans with Disabilities Act of 1990 (42 U.S.C. 1201 et seq.), and Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 et seq).

(D) Affirmatively Furthering Fair Housing. Unless otherwise specified in the **Programs Section** of this SuperNOFA, if you are a successful applicant, you will have a duty to affirmatively further fair housing. Again, except as may be provided otherwise in the **Programs Section** of this SuperNOFA, you, the applicant, should include in your application or work plan the specific steps that you will take to:

(1) Address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, you, the applicant, have a duty to carry out the specific activities provided in your responses to the SuperNOFA rating factors that address affirmatively furthering fair housing. Please see the **Programs Section** of this SuperNOFA for further information.

(E) Economic Opportunities for Low and Very Low-Income Persons (Section 3). Certain programs in this SuperNOFA require recipients of assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements subpart E of this part. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing and (2) business concerns which provide economic opportunities to low- and very low-income persons. As noted in the **Programs Section** of this SuperNOFA, Section 3 is applicable to the following programs:

- Historically Black Colleges and Universities (HBCU);
- Hispanic-Serving Institutions Assisting Communities (HSIAC);
- Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC)
- Lead-Based Paint Hazard Control;
- Healthy Homes Initiative
- HOPE VI Public Housing Revitalization and Demolition;
- Public Housing Drug Elimination Technical Assistance for Safety and Security
- New Approach Anti-Drug Program;
- Multifamily Housing Drug Elimination Program;
- Resident Opportunity and Self-Sufficiency Program
- Economic Development Initiative (EDI);
- Brownfields Economic Development Initiative (BEDI);
- Self-Help Homeownership Opportunity Program (SHOP);
- Youthbuild Program;
- Rural Housing and Economic Development Program;
- Continuum of Care Homeless Assistance Programs;
- Housing Opportunities for Persons with AIDS (HOPWA);
- Section 202 Supportive Housing for the Elderly Program;
- Section 811 Supportive Housing for Persons with Disabilities Program;

More information is available on Section 3 at the following website - **www.hud.gov/fhe/sec3over.html.**

(F) Relocation. Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by Federal relocation statute and regulations. Specifically, this type of move is covered by the acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and the implementing governmentwide regulation at 49 CFR part 24. The relocation requirements of the URA and the governmentwide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of rehabilitation or demolition for an activity undertaken with HUD assistance.

(G) Forms, Certifications and Assurances. You, the applicant, are required to submit signed copies of the standard forms, certifications, and assurances listed in this section, unless the requirements in the **Programs Section** specify otherwise. Also, the **Programs Section** may specify additional forms, certifications, assurances or other information that may be required for a particular program in this SuperNOFA.

As part of HUD's continuing efforts to improve the SuperNOFA process, several of the required standard forms have been simplified this year. The standard forms, certifications, and assurances are as follows:

- Standard Form for Application for Federal Assistance (**SF-424**) (which includes civil rights/fair housing certification);
- Federal Assistance Funding Matrix, **HUD-424M**;
- Standard Form for Budget Information--Non-Construction Programs (**SF-424A**) or
- Standard Form for Budget Information-Construction Programs (**SF-424C**), as applicable;
- Standard Form for Assurances--Non-Construction Programs (**SF-424B**) or
- Standard Form for Assurances--Construction Programs (**SF-424D**), as applicable; Drug-Free Workplace Certification (**HUD-50070**);
- Certification of Payments to Influence Federal Transaction (**HUD-50071**) and if engaged in lobbying, the Disclosure Form Regarding Lobbying (**SF-LLL**); (Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are not required to submit this certification. Tribes and TDHEs established under State law are required to submit this certification.)
- Applicant/Recipient Disclosure/Update Report (**HUD-2880**);
- Certification Regarding Debarment and Suspension (**HUD-2992**). This is the certification required by 24 CFR 24.510. (The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status, and a certification is required.)
- Certification of Consistency with the EZ/EC Strategic Plan (**HUD-2990**) (if applicable);
- Certification of Consistency with the Consolidated Plan (**HUD-2991**) (if applicable).

Copies of these standard forms follow this **General Section** of the SuperNOFA. Copies of forms that are particular to an individual program, follow the funding information for that program. Also included in the Appendix B to this **General Section** is the Funding Application for the Section 8 Housing Choice Voucher Program (**HUD-52515**) and the Acknowledge of Application Receipt (**HUD 2993**).

These forms are available at the HUD website at **www.hudclips.org.**

(H) OMB Circulars and Governmentwide Regulations Applicable to Grant Programs. Certain OMB circulars also apply to programs in this SuperNOFA. The policies, guidance, and requirements of: OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments); OMB Circular A-21 (Cost Principles for Education Institutions) OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations); OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations); and the regulations in 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally recognized Indian tribal governments) -- may apply to the award, acceptance and use of assistance under the programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 2000 HUD Appropriations Act, other Federal statutes or the provisions of this SuperNOFA. Compliance with additional OMB Circulars or governmentwide regulations may be specified for a particular program in the **Programs Section** of the SuperNOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 10503, telephone (202) 395-7332 (this is not a toll free number) or from the website at **http://www.whitehouse.gov/omb/grants/index.html#circulars.**

(I) Environmental Requirements. If you become a grantee under one of the programs in this SuperNOFA that assist physical development activities or property acquisition, you are generally prohibited from acquiring, rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) HUD has completed an environmental review in accordance with 24 CFR part 50; or

(2) For programs subject to 24 CFR part 58, HUD has approved a grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review.

You, the applicant, should consult the **Programs Section** of the SuperNOFA for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Sections 202 or 811 Programs, please note the environmental review requirements for these programs.

(J) Conflicts of Interest. If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA, you are subject to 18 U.S.C. 208, the Federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for this SuperNOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this SuperNOFA. All individuals involved in rating and ranking this SuperNOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information if applicable: how the selection or non-selection of any applicant under this SuperNOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208; or how the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this SuperNOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202-708-3815 and ask to speak to one of HUD's attorneys in this division.

III. Application Selection Process

(A) Rating Panels. To review and rate your applications, HUD may establish panels. These panels may include persons not currently employed by HUD. HUD may include these non-HUD employees to obtain certain expertise and outside points of view, including views from other Federal agencies.

(1) Rating. HUD will evaluate and rate all applications for funding that meet the threshold requirements and rating factors for award described in this SuperNOFA. The rating of you, as the "applicant," or of your organization, "the applicant's organization and staff," for technical merit or threshold compliance will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

(2) Ranking. HUD will rank applicants within each program (or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care section of this SuperNOFA). HUD will rank applicants only against other applicants that applied for the same program funding. Where there are set-asides within a program competition, you, the applicant, will compete against only those applicants in the same set-aside competition.

(B) Threshold Requirements. HUD will review your application to determine whether it meets all of the threshold requirements described in Section II(B), above. Only if your application meets all of the threshold requirements will it be eligible to be rated and ranked.

(C) Factors for Award Used to Evaluate and Rate Applications. For each program that is part of this SuperNOFA, the points awarded for the rating factors total 100. Depending upon the program for which you the applicant seek funding, the program may provide for up to four bonus points as provided in paragraphs (1) and (2) of this Section III(C).

(1) Bonus Points. The SuperNOFA provides for the award of up to **two bonus points** for eligible activities/projects that the applicant proposes to be located in federally designated Empowerment Zones (EZs), Enterprise Communities (ECs), Urban Enhanced Enterprise Communities (EECs), or Strategic Planning Communities and serve the residents of these federally designated areas, and are certified to be consistent with the strategic plan of these federally designated references. (For ease of reference in the SuperNOFA, these federally designated areas are collectively referred to as "EZs/ECs" and residents of these federally designated areas as EZ/EC residents.)[1] The application kit contains a certification which must be completed for the applicant to be considered for EZ/EC bonus points. A list of the EZs, ECs, EECs and Strategic Planning Communities is available from the SuperNOFA Information Center, through the HUD web site at **http://www.hud.gov**, and is attached to this **General Section** of the SuperNOFA as **Appendix A-2.**

[1] On December 21, 1994, President Clinton and Vice President Gore designated 72 urban areas and 33 rural communities as Empowerment Zones or Enterprise Communities. These designated areas receive more than $1.5 billion in performance grants and more than $2.5 billion in tax incentives. On August 5, 1997, President Clinton signed the Taxpayers Relief Act of 1997 which established a second round of designations for 15 new Empowerment Zones. Round II designees were announced in December 1998. Strategic Planning Communities are HUD designations that ranked competitively in the Round II competition but were not selected for EZ designation.

In the BEDI competition, two bonus points are available for federally designated Brownfields Show Case Communities. (Please see BEDI section of this SuperNOFA for additional information). A listing of the federally designated EZs, ECs, and Enhanced ECs and Brownfields Showcase Communities is available from the SuperNOFA Information Center, or through the HUD web site on the Internet at **http://www.hud.gov.**

(2) Court-Ordered Consideration. For any application submitted by the City of Dallas, Texas, for funds under this SuperNOFA for which the City of Dallas is eligible to apply, HUD will consider the extent to which the strategies or plans in the city's application or applications will be used to eradicate the vestiges of racial segregation in the Dallas Housing Authority's low income housing programs. The City of Dallas should address the effect, if any, that vestiges of racial segregation in Dallas Housing Authority's low income housing programs have on potential participants in the programs covered by this NOFA, and identify proposed actions for remedying those vestiges. HUD may add up to 2 points to the score based on this consideration. This special consideration results from an order of the U.S. District Court for the Northern District of Texas, Dallas, Division. (This Section III(C)(2) is limited to applications submitted by the City of Dallas.)

(3) The Five Standard Rating Factors. Additional details about the five rating factors listed below, and the maximum points for each factor, are provided in the **Programs Section** of the SuperNOFA. You, the applicant, should carefully read the factors for award as described in the **Programs Section** of the SuperNOFA. HUD has established these five factors as the basic factors for award in every program that is part of this SuperNOFA. For a specific HUD program, however, HUD may have modified these factors to take into account specific program needs, or statutory or regulatory limitations imposed on a program. The standard factors for award, except as modified in the program area section are:

Factor 1: Capacity of the Applicant and Relevant Organizational Staff

Factor 2: Need/Extent of the Problem

Factor 3: Soundness of Approach

Factor 4: Leveraging Resources

Factor 5: Comprehensiveness and Coordination

The Continuum of Care Homeless Assistance Programs have only two factors that receive points: Need and Continuum of Care.

(D) Negotiation. After HUD has rated and ranked all applications and has made selections, HUD may require, depending upon the program, that all winners participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

(E) Adjustments to Funding.

(1) HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of the funds and to ensure that the purposes of a specific program are met.

(2) HUD will not fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements; which does not meet the requirements of this SuperNOFA or which may be duplicative of other funded programs or activities from previous years' awards or other selected applicants. Only the eligible portions of your application (including non-duplicative portions) may be funded.

(3) If funds remain after funding the highest ranking applications, HUD may fund part of the next highest ranking application in a given program. If you, the applicant, turn down the award offer, HUD will make the same determination for the next highest ranking application. If funds remain after all selections have been made, remaining funds may be available for other competitions for each program where there is a balance of funds.

(4) In the event HUD commits an error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of this SuperNOFA, HUD may select that applicant when sufficient funds become available.

(F) Performance and Compliance Actions of Grantees. HUD will measure and address the performance and compliance actions of grantees in accordance with the applicable standards and sanctions of their respective programs.

IV. Application Submission Requirements

The application submission requirements are specified in the **Programs Section** of this SuperNOFA. As discussed in the Introduction Section of this SuperNOFA, part of the simplification of this SuperNOFA funding process is to reduce the duplication of effort that has been required of applicants in the past. As the Program Chart above shows, the FY 2000 SuperNOFA provides, as did the previous SuperNOFAs, for consolidated applications for several of the programs for which funding is available under this SuperNOFA.

V. Corrections to Deficient Applications

After the application due date, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you, however, to clarify an item in your application or to correct technical deficiencies. You should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of your response to any selection factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may, however, contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. Examples of curable (correctable) technical deficiencies include your failure to submit the proper certifications or your failure to submit an application that contains an original signature by an authorized official. In each case, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. You must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. (If the due date falls on a Saturday, Sunday, or Federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or Federal holiday.) If your deficiency is not corrected within this time period, HUD will reject your application as incomplete, and it will not be considered for funding. (Note that the Sections 202 and 811 Programs provide for appeal of rejection of an application on technical deficiency. Please see the Programs Sections for these programs for additional information and instructions.)

VI. Promoting Comprehensive Approaches to Housing and Community Development

(A) General. HUD believes the best approach for addressing community problems is through a community-based process that provides a comprehensive response to identified needs. This Section VI of the General Section of the SuperNOFA describes important initiatives that applicants should be aware of.

(B) Linking Program Activities with AmeriCorps. You are encouraged to link your proposed activities with AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000, or visit the AmeriCorps website at **www.cns.gov/americorps.**

(C) Linking Program Activities with USDA. In this year's SuperNOFA, HUD is working with the Department of Agriculture (USDA) to provide technical assistance to public housing authorities to develop a natural resource stewardship program to enhance the natural environment through activities such as tree planting, creating green spaces in areas devoid of vegetation and protecting areas from erosion and storm water runoff. Further information about this initiative can be found on the U.S. Forest Service website at **www.fs.fed/us/research/rvur/urban/urbanforestry/urbanforest.htm.**

(D) Encouraging Visitability in New Construction and Substantial Rehabilitation Activities. In addition to applicable accessible design and construction requirements, you are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means at least one entrance at grade (no steps), approached by an accessible route such as a sidewalk; the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the Uniform Federal Accessibility Standards (UFAS) are available from the SuperNOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-877 8399 (Federal Information Relay Service).

(E) Developing Healthy Homes. HUD's Healthy Homes Initiative is one of the initiatives developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities (to the extent eligible under specific programs) that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to, the following: educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others; incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, proper ventilation and moisture control to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can trigger asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323, and information is also available at the following website - **www.hud.gov/hhchild.html.**

(F) Participation in PATH. If you are applying for funds that may be utilized for construction or rehabilitation, HUD encourages participation in the President Clinton's Partnership for Advancing Technology in Housing (PATH). PATH's goal is to achieve dramatic approvement in the quality of American housing by the year 2010. PATH promotes leaders from the home building, product manufacturing, insurance and financial industries and representatives from federal agencies dealing with housing issues to work together to spur housing design and construction innovations. PATH has a FY 2000 budget of $10 million. PATH will provide technical support in design and cost analysis of advance technologies to be incorporated in project construction.

Applicants should see **www.pathnet.org/about/about.html** on the Internet for more information, the list of technologies, latest PATH Newsletter, results from field demonstrations and PATH projects. Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices by: reducing costs; improving durability; increasing energy efficiency; improving disaster resistance; improving energy; and reducing environmental impact.

HUD's objective is to select projects funded under this SuperNOFA which demonstrate high potential opportunities for application of PATH technologies. HUD will provide technical assistance in the form of architectural, engineering and financial analysis to incorporate the specific technologies appropriate to the type of construction and climate. More information about PATH is available at the following website - **www.pathnet.org/about/about.html.**

(G) Bridging the Digital Divide. Bridging the Digital Divide is an initiative whose objective is to provide access to computers to low and moderate income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. HUD encourages applicants to incorporate education and job training opportunities through initiatives such as HUD's Neighborhood Networks and Twenty/20 Education communities in their programs.

(1) Neighborhood Networks. The Neighborhood Networks Initiative enhances the self-sufficiency, employability and economic self-reliance of low-income families and the elderly living in HUD insured and HUD assisted properties by providing them with on-site access to computer and training resources. More information about Neighborhood Networks is available at the following website - **www.hud.gov/nnw/nnwindex.html.**

(2) The Twenty/20 Education Communities Initiative. This initiative (formerly known as Campus of Learners) is designed to transform public housing into safe and livable communities where families undertake training in new telecommunications and computer technology and partake in educational opportunities and job training initiatives.

VII. Findings and Certifications

(A) Environmental Impact. A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations at 24 CFR part 50 that implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332). The Finding of No Significant Impact is available for public inspection during regular business hours in the Office of the General Counsel, Regulations Division, Room 10276, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410-0500.

(B) Executive Order 13132, Federalism. Executive Order 13132 (entitled "Federalism") prohibits, to the extent practicable and permitted by law, an agency from promulgating policies that have federalism implications and either impose substantial direct compliance costs on State and local governments and are not required by statute, or preempt State law, unless the relevant requirements of section 6 of the Executive Order are met. This SuperNOFA does not have federalism implications and does not impose substantial direct compliance costs on State and local governments or preempt State law within the meaning of the Executive Order.

(C) Prohibition Against Lobbying Activities. You, the applicant, are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that you will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, you must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but tribes and TDHEs established under State law are not excluded from the statute's coverage.)

(D) Section 102 of the HUD Reform Act; Documentation and Public Access Requirements. Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 apply to assistance awarded under this SuperNOFA as follows:

(1) Documentation and public access requirements. HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 5-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations in 24 CFR part 15.

(2) Disclosures. HUD will make available to the public for 5 years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (update information also reported on Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 years. All reports--both applicant disclosures and updates--will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 5.

(3) Publication of Recipients of HUD Funding. HUD's regulations at 24 CFR 4.7 provide that HUD will publish a notice in the Federal Register on at least a quarterly basis to notify the public of all decisions made by the Department to provide:

(i) Assistance subject to section 102(a) of the HUD Reform Act; or

(ii) Assistance that is provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

(E) Section 103 HUD Reform Act. HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, subpart B, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or Headquarters counsel for the program to which the question pertains.

VIII. The FY 2000 SuperNOFA Process and Future HUD Funding Processes

Each year, HUD strives to improve its SuperNOFA. The FY 2000 SuperNOFA was revised based on comments received during the FY 1999 funding process. HUD continues to welcome comments and feedback from applicants and other members of the public on how HUD may further improve its competitive funding process.

The description of programs for which funding is available under this SuperNOFA follows.

Dated:_____

_____
Saul N. Ramirez, Jr., Deputy Secretary

PART II

HOPE VI REVITALIZATION AND DEMOLITION NOFA

HOPE VI Revitalization and Demolition NOFA

TABLE OF CONTENTS

HOPE VI Revitalization
Rating Factor Score Distribution

			Points
Capacity			**20**
1.	Revitalization Capacity and Experience		7
2.	Community and Supportive Services Capacity and Experience		5
3.	Property Management Capacity and Experience		4
4.	Diversity		1
5.	Obligation of Modernization Funds		3
Need			**20**
1.	Need for Revitalization		7
2.	Impact on Neighborhood		6
3.	Need for Funding		3
4.	Identification of Need by the Community		2
5.	Need for Affordable Housing in the Community		2
Soundness of Approach			**40**
1.	Overall Quality of Plan		5
2.	Design		3
3.	Feasibility of Plan		5
	a. Market	1	
	b. Hard Development Costs	1	
	c. Soft Costs	1	
	d. Coherence and Consistency	2	
4.	Lessen Concentration		3
	a. On-site housing	1	
	b. Off-site housing	1	
	c. Access to Services	1	
5.	Relocation and Section 8		5
	a. Relocation Support	2	
	b. Community Outreach	1	
	c. Self-Sufficiency	1	
	d. Tracking	1	
6.	Community and Supportive Services		5

		Points
7.	Resident and Community Outreach and Involvement	4
	a. Collaboration and Inclusiveness	1
	b. Logistics	1
	c. Communication	1
	d. Dissention	1
8.	Operation and Managment Principles and Policies	3
	Self Sufficiency and Economic Diversity	
	Safety and Security	
9.	Affirmatively Furthering Fair Housing	5
	a. Accessibility	2
	b. Adaptability	1
	c. Visitability	1
	d. Diversity	1
10.	Evaluation	2
	a. Documentation	1
	b. Oversight	1
Leveraging Resources		**10**
1.	Physical Development Resources	6
2.	Community and Supportive Services Resources	4
Coordination and Community Planning		**10**
1.	Coordination of Revitalization Activities	5
2.	Participation in Consolidated Plan/AI Process	5
EZ/EC Bonus		**2**
Total Possible Points:		**102**

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

As Published in the Federal Register on February 24, 2000

Funding Availability
Revitalization of Severely Distressed Public Housing
(HOPE VI Revitalization and Demolition)
Fiscal Year 2000

PROGRAM OVERVIEW

Purpose of the Program.

HOPE VI Revitalization Grants. In accordance with section 24(a) of the U.S. Housing Act of 1937 (1937 Act), the purpose of HOPE VI Revitalization grants is to assist public housing agencies (PHAs) to:

(1) Improve the living environment for public housing residents of severely distressed public housing projects through the demolition, rehabilitation, reconfiguration, or replacement of obsolete public housing projects (or portions thereof);

(2) Revitalize sites (including remaining public housing dwelling units) on which such public housing projects are located and contribute to the improvement of the surrounding neighborhood;

(3) Provide housing that will avoid or decrease the concentration of very low-income families; and

(4) Build sustainable communities.

HOPE VI Demolition Grants. Demolition grants enable PHAs to expedite the demolition of severely distressed public housing units. Any subsequent new construction or revitalization of any remaining units must be funded from other resources, which may include a HOPE VI Revitalization Grant.

Available Funds. Approximately $563.8 million, as allocated in accordance with Section II of this HOPE VI section of the SuperNOFA, below.

Eligible Applicants. PHAs that meet the requirements at Section III(B) of this HOPE VI section of the SuperNOFA, below.

Application Deadlines. **Revitalization** grant applications are due on **May 18, 2000. Demolition** grant applications are due on **June 14, 2000.**

		Points
7.	Resident and Community Outreach and Involvement	4
	a. Collaboration and Inclusiveness	1
	b. Logistics	1
	c. Communication	1
	d. Dissention	1
8.	Operation and Managment Principles and Policies	3
	Self Sufficiency and Economic Diversity Safety and Security	
9.	Affirmatively Furthering Fair Housing	5
	a. Accessibility	2
	b. Adaptability	1
	c. Visitability	1
	d. Diversity	1
10.	Evaluation	2
	a. Documentation	1
	b. Oversight	1
Leveraging Resources		**10**
1.	Physical Development Resources	6
2.	Community and Supportive Services Resources	4
Coordination and Community Planning		**10**
1.	Coordination of Revitalization Activities	5
2.	Participation in Consolidated Plan/AI Process	5
EZ/EC Bonus		**2**
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Application Deadlines. **Revitalization** grant applications are due on **May 18, 2000.** **Demolition** grant applications are due on **June 14, 2000.**

ADDITIONAL INFORMATION

If you are interested in applying for a HOPE VI grant, please review the following information, the **General Section** of this SuperNOFA, and the HOPE VI Application Kit.

I. Application Due Dates, Application Kits, Further Information, and Technical Assistance.

Application Due Dates. **Revitalization** grant applications are due at HUD Headquarters on or before **12:00 midnight, Eastern time,** on **May 18, 2000.**

Demolition grant applications are due at HUD Headquarters on or before **12:00 midnight, Eastern time, on June 14, 2000. See Section VII(B)(3) of this HOPE VI section of the SuperNOFA, below, for important information regarding the application deadline and deficiency cure period for Demolition grant applications.**

See the **General Section** of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Address for Submitting Applications. Send two copies of your completed application to HUD Headquarters, 451 Seventh Street, SW, Room 4130, Washington, DC 20410, Attention: Elinor Bacon, Deputy Assistant Secretary for Public Housing Investments. In addition, send one copy of your completed application to your local HUD Field Office. A list of HUD Field Offices and their hours of operation is included as Appendix A of the **General Section** of this SuperNOFA. HUD will determine whether your application is timely filed based on the date and time of receipt at HUD Headquarters, not the date and time of receipt at your local Field Office.

Applications Submitted to HUD Field Offices. If you wish to hand carry the required copy of your application to your local HUD Field Office, you may do so during normal business hours before the application deadline date. On the application deadline date, HUD Field Office business hours will be extended to 6:00 pm.

Application Kits. HUD will mail an Application Kit to every eligible PHA. To obtain an Application Kit and any supplemental materials, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. When requesting an Application Kit, please refer to **HOPE VI** and provide your name, address (including zip code), and telephone number (including area code). The Application Kit also will be available on the HUD Home Page (www.hud.gov).

Further Information and Technical Assistance. You may call, fax or write Mr. Milan Ozdinec, Director, Office of Urban Revitalization, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 4130, Washington, DC 20410; telephone (202) 708-2822; fax (202) 401-2370 (these are not toll free numbers). Persons with hearing or speech impairments may call via TTY by calling the Federal Information Relay Service at 1-800-877-8339.

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

II. Amount Allocated

Type of Assistance	Allocation of Funds	Funds Available for Award in this HOPE VI Section of the SuperNOFA
Revitalization Grants	$513,800,000	$513,800,000
Demolition Grants	50,000,000	50,000,000
Technical Assistance	10,000,000	
Urban Institute Study	1,200,000	
Total	$575,000,000	$563,800,000

(A) Revitalization Grants.

(1) Allocation of Funds.

(a) Approximately $513 million of the FY 2000 HOPE VI appropriation has been allocated to fund HOPE VI Revitalization grants and will be awarded in accordance with this HOPE VI section of the SuperNOFA.

(b) The total amount you may request is limited to the sum of the amounts in paragraph (2) below or the amount in paragraph (3) below of this Section II(A), whichever is lower.

(2) Total Grant Amount. You may submit **one** Revitalization grant application that requests up to $35 million. If you erroneously submit more than one application, HUD will require you to identify which application you want HUD to review.

(3) Revitalization Grant Limitations.

(a) Total Development Cost (TDC). TDCs are limited by the HUD-published TDC Cost Tables, which are issued for each fiscal year for the building type and bedroom distribution for the public housing replacement units. Use the TDCs in force at the time the SuperNOFA is published when making your TDC calculations. The total cost of development, including relocation costs, is limited to the sum of:

(i) HUD's Total Development Costs (TDCs) up to 100 percent of HUD's published TDC limits for the costs of demolition and new construction, multiplied by the number of HOPE VI replacement units; and/or

(ii) 90 percent of the TDC limits, multiplied by the number of public housing units after substantial rehabilitation and reconfiguration.

(b) Community and Supportive Services. You may request an amount up to 15 percent of the total HOPE VI grant to pay the costs of community and supportive services, as described in Section IV(C)(2) of this HOPE VI section of the SuperNOFA, below. These costs are in addition to the TDC calculation in paragraph (a) above.

(c) Demolition and Site Remediation Costs of Unreplaced On-site Units. You may request an amount necessary for demolition and site remediation costs of units that will not be replaced on-site. This cost is in addition to the TDC calculation in subparagraph (a) above.

(d) Extraordinary Site Costs.

(i) You may request a reasonable amount to pay extraordinary site costs necessary to complete the proposed revitalization. These costs are in addition to the TDC calculation in paragraph (a) above. Extraordinary site costs may be incurred in the remediation and demolition of existing property, as well as in the development of new and rehabilitated units. Examples of such costs include, but are not limited to: extraordinary hazard abatement; removal or replacement of extensive underground utility systems; extensive rock and/or soil removal and replacement; construction of streets and other public improvements dealing with unusual site conditions such as slopes, terraces, water catchments, lakes, etc.; and dealing with flood plain and other environmental remediation issues.

(ii) Extraordinary site costs must be justified and verified by an engineer or architect licensed by his or her state licensing board who is not an employee of the housing authority or the city. The engineer or architect must provide his or her license number and state of registration on the certification.

(4) Revitalization Site and Unit Application Guidelines.

(a) Your application may request funds for one public housing project (i.e., a project with one development number).

(b) Your application may request funds for more than one project if those projects are immediately adjacent to one another or within a quarter-mile of each other. If you include more than one project in a single application, you must provide a map that clearly indicates that the projects are within a quarter-mile of each other.

(c) Your application may request funds for a scattered site public housing project. An application involving scattered site properties (regardless of whether the scattered sites are under multiple project numbers) must fall within a one square mile area, except that you may identify a larger site if you can show that all of the targeted scattered site units are located within the hard edges (e.g., major highways, railroad tracks, lakeshore, etc.) of a neighborhood.

(d) You may request funds for as few or as many units as you wish in your application. HUD will review requests for small numbers of units on an equal basis with requests for large numbers of units.

(e) You may submit a Revitalization application that targets the same project that was targeted in a previously-funded HOPE VI Revitalization grant. However, you may not apply for new HOPE VI funds for **units in that project that were funded in the previous grant**, even if the previous grant turned out to be inadequate to fund all of the units originally targeted. For example, if a project has 700 units, and you were awarded a HOPE VI Revitalization grant to revitalize 300 of those units, you may submit a new Revitalization application to revitalize the remaining 400 units. You may not apply for supplemental funds to revitalize the original 300 units.

(f) You may not request HOPE VI Revitalization funds to replace units if you have previously received HOPE VI or other public housing funds to replace those same units.

(g) You may use any non-public housing funds to supplement public housing funds for any project cost.

(h) Your application must disclose all prior HUD public housing grant assistance received for the project(s) you have targeted for the **physical revitalization** related to the proposed revitalization activities. Do not include Modernization funds used for prior rehabilitation activities unrelated to the proposed HOPE VI revitalization activities.

(B) Demolition Grants.

(1) Allocation of Funds.

(a) Up to $50 million of the FY 2000 HOPE VI appropriation has been allocated to fund HOPE VI Demolition grants and will be awarded in accordance with this HOPE VI section of the SuperNOFA.

(b) If all of these funds are not needed for demolition of severely distressed public housing, unused funds will be reallocated to fund eligible HOPE VI Revitalization applications, in rank order.

(c) HUD reserves the right to carry over unused funds to the next fiscal year if they are inadequate to feasibly fund the next-ranked Demolition or Revitalization application.

(2) Demolition Grant Limitations.

(a) Demolition. You may request up to $5,000 per unit for demolition and other eligible related costs; and

(b) Relocation. You may request up to $3,000 in relocation costs for each unit that is occupied as of the date of HOPE VI Demolition grant application submission, in accordance with Section III(C)(2)(e) of this HOPE VI section of the SuperNOFA, below; and

(c) Extraordinary Site Costs.

(i) You may request a reasonable amount to pay extraordinary site costs necessary to complete the proposed demolition. These costs are in addition to the TDC calculation in Section II(A)(3)(a) of this HOPE VI section of the SuperNOFA, above. Examples of such costs include, but are not limited to: extraordinary hazard abatement; extensive rock and/or soil removal and replacement; removal of extensive underground utility systems; dealing with unusual site conditions such as slopes, terraces, water catchments, lakes, etc.; and dealing with flood plain and other environmental remediation issues.

(ii) Extraordinary site costs must be justified and verified by an engineer or architect licensed by his or her state licensing board who is not an employee of the housing authority or the city. The engineer or architect must provide his or her license number and state of registration on the certification.

(d) Nondwelling Facilities. You may request reasonable amounts to pay for demolition of significant nondwelling facilities related to the demolition of dwelling units. These costs must be included as part of an application for funding of demolition of public housing units; you may not apply for them by themselves. Examples of such costs include, but are not limited to, the demolition of heating plants, community buildings, or streets. Such costs must also be verified by an engineer or architect, as described in subparagraph (c)(ii) above.

(3) Demolition Site and Unit Application Guidelines.

(a) You may submit multiple HOPE VI Demolition grant applications.

(b) You may target units in only one public housing project per application.

(c) You may submit more than one application targeting units in a single housing project.

(d) You may request funds for as many or as few units in an application as you wish.

(e) You may request Demolition grant funds in combination with a previously-awarded Revitalization grant or an FY 2000 Revitalization grant application, in accordance with Section VII(A)(1)(d) and (e) of this HOPE VI section of the SuperNOFA, below. The requested HOPE VI Demolition grant funds, in combination with HOPE VI Revitalization grant funds, may not exceed the TDC limit as provided in Section (II)(A)(3)(a), above.

(C) Section 8.

(1) If you will need Section 8 assistance in order to carry out necessary relocation in conjunction with proposed revitalization or demolition, you must state the number of certificates needed in your HOPE VI application and include a completed Section 8 Application (HUD-52515) with your HOPE VI application. The Section 8 Application Form is appended to this HOPE VI section of the SuperNOFA, and also can be found in the HOPE VI Application Kit and through HUDCLIPS (www.hudclips.org). If you are selected for HOPE VI funding, the HUD Field Office will detach the Section 8 application and process it in accordance with Section 8 Guidelines. HUD will award Section 8 assistance needed for HOPE VI sites after the HOPE VI selections have been made and the Revitalization Plan is approved.

(2) If you have already applied for Section 8 assistance for the targeted units, you will submit a copy of your Section 8 application with your HOPE VI application.

(3) If you have previously received Section 8 assistance to relocate residents from the targeted severely distressed units, you may still apply for a HOPE VI Revitalization grant to physically replace those same units or a HOPE VI Demolition grant to demolish the units without replacement.

(4) You may request Section 8 assistance to provide either temporary or permanent relocation to families during the demolition, rehabilitation, or construction of the severely distressed project.

(5) You may request Section 8 assistance for all units covered under a HOPE VI Revitalization or Demolition application that will not be replaced with hard units.

(D) Technical Assistance. The FY 2000 appropriation for HOPE VI allocated $10 million to provide Technical Assistance in the planning, development, and implementation of the HOPE VI program. Those funds will be administered by the Office of Public Housing Investments.

(E) Urban Institute Study. The FY 2000 HOPE VI appropriation allocated $1.2 million to the Urban Institute to conduct an independent study on the long-term effects of the HOPE VI program on former residents of distressed public housing developments. HUD will execute a contract for this study with the Urban Institute in a separate action.

III. Program Description; Eligible Applicants; Eligible Activities

(A) Program Description. The HOPE VI Program through its revitalization funding component assists PHAs in improving the living environment for public housing residents of severely distressed public housing projects through the demolition, rehabilitation, reconfiguration, or replacement of obsolete public housing projects (or portions thereof), in revitalizing sites in which public housing sites are located, and providing housing that avoids or decreases the concentration of very low-income families. The demolition funding component of the HOPE VI Program enables PHAs to expedite the demolition of severely distressed public housing units.

(B) Eligible Applicants. In accordance with section 24(j) of the 1937 Act, the term "applicant" means:

(1) Any PHA that is not designated as "troubled" pursuant to section 6(j)(2) of the 1937 Act;

(2) Any PHA for which a private housing management agent has been selected, or a receiver has been appointed, pursuant to section 6(j)(3) of the 1937 Act; and

(3) Any PHA that is designated as "troubled" pursuant to section 6(j)(2) of the 1937 Act and that:

(a) Is designated as troubled principally for reasons that will not affect its capacity to carry out a revitalization program;

(b) Is making substantial progress toward eliminating the deficiencies of the agency that resulted in its troubled status; or

(c) Is otherwise determined by HUD to be capable of carrying out a revitalization program.

(C) Eligible Activities.

(1) Eligible Revitalization Activities. HOPE VI Revitalization grants may be used for activities to carry out revitalization programs for severely distressed public housing in accordance with section 24(d) of the 1937 Act. The following is a list of activities that are eligible using HOPE VI Revitalization grant funds. Other activities may also be eligible at future dates as Congress may authorize. If HOPE VI Revitalization grant funds are used for any of the following activities, you must conduct them in accordance with the following program requirements.

(a) Demolition of buildings (dwelling units and nondwelling facilities), in whole or in part, including the abatement of environmentally hazardous materials such as asbestos. Section 24(g) of the 1937 Act provides that severely distressed public housing demolished pursuant to a Revitalization Plan is not subject to the provisions of section 18 of the 1937 Act or regulations at 24 CFR part 970. Instead, if you are selected to receive a HOPE VI Revitalization grant, HUD will use information in your HOPE VI Revitalization application to determine whether the proposed demolition can be approved. If you are not selected to receive a HOPE VI Revitalization grant, the information in your application will not be used to

process a request for demolition. Please note that demolition is not a required element of a HOPE VI Revitalization application.

(b) Disposition of a severely distressed public housing site, by sale or lease, in whole or in part, in accordance with section 18 of the 1937 Act and implementing regulations at 24 CFR part 970. A long term lease of one year or more which is not incident to the normal operation of the development is considered a disposition.

(c) Rehabilitation, redesign, or reconfiguration of a severely distressed public housing project, including the site on which the project is located, in accordance with 24 CFR part 968 or successor part, as applicable.

(d) New construction of public housing replacement rental housing, both on-site and off-site, in accordance with 24 CFR part 941 or successor part, including mixed-finance development in accordance with subpart F.

(e) Appropriate replacement homeownership assistance for displaced public housing residents or other public housing-eligible low-income families. Consistent with the general programmatic requirements set forth in 24 CFR part 906 and subject to the 80 percent of Area Median Income (AMI) low-income family limitations under the 1937 Act, assistance may include:

(i) Downpayment or closing cost assistance;

(ii) Provision of second mortgages; and/or

(iii) Construction or permanent financing for new construction, acquisition, or rehabilitation costs related to homeownership replacement units.

(f) Acquisition of rental replacement units in existing or new apartment buildings, single family subdivisions, etc., with or without rehabilitation, in accordance with 24 CFR part 941 or successor part.

(g) Public housing development through the acquisition of land in accordance with 24 CFR part 941 or successor part.

(h) Major rehabilitation, other physical improvements, or new construction of community facilities primarily intended to facilitate the delivery of community and supportive services for residents of the targeted development and residents of off-site replacement housing.

(i) Necessary management improvements, including transitional security activities.

(j) Reasonable costs for administration, planning, technical assistance, and fees and costs which are deemed to be incremental costs of implementing the development as specifically approved by HUD, such as fees for architectural and engineering work, program management (if any), and reasonable legal fees. Please note that your project will be subject to HUD guidance and policies on soft costs when issued.

(k) Community and supportive services, including all activities that will promote upward mobility, self-sufficiency, and improved quality of life for the residents of the public housing project involved, including literacy training, job training, day care, transportation, and economic development activities, as further described in Section.IV(C)(2) of this HOPE VI section of the SuperNOFA, below.

(l) Economic development activities that promote the economic self-sufficiency of residents under the revitalization program, including the costs of land acquisition for economic development-related activities (provided the PHA enters into a long-term ground lease to govern the development and use of such land is consistent with HUD requirements), and infrastructure and site improvements associated with developing retail/commercial/office facilities. HOPE VI grant funds may **not** be used to pay hard development costs or to buy equipment for retail or commercial facilities.

(m) Leveraging other resources, including additional housing resources, retail supportive services, jobs, and other economic development uses on or near the project that will benefit future residents of the site.

(n) Relocation, including reasonable moving expenses, for residents displaced as a result of the revitalization of the project.

(i) Relocation carried out as a result of rehabilitation under a Revitalization Plan is subject to the Uniform Relocation Assistance and Real Property Policies Act (42 U.S.C. 4601 et seq; 49 CFR part 24) (URA) and regulations at 24 CFR 968.108 or successor part.

(ii) Relocation carried out as a result of acquisition under a Revitalization Plan is subject to the URA and regulations at 24 CFR 941.207 or successor part.

(iii) Relocation carried out as a result of disposition under a Revitalization Plan is subject to section 18 of the 1937 Act as amended.

(iv) Relocation carried out as a result of demolition under a Revitalization Plan is subject to the URA.

(o) Rental assistance under Section 8.

(2) Eligible Demolition Activities. The following is a list of specific activities that are eligible using HOPE VI Demolition grant funds. If HOPE VI Demolition grant funds are used for any of the following activities, you must conduct them in accordance with the following program requirements.

(a) Demolition of dwelling units in buildings, in whole or in part, including the abatement of environmentally hazardous materials such as asbestos, in accordance with section 18 of the 1937 Act as amended.

(b) Demolition of nondwelling facilities, if demolition is directly related to the demolition of dwelling units.

(c) Minimal site restoration after demolition and subsequent site improvements to benefit the remaining portion of the project in order to provide project accessibility or to make the site more marketable.

(d) Reasonable costs for administration, planning, technical assistance, and fees and costs which are deemed to be incremental costs of carrying out the demolition as specifically approved by HUD.

(e) Relocation and other assistance related to the permanent relocation of families.

(i) You may request up to $3,000 for each family to be displaced by the demolition to carry out relocation activities. HUD recognizes that it is as important to provide relocating families with such services in demolition-only situations as to provide such services in connection with HOPE VI revitalization grants. You are encouraged to partner with other agencies, using alternative funding, for further assistance in achieving relocation objectives.

(ii) The goals of your relocation plan must include helping families to fully understand the choices open to them for alternative housing throughout the jurisdiction, to secure units in neighborhoods of their choice, to participate in programs that will lead to self-sufficiency, to acquire the skills to live in the selected community, and sustain their new living arrangement for the foreseeable future. Programs should be designed to smooth the transition from public to private rental housing, both for relocatees and for members of their new communities. The Office of Public Housing Investments is developing relocation guidance that will pertain to these relocation activities.

(iii) Services should include providing one-on-one move counseling, providing a reasonable time between notification and date to vacate units, and ensuring that Section 8 housing complies with the Section 8 requirements regarding lead-based paint and other hazardous materials. If necessary, HOPE VI funds may be used to modify Section 8 relocation units to make them accessible for residents with disabilities.

(iv) Relocation **not** pursuant to a HOPE VI Revitalization Plan that is carried out in conjunction with a Section 18 demolition application is subject to the requirements of the URA and section 18 of the 1937 Act.

(v) Relocation **not** pursuant to a HOPE VI Revitalization Plan that is carried out as a result of demolition in conjunction with a Mandatory Conversion Plan approved by HUD in accordance with 24 CFR part 971 is subject to the requirements of the URA.

(vi) Relocation as a result of demolition pursuant to a HOPE VI Revitalization Plan approved by HUD is subject to the URA.

IV. Program Requirements

(A) HOPE VI Application Requirements. In addition to the Fair Housing requirements provided in Section II(B) of the **General Section** of this SuperNOFA, your HOPE VI application must comply with the following program requirements:

(1) Severe Distress. The targeted public housing project or building in a project must be severely distressed. In accordance with section 24(j)(2) of the 1937 Act, the term "severely distressed public housing" means a public housing project (or building in a project) that:

(a) Requires major redesign, reconstruction or redevelopment, or partial or total demolition, to correct serious deficiencies in the original design (including inappropriately high population density), deferred maintenance, physical deterioration or obsolescence of major systems, and other deficiencies in the physical plant of the project;

(b) Is a significant contributing factor to the physical decline of and disinvestment by public and private entities in the surrounding neighborhood;

(c)

(i) Is occupied predominantly by families who are very low-income families with children, are unemployed, and dependent on various forms of public assistance; or

(ii) Has high rates of vandalism and criminal activity (including drug-related criminal activity) in comparison to other housing in the area;

(d) Cannot be revitalized through assistance under other programs, such as the program for capital and operating assistance for public housing under the Act, or the programs under sections 9 and 14 of the 1937 Act (as in effect before the effective date under section 503(a) of the Quality Housing and Work Responsibility Act of 1998 (Pub.L. 105-276, approved October 21, 1998, referred to as the Public Housing Reform Act), because of cost constraints and inadequacy of available amounts; and

(e) In the case of individual buildings, is sufficiently separated from the remainder of the project of which the building is part to make use of the building feasible for revitalization; or

(f) That was a project described in paragraphs (a) through (e) above of this Section IV(A) that has been legally vacated or demolished, but for which HUD has not yet provided replacement housing assistance (other than tenant-based assistance).

(2) Appropriateness. In accordance with section 24(e)(1) of the 1937 Act, an application for any HOPE VI grant must demonstrate the appropriateness of the proposal in the context of the local housing market relative to other alternatives.

(3) Litigation. You may not have any litigation pending which would preclude timely startup of activities.

(4) Desegregation Orders. You must be in full compliance with any desegregation or other court order related to Fair Housing (e.g., Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and section 504 of the Rehabilitation Act of 1973) that affects your public housing program and that is in effect on the date of application submission.

(5) Flood Insurance. In accordance with the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), your application may not propose to provide financial assistance for acquisition or construction (including rehabilitation) of properties located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, unless:

(a) The community in which the area is situated is participating in the National Flood Insurance program (see 44 CFR parts 59 through 79), or less than one year has passed since FEMA notification regarding such hazards; and

(b) Where the community is participating in the National Flood Insurance Program, flood insurance is obtained as a condition of execution of a Grant Agreement and approval of any subsequent demolition or disposition application.

(6) Coastal Barrier Resources Act. In accordance with the Coastal Barrier Resources Act (16 U.S.C. 3501), your application may not target properties in the Coastal Barrier Resources System.

(B) HOPE VI Post-Award Requirements. If you are selected for funding, in addition to the Fair Housing requirements provided in Sections II(C) and (D) of the **General Section** of this SuperNOFA, your HOPE VI program must comply with the following requirements:

(1) Internet Access. Grantees must have access to the Internet and provide HUD with email addresses of key staff and contact people.

(2) Program Income. Grantees that expect to receive program-related income prior to grant closeout (e.g., from sale of homeownership replacement units or the disposition of improved land), must reflect this income in their HOPE VI budgets, use the program income before requesting additional cash payments from the HOPE VI grant, and use the program income for program purposes, in accordance with 24 CFR 85.25 and the HOPE VI Grant Agreement.

(3) Labor Standards.

(a) Revitalization Grants. Davis-Bacon or HUD-determined wage rates apply to development or operation of revitalized housing to the extent required under section 12 of the 1937 Act. Davis-Bacon wage rates apply to demolition followed by construction on the site

(b) Demolition Grants. HUD-determined wage rates apply to demolition followed only by filling in the site and establishing a lawn.

(c) Under section 12 of the 1937 Act, wage rate requirements do not apply to individuals who:

(i) Perform services for which they volunteered;

(ii) Do not receive compensation for those services or are paid expenses, reasonable benefits, or a nominal fee for the services; and

(iii) Are not otherwise employed in the work involved (24 CFR part 70).

(d) If other Federal programs are used in connection with your HOPE VI activities, labor standards requirements apply to the extent required by the other Federal programs on portions of the project that are not subject to Davis-Bacon rates under the Act.

(4) Section 3. Grantees must comply with the requirements of section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135, including the reporting requirements of subpart E. Section 3 requires that, to the greatest extent feasible, HOPE VI Grantees ensure that training, employment, and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and business concerns which provide economic opportunities to low- and very low-income persons. More information about Section 3 can be found at the following HUD website -- **www.hud.gov/fhe/sec3over.html.**

(5) MBE/WBE. Grantees must adopt the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and take appropriate affirmative action to assist resident-controlled and women's business enterprises, in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.

(6) OMB Circulars and Administrative Requirements. Grantees and their team members must comply with the following administrative requirements related to the expenditure of Federal funds. OMB Circulars can be found at **www.whitehouse.gov/omb/grants/index.html#circulars.** The Code of Federal Regulations can be found at **www.access.gpo.gov/nara/cfr/index.html.**

(a) Administrative requirements applicable to PHAs are:

(i) 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments), as modified by 24 CFR 941 or successor part, subpart F, relating to the procurement of partners in mixed finance developments, except when inconsistent with the

provisions of the FY 2000 HUD Appropriations Act or other applicable Federal statutes. Requests for Proposals (RFPs) and Requests for Qualifications (RFQs) must reflect pertinent language from the HOPE VI section of this SuperNOFA; e.g., seeking diversity, accessibility, fair housing requirements, etc.

(ii) OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments);

(iii) 24 CFR 85.26 (audit requirements).

(b) Administrative requirements applicable to non-profit organizations are:

(i) 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations);

(ii) OMB Circular A-122 (Cost Principles for Non-Profit Organizations):

(iii) 24 CFR 84.26 (audit requirements).

(c) Administrative requirements applicable to for-profit organizations are:

(i) 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations);

(ii) 48 CFR part 31 (contract cost principles and procedures);

(iii) 24 CFR 84.26 (audit requirements).

(7) Environmental Review.

(a) If you are selected for funding, the responsible entity, as defined in 24 CFR 58.2(a)(7), must assume the environmental review responsibilities for projects being funded by HOPE VI. If you object to the responsible entity conducting the environmental review, on the basis of performance, timing or compatibility of objectives, HUD will review the facts and determine who will perform the environmental review. At any time, HUD may reject the use of a responsible entity to conduct the environmental review in a particular case on the basis of performance, timing or compatibility of objectives, or in accordance with 24 CFR 58.77(d)(1). If a responsible entity objects to performing an environmental review, or if HUD determines that the responsible entity should not perform the environmental review, HUD may designate another responsible entity to conduct the review or may itself conduct the environmental review in accordance with the provisions of 24 CFR part 50. After selection by HUD for Joint Review, you must provide any documentation to the responsible entity (or HUD, where applicable) that is needed to perform the environmental review.

(b) If you are selected for funding, you must have a Phase I environmental site assessment completed in accordance with the American Society for Testing and Material (ASTM) Standards E 1527-97, as amended, for each affected site. A Phase I assessment is required whether the environmental review is completed under 24 CFR part 50 or 24 CFR part 58. The results of the Phase I assessment must be included in the documents that must be provided to the responsible entity (or HUD) for the environmental review. If the Phase I assessment recognizes environmental concerns or if the results are inconclusive, a Phase II environmental site assessment will be required. You may not carry out activities with respect to the Development, or with respect to any off-site replacement public housing, until HUD has approved a request for release of funds or has completed an environmental review on each affected site, in accordance with either 24 CFR part 58 or 24 CFR part 50.

(c) If the environmental review is completed before HUD approval of the HOPE VI Revitalization Plan (RP) and you have submitted your Request for Release of Funds (RROF), the RP approval letter shall state any conditions, modifications, prohibitions, etc. as a result of the environmental review, including the need for any further environmental review. You must carry out any mitigating/remedial measures required by HUD, or select an alternate eligible property, if permitted by HUD. If the remediation plan is not approved by HUD and a fully-funded contract with a qualified contractor licensed to perform the required type of remediation is not executed, HUD reserves the right to determine that the grant is in default.

(d) If the environmental review is not completed and/or you have not submitted the RROF before HUD approval of the RP, the RP approval letter will instruct you to refrain from undertaking, or obligating or expending funds on, physical activities or other choice-limiting actions, until HUD approves your RROF and the related certification of the responsible entity (or HUD has completed the environmental review). The RP approval letter also will advise you that the approved RP may be modified on the basis of the results of the environmental review.

(e) In accordance with the Grant Agreement, the costs of environmental reviews and hazard remediation are eligible costs under the HOPE VI Program.

(8) Lead-Based Paint Testing and Hazard Reduction. All property assisted under a HOPE VI grant is covered by the Lead-Based Paint Poisoning Prevention Act (24 U.S.C. 4821 et seq.) and regulations at 24 CFR part 35 and 24 CFR part 965, subpart H, as they may be amended from time to time, and 24 CFR 968.110(k) or successor part.

(C) Revitalization Application Requirements. Your HOPE VI Revitalization application must comply with the following requirements:

(1) Public Meetings.

(a) General Requirements.

(i) You must conduct at least one training session for residents on the HOPE VI development process and at least three public meetings with residents and the broader community to involve them in a meaningful way in the process of planning the revitalization and preparing the application.

(ii) At least two meetings must be held after the publication date of this HOPE VI NOFA, one of which must be held after the plan which will form the basis of the application is established, so that residents and the community are fully informed about the basics of the proposed Revitalization Plan.

(iii) As practical and applicable, the meetings should be conducted in English and the language(s) most appropriate for the community.

(iv) You must ensure that meeting places are accessible for persons with disabilities.

(b) Issues to be Discussed. You must cover all of the following issues during the course of the three public meetings:

(i) The HOPE VI planning and implementation process;

(ii) The proposed physical plan, including site and unit design;

(iii) The extent of proposed demolition;

(iv) Planned community and supportive services;

(v) Other proposed revitalization activities;

(vi) Relocation issues, including relocation planning, mobility counseling, and maintaining the HOPE VI community planning process during the demolition and reconstruction phases where temporary relocation is involved;

(vii) reoccupancy plans and policies, including site-based waiting lists; and

(viii) Section 3 and employment opportunities to be created as a result of redevelopment activities.

(2) Community and Supportive Services.

(a) General. Each HOPE VI Revitalization application must propose community and supportive service (CSS) programs that are designed to help residents achieve self-sufficiency, upward mobility, economic independence with sustainable "living wage" jobs, educational achievement, and improved quality of life for the maximum number of public housing residents in the existing project and in the revitalized community. This section lists the requirements for CSS programs, the kinds of programs that should be included in your CSS plan, and the types of organizations that you should consider when developing your CSS team, creating partnerships, and developing resources to fund your CSS programs. You will refer to this section of the NOFA when describing your CSS Capacity and Experience (Rating Factor 1(2)), Quality of CSS Plan (Rating Factor 3(6)), and CSS Resources (Rating Factor 4(2)).

(b) Subgrant Agreements.

(i) If you wish to form a formal partnership with a private nonprofit agency(ies) for the provision of specific CSS programs or activities, you may do so by entering into a subgrant agreement with the selected agency(ies).

(ii) While you are not required to undertake a competitive procurement under 24 CFR part 85 to select a subgrantee, HUD nevertheless requires your assurance that you have:

(A) evaluated alternative service providers for the specific services to be provided,
(B) selected the entity that you reasonably believe will most effectively provide such services, and
(C) ensured that the amount to be awarded under the subgrant agreement is consistent with the cost principles of OMB Circular A-87.

(iii) HUD encourages you to leverage your HOPE VI grant funds by selecting subgrantees that will provide, in addition to the agreed upon fee-for-service amount, in-kind services on a gratis basis (e.g., leased space at no cost, etc.).

(iv) The selected nonprofit subgrantee must comply with the requirements of 24 CFR part 84.

(v) You may not enter into a subgrant agreement with a for-profit entity or community and supportive services coordinator. Instead, you must conduct a competitive procurement for the services of such entities under 24 CFR part 85. However, if you can demonstrate that the services to be provided by the proposed for-profit entity or by the proposed community and supportive services coordinator can be obtained only from that source, you may request HUD approval to carry out a non-competitive procurement under 24 CFR 85.36(d)(4).

(c) Requirements of Community and Supportive Services Programs.

(i) Community and Supportive Services (CSS) program objectives must be results-oriented, with quantifiable goals and outcomes that can be used to measure progress, make changes in the program as necessary, and demonstrate the success of the program.

(ii) CSS activities must be developed in response to a rigorous resident needs identification process and directly respond to the identified needs.

(iii) CSS programs must be of an appropriate scale, type, and variety to meet the needs of **all** residents (including adults and children) of the severely distressed project, including residents remaining on-site, residents who will relocate permanently to other PHA units or Section 8 housing, residents who will relocate temporarily during the construction phase, and new residents of the revitalized units.

(iv) Non-public housing residents may also participate in CSS programs, as long as the primary users of the programs are residents as described in subparagraph (iii) above.

(v) Your plan must include procedures to track HOPE VI site residents who relocate to alternative housing to assure that everything possible is done to support them to become self-sufficient and live successfully in the alternative housing of their choice.

(vi) CSS programs such as life skills training must be designed to begin promptly after grant award so that residents who will be relocated have time to participate and benefit from such programs before leaving the site.

(vii) Resident training programs must begin promptly after grant award and Section 3 firms must be in place quickly so that residents are trained in time to take advantage of employment opportunities such as jobs and other contractual opportunities in the pre-development, demolition, and construction phases of the revitalization.

(viii) Modern computer technology must be integrated into the education program.

(ix) CSS activities must be coordinated with the efforts of other service providers in your locality, including non-profit organizations, educational institutions, and state and local programs.

(x) CSS activities must be consistent with state and local welfare reform requirements and goals. The social and learning environment must encourage and enable low-income residents to achieve long-term self-sufficiency, particularly persons enrolled in welfare-to-work programs. To that end, it is crucial that local welfare agencies and workforce development agencies are active

members of your HOPE VI partnership. Many HOPE VI residents are directly affected by Temporary Assistance to Needy Families (TANF), making these self-sufficiency efforts critical to their success.

(xi) CSS activities must be well integrated with the physical development process, both in terms of timing and the provision of facilities to house on-site service and educational programs.

(d) CSS Programs and Activities may include, but are not limited to:

(i) Education programs that promote learning and serve as the foundation for young people from infancy through high school graduation, helping them to succeed in academia and the professional world. Such programs, which include after school programs, mentoring, and tutoring, must be created with strong partnerships with public and private educational institutions.

(ii) Adult educational activities, including remedial education, literacy training, tutoring for completion of secondary or post-secondary education, assistance in the attainment of certificates of high school equivalency, and English as a Second Language courses, as needed.

(iii) Job readiness and retention programs which frequently are key to securing private sector commitments to the provision of jobs.

(iv) Employment training programs that include results-based job training, preparation, counseling, development, placement, and follow-up assistance after job placement.

(v) Life skills training on topics such as parenting, consumer education, and family budgeting, aided by the creation and operation of on-site credit unions.

(vi) Motivational and self-empowerment training.

(vii) Homeownership counseling that is designed so that services can begin promptly after grant award so that, to the maximum extent possible, qualified residents will be ready to purchase new homeownership units when they are completed.

(viii) Health care services.

(ix) Substance/alcohol abuse treatment and counseling.

(x) Domestic violence prevention.

(xi) Child care services which provide sufficient hours of operation for parents to achieve self-sufficiency goals; serve appropriate ages as needed to facilitate parental access to education and job opportunities; and stimulate children to learn.

(xii) Transportation as necessary to enable all family members to participate in available CSS programs and/or to commute to their places of employment.

(xiii) Entrepreneurship training and mentoring, with the goal of establishing resident-owned businesses.

(e) CSS Partnerships and Resources. The following is a list of the kinds of organizations and agencies that can provide your CSS program with in-kind, financial, and other types of resources necessary to carry out and sustain your CSS program.

(i) Local Boards of Education, public libraries, local community colleges, institutions of higher learning, non-profit or for-profit educational institutions and public/private mentoring programs that will lead to new or improved educational facilities and improved educational achievement of young people in the revitalized development, from birth through higher education.

(ii) Programs that support HUD's Bridging the Digital Divide policy initiative, as described in Section VI(F) of the **General Section**, such as Neighborhood Networks Centers, which provide on-site access to computer and training resources. These Centers, originally designed for HUD-insured and HUD-assisted properties, have helped hundreds of residents improve computer technology skills which in turn has increased job and education opportunities. If you are awarded a HOPE VI Revitalization grant, you will be required to adapt the Neighborhood Networks Initiative to your HOPE VI project. HUD will make technical assistance available to each PHA where needed. More information on the requirements of the Neighborhood Network Center Program is available on the Neighborhood Networks website (www.hud.gov/nnw/nnwindex.html).

(iii) National corporations, local businesses, and other large institutions such as hospitals that can commit to provide entry-level jobs. Employers may agree to train residents or commit to hire residents after they complete jobs preparedness or training programs that are provided by you, other partners, or the employer itself. Such private sector and non-profit partners must be given the opportunity to participate in the development of your CSS programs to assure that they will result in adequate training to prospective employees.

(iv) Job development organizations which link private sector or non-profit employers with low-income prospective employees.

(v) Workforce Development Agencies.

(vi) Organizations that provide residents with job readiness and retention training and support.

(vii) Economic development agencies such as the Small Business Administration, which provide entrepreneurial training and small business development centers.

(viii) Where applicable, Empowerment Zone and Enterprise Community Boards.

(ix) Programs that integrate employment training, education, and counseling and where creative partnerships with local boards of education, state charter schools, TANF, foundations, and private funding sources have been or could be established, such as:

(A) Youthbuild (www.hud.gov/cpd/econdev/ythhome.html)

(B) Step-Up (www.hud.gov/progdesc/stepup.html)

(C) AmeriCorps (www.cns.gov/americorps) See Section VI(B) of the **General Section** of this SuperNOFA for more information on AmeriCorps.

(x) Sources of capital such as foundations, banks, and charitable, fraternal, and business organizations.

(xi) TANF Agencies/welfare departments.

(xii) Non-profit organizations such as the Girl Scouts and the Urban League, both of which have Memoranda of Agreement (MOA) with HUD. Copies of MOAs can be found on the HOPE VI Home Page (www.hud.gov/pih/programs/ph/hope6/hope6.html).

(xiii) Civil rights organizations.

(xiv) Local area agencies on aging, if applicable.

(xv) Local agencies and organizations serving persons with disabilities.

(xvi) Faith-based organizations.

(xvii) Federal, state, and local crime prevention programs and policy efforts, such as:

(A) Local law enforcement agencies;

(B) Your local United States Attorney;

(C) HUD's "One Strike and You're Out" (www.hud.gov/progdesc/1strike.html);

(D) HUD's "Officer Next Door" initiative (www.hud.gov/ond/ond.html);

(E) The local the Department of Justice "Weed and Seed" Program task force (if the targeted project is located in a designated Weed and Seed area) (www.ojp.usdoj.gov/eows);

(F) HUD's "Operation Safe Home" Program; and

(G) HUD's Drug Elimination Programs.

(f) Endowment Trust for Community and Supportive Services. In accordance with Section 24(d)(2) of the 1937 Act, you may deposit up to 15 percent of the HOPE VI grant amount (the maximum amount of the grant allowable for CSS programs) in an endowment trust to provide community and supportive services over such period of time as you determine. The amount you request will be provided to you by HUD in a lump sum. Funds must be invested in a wise and prudent manner, i.e., funds may be invested in deposits, certificates of deposit, and other types of securities that are deposited in an account insured by the United States of America. Endowment funds (together with any interest earned) may only be used for eligible and necessary CSS programs pursuant to Section III(C)(1)(k), above, of this HOPE VI section of the SuperNOFA. You may use amounts in an endowment trust in conjunction with other amounts donated or otherwise made available to the trust for similar purposes.

(D) Revitalization Post-Award Requirements. If you are selected for funding, your HOPE VI Revitalization program must comply with the following requirements:

(1) Match.

(a) Overall Match. In accordance with section 24(c) of the 1937 Act, if you are selected for funding, you must supplement your HOPE VI Revitalization grant with funds from other sources equal to not less than 5 percent of the HOPE VI funds provided. You will make this certification by signing the HOPE VI Revitalization Applicant Certifications. The certification form is included in the HOPE VI Application Kit, and the text of the certifications is included as Appendix A to this HOPE VI section of the SuperNOFA, below.

(b) Additional Community and Supportive Services Match. In addition to supplemental amounts provided in accordance with subparagraph (a) above, if you are selected for funding and propose to use more than 5 percent of your HOPE VI grant for community and supportive services (you may use up to 15 percent of your grant for such services), you must certify that you will provide supplemental funds from sources other than HOPE VI in an amount equal to not less than 5 percent of the HOPE VI funds budgeted for community and supportive services. You will make this certification by signing the HOPE VI Revitalization Applicant Certifications. The certification form is included in the HOPE VI Application Kit, and the text of the certifications is included as Appendix A to this HOPE VI section of the SuperNOFA, below.

(c) Matching Funds. In accordance with section 24(c)(2) of the 1937 Act, in calculating the amount of supplemental funds provided by a Grantee for purposes of subparagraphs (a) and (b) above, you may include amounts from other Federal sources, any State or local government sources, any private contributions, the value of any donated material or building, the value of any lease on a building, the value of the time and services contributed by volunteers, and the value of any other in-kind services or administrative costs provided. Other Federal sources may include funds provided by the MROP, Comprehensive Grant, CIAP, or Public Housing Capital Fund Programs or other HUD-provided public housing funds, including funds derived from program income.

(2) Replacement Units.

(a) Rental units will be deemed to be public housing replacement units and qualify for operating subsidy only if:

(i) The units, when combined with any proposed homeownership replacement units, if any, do not exceed the total number of units demolished and/or disposed of at the targeted severely distressed project; and

(ii) The units are to be placed under Annual Contributions Contract and operated as public housing units.

(b) Homeownership units will be deemed replacement units only if they, when combined with ACC rental units, do not exceed the total number of units demolished and/or disposed of at the targeted severely distressed project and otherwise meet the requirements listed in Section III(C)(1)(e), above, of this HOPE VI section of the SuperNOFA.

(c) HOPE VI funds **may not** be used to develop market rate units or affordable housing units which do not qualify as public housing or homeownership replacement units, as described in subparagraphs (a) and (b) above.

(3) Timeliness of Construction.

(a) If you are selected for funding, you must proceed within a reasonable timeframe, as indicated below. In determining reasonableness of such timeframe, HUD will take into consideration those delays caused by factors beyond your control.

(b) You must enter into a binding Development Agreement within 12 months from the date of HUD's approval of the Revitalization Plan (RP), as described in Section VIII(A)(4) of this HOPE VI section of the SuperNOFA, below. This time period may not exceed 18 months from the date the Grant Agreement is executed.

(c) You must complete construction within 48 months from the date of HUD's approval of the RP. This time period for completion may not exceed 54 months from the date the Grant Agreement is executed.

(d) In accordance with section 24(i) of the 1937 Act, if you do not proceed within a reasonable timeframe, as described in paragraphs (a) through (c) above, HUD shall withdraw any grant amounts that you have not obligated. HUD shall redistribute any withdrawn amounts to one or more other applicants eligible for HOPE VI assistance or to one or more other entities capable of proceeding expeditiously in the same locality in carrying out the Revitalization Plan of the original Grantee.

(4) Building Standards.

(a) All activities that include construction, rehabilitation, lead-based paint removal, and related activities must meet or exceed local building codes.

(b) New construction must comply with the latest HUD-adopted Model Energy Code issued by the Council of American Building Officials. In addition, HUD encourages you to set higher standards for energy and water efficiency in HOPE VI new construction, which can achieve utility savings of 30 to 50 percent with minimal extra cost. Upon request, HUD will provide technical assistance and training in design and financing to assist your authority, architects, and contractors in improving resource efficiency.

(c) HUD encourages you to design programs that incorporate sustainable construction and demolition practices, such as the dismantling or "deconstruction" of public housing units, recycling demolition debris, and reusing salvage materials in new construction. For articles on the concept of deconstruction, go to the U.S. Forest Service website (www.fpl.fs.fed.us/query.asp) and enter deconstruction as the search term.

(d) Your new construction must comply with the accessibility standards of the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and the Architectural Barriers Act of 1968.

(e) HUD encourages you to use PATH technologies in the construction and delivery of replacement housing. PATH (Partnership for Advancing Technology in Housing) is a voluntary initiative that seeks to accelerate the creation and widespread use of advanced technologies to radically improve the quality, durability, environmental performance, energy efficiency, and affordability of our Nation's housing. Further information about PATH can be found in Section VI.(E) of the **General Section** of this SuperNOFA and on the PATH website (www.pathnet.org/about/about.html).

(f) There must not be any environmental factors such as sewer moratoriums that would preclude development in the requested locality.

(5) Environmental Justice. Executive Order 12898 requires that public housing may be developed only in environmentally sound and desirable locations that will avoid disproportionately high and adverse environmental effects on minority and low-income communities.

(E) Demolition Application Requirements: Eligible Units. Severely distressed public housing units to be demolished with HOPE VI Demolition grant funds must meet one of the following criteria:

(1) Units targeted in an approved or submitted Conversion Plan (i.e., a plan for removal of units from the public housing inventory in accordance with the requirements at 24 CFR 971.7(b)). Refer to Section VII(A)(1)(a) and (b), below, of this HOPE VI section of the SuperNOFA.

(2) Units targeted in an application for demolition which was developed in accordance with section 18 of the 1937 Act, as amended, and **approved** by HUD by the HOPE VI Demolition application deadline. Refer to Section VII(A)(1)(c), below, of this HOPE VI section of the SuperNOFA.

(3) Units that were targeted for demolition in a previously-approved HOPE VI Revitalization application, in accordance with Section VII(A)(1)(d), below, of this HOPE VI section of the SuperNOFA, where the use of additional demolition funds will not result in exceeding TDC.

(4) Units that are included in an FY 2000 HOPE VI Revitalization application, in accordance with Section VII(A)(1)(e), below, of this HOPE VI section of the SuperNOFA, where the use of additional demolition funds will not result in exceeding TDC.

(F) Demolition Post-Award Requirements. If you are selected for funding, your HOPE VI Demolition program must comply with the following requirements:

(1) Timeliness of Demolition.

(a) If you are selected for funding, you must complete the proposed demolition within a reasonable timeframe, which is two years from the date of Grant Agreement execution. HUD will take into consideration delays caused by factors beyond your control when enforcing this requirement.

(b) In accordance with section 24(i) of the 1937 Act, if you do not proceed within a reasonable timeframe, in the determination of HUD, HUD shall withdraw any grant amounts that you have not obligated. HUD shall redistribute any withdrawn amounts to one or more other applicants eligible for HOPE VI assistance or to one or more other entities capable of proceeding expeditiously in the same locality in carrying out the activities of the original Grantee.

(2) Match. In accordance with section 24(c)(3) of the 1937 Act, if assistance will be used only for demolition of public housing (without replacement), you are exempt from the match requirement.

V. Threshold Criteria

(A) All HOPE VI Applications. In addition to the Compliance with Fair Housing and Civil Rights Laws threshold requirement listed in Section II(B) of the **General Section** of this SuperNOFA, your HOPE VI application must meet the following HOPE VI Threshold Criteria to be considered for funding.

(1) Eligible Applicant. You must be an eligible PHA, as defined in Section III(B), above, of this HOPE VI section of the SuperNOFA. If HUD has designated your housing authority as troubled pursuant to section 6(j)(2) of the 1937 Act, HUD's Troubled Agency Recovery Centers will use documents and information available to it to determine whether you qualify as an eligible applicant under Section III(B) of this HOPE VI section of the SuperNOFA.

(2) Severe Distress.

(a) The targeted public housing project, or buildings in a project, must be severely distressed.

(b) To meet the severe distress requirement, you must certify that the public housing project or building in a project targeted in your HOPE VI application meets the definition of severe distress provided in Section IV(A)(1) of this HOPE VI section of the SuperNOFA (in accordance with section 24(j)(2) of the 1937 Act). You will make this certification by signing the HOPE VI Revitalization Applicant Certifications. The Certifications are included in the HOPE VI Application Kit, and the text of the Certifications is included as Appendix A to this HOPE VI section of the SuperNOFA.

(c) A severely distressed project that has been legally vacated or demolished (but for which HUD has not yet provided replacement housing assistance, other than tenant-based assistance) must also satisfy the requirements of paragraph (b) above as to the condition of the site before vacation or demolition.

(3) Appropriateness of Proposal. In accordance with section 24(e)(2) of the 1937 Act, your application must demonstrate the appropriateness of your proposal in the context of the local housing market relative to other alternatives. Examples of inappropriate proposals would be to build on or off-site replacement public housing in isolated or non-residential areas, or in a soft-rental market. Examples of how you can demonstrate appropriateness of your Revitalization proposal follow. However, HUD will carry out the actual determination on a case-by-case basis.

(a) Your application might demonstrate appropriateness of your proposal in terms of marketability if it proposes the maximum range of incomes and housing types (rental vs. homeownership, market rate vs. public housing, townhouse vs. detached house, etc.) possible given local conditions.

(b) Your application might demonstrate that the land is being used for the highest and best use, given market conditions and the social goals of your agency.

(c) Your application might demonstrate that there is a demand for the physical development you propose, including residential public, subsidized and market rate units, community facilities, and economic development and retail structures.

(B) Revitalization Threshold Criteria.

(1) Physical Distress.

(a) Your application must include a certification that the project meets the definition of severe **physical** distress as defined in Section IV(A)(1)(a), above, of this HOPE VI section of the SuperNOFA. The certification **must be signed** by an engineer or architect licensed by their state licensing board. The engineer or architect must provide his or her license number and state of registration on the certification. The engineer or architect **may not** be an employee of the housing authority or the city. The certification must be **signed on or before the application deadline date.** If you have neglected to include this certification in your application, you will have an opportunity to submit the certification, but it must still be signed on or before the application deadline date. You may not submit a certification signed after the deadline date in order to cure this deficiency.

(b) A severely distressed project that has been legally vacated or demolished (but for which HUD has not yet provided replacement housing assistance, other than tenant-based assistance) must also satisfy the requirements of paragraph (a) above as to the condition of the site before vacation or demolition.

(2) Separability. In accordance with section 24(j)(2)(A)(v) of the 1937 Act, if you propose to target only individual buildings of a project for revitalization, you must demonstrate to HUD's satisfaction that the severely distressed public housing is sufficiently separated from the remainder of the project of which the building is part to make use of the building feasible for revitalization. You must demonstrate that the site plan and building designs will provide defensible space for the occupants of the revitalized building(s) and that the properties which remain will not have a negative influence on the revitalized buildings(s), either physically or socially. Separations may include a road, berm, catch basin, or other recognized neighborhood distinction.

(3) Public Meetings.

(a) You must conduct at least one training session and at least three public meetings in accordance with Section IV(C)(1), above, of this HOPE VI section of the SuperNOFA. To demonstrate that you have conducted the required public meetings, you must include the following evidence of each meeting in your application:

(i) The notices announcing the meetings. In addition to other means of notification, at least one notice for each meeting must be placed in a commercial newspaper or journal that serves both the public housing project and the broader community.

(ii) A copy of the first page of the meeting sign-in sheets for each meeting, and a certification of the number of signatures collected for each meeting.

(iii) A signed and notarized copy of the minutes which summarizes the discussion. Do not submit a transcript of the meeting. **Please note that all pages of the minutes will be counted toward your total page limit for attachments, as provided in Section IX(A)(2) of this HOPE VI section of the SuperNOFA.**

(b) Submission of the documentation required of the meetings is a curable item and is not rated. If you fail to properly document that you have conducted all of the required meetings, after being provided with the opportunity to correct any deficiencies in accordance with Section VI(B) of this HOPE VI section of the SuperNOFA, below, your application will not be eligible for funding. You may not conduct a required meeting after the application deadline date in order to cure a deficiency identified by HUD.

(C) Demolition Threshold Criteria. Each required element of a HOPE VI Demolition grant application is a threshold requirement. Your application will not be eligible for funding unless each requirement listed in Section IX(B) of this HOPE VI section of the SuperNOFA, below, is included in your application. HUD will give you the opportunity to submit any missing information up to the application deadline date, as provided in Section VII(B) of this HOPE VI section of the SuperNOFA, below.

VI. Revitalization Application Selection Process

(A) Revitalization Application Evaluation.

(1) HUD's selection process is designed to ensure that HOPE VI Revitalization grants are awarded to eligible PHAs with the most meritorious applications and serious need.

(2) In accordance with Section III(E)(4) of the **General Section** of this SuperNOFA, in the event that HUD commits an error that, when corrected, would result in the selection of an otherwise eligible applicant, HUD may select that application for funding when sufficient funds become available.

(3) Although Section III(B) of the **General Section** of this SuperNOFA states that only applications that meet all threshold requirements are eligible to be rated, HUD will rate **all** HOPE VI Revitalization applications submitted by Public Housing Authorities, regardless of whether the applicants are eventually deemed to be eligible applicants in accordance with Section III(B), above, of this HOPE VI section of the SuperNOFA or whether the applications meet the threshold requirements of Sections V(A) and (B) of this HOPE VI section of the SuperNOFA. This will be done:

(a) To provide applicants with the most complete evaluations of their applications as possible;

(b) To provide applicants with technical assistance for any future applications; and

(c) Because HUD will conduct eligibility review, threshold review, completeness review, and rating concurrently, and determinations of threshold eligibility are often not finalized before rating begins. Regardless of score, however, HUD will not select an application for funding that is submitted by an ineligible applicant or that does not meet all of the threshold requirements of Sections V(A) and (B) above.

(B) Threshold and Completeness Review. HUD will screen each application to determine if it is complete and meets the threshold criteria in Sections V(A) and (B), above. In accordance with Section V of the **General Section** of this SuperNOFA, after the application deadline HUD may not consider any unsolicited information that you may want to provide. However, after your application has been screened, HUD may contact you to clarify an item in your application or to give you an opportunity to correct a technical deficiency. HUD may not seek clarification of items or responses that improve the substantive quality of your response to any rating factor. Examples of curable technical deficiencies include your failure to include a required certification or a missing signature. If HUD identifies a technical deficiency, it will notify you by fax of the clarification or deficiency. You must submit information to cure the deficiency to HUD within 14 calendar days from the date of HUD notification. If the deficiency is not corrected within this time period, HUD will reject your application as incomplete, and it will not be eligible for funding. Note, however, that in accordance with Section VI(A)(3), above, of this HOPE VI section of the SuperNOFA, HUD has committed to rate each application, regardless of its eligibility.

(C) Preliminary Rating and Ranking.

(1) Rating. HUD will preliminarily review and rate each eligible application on the basis of the rating factors described in Section VI(F) of this HOPE VI section of the SuperNOFA, below, and assign a score to each application.

(2) Ranking. After preliminary review, applications will be ranked in score order. Applications will be deemed "competitive" if they have a preliminary score above a base score that encompasses all applications that represent approximately twice the amount of funds available.

(D) Final Panel Review. A Final Review Panel will:

(1) Assess each competitive application;

(2) Assign the final scores; and

(3) Recommend for funding the most highly-rated eligible applications up to the amount of available funding.

(4) HUD reserves the right to make adjustments to funding in accordance with Section III(E) of the **General Section** of this SuperNOFA.

(5) In accordance with the FY 2000 HOPE VI appropriation (Title II of Pub. Law 106-74, 113 Stat. 1047, approved October 20, 1999), HUD may not grant competitive advantage to applications that propose to use HOPE VI grant funds to undertake HOPE VI activities in order to settle litigation or pay judgments.

(E) Tie Scores. If two or more applications have the same score and there are insufficient funds to select all of them, HUD will select for funding the application(s) with the highest score for Rating Factor 3, Soundness of Approach. If a tie still remains, HUD will select for funding the application(s) with the highest score for the Rating Factor 2, Need. HUD will select further tied applications on the basis of their scores in Capacity, Leveraging Resources, and Comprehensiveness and Coordination rating factors, in that order.

(F) Revitalization Application Rating Factors. The following are the factors HUD will use to rate and rank your HOPE VI Revitalization application and the maximum points for each factor. The maximum number of points for each Revitalization application is 102, which includes two Empowerment Zone/Enterprise Community (EZ/EC) bonus points, as described in Section III(C)(1) of the **General Section** of this SuperNOFA.

Rating Factor 1: Capacity (20 Points)

This factor measures the capability and record of your team to manage large-scale redevelopment or modernization projects, manage effective community and supportive service programs, manage private and/or public housing, and obligate funds in a timely manner.

The term "your team," unless otherwise specified, includes the HOPE VI Coordinator and PHA staff; alternative entity(ies) you choose to serve as your representatives(s) to manage the physical redevelopment, administer community and supportive services and management improvements, and manage the property after completion; developers; program managers; property managers; subcontractors; consultants; and any other public and private entities identified and/or proposed to carry out program activities. HUD will also evaluate the diversity of your team and program participants.

For each aspect of the revitalization effort (physical redevelopment, community and supportive services, and property management), HUD will evaluate the extent to which you have (or will have) the capacity to carry out the work yourself and/or select and manage outside entities. HUD will award the most points to applications that demonstrate the highest degree of capacity to implement activities in a timely manner upon grant award, whether the capacity is within the PHA or by members of team with overall management by the PHA.

HUD **does not require** you to select a developer and/or program manager, if any, prior to submission of your application, although you may choose to do so. Rather, HUD will evaluate your current capacity to implement a large scale revitalization; **or** your ability to identify needs in your current staffing and fill such gaps internally or externally in order to successfully implement your proposed program; **and/or** your proposed method and criteria for securing a program manager and/or development partner to implement your plan; and your current or planned capacity to manage such entity(ies). If you are selected for funding, HUD may require you to use an outside entity as directed by HUD to carry out the revitalization activities.

(1) Revitalization Capacity and Experience: **7 Points.**

(a) You will receive 5 to 7 points if:

(i) You and/or the outside development team you have procured, or expect to procure, demonstrate, using specific data or other documentation, where applicable, extensive knowledge and recent, successful experience and capacity in planning, implementing, and managing previous large scale revitalization activities, including physical development, financing, leveraging, and partnership activities. Revitalization activities carried out by this team were completed on-schedule and within budget, and you do not have any outstanding capital program audit findings.

(ii) If you have not yet procured an entity to develop the proposed plan, you have a feasible plan for securing such an entity and your description of what you will include in the Request For Proposal (RFP) or Request for Qualifications (RFQ), as appropriate, to secure such services is well articulated and will result in the selection of a highly capable entity.

(iii) If you were awarded a HOPE VI grant(s) previously, you have demonstrated that the progress of activities is on schedule and you have the capacity to manage an additional HOPE VI revitalization project. HUD will evaluate the current status of development, and your explanation of any delays in implementation of your HOPE VI grant(s), including planning or construction delays. HUD will use information on file to verify any information you provide regarding current HOPE VI grant status.

(iv) You have demonstrated that implementation of your plan can begin immediately after grant award.

(b) You will receive 1 to 4 points if you describe and demonstrate that your method and criteria for selecting a team is good, your current HOPE VI activity is mostly on schedule, and you have the ability to begin implementing your plan with minor adjustments and additional planning after grant award.

(c) You will receive 0 points if you cannot describe and demonstrate that you can procure a qualified team, your current HOPE VI grant is behind schedule, and you do not demonstrate your ability to implement your plan quickly upon grant award, or there is inadequate information in your application to rate this factor.

(2) Community and Supportive Services Capacity and Experience: **5 Points.**

(a) You will receive 4 to 5 points if you demonstrate, using specific data or other documentation, where applicable, that:

(i) Your team has recent, successful experience in planning, implementing, and managing the types of community and supportive service (CSS) programs proposed in your application;

(ii) PHA staff has the qualifications and experience to manage and coordinate activities of other staff and partners;

(iii) You have strong relationships and commitments with a wide variety of partners, including TANF and Workforce Development Agencies, that have excellent experience providing the kinds of services proposed.

(b) You will receive 2 to 3 points if you demonstrate and document limited experience and capacity in the above elements (paragraphs (a)(i) through (a)(iii) above).

(c) You will receive 1 point if you demonstrate minimal experience and capacity in the above elements (paragraphs (a)(i) through (a)(iii) above).

(d) You will receive 0 points if you demonstrate no experience or capacity in the above elements or if there is inadequate information in the application to score this factor.

(3) Property Management Capacity and Experience: **4 Points.** Property management activities may be the responsibility of the PHA, or an entity that is part of the development team. You may also procure a separate entity to carry out property management activities.

(a) You will receive 3 to 4 points if you demonstrate that you and/or your property management entity currently have excellent knowledge and recent, successful experience in property management of market rate, affordable, and/or public housing. If you will procure outside property management expertise, you have demonstrated outstanding capacity to secure an entity with excellent experience by thoroughly describing the qualifications you will include in the RFP to procure such services. HUD will evaluate your team's current property management experience, or your capacity to procure an entity with excellent experience with regard to each of the following elements:

(i) Property maintenance
(ii) Rent collection
(iii) MTCS reporting
(iv) Site-based management experience
(v) Tenant grievances
(vi) Evictions
(vii) Occupancy rate
(viii) Unit turnaround
(ix) Preventive maintenance
(x) Work order completion
(xi) Project-based budgeting

(b) You will receive 1 to 2 points if you demonstrate that you or your management entity currently have moderate management capacity with respect to the above elements. If you will seek outside property management expertise, the qualifications you describe in the RFP to procure such services are likely to result in the procurement of an entity with moderate management capacity with respect to the above elements.

(c) You will receive 0 points if you demonstrate that you or your management entity currently has little management capacity with respect to the above elements, or the qualifications you describe to procure a management team are unlikely to result in the procurement of an entity with moderate management capacity with respect to the above elements, or if there is inadequate information in your application to score this factor.

(4) Diversity: **1 Point.** You will receive 1 point if you clearly articulate an achievable plan for including minority(ies), women, and/or individuals with disabilities in the overall planning, development, and management team that will be involved in the HOPE VI revitalization effort. HUD encourages cost-effective joint ventures to provide opportunities for such diverse firms, individuals, and/or employees.

(5) Obligation of Modernization Funds: **3 Points.** HUD will evaluate the extent to which you have obligated modernization amounts in a timely manner.

(a) You will receive 3 points if you have obligated at least 90 percent of your FY 1998 and prior year Modernization (e.g., Comprehensive Improvement Assistance Program or Comprehensive Grant Program) amounts by the quarter ending before the HOPE VI Revitalization application deadline date. HUD will use the LOCCS disbursement system as of the quarter ending before the application deadline date to verify your obligation rate.

(b) You will receive 2 points if you have obligated between 70 and 89 percent of your Modernization funds.

(c) You will receive 1 point if you have obligated between 50 and 69 percent of your Modernization funds.

(d) You will receive 0 points if you have obligated less than 50 percent of your Modernization funds or if there is inadequate information in the application to rate this factor.

Rating Factor 2: Need (20 Points)

This factor addresses the extent of the need for the revitalization program; the potential impact of the proposed revitalization on the surrounding neighborhood, the need for funding under the HOPE VI program, the identification of need in the community, and the need for affordable housing in the community.

(1) Need for Revitalization: **7 Points.** All applicants must certify that the public housing targeted for revitalization **is severely distressed**, in accordance with Section V(A)(2) of this HOPE VI section of the SuperNOFA, above. For this rating factor, HUD will evaluate the **extent of the severe distress** of the targeted units and the urgency of addressing the severe distress. HUD will evaluate your description and documentation of the severity of the physical distress in terms of the deficiencies listed below. If the targeted units have already been demolished, HUD will evaluate your description of the condition of the site before demolition.

(a) You will receive 7 points if you demonstrate that the extent of the distress and the need for revitalization satisfies all 4 of the following criteria:

(i) There are major structural and system deficiencies in its infrastructure, roofs, electrical, plumbing, and mechanical systems, lead based paint, settlement, and other deficiencies in Housing Quality Standards;

(ii) There are major site deficiencies, including poor soil conditions, inadequate drainage, deteriorated laterals and sewers, and inappropriate topography;

(iii) There are design deficiencies, including inappropriately high population density, room, and/or unit size and configurations; isolation; indefensible space; inaccessibility for persons with disabilities with regard to individual units, entrance ways, and/or common areas;

(iv) There are environmental conditions that make the site or a portion of the site and its housing structures unsuitable for residential use.

(b) You will receive 5 to 6 points if you demonstrate that the extent of the distress and the need for revitalization satisfies 3 of the 4 above criteria.

(c) You will receive 0 points if you demonstrate that the extent of the distress and the need for revitalization satisfies less than 3 of the above criteria.

(2) Impact on Neighborhood: **6 Points.** HUD will evaluate the extent to which the severely distressed public housing negatively impacts the surrounding neighborhood and how revitalization through HOPE VI, including retail, office, and other economic development, as appropriate, will enhance the neighborhood in which the project is located and enhance economic opportunities for residents. In making this determination, HUD will evaluate your narrative, crime statistics, photographs or renderings, socio-economic data, trends in property values, evidence of property deterioration and abandonment, evidence of underutilization of surrounding properties, and other indications of neighborhood distress and/or disinvestment that you provide in your application to demonstrate your case.

(a) You will receive 5 to 6 points if you can demonstrate that revitalization of the severely distressed project with HOPE VI funds will greatly improve the surrounding neighborhood and community.

(b) You will receive 3 to 4 points if you can demonstrate that revitalization of the severely distressed project with HOPE VI funds will greatly improve the overall health of the surrounding neighborhood and community, i.e., the proposed revitalization has only limited likelihood of spurring significant neighborhood revitalization activities or preventing decline.

(c) You will receive 1 to 2 points if you can demonstrate that revitalization of the severely distressed project will have a minor impact on the surrounding neighborhood and community.

(d) You will receive 0 points if, based on the data submitted, HUD determines that the proposed project and/or the surrounding neighborhood is so severely deteriorated that even if the public housing site is revitalized, it will neither stop the decline nor have any impact on the surrounding neighborhood and community. You will also receive 0 points if there is not enough information in your application to rate this factor.

(3) Need for Funding: **3 Points.** HUD will evaluate the extent to which you could undertake the proposed revitalization activities without a HOPE VI grant. HUD will use data from the latest quarterly obligation report available at the time of the application deadline date to confirm the amount of unobligated FY 1998 and prior year Modernization funds currently available that could be used to carry out the proposed revitalization activities.

(a) You will receive 3 points if the unobligated balance of your FY 1998 and prior year Modernization funds is up to 25 percent of the amount of HOPE VI funds requested.

(b) You will receive 2 points if your unobligated balance is 26 - 50 percent of the amount of HOPE VI funds requested.

(c) You will receive 1 point if your unobligated balance is 51 - 75 percent of the amount of HOPE VI funds requested.

(d) You will receive 0 points if your unobligated balance is 76 to 100 percent or greater than the amount of HOPE VI funds requested or if there is inadequate information to rate this factor.

(4) Identification of Need by the Community: **2 Points**

This factor addresses whether the need for the revitalization of severely distressed public housing is identified in your jurisdiction's Consolidated Plan, and whether severely distressed public housing is identified as an impediment to fair housing choice in your jurisdiction's Analysis of Impediments to Fair Housing Choice (AI). Information on the Consolidated Plan can be found on the HUD Home Page (www.hud.gov/cpd/conplan.html).

(a) You will receive 2 points if:

(i) You cite language from your community's Consolidated Plan that identifies revitalization of severely distressed public housing as an urgent need in the community, and you cite language from your community's AI that identifies severely distressed public housing as an impediment to fair housing choice; **or**

(ii) If the Consolidated Plan/AI are applicable to your jurisdiction but they do not identify severely distressed public housing as an urgent need or an impediment to fair housing choice, you have explained in detail why severe distress of public housing is not identified, described your efforts to alert the jurisdiction to the need for revitalization, and worked with the jurisdiction to amend the Consolidated Plan and AI to include revitalization of severely distressed public housing as an urgent need; **or**

(iii) If the Consolidated Plan/AI are not applicable to your jurisdiction, you have used other sound and reliable data sources to show that the community has identified the need for revitalization of severely distressed public housing and the urgency in meeting the need. Types of other sources include, but are not limited to, census reports, continuum of care gaps analysis, law enforcement agency crime reports, and your PHA Five-Year and Annual Plan.

(b) You will receive 1 point if your community's Consolidated Plan/AI does not identify the revitalization of severely distressed public housing or identify the severely distressed public housing as an impediment to fair housing choice, and you have not provided a strong explanation of why they are not included. If the Consolidated Plan/AI are not applicable to you community, you have not thoroughly documented your level and urgency of need through other sound and reliable sources.

(c) You will receive 0 points if you have not made any efforts to include severely distressed public housing in the Consolidated Plan or AI. If the Consolidated Plan/AI are not applicable to you community, you have not documented your level and urgency of need through other data sources. Or, there is not enough information in your application to rate this factor.

(5) Need for Affordable Housing in the Community: **2 Points.** HUD will evaluate the extent to which you have demonstrated that there is a need for affordable housing in the community, **and** there is an inadequate supply of other affordable housing available to accommodate families receiving tenant-based assistance under Section 8.

(a) You will receive 2 points if you have:

(i) Documented the need for affordable housing in the community with statistics and analyses contained in a data source(s) that is sound and reliable, including information on market rental costs as compared to Section 8 fair market rents (FMRs); **and**

(ii) Provided a thorough analysis that demonstrates that the supply of other affordable housing is inadequate to accommodate families that would be displaced if the targeted severely distressed project was demolished and not replaced. Your analysis must be documented by a comparison of the number of Section 8-eligible rental apartment listings in a newspaper of general circulation in the community over the most recent complete month prior to the HOPE VI application deadline date compared to the number of units needed if the site were to be demolished and residents relocated within the community.

(b) You will receive 1 point if your analysis is less than thorough but nevertheless demonstrates a general need for affordable housing in the community.

(c) You will receive 0 points if your analysis fails to show a need for affordable housing in the community or you do not provide enough information to rate this factor.

Rating Factor 3: Soundness of Approach (40 Points)

This rating factor evaluates the quality of the main components of your plan to revitalize severely distressed public housing. It includes the quality of design, feasibility of activities, your efforts to lessen concentration, and your relocation plan. It also evaluates your community and supportive services plan, your efforts to reach out to residents and members of the community, proposed management principles and policies, and your plans to evaluate your program. HUD will also evaluate your efforts to affirmatively further fair housing.

(1) Overall Quality of Plan: **5 Points.** HUD will evaluate your **entire application** to rate this factor.

(a) You will receive 4 to 5 points if you demonstrate that all aspects of your plan, including your physical, social, and economic approach, are the most appropriate possible given your local conditions, constraints, and opportunities, i.e. your application demonstrates no flaws in each of the following elements:

(i) Design and planning;

(ii) Cost effectiveness of proposed revitalization activities;

(iii) Appropriateness in the context of the broader community;

(iv) Integration of housing and non-housing aspects of your strategy;

(v) Appropriateness in the context of local housing markets;

(vi) The likelihood that a HOPE VI grant will result in a revitalized site that will enhance the neighborhood in which the project is located and enhance economic opportunities for residents.

(b) You will receive 3 points if your plan has flaws in one of the above elements.

(c) You will receive 0 points if your plan has flaws in more than one of the above elements, or there is insufficient information in the application to rate this factor.

(2) Design: **3 Points.** HUD is seeking excellence in design. We urge you to carefully select your architects and/or planners and to enlist local affiliates of national architectural and planning organizations and/or the department of architecture at a local college or university to assist you in assessing qualifications of design professionals and/or participating on a selection panel that will result in the procurement of excellent design services.

Your proposed site plan, new units, and other buildings must be designed to blend into and enrich the surrounding neighborhood and promote mixed-income, mixed-use communities. Local architecture and design elements and amenities should be incorporated into the new or rehabilitated homes so that the revitalized sites and structures will blend into the broader community and appeal to the market segments for which they are intended. Housing, community facilities, and economic development space must be well integrated. You must select a design team that has the ability to produce such design and/or demonstrate that you have the capacity to secure such a team.

HUD encourages you to propose enhancements to the natural environment such as tree and shrub planting to address natural resource issues such as erosion, stormwater management, and water quality that will result in physical improvements to the site; convert public open space now devoid of green vegetation to a natural, inviting, and more livable environment; and plan for the sustainability of such resources after the revitalization activities are completed. Through an MOU between the Department of Agriculture and HUD, technical assistance to develop a natural resource stewardship program is available to public housing authorities. See the **General Section** of the SuperNOFA for more information on Urban Forestry. Further information can be found on the Forest Service website (www.fs.fed/us/research/rvur/urban/urbanforestry/urbanforest.htm).

(a) You will receive 3 points if your proposed site plan, new units, and buildings demonstrate that:

(i) You have proposed a plan that incorporates design elements and amenities into the revitalized homes that will enable them to blend into and enrich the neighborhood and appeal to intended market segments;

(ii) Your proposed housing, community facilities, and economic development space are thoroughly integrated into the community; and

(iii) Your plan proposes extensive and appropriate enhancements of the natural environment.

(b) You will receive 2 points if your proposed site plan, new units, and buildings demonstrate design that adequately addresses the elements above.

(c) You will receive 1 point if your proposed design addresses the above elements in only a perfunctory manner.

(d) You will receive 0 points if your proposed design does not address the above elements or there is inadequate information to rate this factor.

(3) Feasibility of Plan: **5 Points.** In awarding points under this rating factor, HUD will consider the following:

(a) Market. You will receive 1 point if you demonstrate that there is a market for the revitalized and/or replacement units of the type, number, and size proposed.

(i) Your demonstration of the need for non-public housing units will be based on a preliminary market assessment letter prepared by an independent, third party, credentialed market resource firm or professional.

(ii) Your demonstration of the need for public housing units will be based on the number and percentage of existing families on site that are projected to return and the number of families on your public housing and Section 8 waiting list(s).

(b) Hard Development Costs. You will receive 1 point if:

(i) Your projected hard development costs are realistic and developed through the use of technically competent methodologies, including cost estimating services;

(ii) Your cost estimates represent an economically viable preliminary plan for designing, planning and carrying out your proposed activities in accordance with local costs of labor, materials, and services; and

(iii) Your proposed hard costs are comparable to industry standards for the kind of construction to be performed in the proposed geographic area.

(c) Soft costs. You will receive 1 point if your projected soft costs (developer's fees, PHA administration costs, legal fees, program manager's fees, consultants' fees, etc.) are comparable to industry standards, justified, and you have demonstrated how you will control such costs. HUD is particularly concerned that soft costs be minimized and will review carefully the proposed soft cost structure. HUD will review your means of keeping soft costs at a minimum so that the maximum HOPE VI resources go into physical development and transforming the lives of the residents.

(d) Coherence and Consistency. You will receive up to 2 points if the information and strategies described in your application are coherent and internally consistent, particularly the data provided for types and numbers of units, budgets and other financial estimates, and other numerical information. It is critical that you carefully review all numbers for unit mix, costs, etc. to make sure that all numbers are consistent throughout the application. HUD will make this determination based on your **entire application.**

(4) Lessen Concentration: **3 Points.** This factor addresses how the activities you propose are designed to lessen concentration of low-income households, create opportunities for desegregation and accessibility, and offer viable housing choices to displaced residents. In awarding points under this rating factor, HUD will consider the following:

(a) On-site housing. You will receive 1 point if your proposed unit mix (i.e., rental vs. homeownership, public housing, market, and subsidized units) will significantly reduce the isolation and/or concentration of low-income residents and/or significantly achieve a mixed-income, well functioning community on the revitalized site.

(b) Off-site housing. You will receive 1 point if your plans for off-site housing will lessen concentration of low-income residents and create opportunities for desegregation by locating such housing in neighborhoods with low levels of poverty and/or concentrations of minorities. You are encouraged to maximize off-site hard units as replacement housing and to locate such units such that they do not cause an over-concentration of low-income housing. You do not have to identify the precise location of off-site units in your application to receive full points for this subfactor, but you must identify the types of neighborhoods where such housing will be planned and demonstrate the feasibility of such off-site development (i.e., land is available at a price which allows economic feasibility, community acceptance is likely, etc.).

(c) Access to Services. You will receive 1 point if, for both on-site and any off-site units, your overall plan will result in increased access to municipal services, jobs, mentoring opportunities, transportation, and educational facilities; i.e., the physical plan and self-sufficiency strategy are well integrated and strong linkages will be established with the appropriate Federal and state and local agencies, non-profits, and the private sector to achieve such access.

(5) Relocation and Section 8: **5 Points.** In order to receive **any** points for this rating factor, you **must** propose to use Section 8 assistance as a means of temporary and/or permanent relocation of families currently living in the targeted units. To receive points, you must go beyond the requirements of the Uniform Relocation Act and propose a comprehensive, results-based plan in which residents are actively involved. In awarding points under this rating factor, HUD will consider the following:

(a) Relocation Support. You will receive up to 2 points if you thoroughly describe your team's plan and capacity to effectively implement the following elements of relocation support:

(i) Provide counseling to residents who choose Section 8 assistance that will help them to fully understand the full range of housing opportunities available to them in neighborhoods throughout the jurisdiction and to find housing in non-poverty areas.

(ii) Conduct programs designed to prepare residents for the transition to private rental housing, including one-on-one move counseling and life skills training, so that they may sustain their new living arrangement for the foreseeable future.

(iii) Ensure that Section 8 housing complies with the Section 8 requirements regarding lead-based paint and other hazardous materials.

(iv) If necessary, propose to use HOPE VI or other funds to modify Section 8 relocation units to make them accessible for residents with disabilities.

(b) Community Outreach. You will receive 1 point if you thoroughly describe your plan and your team's capacity to effectively involve faith-based, non-profit and/or other institutions, organizations, and/or individuals in the community to which relocatees choose to move, in order to ease the transition and minimize the impact on the neighborhood. HUD will view favorably innovative programs such as community mentors, support groups, and the like.

(c) Self-sufficiency. You will receive 1 point if you thoroughly describe your team's plan and capacity to provide effective, results-based community and supportive service program support to Section 8 relocatees to achieve and maintain self-sufficiency.

(d) Tracking. You will receive 1 point if you thoroughly describe your team's plan and capacity to develop an effective tracking system that will enable you (and/or your CSS partners) to identify and track relocatees from the site to be revitalized and make regular follow-up services available to families receiving Section 8 assistance.

(6) Community and Supportive Services: **5 Points.** This factor evaluates the quality of your proposed CSS plan. It is important that you review Section IV(C)(2)(c) of this HOPE VI section of the SuperNOFA, above, for a detailed description of the requirements of a CSS program, and Section IV(C)(2)(d) for a list of possible CSS programs and activities. You are encouraged to go beyond these lists and create CSS programs that break new ground by responding to unique needs in your community and which may serve as national models for self-sufficiency and educational achievement.

(a) You will receive 4 to 5 points if:

(i) You propose a high-quality, results-oriented plan that includes strong components of the basic elements of education, job training, and services that will enable all affected residents to transform their lives;

(ii) The plan is well coordinated with strong, experienced service providers;

(iii) The plan was developed using an effective needs assessment; and

(iv) Mechanisms are in place to effectively measure the goals of the program and evaluate success.

(b) You will receive 2 to 3 points if your plan has a flaw in one of the elements listed in paragraphs (i) through (iv) above.

(c) You will receive 1 point if your plan has a flaw in more than one of the elements listed above.

(d) You will receive 0 points if you merely repeat information from the NOFA or if there is inadequate information to rate this factor.

(7) Resident and Community Outreach and Involvement: **4 Points.** In addition to the Threshold requirement for public meetings provided in Section V(B)(3) of this HOPE VI section of the SuperNOFA, above, this rating subfactor evaluates the extent of involvement of residents and the broader community in the development and proposed implementation of your revitalization program. HUD will evaluate the nature, extent, and quality of the resident and community outreach and involvement you have achieved by the time your application is submitted, as well as your plans for continued and/or additional outreach and involvement. HUD will evaluate your efforts to include affected residents and members of the surrounding community in the planning, implementing, and management of your proposed revitalization activities. In awarding points under this factor, HUD will consider the following:

(a) Collaboration and Inclusiveness. You will receive 1 point if you demonstrate that you have communicated **regularly** and significantly with affected residents and members of the surrounding community about your application that and you have:

(i) Provided affected residents with substantive opportunities to participate in the development of your HOPE VI plan;

(ii) Included all other interested parties, especially members of the surrounding community, in the development of your plans and application; and

(iii) Developed specific plans for continued involvement and participation of residents and the broader community in the planning and implementation of revitalization activities if your application is successful.

(b) Logistics. You will receive 1 point if you demonstrate that you have:

(i) Scheduled informational and planning meetings with affected residents and other interested parties during the development of your application at frequent and convenient times, meeting at least the requirements of Section IV(C)(1) of this HOPE VI section of the SuperNOFA, above;

(ii) Announced meetings (consistent with Section IV(C)(1), above) in ways that are designed to generate the most participation. Methods of announcing upcoming meetings include, but are not limited to:

(A) Publishing notices of meetings in newspapers of local distribution;

(B) Hand distributing flyers to residences and locations likely to attract notice;

(C) Posting meeting information in adequate time to allow residents and other interested parties to plan to attend.

(iii) Provided day care and, where necessary, transportation to and from the meetings.

(c) Communication. You will receive 1 point if you demonstrate that you have communicated **effectively** with affected residents and members of the surrounding community by:

(i) Providing reasonable training and technical assistance on the HOPE VI development process and general principles of development to affected residents to enable them to participate meaningfully in the development of your application, and developing plans to provide further training and technical assistance if your application is successful;

(ii) Providing information to and receiving input from affected residents and other interested parties about your planned revitalization;

(iii) Incorporating input and recommendations of interested parties, especially affected residents, to the extent possible, into your application;

(iv) Generating support for your application among interested parties;

(v) Providing status reports on the development of your application to residents; and

(vi) Providing that appropriate HUD communications are made available to affected residents and the broader community (i.e., a copy of the NOFA; notification of any HUD video conferences regarding the NOFA; computer access to the HUD website, etc.

(d) Dissention. You will receive 1 point if you have acknowledged and attempted to address any dissenting viewpoints among affected residents and other interested parties. If there has been no opposition to your plan you will automatically earn this point. You will not earn this point if you do not acknowledge that any such opposition has been raised and/or you do not make efforts to address such opposition. Where there is resident or community opposition to the plan, HUD will evaluate your analysis of the reasons for and extent of the opposition, and your current and proposed plans for dealing with the opposition. **HUD will only consider letters of dissent that are received by HUD at least ten days before the HOPE VI application deadline date and which indicate that copies have been sent to you.**

(8) Operation and Management Principles and Policies: **3 Points.** Revitalization activities using HOPE VI Revitalization grant funds **must** be for severely distressed **public housing** projects. Accordingly, certain proposed activities are subject to statutory requirements applicable to public housing projects under the 1937 Act, other statutes, and the Annual Contributions Contract (ACC). Within such restrictions, HUD seeks innovative solutions to the long-standing problems of severely distressed public housing projects. You may request, for the revitalized development, a waiver of HUD regulations (that are not statutory requirements) governing rents, income eligibility, or other areas of public housing management that will permit you to undertake measures that enhance the long-term viability of a development revitalized under this program.

(a) You will receive 3 points if you demonstrate your team's plan and capacity to carry out each of the following 10 elements listed in the "Self-Sufficiency and Economic Diversity" and "Safety and Security" categories below.

(b) You will receive 2 points if you demonstrate your team's plan and capacity to carry out 7 of the 10 elements, which must include the first three elements in the "Self-Sufficiency and Economic Diversity" category.

(c) You will receive 1 point if you demonstrate your team's plan and capacity to carry out 5 of the 10 elements.

(d) You will receive 0 points if demonstrate your team's plan and capacity to carry out fewer than 5 elements, and the operation and management principles you propose to implement at the revitalization site are not likely to result in improved management, or there is insufficient information in the application to rate this factor.

Self-Sufficiency and Economic Diversity. You must propose operation and management principles and policies to be applied to on- and/or off-site public housing and any on-site or adjacent assisted housing that will encourage residents to move in, move up, and move on. Such principles must:

1. Reward work and promote family stability by promoting positive incentives such as income disregards and ceiling rents;

2. Promote economically and demographically diverse living patterns, e.g., inclusion of persons of different races/ethnic groups, families with or without children, persons with disabilities and able-bodied persons, and the elderly, by:

   -- Instituting a system of local preferences adopted in response to local housing needs and priorities, e.g., preferences for victims of domestic violence, residency preferences, disaster victims;

   -- Aggressively pursuing affirmative marketing which attracts individuals with a broad spectrum of incomes and attracts all segments of the eligible population to the project on a nondiscriminatory basis; and

   -- Reaching out to persons with disabilities;

3. Encourage self-sufficiency by including lease requirements that promote resident involvement in the tenants association, community service, self-sufficiency, and transition from public housing;

4. Complement self-sufficiency programs and result in a mix of residents in the revitalized development who have a range of incomes;

5. Create strong, stable, well-run communities by implementing site-based waiting lists for the redeveloped public housing and/or following project-based management principles.

Safety and Security. You must demonstrate that your proposed operation and management principles and policies will provide greater safety and security for residents and community by:

1. Instituting strict screening requirements such as credit checks, references, home visits, and criminal records checks;

2. Strictly enforcing lease and eviction provisions;

3. Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through collaborative efforts with local law enforcement agencies, the local United States Attorney, and Federal, state, and local crime prevention programs, and program policy efforts such as "One Strike and You're Out" (www.hud.gov/progdesc/1strike.html), the "Officer Next Door" initiative (www.hud.gov/ond/ond.html), the local the Department of Justice "Weed and Seed" Program task force if the targeted project is located in a designated Weed and Seed area (www.ojp.usdoj.gov/eows); HUD's "Operation Safe Home" Program, and/or HUD's Drug Elimination Programs;

4. Improving the safety and security of residents through the implementation of defensible space principles, anti-crime measures, and the installation of physical security systems such as surveillance equipment, control engineering systems, etc.;

5. Improving the safety of children by promoting the principles of Healthy Homes. Healthy Homes activities are described in Section VI(D) of the **General Section** of this SuperNOFA, the HOPE VI Application Kit, and on HUD's Healthy Homes website at www.hud.gov/hhchild.html .

(9) Affirmatively Furthering Fair Housing: **5 Points**. You must affirmatively further fair housing through the physical design of the revitalized units, the location of new units, marketing of housing that will encourage diversity, and tenant selection and assignment strategies that promote fair housing choice. You are strongly encouraged to work with local advocacy groups which represent individuals with disabilities, the elderly, and other special needs populations to further these goals.

Definitions of accessibility and adaptability can be found at 24 CFR 8.3. This section can be found at www.access.gpo.gov/nara/cfr/cfr-retrieve.html. In awarding points under this rating factor,. HUD will consider the following:

(a) Accessibility: **2 points**. The design of your proposed site plan, non-residential structures and facilities, and the new construction and/or rehabilitation of housing must conform to the civil rights statutes and regulations required in Section II(B) of the **General Section** of this SuperNOFA. Information on accessibility can be found on HUD's Fair Housing Home Page (www.hud.gov/fairhsg1.html). Over and above the accessibility requirements:

(i) You will receive 2 points if you propose to implement all of the following suggested accessibility priorities:

(A) Make at least 5 percent of for-sale units accessible to individuals with mobility disabilities and 2 percent of for-sale units accessible to individuals who have visual or hearing disabilities;

(B) Provide one-bedroom accessible rental units for single individuals with disabilities so that they can live in the revitalized community;

(C) Provide for accessibility modifications, where necessary, to Section 8 units of residents who relocate from the targeted project due to revitalization activities;

(D) Where playgrounds are planned, propose ways to make them accessible to children with disabilities, over and above statutory and regulatory requirements;

(E) Where possible, design units with accessible front entrances.

(ii) You will receive 1 point if you do not propose to implement all of the accessibility priorities above but you provide a detailed description why you cannot implement one or more of the priorities;

(iii) You will receive 0 points if you do not propose to implement all of the accessibility priorities and you do not describe in detail why you cannot implement one or more of the priorities; or there is insufficient information in your application to rate this factor.

(b) Adaptability. You will receive 1 point if your physical plan meets the adaptability standards adopted by HUD at 24 CFR 8.3 that apply to those units not otherwise covered by the accessibility requirements. The elements of adaptability are included in the HOPE VI Application Kit Glossary.

(c) Visitability. You will receive 1 point if your physical plan meets the visitability standards adopted by HUD that apply to units not otherwise covered by the accessibility requirements. The elements of visitability are described in Section VI(C) of the **General Section** of this SuperNOFA and in the HOPE VI Application Kit Glossary.

(d) Diversity. You will receive 1 point if your program activities aid a broad range of eligible residents, including the elderly, persons with disabilities, etc. In addition, HUD will evaluate your efforts to increase community awareness of the need for and benefits from diversity, in a culturally sensitive manner through education and outreach, as applicable. Your marketing and outreach activities must be targeted to all segments of the population on a nondiscriminatory basis, promote housing choice and opportunity throughout your jurisdiction, and contribute to the deconcentration of minority and low-income neighborhoods. HUD will evaluate your description of specific steps you will take to:

(i) Address the elimination of impediments to fair housing that were identified in your jurisdiction's Analysis of Impediments to Fair Housing Choice or in any examination of your own programs you may have carried out that identified impediments to fair housing choice within those programs;

(ii) Remedy discrimination in housing; or

(iii) Promote fair housing rights and fair housing choice.

(10) Evaluation: **2 Points.** In order to earn points under this rating factor, you must propose to work with local university(ies) and/or other institutions of learning, foundations, and/or others to evaluate the performance and impact of your proposed HOPE VI revitalization. Where possible, HUD encourages you to form partnerships with Historically Black Colleges and Universities (HBCUs); Hispanic-Serving Institutions (HBIs); Community Outreach Partnership Centers (COPCs); the Alaskan Native/Native Hawaiian Institution Assisting Communities Program (as appropriate); and others in HUD's University Partnerships Program.

(a) Documentation. You will receive 1 point if you provide a support letter(s) to document the willingness of an institution(s) to participate, and its proposed approach to carry out the evaluation. The letter must address the following areas for evaluation:

(i) The impact of your HOPE VI effort on the lives of the residents;

(ii) The nature and extent of economic development generated in the community;

(iii) The effect of the revitalization effort on surrounding communities, including spillover revitalization activities, property values, etc.; and

(iv) Your success at integrating the physical and social aspects of your strategy and achieving the goals stated in your application.

(b) Oversight. You will receive 1 point if you:

(i) Provide a comprehensive description of your team's evaluation plan;

(ii) Demonstrate excellent capacity to be involved and/or support the evaluation; and

(iii) Indicate how the evaluation will be funded.

Rating Factor 4: Leveraging Resources (10 Points)

Match vs. Leverage. There is an important difference between the terms match and leverage. In accordance with Section IV(D)(1) of this HOPE VI section of the SuperNOFA, above, all HOPE VI Revitalization grant funds are subject to a **matching** requirement. By signing the HOPE VI Revitalization Applicant Certifications (Appendix A to this program section, below), you will certify that, **if selected for funding**, you will provide matching funds which, combined with HUD funds, will enable you to carry out revitalization activities, including community and supportive services programs. If selected for funding, you will be required to show evidence of matching resources through your quarterly reports as your project proceeds. Evidence of match is **not required** up front in your application.

Leverage, on the other hand, consists of firm and projected commitments of funds that you can demonstrate **now**, at the application stage. While you are not **required** to provide any evidence that you have leveraged funds, you will not receive points for the leveraging rating factor unless you provide evidence of currently-available or projected funds to be leveraged.

HUD will rate your application based on the amount of funds and other resources that will be leveraged by the HOPE VI Grant, as measured by the ratio of HOPE VI dollars requested to the value of the financial, in-kind, and/or other assistance for proposed activities which can be added to HUD funds to achieve program purposes, in specific amounts that are committed or projected from your partners and other entities if HOPE VI funds are awarded. Endorsements or general letters of support from organizations or vendors alone **will not** count as leverage.

In your application, you must provide evidence of each proposed resource by including a letter of commitment, memorandum of understanding, and/or agreement to participate, including any conditions to which the leverage may be subject. HUD recognizes that in some cases, firm commitments cannot be made at the application stage. In such a case, the entity must describe why the firm commitment cannot be made at the current time and must affirm that your PHA and your HOPE VI project meet eligibility criteria for receiving the resource. This is particularly important with regard to Low Income Housing Tax Credits (LIHTC), where forward commitments are typically not possible. All letters of commitment must include the donor organization's name, the specific resource proposed, the dollar amount of the financial or in-kind resource, and the purpose of that resource. The commitment must be signed by an official of the organization legally authorized to make commitments on behalf of the organization. HUD will evaluate the strength of commitment that the letters articulate and calculate the ratio of HUD funds to leveraged funds that HUD deems acceptably documented.

(1) Physical Development Resources: **6 Points.** HUD seeks to fund mixed-finance developments that use HOPE VI funds to leverage the maximum amount of other physical development funds, particularly from private sources, that will result in revitalized public housing, other types of assisted and market rate housing, and retail and economic development.

(a) Types of funds. Physical development funds may include, but are not limited to:

(i) Equity (including syndication proceeds);

(ii) Mortgage secured loans and other debt;

(iii) Insured loans;

(iv) Donations and contributions;

(v) Housing trust funds;

(vi) Homeowner loans;

(vii) Funds committed to build private sector housing in connection with the HOPE VI revitalization program;

(viii) Low Income Housing Tax Credits (LIHTC). If you proposed to use tax credits as a part of your financing, you must include in your application a letter from your State or local Housing Finance Agency that provides information from the allocation plan regarding the total amount and type (4 percent vs. 9 percent) of tax credits available, any setasides available for PHAs, per project funding limits, the schedule of funding rounds, verification that your project meets eligibility criteria, phasing, and other pertinent information that will enhance your project's likelihood to receive the desired tax credits. If your application includes a letter from a Housing Finance Agency which addresses these issues, the tax credits will be considered documented and you may count it in your development resources leverage ratio. If your application does not include such a letter, the amount of tax credit dollars you propose will not be counted as leverage.

(b) Sources of funds. You must actively enlist other stakeholders who are vested in and can provide **significant financial assistance** to your revitalization effort. Sources of development resources may include:

(i) Public, private, and non-profit entities;

(ii) State and local Housing Finance Agencies;

(iii) Local governments, which may provide commitments of funds for the physical development costs of schools, libraries, economic development and/or commercial facilities;

(iv) The city's housing and/or redevelopment agency or other functioning agency. HUD will consider this to be a separate entity with which you are partnering if your PHA is also a redevelopment agency or otherwise has citywide responsibilities;

(A) You are strongly urged to seek a pledge of Community Development Block Grant (CDBG) funds from your city or county for improvements to public infrastructure work such as streets, water mains, etc. related to the revitalization effort. Information on CDBG can be found on the HUD Home Page (www.hud.gov/cpd/cpd/cpdprog.html);

(B) The city or county may provide HOME funds to be used in conjunction with HOPE VI funds, but HOME funds may not be used in conjunction with Public Housing Capital Program funds. Information about the HOME Program can be found on the HOME website (www.hud.gov/cpd/home/homeweb.html);

(v) Foundations;

(vi) Financial institutions, banks or insurers.

(c) Other HUD Public Housing Funds. Although you may commit other Federal public housing funds such as Capital Fund grants, Comprehensive Grant Program, MROP, etc. to meet your **match** requirement if you are selected for funding, your commitment of these types of funds will not count towards your **leverage** ratio for the purposes of rating your application.

(d) Rating. You will receive 6 points if the ratio of requested HOPE VI funds to documented, committed leveraged development funds is at least 1:4.

You will receive 5 points if the ratio is 1:3.

You will receive 4 points if the ratio is 1:2.5.

You will receive 3 points if the ratio is 1:2.

You will receive 2 points if the ratio is 1:1.5.

You will receive 1 point if the ratio is 1:1.

You will receive 0 points if the ratio is less than 1:1 or if there is inadequate information in the application to rate this factor.

(2) Community and Supportive Services Resources: **4 Points.** In order to achieve quantifiable self-sufficiency results, you must form partnerships with organizations that are skilled in the delivery of services to residents of public housing and that can provide commitments of resources to support those services. Leveraging scarce HOPE VI CSS funds with other funds and services is critical to the sustainability of CSS programs so that they will continue after the HOPE VI funds have been expended.

(a) Types of resources. Resources may include financial resources such as Federal, State, or local government grants or private contributions. Resources may also include in-kind contributions such as the value of any donated material or building; the value of any lease on a building; the value of the time and services contributed by volunteers, and the value of any other in-kind services or administrative costs, such as staff salaries and benefits, supplies, and municipal or county government services or infrastructure which are critical to the successful transformation of the project and of the lives of its residents.

(b) Sources of resources.

(i) See Section IV(C)(2)(e) of this HOPE VI section of the SuperNOFA for a list of the kinds of organizations, agencies, and other possible resource providers that you may form partnerships or other relationships with to obtain resources for your CSS programs.

(ii) In accordance with Section IV(C)(2)(b) of this HOPE VI section of the SuperNOFA, above, you may enter into subgrantee agreements with organizations, provided that the costs, if any, are verified by an outside entity and the subgrantee is also bringing significant resources to the project.

(c) Rating. The number of points you receive will depend on the amount of funds and other resources to be leveraged by the grant, as measured by the leverage ratio of HOPE VI dollars requested for CSS programs to the dollar value of the resources committed from other sources for CSS programs. A letter of general commitment without a dollar figure of committed resources included will **not** be counted as a resource for this rating factor.

You will receive 4 points if the ratio of HOPE VI funds requested for CSS programs to documented, committed CSS funds leveraged from other sources is 1:2 or higher.

You will receive 3 points if the ratio is between 1:1.5 and 1:1.9.

You will receive 2 points if the ratio is between 1:1 and 1:1.49.

You will receive 0 points if the ratio is less than 1:1 or if there is inadequate information in your application to rate this factor.

Rating Factor 5: Coordination and Community Planning (10 Points)

This factor evaluates your efforts to address the need for revitalized public housing in a holistic and comprehensive manner by coordinating the revitalization of public housing with the overall plans for revitalization and related activities in the broader community, and participating in or committing to participate in the community's Consolidated Planning process.

(1) Coordination of Revitalization Activities: **5 Points.**

(a) This factor evaluates your efforts to coordinate with other agencies, not to provide services, but to ensure that your activities are consistent with other revitalization, development, economic development, transportation, and other similar activities in the neighborhood, surrounding community, and the city or county at large. Public housing revitalization must not happen in a vacuum, and it is critical that all parties work together to share information and coordinate activities in order to develop plans that complement and reinforce other activities, both ongoing and planned for the future.

(b) HUD will evaluate your efforts to take specific steps to:

(i) Coordinate your proposed activities with related activities of other agencies, groups, or organizations outside the scope of those covered by the Consolidated Plan.

(ii) Develop comprehensive solutions that best complement, support and coordinate other revitalization and related activities, such as plans for changes in transportation, infrastructure, land use, and other issues that may affect the planned public housing revitalization plans.

(iii) Participate in planning efforts to share information about solutions and outcomes with relevant agencies through meetings, information networks, planning processes or other mechanisms.

(c) Rating.

(i) You will receive 3 to 5 points if you provide letters, memoranda of agreement, or other documentation from organizations and agencies that describe your relationships and coordination efforts and indicate that you have made extensive efforts to coordinate with a variety of related groups.

(ii) You will receive 2 points if you document that you have made some efforts to coordinate your proposed activities with related groups, but your overall effort does not include a variety of different kinds of groups and/or you do not show strong evidence of active coordination.

(iii) You will receive 1 point if your efforts to coordinate with related groups are not comprehensive and/or your relationships are not well documented or committed.

(iv) You will receive 0 points if you have not provided evidence that you have coordinated with related groups, or there is insufficient information in the application to rate this factor.

(2) Participation in Consolidated Plan/AI Process: **5 Points.**

This factor evaluates your efforts to participate in your community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) and to include the revitalization of severely distressed public housing as a need identified in the Consolidated Plan. (A certification of consistency with the Consolidated Plan is a required element of each HOPE VI Revitalization application.)

(a) You will receive 4 to 5 points if you demonstrate that:

(i) You have actively participated in the Consolidated Planning process, as evidenced by citing the inclusion of the need for revitalized public housing from the Consolidated Plan in your application.

(ii) Your participation in the Consolidated Planning process has ensured that your HOPE VI revitalization plans are tied to other revitalization planned in the broader community and the jurisdiction as a whole, and that they are consistent with plans or organizing efforts in the immediate, surrounding neighborhood. If not, you have provided an adequate description of why they are not.

(iii) If the Consolidated Plan is not applicable to your community, you have demonstrated that you have participated in other community-wide planning efforts.

(b) You will receive 1 to 3 points if you have demonstrated that you have participated in the Consolidated Planning process, but the Plan does not address the revitalization of severely distressed public housing.

(c) You will receive 0 points if you have demonstrated some understanding of the Consolidated Planning process, but have made only marginal or no effort to participate. If the Consolidated Plan is not applicable to your community, you have demonstrated only marginal or no effort to participate in other community-wide planning efforts. You also will receive 0 points if there is inadequate information in the application to rate this factor.

Empowerment Zone/Enterprise Community Bonus (2 Points)

You will receive up to 2 bonus points if you propose to revitalize severely distressed public housing that is located in a **Federally-designated** Empowerment Zone (EZ), Enterprise Community (EC), or Urban Enhanced Enterprise Community (also referred to as EC). To be eligible for the bonus points, activities must serve EZ/EC residents and the application must include a certification that activities are consistent with the strategic plan for the EZ or EC. A listing of eligible EZs and ECs is appended to the **General Section** of the SuperNOFA, and also can be found on the HUD Home Page (www.hud.gov). Note that if the public housing project is located in a similar economic development area designated by your state or city, but is not located in a Federally-designated EZ or EC, your application **will not** be eligible for these bonus points.

VII. HOPE VI Demolition Grant Application Selection Process

(A) HOPE VI Demolition Grant Funding Categories. HUD will select HOPE VI Demolition grant applications on a first-come, first-served basis, by an application's Priority Group and Ordinal. HOPE VI Demolition grant applications are not rated.

(1) Priority Groups. You must identify each HOPE VI Demolition grant application by its appropriate Priority Group, as described below. Each application must target units of a single Priority Group, e.g., do not include Priority Group 1 units in the same application as Priority Group 2 units.

(a) Priority Group 1: A HOPE VI Demolition grant application that targets units included in an **approved** Conversion Plan (i.e., plan for removal of units from the public housing inventory in accordance with the requirements at 24 CFR 971.7(d)). Please note that the term "Conversion Plan" used in this HOPE VI section of the SuperNOFA is the plan required by 24 CFR part 971. The Conversion Plan must be approved by HUD on or before the HOPE VI Demolition grant application deadline date under this HOPE VI section of the SuperNOFA.

(b) Priority Group 2: A HOPE VI Demolition grant application that targets units included in a Conversion Plan that you have **submitted** to HUD on or before the HOPE VI Demolition grant application deadline date, or targets units that, at HUD's sole determination under section 537(b) of the Public Housing Reform Act of 1998, are subject to the removal requirements of 24 CFR part 971 and can be expected to be demolished in accordance with the time schedule required by Section IV(F)(1) of this HOPE VI section of the SuperNOFA, above.

(i) If you submit a HOPE VI Demolition grant application for units that are targeted in a Conversion Plan that was submitted under 24 CFR part 971 but not yet approved (Priority Group 2), and HUD subsequently approves the Conversion Plan before the HOPE VI Demolition grant application deadline date, you may submit a revised application and it will be reclassified as Priority Group 1. HUD will change the Ordinal to the Ordinal corresponding to the date that the revised application was received.

(ii) If you submit a Conversion Plan but HUD determines that the targeted project does not qualify for conversion under 24 CFR part 971, your HOPE VI Demolition grant application will not be eligible for funding. Please check with your local HUD Office to confirm that your targeted project is eligible for conversion under part 971 before submitting a HOPE VI Demolition grant application based on submission of a Conversion Plan.

(c) Priority Group 3: A HOPE VI Demolition grant application that targets units included in a HUD-**approved** application for demolition that was developed in accordance with section 18 of the 1937 Act, as amended.

(i) Your Section 18 demolition application must be **approved** by HUD by the HOPE VI Demolition Application deadline. You are advised that in order to allow for sufficient time for a Section 18 demolition application to be processed, you should submit your Section 18 demolition application to HUD's Special Application Center (SAC) no later than March 14, 2000. If your Section 18 demolition application does not meet the statutory requirements of Section 18, including the requirement for HUD Field Office approval of the Interim or PHA Plan as required by 24 CFR part 903, HUD will not approve the Section 18 demolition application and your HOPE VI Demolition grant application will not be eligible for funding.

(ii) If you have submitted a Section 18 demolition application to the SAC but it has not yet been approved by HUD when you submit your HOPE VI Demolition grant application, your HOPE VI application will not be considered complete and you will not receive an Ordinal until your Section 18 demolition application is **approved.**

(iii) If HUD has previously approved your Section 18 demolition application but HUD later rescinded the approval, your Section 18 demolition application will **not** be considered approved by HUD and your HOPE VI Demolition grant application will not be eligible for funding.

(d) Priority Group 4.

(i) A HOPE VI Demolition grant application that requests funds for the demolition of units that were targeted for demolition in a previously-approved HOPE VI Revitalization application but for which supplemental funds are needed qualifies as a Priority Group 4 application.

(ii) A HOPE VI Demolition grant application that requests funds for the demolition of units that were not originally targeted for demolition in a previously-approved HOPE VI Revitalization application but that are located in the same project and at the same site that will be revitalized using an existing Revitalization grant qualifies as a Priority Group 4 application.

(iii) The requested HOPE VI Demolition grant funds, in combination with the existing HOPE VI Revitalization grant funds, may not exceed the TDC limit as provided in Section II(A)(3)(a) of this HOPE VI section of the SuperNOFA, above.

(iv) If a Priority Group 4 HOPE VI Demolition application is selected for funding, HUD will approve the planned demolition in its approval of your Revitalization Plan (RP) for the Revitalization grant. If the RP has already been approved, HUD will amend the existing RP approval to include approval of the proposed demolition.

(v) A Section 18 demolition application is not required for a Priority Group 4 HOPE VI Demolition application.

(e) Priority Group 5.

(i) A HOPE VI Demolition grant application that requests supplemental funds in conjunction with an FY 2000 Revitalization application for a site that has not previously been covered by a HOPE VI Revitalization Plan qualifies as a Priority 5 application. The units identified for demolition in the HOPE VI Demolition application may be the same or different units from those budgeted in the FY 2000 HOPE VI Revitalization application.

(ii) The requested HOPE VI Demolition grant funds, in combination with the requested HOPE VI Revitalization grant funds, may not exceed the TDC limit as provided in Section II(A)(3)(a) of this HOPE VI section of the SuperNOFA, above.

(iii) If your HOPE VI Revitalization application is not approved, the corresponding HOPE VI Priority Group 5 Demolition application will be ineligible for funding.

(iv) If your HOPE VI Demolition application is not approved but your HOPE VI Revitalization application is selected for funding, you must be able to show that the Revitalization activities are feasible without the requested HOPE VI demolition funds.

(v) A Section 18 demolition application is not required for a Priority Group 5 HOPE VI Demolition grant application.

(vi) If you choose, you may also submit a separate HOPE VI Demolition application for the same units identified in your Priority Group 5 Demolition grant application, accompanied by an approval of a Section 18 demolition application. This separate HOPE VI Demolition application would be assigned Priority Group 3. You are cautioned, however, that if your HOPE VI Revitalization application is not selected for funding but your Priority 3 HOPE VI Demolition application is selected for funding, your Section 18 demolition application will be processed and you will be expected to carry out the demolition despite the lack of revitalization funds, since you have identified them as severely distressed.

(2) Ordinals. Upon receipt, HUD will assign each HOPE VI Demolition grant application an Ordinal (i.e., ranking number) that reflects the date HUD Headquarters received the application. Ordinals correspond to business days, starting with the date HUD receives the first Demolition grant application and ending on the application deadline date, as specified in Section I of this HOPE VI section of the SuperNOFA, above. HUD will consider all applications received on the same date as received at the same time on that date, and those applications will all be assigned the same Ordinal.

(B) Demolition Screening.

(1) Within a day after HUD receives your HOPE VI Demolition grant application, HUD will screen the application to ensure that it:

(a) Meets each HOPE VI threshold criterion listed in Section V(A) of this HOPE VI section of the SuperNOFA, above; and

(b) Includes each application submission requirement listed in Section IX(B) of this HOPE VI section of the SuperNOFA, below.

(2) If HUD determines that an application is not eligible for funding (e.g., the applicant is not a PHA), HUD will not consider the application further and will immediately notify the applicant that the application has been rejected.

(3) If HUD determines that an application is eligible but incomplete, within one day of receipt of the application, HUD will contact you in writing by fax (followed up with a hard copy by mail) to request the missing information. If HUD finds your application and other applications received on the same day to be incomplete, HUD will notify all such applicants of their missing items on the same day. Since HOPE VI Demolition grant applications are not rated, you may submit information to complete your application at any time before the HOPE VI Demolition grant application deadline date. However, if your application is received on the deadline date and it is missing a required submission, you will have no opportunity to submit any missing item after the deadline date and your HOPE VI Demolition grant application will be ineligible for funding.

PLEASE NOTE: THIS PROVISION MEANS THAT THE NEARER TO THE DEADLINE DATE YOU SUBMIT YOUR APPLICATION, THE LESS TIME YOU WILL HAVE TO CORRECT ANY DEFICIENCIES, AND IF HUD RECEIVES YOUR APPLICATION ON THE DEADLINE DATE AND THERE IS A DEFICIENCY, THAT APPLICATION WILL NOT BE ELIGIBLE FOR FUNDING. YOU ARE ADVISED TO SUBMIT YOUR APPLICATION AS SOON AS POSSIBLE, IN THE EVENT THAT HUD IDENTIFIES A DEFICIENCY THAT YOU NEED TO CORRECT.

(4) If HUD determines that the information you submit in response to a notification of deficiency is correct and completes the application, HUD will change the application's Ordinal to the Ordinal corresponding to the date that HUD received the information.

(5) If HUD determines that the information submitted does not make the application complete, HUD will notify you of the remaining deficiency. You will have the opportunity to submit information in response to notifications of deficiency up until the HOPE VI Demolition application deadline date.

(6) If you do not submit the requested information by the HOPE VI Demolition grant deadline date, your application will be ineligible for funding.

(C) Funding. HUD will award HOPE VI Demolition grants in the following order, based on fund availability.

(1) HUD will fund Priority Group 1 applications by Ordinal.

(2) If funds remain after HUD has funded all eligible Priority Group 1 applications, HUD will fund Priority Group 2 applications by Ordinal.

(3) If funds remain after HUD has funded all eligible Priority Group 2 applications, HUD will fund Priority Group 3 applications by Ordinal.

(4) If funds remain after HUD has funded all eligible Priority Group 3 applications, HUD will fund Priority Group 4 applications by Ordinal.

(5) If funds remain after HUD has funded all eligible Priority Group 4 applications, HUD will fund Priority Group 5 applications by Ordinal.

(6) At any stage, if there are insufficient funds to fund all applications with the next Ordinal, HUD will conduct a lottery among the applications sharing the Ordinal to determine funding. HUD reserves the right to partially fund the last lottery winner chosen if insufficient funds remain to fund the entire amount requested, but HUD determines that, based on the application, partial funding will be a viable alternative to full funding.

(7) If funds remain after all eligible HOPE VI Demolition grant applications have been funded, the remaining funds will be reallocated for HOPE VI Revitalization grants in accordance with Section II(B)(1)(b) of this HOPE VI section of the SuperNOFA, above.

VIII. Grant Award Procedures

(A) Revitalization Grants.

(1) Notification of Funding Decisions. The HUD Reform Act prohibits HUD from notifying you as to whether or not you have been selected to receive a Revitalization grant until it has announced all HOPE VI Revitalization grant recipients. If your Revitalization application has been found to be ineligible or if it did not receive enough points to be funded, you will not be notified until the successful applicants have been notified. HUD will provide written notification to all HOPE VI applicants, whether or not they have been selected for funding.

(2) Preliminary Approval. HUD notification that you have been selected to receive a HOPE VI grant constitutes only preliminary approval. Grant funds may not be released until the following activities have been completed:

(a) You and HUD must execute a HOPE VI Revitalization Grant Agreement in accordance with paragraph (3) below;

(b) The responsible entity must complete an environmental review and you must submit and obtain HUD approval of a request for release of funds and the responsible entity's environmental certification in accordance with 24 CFR part 58 and Section IV(B)(7) of this HOPE VI section of the SuperNOFA, above (or HUD has completed an environmental review under 24 CFR Part 50 where HUD has determined to do the environmental review).

(3) Revitalization Grant Agreement. When you are selected to receive a Revitalization grant, HUD will send you a HOPE VI Revitalization Grant Agreement, which constitutes the contract between you and HUD to carry out and fund public housing revitalization activities. Both you and HUD will sign the cover sheet of the Grant Agreement, and it is effective on the date of HUD's signature. The Grant Agreement sets forth:

(a) The amount of the grant;
(b) Required submissions;
(c) Procedures for amendments and approvals;
(d) Program Requirements;
(e) Required schedules for the completion of activities;
(f) Environmental assessment requirements;
(g) Covenants and conditions;
(h) Drawdown procedures;
(i) Reporting requirements;
(j) Recordkeeping requirements;
(k) Grant closeout procedures;
(l) Conflict of interest provisions;
(m) Other Federal requirements; and
(n) Default provisions.

(4) Revitalization Plan. Each new Revitalization Grantee will be required to submit supplemental information, including a budget, Community and Supportive Services Plan, program schedule, and other information as requested by HUD. When approved by HUD, this information, along with the original grant application, constitutes the HOPE VI Revitalization Plan for the severely distressed project.

(5) Mixed Finance Proposal. A Grantee proposing mixed-finance development must submit to HUD a Mixed Finance Proposal in accordance with 24 CFR 941.606 or successor part (subpart F).

(B) Demolition Grants.

(1) Notification of Funding Decisions. Because the HOPE VI Demolition grants are awarded on a first-come, first-served basis, HUD reserves the right to award funds to Priority 1 applications as soon as they are determined to be eligible for funding, or announce all awards after the application deadline date has passed. HUD will notify ineligible applicants of their ineligibility immediately after that determination has been made. HUD will provide written notification to all HOPE VI applicants, whether or not they have been selected for funding.

(2) Preliminary Approval. HUD notification that you have been selected to receive a HOPE VI demolition grant constitutes only preliminary approval. Grant funds may not be released until the following activities have been completed:

(a) You and HUD must execute a HOPE VI Demolition Grant Agreement in accordance with paragraph (3) below;

(b) The responsible entity must complete an environmental review and you must submit and obtain HUD approval of a request for release of funds and the responsible entity's environmental certification in accordance with 24 CFR part 58 and Section IV(B)(7) of this HOPE VI section of the SuperNOFA, above.

(3) Demolition Grant Agreement. If you are selected to receive a Demolition grant, HUD will send you a HOPE VI Demolition Grant Agreement. Both you and HUD will sign the Cover Sheet of the Grant Agreement, and it is effective on the date of HUD's signature. The Grant Agreement sets forth:

(a) The amount of the grant;
(b) Procedures for amendments and approvals;
(c) Required schedules for the completion of activities;
(d) Program requirements;
(e) Environmental assessment requirements;
(f) Covenants and conditions;
(g) Drawdown procedures;
(h) Reporting requirements;
(i) Recordkeeping requirements;
(j) Grant Closeout procedures;
(k) Conflict of interest provisions;
(l) Other Federal requirements; and
(m) Default provisions.

IX. Application Submission Requirements

(A) Revitalization Application Requirements.

(1) Application Kit. The HOPE VI Application Kit provides explicit, specific instructions as to the format of a HOPE VI Revitalization application. Your application must conform to the requirements of this HOPE VI section of the SuperNOFA and follow the format described in the Kit. If you fail to adhere to the requirements of this NOFA, as detailed in the Kit, and omit critical requirements, your application may lose points. In addition to the narrative exhibits that respond to the rating criteria in this HOPE VI section of this SuperNOFA, your application will also include attachments that provide HUD with detailed information about your proposed revitalization, including forms and other documentation.

(2) Application Page Limits. Each Revitalization application must contain no more than 75 pages of narrative exhibits and 100 pages of attachments. Any pages after the first 75 pages of narrative exhibits and first 100 pages of attachments **will not be reviewed.** Although submitting pages in excess of the page limitations will not disqualify an application, **HUD will not consider the information on any excess pages, which may result in a lower score or failure of a threshold.**

(3) Narrative Exhibits. The following is a summary of the narratives required in a HOPE VI Revitalization application:

(a) An Executive Summary.

(b) A list of revitalization team members and a description of team experience in development, delivery of community and supportive service programs, and property management.

(c) Your need for the HOPE VI grant, including a description of existing site conditions which demonstrates the extent of need for physical revitalization, the impact of the proposal on the neighborhood, your need for funding, the market for the proposed housing types, the need for affordable housing in the community, and whether the need has been identified by the community.

(d) All predevelopment activities, including relocation, hazard abatement, demolition, disposition, and site improvements.

(e) Elements of the proposed physical revitalization, including design; accessibility, visitability, and adaptability; and a description of how the plan will lessen concentration.

(f) Proposed community and supportive services programs.

(g) Your plan for resident and community outreach and involvement.

(h) Current or planned coordination with the revitalization or other related activities of other agencies or organizations, and the relationship of the proposed revitalization to the city or county's Consolidated Plan.

(i) Proposed operation and management principles and policies which will foster self-sufficiency and economic diversity, increase safety and security for residents, and address the elimination of impediments to fair housing.

(j) Your plan to evaluate the program.

(4) Attachments. The following is a summary of the attachments that will be required in a HOPE VI Revitalization application:

(a) Photographs of distressed public housing and representative photographs of the neighborhood.
(b) Maps of the current site, the neighborhood, and the city.
(c) Map of the proposed site.
(d) Conceptual site plan.
(e) Conceptual design illustrations of proposed units and non-dwelling facilities.
(f) Certification of severe physical distress.
(g) Program schedule.
(h) Public meeting documentation.
(i) Copies of letters or other documentation of objection to the proposed plan.
(j) Staffing and time allocation plan and organizational chart.
(k) Commitments from selected or proposed team members.
(l) Preliminary market assessment letter.
(m) list and documentation of resources; TDC worksheet; certification of extraordinary site costs, if applicable.
(n) Documentation of coordination with related groups.
(o) Letter of commitment to perform evaluation.

(5) HOPE VI Application Forms. The following HOPE VI forms are appended to this HOPE VI section of the SuperNOFA and are also included in the HOPE VI Application Kit. Electronic versions also can be obtained from HUDCLIPS (www.hud.clips.org).

(a) HOPE VI Revitalization Application Data Form (HUD-52860-A)

(b) HOPE VI Budget (HUD-52825-A, Parts I and II)

(c) Section 8 Application (HUD-52515)

(d) HOPE VI Revitalization Applicant Certifications (HUD-52820-A). See Appendix A of this HOPE VI section of the SuperNOFA for the text of these certifications.

(6) General Section Certification Forms. The following forms are appended to the **General Section** of the SuperNOFA and are also included in the HOPE VI Application Kit. Electronic versions of these forms also can be obtained from HUDCLIPS (www.hudclips.org). Additional forms that are required for the HOPE VI application can be found in Appendix C to this program section of the SuperNOFA.

(a) Application for Federal Assistance (SF-424)

(b) Assurances - Construction Programs (SF-424D)

(c) Certification for a Drug-Free Workplace (HUD-50070)

(d) Certification of Payments to Influence Federal Transactions (HUD-50071)

(e) Disclosure of Lobbying Activities (SF-LLL) (if applicable)

(f) Recipient Disclosure/Update Report (HUD-2880)

(g) Certification Regarding Debarment and Suspension (HUD-2992)

(h) Certification of Consistency with the EZ/EC Strategic Plan (HUD-2990)

(i) Certification of Consistency with the Consolidated Plan (HUD-2991)

(j) Acknowledgment of Application Receipt (HUD-2993)

(B) Demolition Application Requirements.

(1) Application Kit. The HOPE VI Application Kit provides specific instructions as to the format of a HOPE VI Demolition application. Your application must conform to the requirements of this HOPE VI section of the SuperNOFA and follow the format described in the kit.

(2) Application Information. The following is a summary of the information required in a HOPE VI Demolition application. Items (h) (Section 8 application) and (i) (HOPE VI Budget form) are available at www.hudclips.org.

(a) Applicant, site, and unit information

(b) Priority group

(c) Narrative of proposed activities, including a demonstration of the appropriateness of the proposal in the context of the local housing market relative to other alternatives

(d) Program schedule

(e) Certification of reasonable and accurate costs

(f) Certification of extraordinary site costs, if applicable, and grant limitations

(g) Documentation of unit eligibility

(h) Section 8 application, if applicable (HUD-52515)

(i) Program budget (HUD-52825-A, parts I and II)

(j) HOPE VI Demolition Applicant Certifications (HUD-52820-B). See Appendix B of this HOPE VI section of the SuperNOFA for the text of these certifications.

(3) General Section Certification Forms. The following forms are appended to the **General Section** of the SuperNOFA and are also included in the HOPE VI Application Kit. Electronic versions of these forms also can be obtained from HUDCLIPS (www.hudclips.org).

(a) Application for Federal Assistance (SF-424)

(b) Assurances - Construction Programs (SF-424D)

(c) Certification for a Drug-Free Workplace (HUD-50070)

(d) Certification of Payments to Influence Federal Transactions (HUD-50071)

(e) Disclosure of Lobbying Activities (SF-LLL)

(f) Recipient Disclosure/Update Report (HUD-2880)

(g) Certification Regarding Debarment and Suspension (HUD-2992)

X. Authority

(A) The funding authority for HOPE VI Revitalization and Demolition grants under this HOPE VI section of the SuperNOFA is provided by the FY 2000 HUD Appropriations Act under the heading "Revitalization of Severely Distressed Public Housing (HOPE VI)."

(B) The program authority for the HOPE VI Program is section 24 of the U.S. Housing Act of 1937 (42 USC 1437v), as added by section 535 of the Quality Housing and Work Responsibility Act of 1998 (Pub.L. 105-276, 112 Stat. 2461, approved October 21, 1998).

Appendix A
HOPE VI Revitalization Certifications

Acting on behalf of the Board of Commissioners of the Housing Authority listed below, as its Chairman, I approve the submission of the HOPE VI Revitalization application of which this document is a part and make the following certifications to and agreements with the Department of Housing and Urban Development (HUD) in connection with the application and implementation thereof:

Applicant Certifications

1. The public housing project or building in a project targeted in this HOPE VI Revitalization application meets the definition of severe distress provided in Section IV.(A)(1) of the HOPE VI section of the FY 2000 HOPE VI NOFA, in accordance with Section 24(j)(2) of the U.S. Housing Act of 1937 ("the Act").

2. The PHA has not received assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities for which funding is requested in the HOPE VI Revitalization application.

3. The PHA does not have any litigation pending which would preclude timely startup of activities.

4. The PHA is in full compliance with any desegregation or other court order related to Fair Housing (e.g., Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Section 504 of the Rehabilitation Act of 1973) that affects the PHA's public housing program and that is in effect on the date of application submission.

5. PHA has returned any excess advances received during development or modernization, or amounts determined by HUD to constitute excess financing based on a HUD-approved Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC), or that HUD has approved a pay-back plan.

6. There are no environmental factors, such as sewer moratoriums, precluding development in the requested locality.

7. The application is consistent with Environmental Justice Executive Order 12898, in that the proposed public housing will be developed only in environmentally sound and desirable locations and will avoid disproportionately high and adverse environmental effects on minority and low-income communities.

8. In accordance with the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), the property targeted for acquisition or construction (including rehabilitation) is not located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, unless:

   (a) The community in which the area is situated is participating in the National Flood Insurance program (see 44 CFR parts 59 through 79), or less than one year has passed since FEMA notification regarding such hazards; and

(b) Where the community is participating in the National Flood Insurance Program, flood insurance is obtained as a condition of execution of a Grant Agreement and approval of any subsequent demolition or disposition application.

9. The application does not target properties in the Coastal Barrier Resources System, in accordance with the Coastal Barrier Resources Act (16 U.S.C. 3501).

Grantee Certifications

If selected for HOPE VI Revitalization funding:

10. The PHA will comply with all policies, procedures, and requirements prescribed by HUD for the HOPE VI program, including the implementation of HOPE VI revitalization activities in a timely, efficient, and economical manner.

11. The PHA will not receive assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities funded by the HOPE VI Revitalization grant. The PHA has established controls to ensure that any activity funded by the HOPE VI Revitalization grant is not also funded by any other HUD program, thereby preventing duplicate funding of any activity.

12. The PHA will not provide to any development more assistance under the HOPE VI Revitalization grant than is necessary to provide affordable housing after taking into account other governmental assistance provided.

13. The PHA will supplement the aggregate amount of the HOPE VI Revitalization grant with funds from sources other than HOPE VI in an amount not less than 5 percent of the amount of HOPE VI grant.

14. In addition to supplemental amounts provided in accordance with Certification 11 above, if the PHA uses more than 5 percent of the HOPE VI grant for community and supportive services, it will provide supplemental funds from sources other than HOPE VI in an amount equal to the amount used in excess of 5 percent.

15. Disposition activity under the grant will be conducted in accordance with Section 18 of the Act.

16. The PHA will carry out acquisition of land, or acquisition of off-site units with or without rehabilitation to be used as public housing, in accordance with 24 CFR part 941, or successor part.

17. The PHA will carry out major rehabilitation and other physical improvements of housing and non-dwelling facilities in accordance with 24 CFR 968.11 2(b), (d), (e), and (g)-(o), 24 CFR 968.130, and 24 CFR 968.135(b) and (d) or successor part.

18. The PHA will carry out construction of public housing replacement housing, both on-site and off-site, and community facilities, in accordance with 24 CFR part 941 or successor part, including mixed-finance development in accordance with subpart F.

19. The PHA will carry out replacement homeownership activities in general conformance with the requirements of 24 CFR part 906 and the income limitations of the Act.

20. The PHA will administer and operate rental units in accordance with all existing public housing rules and regulations, as those requirements now exist or as they may be amended from time to time.

21. The PHA will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19) and regulations pursuant thereto (24 CFR part 100); Executive Order 11063 (Equal Opportunity in Housing) and regulations pursuant thereto (24 CFR part 107); the fair housing poster regulations (24 CFR part 110) and advertising guidelines (24 CFR part 109); Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations pursuant thereto (24 CFR part 1).

22. The PHA will address the elimination of impediments to fair housing choice relating to its public housing and particularly to the revitalization of distressed public housing that were identified in the jurisdiction's Analysis of Impediments to Fair Housing Choice, remedy discrimination in housing, and promote fair housing rights and fair housing choice.

23. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR part 146); the prohibitions against discrimination against, and reasonable modification and accommodation and accessibility requirements for, handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR part 8); the Americans with Disabilities Act (42 U.S.C. 12101 et. seq.) and regulations issued pursuant thereto (28 CFR Part 36); and the Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151) and regulations issued pursuant thereto (24 CFR Part 40).

24. The PHA has adopted the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and will take appropriate affirmative action to assist resident-controlled and women's business enterprises in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.

25. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135, including the reporting requirements of subpart E.

26. The PHA will comply with Davis-Bacon or HUD-determined prevailing wage rate requirements to the extent required under Section 12 of the U.S. Housing Act of 1937.

27. As applicable, the PHA will comply with the relocation assistance and real property acquisition requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and government-wide implementing regulations at 49 CFR part 24; relocation regulations at 24 CFR 968.108 or successor part (rehabilitation, temporary relocation); 24 CFR 941.207 or successor part (acquisition); and Section 18 of the 1937 Act as amended (disposition).

28. The PHA will comply with the HOPE VI requirements for reporting and access to records as required in the HOPE VI Revitalization Grant Agreement.

29. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821, et seq.) and is subject to 24 CFR part 35 and 24 CFR part 965 (subpart H), as they may be amended from time to time, and Section 968.110(k) or successor part.

30. The PHA will comply with the policies, guidelines, and requirements of OMB Circular A-87 (Cost Principles Applicable to Grants, Contracts, and Other Agreements with State and Local Governments).

31. The PHA will comply with 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments), as modified by 24 CFR 941 or successor part, subpart F, relating to the procurement of partners in mixed finance developments, except when inconsistent with the provisions of the 2000 Appropriations Act or other applicable Federal statutes. Requests for Proposals (RFPs) and Requests for Qualifications (RFQs) will reflect pertinent language from the program section of FY 2000 HOPE VI NOFA; e.g., seeking diversity, accessibility, fair housing requirements, etc.

32. The PHA will keep records in accordance with 24 CFR 85.20 that facilitate an effective audit to determine compliance with program requirements, and comply with the audit requirements of 24 CFR 85.26.

33. The PHA will enter into a binding Development Agreement within 12 months from the date of HUD's approval of the Revitalization Plan. In no event may this time period exceed 18 months from the date the Grant Agreement is executed.

34. The PHA will complete construction within 48 months from the date of HUD's approval of the RP. In no event may the time period for completion exceed 54 months from the date the Grant Agreement is executed.

35. All activities that include construction, rehabilitation, lead-based paint removal, and related activities will meet or exceed local building codes. New construction will comply with the latest HUD-adopted Model Energy Code issued by the Council of American Building Officials.

Appendix B
HOPE VI Demolition Applicant Certifications

Acting on behalf of the Board of Commissioners of the Public Housing Authority (PHA) listed below, as its Chairman, I approve the submission of the HOPE VI Demolition funding application of which this document is a part and make the following certifications to and agreements with the Department of Housing and Urban Development (HUD) in connection with the application and implementation thereof:

Applicant Certifications

1. The public housing project or building in a project targeted in this HOPE VI Demolition application meets the definition of severe distress provided in Section IV.(A)(1) of the program section of the FY 2000 HOPE VI NOFA, in accordance with Section 24(j)(2) of the U.S. Housing Act of 1937 ("the Act").

2. The PHA has not received assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific demolition activities for which funding is requested in the HOPE VI Demolition application.

3. The PHA is in full compliance with any desegregation or other court order related to Fair Housing (e.g., Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Section 504 of the Rehabilitation Act of 1973) that affects the PHA's public housing program and that is in effect on the date of application submission.

4. The PHA does not have any litigation pending which would preclude timely startup of activities.

5. PHA has returned any excess advances received during development or modernization, or amounts determined by HUD to constitute excess financing based on a HUD-approved Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC), or that HUD has approved a pay-back plan.

Grantee Certifications

If selected for HOPE VI Demolition funding:

6. The PHA will comply with all policies, procedures, and requirements prescribed by HUD for the HOPE VI program, including the implementation of HOPE VI Demolition activities in a timely, efficient, and economical manner.

7. The PHA will procure a demolition contractor within six months from the date of Grant Agreement execution, and complete the demolition within two years from the date of Grant Agreement execution.

8. The PHA will not receive assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities funded by the HOPE VI Demolition grant. The PHA has established controls to ensure that any activity funded by the HOPE VI Demolition grant is not also funded by any other HUD program, thereby preventing duplicate funding of any activity.

9. The PHA will not provide to any development more assistance under the HOPE VI Demolition grant than is necessary to perform demolition activities after taking into account other governmental assistance provided.

10. The PHA will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19) and regulations pursuant thereto (24 CFR part 100); Executive Order 11063 (Equal Opportunity in Housing) and regulations pursuant thereto (24 CFR part 107); the fair housing poster regulations (24 CFR part 110) and advertising guidelines (24 CFR part 109); Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations pursuant thereto (24 CFR part 1).

11. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR part 146); the prohibitions against discrimination against, and reasonable modification and accommodation and accessibility requirements for, handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR part 8); the Americans with Disabilities Act (42 U.S.C. 12101 et. seq.) and regulations issued pursuant thereto (28 CFR Part 36); and the Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151) and regulations issued pursuant thereto (24 CFR Part 40).

12. The PHA will address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments to Fair Housing Choice; remedy discrimination in housing; and promote fair housing rights and fair housing choice.

13. The PHA has adopted the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and will take appropriate affirmative action to assist resident-controlled and women's business enterprises in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.

14. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135, including the reporting requirements of Subpart E.

15. The PHA will comply with HUD-determined prevailing wage rate requirements to the extent required under Section 12 of the Act.

16. As applicable, the PHA will comply with the relocation assistance and real property acquisition requirements of Section 18 of the Act, as amended (demolition approved by a Section 18 demolition application); and/or the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and government-wide implementing regulations at 49 CFR part 24 (demolition pursuant to a Section 18 demolition application; demolition approved pursuant to a Mandatory Conversion Plan).

17. The PHA will comply with the HOPE VI requirements for reporting and access to records as required in the HOPE VI Demolition Grant Agreement.

18. The PHA will keep records in accordance with 24 CFR 85.20 that facilitate an effective audit to determine compliance with program requirements, and comply with the audit requirements of 24 CFR 85.26.

19. The PHA will comply with the policies, guidelines, and requirements of OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).

PART III

FY 2000 HOPE VI REVITALIZATION APPLICATION

HOPE VI REVITALIZATION APPLICATION
TABLE OF CONTENTS

FY 2000 HOPE VI REVITALIZATION APPLICATION

CHANGES IN THE FY 2000 HOPE VI REVITALIZATION NOFA

1. Implementation of Section 24. This NOFA implements the Public Housing Reform Act, which authorized the HOPE VI Program for the first time as section 24 of the 1937 Act. Although many provisions of section 24 were included in the FY 1999 HOPE VI NOFA, the FY 2000 NOFA incorporates all elements of section 24.

2. One Application. PHAs may submit only one HOPE VI Revitalization application, as opposed to the two they were allowed to submit in FY 1999. The cap of $35 million per applicant remains the same.

3. Scattered Sites. Provision is made for submitting an application for a scattered site project that falls within a one square mile area.

4. Homeownership. Homeownership under HOPE VI may no longer be carried out subject to the Nehemiah, section 5(h), HOPE II, or HOPE III Programs. Homeownership is now subject to provisions of the Public Housing Reform Act. The 5(h) program has been essentially replaced by section 32, which will be codified at 24 CFR part 906. The section 32 program can be used in combination with HOPE VI funds. All homeownership units under the HOPE VI Program must be sold to persons with incomes of up to 80 percent of Area Median Income. Previously, some homeownership units could be sold to persons with incomes up to 115 percent of median.

5. Public Meetings. In order not to penalize applicants who have several pages of public meeting sign-in sheets in terms of the 100-page attachment page limit, applicants need only submit the first page of each meeting's sign-in sheets and certify to the total number of sheets for each meeting.

6. TDC/Grant Limitations. The Grant Limitations Worksheet has been revised to not only calculate the maximum grant amount, but also to calculate the TDC cap for housing and community renewal.

7. Certification of Severe Distress. This certification must be signed by an engineer **or architect** licensed by their state licensing board. Last year's NOFA provided only for an engineer to make this certification, and did not require credentials.

8. Appropriateness. Each application must demonstrate the appropriateness of the proposal in the context of the local housing market relative to other alternatives. This is a threshold requirement for both Revitalization and Demolition grants.

9. Subgrant Agreements. For-profit entities or community and supportive service coordinators may not act as subgrantees but must be procured under 24 CFR part 85.

10. Section 8. Applicants must append a Section 8 application, as applicable, to their HOPE VI application, in accordance with Section II(C) of the NOFA.

11. Neighborhood Networks. The Neighborhood Networks initiative that was first implemented for assisted housing, must be adapted to HOPE VI projects. This program makes computers available to residents so that they may improve their skills and job readiness.

12. Endowment Trust for Community and Supportive Services. This provision of the Public Housing Reform Act is being implemented for the first time. Grantees may invest all or part of their CSS funds, to be used over a time period that they determine. This is a departure from the rule that all HOPE VI funds be disbursed within three days from the date they are requested from HUD.

13. Deconstruction, PATH. Grantees are encouraged to incorporate deconstruction, or the salvaging of building materials, in their demolition plan. They are also urged to use PATH advanced technologies in the construction and delivery of housing.

14. Scoring. For the first time, the range of points used by HUD to rate applications is included in the NOFA itself. These point spreads were previously only included in internal review instructions.

15. New Factors.

    Diversity of Team: One point will be awarded to applications that propose to include minority(ies), women, and/or individuals with disabilities in the overall planning, development, and management team that will be involved in the HOPE VI revitalization effort.

    Design: More emphasis is placed on quality of design of revitalized units by awarding up to 3 points to applications that demonstrate that units blend into the community. Emphasis is also placed on tree and shrub planting for environmental and aesthetic reasons.

16. Section 8. All applicants must propose to use Section 8 assistance as a method of relocation in order to receive up to 5 points. Emphasis is placed on providing community and supportive services to former residents who have been relocated via Section 8, with services beginning before the residents move. Applicants must submit a Section 8 application with their HOPE VI application.

17. Leveraging. Leveraging resources for development and services will be rated solely on the basis of firm commitments from resource providers. The amount of HOPE VI funds requested will be compared to the amount of leveraging committed to come up with a ratio upon which points will be awarded.

18. Opposition. In FY 1999, HUD considered letters submitted by parties that opposed the revitalization plan submitted by housing authorities. This year, HUD will only consider letters of opposition received within the ten days prior to the application deadline and that indicate that copies of the letters have been sent to the housing authority.

APPLICATION SUBMISSION INSTRUCTIONS

A. Application Preparation

The preparation of an approvable HOPE VI Revitalization application is time-consuming and can involve significant costs. Only one in four of the FY 1999 applicants were funded. You are cautioned that only applicants with strong showings of need, capability, and vision can be selected.

1. Your application must be complete and you must present all items in a manner which is succinct and clear, and responds to *every requirement and question posed.* Many applicants lose crucial points because they do not answer a question, because answers are unclear, and/or because there are inconsistencies in numbers or data in different parts of the application.

2. If you have not already done so, you are advised to enter into a meaningful planning process with affected residents and the surrounding community to achieve a consensus plan at application submission. Take careful note of the public training and meeting requirements in Section IV(C)(1) of the NOFA, and be sure to advertise and document those meetings carefully. Note that at least two of those meetings must be held after the publication of the NOFA and before the application due date. Additional meetings, task forces, and input are strongly encouraged.

3. Immediately contact public, private, and nonprofit entities, agencies, and organizations from which you plan to obtain letters, materials, or documents. This includes service providers, banks, state housing finance agencies, and other sources of financial assistance. Note the requirement of a certification of severe physical distress by an independent, certified engineer or architect required by Section V(B)(1)(a) of the NOFA. If you request funds to pay for extraordinary site costs in accordance with Section II(A)(3)(d) of the NOFA, and independent certified engineer or architect must justify and verify those costs. Also be sure to give local and state governments, EZ/EC governing bodies, and other similar groups as much time as possible to provide their certifications and other input.

4. Throughout, please refer to the Glossary for additional information and to ensure that you are interpreting all terms consistently.

B. Application Content and Organization

1. **Acknowledgement of Application Receipt** (HUD-2993). The very first page of your application is the Acknowledgement of Receipt form. Print or type your name and address inside the box provided. When HUD receives your application, this receipt will be detached from your application and mailed to you to indicate that your application was received. Please rely on this receipt and/or your overnight tracking number to determine whether your application was received. If you would like to have the receipt faxed to you, please include your fax number on the form.

2. **Application for Federal Assistance** (SF-424). The CFDA number for the HOPE VI Program is 14.866. This form is included in Part V of this HOPE VI Application Kit.

3. **Application Checklist.** This list of application narrative exhibits, attachments, and certifications is designed both to assist you in ensuring that all required elements of an application are included, and to be used as a table of contents for your completed application.

4. **The Narrative Exhibits** constitute specific aspects of the Revitalization Plan and respond to the rating criteria in the HOPE VI Revitalization NOFA. The Narrative Exhibits make up the first part of the application. All narrative pages must be numbered sequentially, and may not exceed 75 pages, in accordance with Section IX(A)(2) of the NOFA. Adherence to the page limit is mandatory. HUD reviewers will not consider any material after the first 75 pages.

5. **Attachments** must be located behind the Narrative Exhibits. Information in attachments does not substitute for answers to questions that should be included in a Narrative. You may include a maximum of 100 pages of attachments, in accordance with Section IX(A)(2) of the NOFA. HUD will not consider material on any material after the first 100 pages. Attachments include photographs, maps, illustrations, public meeting documentation, Application Data Forms, letters committing financial support, etc. Videos and resumes are specifically prohibited. Fill out the Application Data Forms as completely as possible, using best estimates if necessary. Be sure that all numbers and data throughout the narrative and attachments are consistent. Do not fill in fields blocked in gray.

6. **Certifications** must be placed at the end of the application, in the order provided on the Application Checklist.

C. Application Format

To speed the processing of your application and make it easier for HUD reviewers to find the information they need to rate your application, please follow these instructions when assembling your package:

1. Double space your narrative pages.
2. Use 8-1/2 by 11" paper, one side only.
3. All margins should be 1 inch, but may be no smaller than 1/2 inch.
4. Use at least an 11 point font.
5. After the entire application is assembled, number each page of your narrative exhibits, up to the 75 page limit.
6. Mark each narrative exhibit with an appropriately labeled tab.
7. Number each page of your attachments, up to the 100 page limit.
8. Mark each attachment with an appropriately labeled tab.
9. Package the application as securely and simply as possible; do not use a three ring binder.
10. Two-hole punch the pages at the top with a 2-3/4" center.

D. Application Submission

Follow the directions in the General Section of the SuperNOFA for procedures for submitting your application (e.g., mailed applications, express mail, overnight delivery, or hand carried). It is recommended that applications be placed with an overnight delivery carrier at least two days before the due date to ensure timely delivery. Experience has shown that attempts to hand-carry applications or place them in regular mail often result in late deliveries and disqualified applications.

E. Technical Assistance and Training

1. This HOPE VI Application Kit is the sole document that will be distributed to potential applicants. One copy will be sent to each eligible PHA. Additional copies may be obtained by calling the SuperNOFA Information Center at 800-483-8929.

2. A satellite broadcast that will review the NOFA and answer questions is scheduled to be held on April 7 from 1:00 to 5:00 Eastern time. Contact your Field Office for information on how to view this broadcast.

3. Frequently asked questions will be posted to the HUD Home Page (www.hud.gov) and the HOPE VI Home Page (www.hud.gov/pih/programs/ph/hope6/hope6.html). Applicants are responsible for checking these sites periodically for any clarifications.

4. If you are proposing a mixed-finance project, you should immediately obtain a copy of the Mixed Finance Guidebook by calling the Public Housing Clearinghouse at 800-955-2232. Be sure to ask for the Mixed Finance Guidebook, and **not** the HOPE VI Grant Implementation Guidebook, which is only for PHAs that have been awarded HOPE VI grants.

REVITALIZATION APPLICATION CHECKLIST

Acknowledgment of Application Receipt (HUD-2993)

Application for Federal Assistance (SF-424)

Narrative Exhibits

Exhibit A:	Summary Information
A.1	Executive Summary
A.2	Appropriateness of Proposal
A.3	Evaluation
Exhibit B:	Capacity
B.1	Revitalization Capacity and Experience
B.2	Community and Supportive Services Capacity and Experience
B.3	Property Management Capacity and Experience
B.4	Other Team Members
B.5	Diversity of Team
B.6	Obligation of Modernization Funds
Exhibit C:	Need
C.1	Need for Revitalization
C.2	Impact on the Neighborhood
C.3	Need for Funding
C.4	Identification of Need by the Community
C.5	Need for Affordable Housing in the Community
Exhibit D:	Predevelopment Activities
D.1	Relocation and Section 8
D.2	Hazard Reduction
D.3	Demolition
D.4	Disposition
D.5	Acquisition
D.6	Site Improvements
Exhibit E:	Physical Revitalization Plan
E.1	Physical Plan
E.2	Design
E.3	Market
E.4	Lessen Concentration
E.5	Affirmatively Furthering Fair Housing
E.6	Separability

Attachments

Attachment 1: City Map

Attachment 2: Current site map

Attachment 3: Proposed site map

Attachment 4: Evaluation Commitment

Attachment 5: Staffing and Time Allocation Plan

Attachment 6: Organizational Chart

Attachment 7: Program Schedule

Attachment 8: Developer Commitment

Attachment 9: CSS Team Commitments

Attachment 10: Property Manager Commitment

Attachment 11: Other Team Member Commitments

Attachment 12: Representative Photographs

Attachment 13: Certification of Severe Physical Distress

Attachment 14: Neighborhood Conditions

Attachment 15: Section 8 Application *

Attachment 16: Conceptual Site Plan

Attachment 17: Conceptual Interior Unit Design Illustrations

Attachment 18: Conceptual Elevations

Attachment 19: Photographs of Architecture in the Surrounding Community

Attachment 20: Application Data Form: Cover Sheet

Attachment 21: Application Data Form: Existing Units, Occupancy, Vacancy

Attachment 22: Application Data Form: Relocation, Income, and Non-Dwelling Structures

Attachment 23: Application Data Form: Proposed Unit Mix Post-Revitalization

Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration

Attachment 25: Application Data Form: Self-Sufficiency

Attachments, Continued

Attachment 26: Application Data Form: Sources and Uses

Attachment 27: Preliminary Market Assessment Letter

Attachment 28: Public Meetings Documentation

Attachment 29: HOPE VI Budget *

Attachment 30: Grant Limitations/TDC Worksheet

Attachment 31: Extraordinary Site Costs

Attachment 32: Non-Public Housing Leveraged Resource List

Attachment 33: Resource Commitment Letters

Attachment 34: Documentation of Coordination

Attachment 35: Consolidated Plan/AI

Certifications

HOPE VI Revitalization Applicant Certifications (Form HUD-52820-A)

Assurances - Construction Programs (SF 424D) *

Certification of Consistency with the Consolidated Plan (Form HUD-2991)

Certification of Consistency with the EZ/EC Strategic Plan (Form HUD-2990), if applicable

Certification Regarding Debarment and Suspension (HUD-2992) *

Certification for a Drug-Free Workplace (Form HUD-50070) *

Certification of Payments to Influence Federal Transactions (Form HUD-50071) *

Disclosure of Lobbying Activities (Form SF-LLL), if applicable *

Recipient Disclosure/Update Report (Form HUD 2880)

* Form located in Part V of this HOPE VI Application Kit

GLOSSARY OF TERMS

The following is an alphabetical Glossary of terms that can be found in the NOFA. Please consult this Glossary while reading the NOFA to ensure that you are interpreting these terms correctly.

Accessibility: All new construction of covered multifamily buildings must include certain features of accessible and adaptable design. Units covered are all those in buildings with four or more units and one or more elevators, and all ground floor units in buildings without elevators. The accessible design requirements are:

1. Accessible entrance on an accessible route
2. Accessible public and common use areas
3. Accessible doorways
4. Accessible routes into and through the unit
5. Accessible light switches, electrical outlets, and environmental controls
6. Reinforced walls in bathrooms
7. Usable kitchens and bathrooms

HUD encourages accessibility in for-sale units (5 percent for mobility impaired and 2 percent for hearing or vision disabilities) as well as multifamily rental units. More information on accessibility may be obtained from HUD's Home Page (www.hud.gov/fairhsg1.html).

Adaptability: As defined by 24 CFR 8.3, the ability of certain elements of a dwelling unit, such as kitchen counters, sinks, and grab bars, to be added to, raised, lowered, or otherwise altered, to accommodate the needs of persons with or without handicaps, or to accommodate the needs of persons with different types or degrees of disability. For example, in a unit adaptable for a hearing-impaired person, the wiring for visible emergency alarms may be installed so that the unit can be made ready for occupancy by a hearing-impaired person. More information on adaptability may be obtained by calling HUD on (202) 708-2333 or the TTY telephone number, 1-800-877 8339 (Federal Information Relay Service).

Annual Contributions Contract (ACC): A contract (in the form prescribed by HUD) for loans and contributions, which may be in the form of grants, whereby HUD agrees to provide financial assistance and the PHA agrees to comply with HUD requirements for the development and operation of a public housing project.

Acquisition Proposal: A proposal to acquire land or land with improvements to be demolished. The proposal must meet the requirements of 24 CFR 941.303, and must be submitted to and approved by HUD before HOPE VI or other public housing funds may be used for acquisition of property. The Acquisition Proposal will include documentation of site control, zoning, appraisal, etc. To acquire land with improvements which will not be demolished, the Grantee must submit a Development Proposal in accordance with 24 CFR 941.303 (conventional development) or 24 CFR 941.606 (mixed-finance development).

The Act: The United States Housing Act of 1937 (42 U.S.C. 1437) as amended.

AmeriCorps: You are encouraged to link your proposed activities with AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000, or visit the AmeriCorps website (www.cns.gov/americorps).

Bridging the Digital Divide: An initiative whose objective is to provide access to computers to low- and moderate-income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. HUD's Neighborhood Networks program (see below) is one initiative that incorporates education and job training opportunities.

Capital Fund: Public Housing Modernization programs (CIAP, Comp Grant) have been consolidated into the Capital Fund, which will distribute all funds to PHAs by formula.

CDBG funds: Community Development Block Grant funds. Funds awarded by HUD by formula to units of general local government and to states, which may then award a grant or loan to a PHA, partnership, or other entity for revitalization activities. CDBG funds may be granted to a non-profit and then loaned to a project's for-profit partnership. Information about the CDBG Program can be found on HUD's Home Page (www.hud.gov/cpd/cpd/cpdprog.html).

CFDA: The Catalog of Federal Domestic Assistance is a government-wide compendium of Federal programs, projects, services, and activities which provide assistance or benefits to the public. HOPE VI's CFDA number is 14.866. A list of CFDA numbers for all HUD programs can be found on HUD's Home Page (www.hud.gov/cfda/cfda.html).

CFR: The Code of Federal Regulations can be found and sections downloaded from HUDCLIPS (www.hudclips.org).

CIAP: The Comprehensive Improvement Assistance Program, which provided HUD funds to all PHAs prior to 1992 and to small (less than 250 units) PHAs from 1992 to 1999, for rehabilitation of housing projects. CIAP has been replaced by the public housing Capital Fund Program, effective FY 2000 (see above).

CGP: The Comprehensive Grant Program, which provided HUD funds to medium and large (more than 250 units) PHAs for rehabilitation of housing projects. CGP has been replaced by the public housing Capital Fund, effective FY 2000 (see above).

Consolidated Plan: Developed by local and state governments with the input of citizens and community groups, the Consolidated Plan serves four functions:

1. It is a planning document for each state and community, built upon public participation and input.

2. It is the application for funds under HUD's formula grant programs: the Community Development Block Grant Program, the HOME Program, Emergency Shelter Grants, and Housing for People With AIDS.

3. It describes local needs and priorities for HUD community planning and development funds.

4. It constitutes a 3-to-5-year strategy the jurisdiction will follow in implementing HUD programs.

Each HOPE VI revitalization application must include a certification from the applicable State or local government official responsible for submitting the appropriate Consolidated Plan under 24 CFR part 91 that the proposed activities are consistent with the approved Consolidated Plan of the State or unit of general local government within which the project is located. If the local jurisdiction in which revitalized units will be located does not have a Consolidated Plan or an Abbreviated Consolidated Plan, a certification from the State must be submitted. To find out who to contact regarding your locality's Consolidated Plan, access HUD's Home Page (www.hud.gov/cpd/conplan.html).

(HOPE VI) Coordinator: The HOPE VI Coordinator will be the official contact person for the HUD Grant Manager, and will coordinate all HOPE VI activities on behalf of the Grantee.

Conversion Plan: see Section 202 Mandatory Conversion Plan, below.

Deconstruction: HUD encourages you to design programs that incorporate sustainable construction and demolition practices, such as the dismantling or "deconstruction" of public housing units, recycling demolition debris, and reusing salvage materials in new construction. For articles on the concept of deconstruction, go to the U.S. Forest Service website (www.fpl.fs.fed.us/query.asp) and enter deconstruction as the search term.

Development: A public housing project with units under an ACC. For FY 2000 HOPE VI Revitalization applications, projects that are contiguous, immediately adjacent to one another, or within 1/4 of a mile from each other will be considered one development for purposes of inclusion in the proposed revitalization.

Development Funds: Funds awarded by HUD to PHAs under the Public Housing Development Program consistent with Regulations at 24 CFR part 941. Development funds must be used for the development of public housing, and may be combined with HOPE VI and other funds for this purpose. Although the last Development funds were distributed to PHAs in FY 1995, many authorities have funds remaining which can be used in conjunction with a HOPE VI project or in a mixed-finance project without HOPE VI.

Development Partner: A third party entity with which the PHA enters into a partnership or other contractual arrangement to provide for the mixed-finance development of public housing units. The Development Partner has primary responsibility with the PHA for the development of the housing units and/or non-residential structures under the terms of the approved mixed-finance proposal. PHAs must procure development partners in accordance with 24 CFR part 85, subject to the following proviso: 941 subpart F allows for procurement by a PHA of a Development Partner using competitive proposal procedures for qualifications-based procurement, where price may be negotiated separately.

Designated Housing Allocation Plan: A plan to designate a public housing development for elderly families, disabled families, and a combination of the two. The Plan must be submitted to HUD's Special Applications Center for approval and follow the requirements of Notice PIH 98-24 (HA). A PHA may designate all, or a portion of a public housing development for use by specific resident populations, provided that those residents are already eligible for occupancy in public housing. More information is on HUD's Home Page (www.hud.gov/sac/desighousing.html).

EZ/ECs: Federally-designated Empowerment Zones, Enterprise Communities, Urban Enhanced Enterprise Communities and Strategic Planning Communities are urban areas designated by the Secretary of HUD pursuant to 24 CFR part 597 or rural areas designated by the Secretary of Agriculture pursuant to 7 CFR part 25, subpart B. A list of all EZs and ECs is included in Part III of the HOPE VI Application Kit, and can also be found on HUD's Home Page (www.hud.gov/cpd/ezec/ezbyez.html). Revitalization applicants can earn up to two points if their activities take place within an EZ or EC, in accordance with Section III(C)(1) of the General Section of the NOFA. Similar areas designated by States or cities do not constitute EZ/ECs, and projects located in such areas are not eligible for the bonus points.

Existing conditions: Conditions at the time of the HOPE VI Revitalization application submission. If some or all of the original project has been demolished as of the time of HOPE VI application, conditions as of the date the demolition application was approved.

Extraordinary Site Costs: Costs that exceed the level of expenditure anticipated in the TDC limits. **Extraordinary site costs must be justified and verified by an independent certified engineer,** in accordance with Section II(A)(3) of the NOFA. Extraordinary site costs may be incurred in the remediation and demolition of existing property, as well as in the development of new and rehabilitated units. Examples of such costs include, but are not limited to, removal or replacement of extensive underground utility systems, extensive rock and/or soil removal and replacement, construction of extensive streets and other public improvements, dealing with unusual site conditions such as slopes, terraces, water catchments, lakes, etc., and dealing with flood plain and other environmental remediation issues.

FHA Mixed-Income Housing Initiative: Underwriting Guidelines for using FHA-insured loans in HOPE VI mixed-income projects can be found in HUD Notice FHA 97-12 (as extended), available through HUDCLIPS (www.hudclips.gov).

Healthy Homes. HUD's Healthy Homes Initiative was developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to, the following:

1. educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others;

2. incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, properly ventilated windows to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can cause asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323.

More information on Healthy Homes can be found on HUD's Home Page (www.hud.gov/hhchild.html).

Homeownership Proposal: HOPE VI funds may be used to provide appropriate replacement homeownership assistance for displaced public housing residents or other public housing-eligible low-income families. If homeownership units are included in a Grantee's Revitalization Plan, the Grantee will be required to submit a Homeownership Proposal for HUD approval that describes how the program will work, the financing, the amount of HOPE VI funding to be used for eligible costs, how many families will be assisted, etc. Units are subject to the 80 percent of Area Median Income (AMI) low-income family limitations under the 1937 Act. Assistance may include:

1. Downpayment or closing cost assistance;

2. Provision of second mortgages; and/or

3. Construction or permanent financing for new construction, acquisition, or rehabilitation costs related to homeownership replacement units.

Note that homeownership units will be deemed replacement units only if, when combined with ACC rental units, they do not exceed the total number of units demolished and/or disposed of at the targeted severely distressed project.

Household: Occupants of one dwelling unit.

Housing Authority Funds: Funds, other than grant funds, under the control of the Housing Authority such as operating reserves, Section 8 administrative fees, and non-HUD resources.

HOME funds: Housing funds distributed from HUD to units of general local governments and States for new construction, rehabilitation, acquisition of standard housing, assistance to homebuyers, and tenant-based rental assistance. Current legislation allows HOME funds to be used in conjunction with HOPE VI, but not with Capital Grant funds. Information about the HOME Program can be found on HUD's Home Page (www.hud.gov/cpd/home/homeweb.html).

HUDCLIPS: On this website (www.hudclips.org) you can find and download all HUD and Standard forms, notices, handbooks, etc. In addition, from this site you can access the Federal Register, the Code of Federal Regulations (CFR), OMB Circulars, basic laws, and other important information.

Leveraging: The funds obtained from outside sources that you bring to the revitalization project now, at the application stage. HUD compares the amount of committed funds that are documented in the application to the amount of HOPE VI funds requested, and that ratio is used to rate Factor 4, Leveraging Resources. Funds committed from other sources for development and for community and supportive service programs are rated separately. While applicants are not required to demonstrate that they have obtained any funding commitments during the application stage, failure to provide leveraging will result in the loss of points under Rating Factor 4, which is worth 10 points. *see Match*

LIHTC equity funds: Private funds raised as project equity from the sale of Federal Low-Income Housing Tax Credits, as authorized by Section 42 of the Internal Revenue Code as enacted by the Tax Reform Act of 1986 as amended. See Rating Factor 4(1)(a)(iii) of the NOFA for the requirements you must meet in order to have tax credits count toward the amount of funds you have leveraged for hard construction costs.

Low-income: Low-income families are those families who have incomes that are no more than 80 percent of the HUD-adjusted median family income for the area (also referred to as the Area Median Income (AMI)). HUD publishes AMI tables for each family size in each locality annually. The income limit tables may be accessed on HUD's Home Page (www.hud.gov/cpd/home/limits/income/income.html).

Market Rate units: Housing units for which renters or homeowners do not have income eligibility restrictions. Capital costs for these units may not be written down with public housing funds.

Match: Section VI(D)(1) of the NOFA requires that, if you are selected for funding, you must bring a minimum amount of other resources to the project other than HOPE VI funds. You do not need to provide proof that you have these resources in hand at the application stage. Rather, you will document that you have obtained these resources during the life of the project when you submit your quarterly progress report.

Overall Match: Section VI(D)(1)(a) of the NOFA implements Section 24(c)(1)(A) of the Act, which requires you to supplement your grant with funds from other sources equal to not less than 5 percent of the HOPE VI funds provided. For example, for a $35 million grant, you must provide other matching resources equal to at least 5 percent of the total grant, or $1,750,000.

Community and Supportive Services Match: Section VI(D)(1)(b) of the NOFA implements Section 24(c)(2)(B) of the Act, which states that if you propose to use more than 5 percent of your HOPE VI grant for community and supportive services (you may use up to 15 percent of your grant for such services), you must provide supplemental matching funds from sources other than HOPE VI in an amount equal to the amount used in excess of 5 percent. If you assume that you have requested the full 15 percent of your $35 million grant for CSS activities, you may request $5,250,000. The first 5 percent, or $1,750,000, is not required to be matched. The remaining amount, $3,500,000, however, must be matched on a one-for-one basis.

Thus, in this example, your total match requirement would be $5,250,000. Section VI(D)(1)(c) of the NOFA provides a list of the kinds of resources you may use for matching purposes.

MBE/MWB: If you are awarded a HOPE VI grant, you must adopt the goal of awarding a specified percentage of the dollar value of the total HOPE VI contracts to be awarded to minority business enterprises and take appropriate affirmative action to assist resident-controlled and women's business enterprises, in accordance with Executive Orders and 24 CFR 85.36(e). Part 85 provides that affirmative steps include:

1. Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
2. Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
3. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;
4. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
5. Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and
6. Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs 1 - 5 above.

Mixed-Finance: The combined use of publicly and privately financed sources of funds for the development of public housing units in accordance with 24 CFR 941 subpart F or any successor regulations.

Mixed-Income: Projects that contain a combination of unit types, including public housing and non-public housing units.

Modernization funds: HUD funds provided to PHAs under section 14 of the Act, including the Comprehensive Grant Program or the CIAP Program, which PHAs use for rehabilitation of housing projects. These programs have been replaced by the public housing Capital Fund, effective in FY 2000 (see above).

MROP funds: Major Reconstruction of Obsolete Project Funds awarded by HUD to PHAs for rehabilitation of public housing projects. Although the MROP Program ended in the early 1990's, remaining MROP funds have been converted to the Capital Fund and maybe used in mixed-finance public housing development projects provided such use has been approved by HUD.

Neighborhood Networks: These Centers, originally designed for HUD-insured and HUD-assisted properties, have helped hundreds of residents improve computer technology skills which in turn has enhanced the self-sufficiency, employability and economic self-reliance of low-income families. If you are awarded a Revitalization grant, you will be required to adapt the Neighborhood Networks Initiative to your HOPE VI project. HUD will make technical assistance available to each PHA where needed. More information on the requirements of Neighborhood Networks is available on HUD's Home Page (www.hud.gov/nnw/nnwindex.html).

NOFA: Notice of Funding Availability, published in the Federal Register to announce available funds and application requirements.

OMB Circulars and Administrative Requirements: Documents that provide recipients of Federal funds with the administrative requirements related to the expenditure of funds. Copies of OMB Circulars can be found on HUDCLIPS (www.hudclips.org).

Administrative requirements applicable to PHAs are:

> 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments)
>
> OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments): published in the Federal Register on May 4, 1995.

Administrative requirements applicable to nonprofit organizations are:

> 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations)
>
> OMB Circular A-122 (Cost Principles for Non-Profit Organizations): published in the Federal Register on 5/8/97

One Strike and You're Out: The "One Strike" initiative allows public housing authorities to deny occupancy to applicants, as well as evict residents, on the basis of alcohol abuse and illegal drug-related activities. Implementing this initiative is one of the ways that you can provide greater safety and security for residents and the community. More information can be found on HUD's Home Page (www.hud.gov/progdesc/1strike.html).

PATH: HUD encourages participation in the Partnership for Advancing Technology in Housing (PATH). This voluntary initiative seeks to accelerate the creation and widespread use of advanced technologies to radically improve the quality, durability, environmental performance, energy efficiency, disaster resistance, and affordability while reducing the environmental impact of our Nation's housing. Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices.

PATH has a FY 2000 budget of $10 million. PATH will provide technical support in design and cost analysis of advance technologies to be incorporated in project construction. HUD will provide technical assistance in the form of architectural, engineering and financial analysis to incorporate the specific technologies appropriate to the type of construction and climate. Applicants should see www.pathnet.org/about/about.html on the Internet for more information, the list of technologies, latest PATH Newsletter, results from field demonstrations, and PATH projects.

Public housing unit: A unit that is eligible to receive operating subsidy pursuant to section 9 of the Act (42 U.S.C. 1437g).

1. 100 percent Public Housing Units: Dwelling units where 100 percent of the rehabilitation or new construction is financed with PH funds (HOPE VI, Development, CGP, CIAP, and/or MROP funds) only. These units are under ACC and receive operating subsidy, must serve persons who are public housing eligible, and must comply with public housing regulations.

2. Public Housing/Low-Income Housing Tax Credit Units: Units that are funded with PH funds (HOPE VI, Development, CGP, CIAP, and/or MROP funds) and with equity from the sale of ownership interests in Low-Income Housing Tax Credits (LIHTC). These units are under ACC and receive operating subsidy; however, they also must comply with requirements of the LIHTC program.

Replacement Units: Public housing units, on- or off-site, that will be placed under an ACC, or that will be sold to homeowners under eligible homeownership programs. The number of replacement public housing units may not exceed the number of original units in the project that have been disposed of and/or demolished.

Reconfiguration: Altering the physical structure of a unit during the course of rehabilitation (e.g., creating five 2-bedroom units from ten 1-bedroom units or converting dwelling units to non-dwelling units).

Section 202 Mandatory Conversion Plan: A plan to remove a public housing project that is subject to the requirements of Section 202 of the FY 1996 HUD appropriation act. Applicable projects must be on the same or contiguous sites, contain more than 300 units, and have at least a 10 percent vacancy rate. Applicable regulations are at 24 CFR part 971. More information, as well as the content and suggested format for conversion plans, are provided on HUD's Home Page (www.hud.gov/pih/sac/section202.html).

Section 3: The purpose of Section 3 of the Housing and Urban Development Act of 1968 (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal State, and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons. Program regulations are at 24 CFR part 135. More information about Section 3 can be found on HUD's Home Page (www.hud.gov/fhe/sec3over.html).

Severely Distressed: The definition of severely distressed can be found in Section IV(A)(1) of the HOPE VI NOFA. Units targeted in both Revitalization and Demolition applications must meet the definition of severe distress.

Special Applications Center (SAC): This HUD office, located in Chicago, processes a variety of applications, including demolition and disposition applications developed under Section 18 of the Act. Information about the SAC can be found on HUD's Home Page (www.hud.gov/pih/sac/sachome.html).

Step-Up: Step-Up is an apprenticeship-based employment and training program that provides career potential for low-income persons by enabling them to work on construction projects that have certain prevailing wage requirements. Step-Up encourages work by offering apprenticeships through which low-income participants earn wages while learning skills on the job, supplemented by classroom-related instruction. Step-Up provides a vehicle for achieving compliance with the objectives of Section 3 of the HUD Act of 1968, which requires that preference be given to public housing residents, participants in HUD's Youthbuild programs, and other low- and very low-income persons in the metropolitan area in employment, contracting, and other economic opportunities. More information can be found on HUD's Home Page (www.hud.gov/progdesc/stepup.html).

Subsidized Units: Housing units for which capital costs are written down by public subsidy funds, and for which occupancy is governed by income restrictions.

TANF: Temporary Assistance for Needy Families is the replacement program for AFDC.

Total Development Cost Limits (TDC): A limit on the use of public housing funds toward the costs of developing replacement housing units and associated community renewal activities. TDCs are limited by the HUD-published TDC Cost Tables, which are issued for each fiscal year for the building type and bedroom distribution for the public housing replacement units. FY 2000 HOPE VI applicants must use the data in Notice PIH 99-17, available on the HOPE VI Home Page or HUDCLIPS, when calculating TDC, regardless of whether those figures are updated for the next fiscal year in a subsequent Notice.

The TDC limit is made up of the following components:

1. Housing Cost Cap: HUD's published limit on the cost of constructing the unit itself, which includes unit hard costs, builder's overhead and profit, utilities from the street, finish landscaping, and hard cost contingency. The allowable TDC limit on the cost of rehabilitating units is 90 percent of the new construction TDC limit, based on the number of public housing units after rehabilitation and reconfiguration.

2. Community Renewal: The balance of funds remaining within the TDC limit after the housing cost is subtracted from the TDC limit. This is the amount of public housing funds available to pay for PHA administration, planning, infrastructure and other site improvements, community and economic development facilities, acquisition, relocation, demolition and remediation of units to be replaced on site, and all other development costs.

The costs of Community and Supportive Services, demolition and remediation of units not replaced on site, and extraordinary site costs are not included in the TDC calculation. HOPE VI Grantees may use any non-HUD funds to supplement HUD funds for any project cost.

Urban Forestry: HUD encourages you to propose enhancements to the natural environment such as tree and shrub planting to address natural resource issues such as erosion, stormwater management, and water quality that will result in physical improvements to the site; convert public open space now devoid of green vegetation to a natural, inviting, and more livable environment; and plan for the sustainability of such resources after the revitalization activities are completed. Through an MOU between the Department of Agriculture and HUD, technical assistance to develop a natural resource stewardship program is available to public housing authorities. Further information about this initiative can be found on the U.S. Forest Service website (www.fs.fed/us/research/rvur/urban/urbanforestry/urbanforest.htm).

Very Low Income: Very low-income families are those families with incomes that are no more than 50 percent of the HUD-adjusted median family income for the area (also referred to as the Area Median Income (AMI)). HUD publishes AMI tables for each family size in each locality annually. The income limit tables may be accessed on HUD's Home Page (www.hud.gov/cpd/home/limits/income/income.html).

Visitability: You are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects, both rental and for-sale. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. The two standards of visitability are:

1. at least one entrance to the home is at grade (no steps), approached by an accessible route such as a sidewalk; and
2. the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space.

Allowing use of 2'10" doors is consistent with the Fair Housing Act (at least for the interior doors), and may be more acceptable than requiring the 3 foot doors that are required in fully accessible areas under the Uniform Federal Accessibility Standards (UFAS) for a small percentage of units. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the UFAS are available from the SuperNOFA Information Center (1-800-483-2209) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410. More information on accessibility, adaptability, and visitability may be obtained by calling HUD on (202) 708-2333 or the TTY telephone number, 1-800-877-8339 (Federal Information Relay Service).

Weed and Seed: Operation Weed and Seed is a multi-agency strategy that "weeds out" violent crime, gang activity, drug use, and drug trafficking in targeted neighborhoods and then "seeds" the target area by restoring these neighborhoods through social and economic revitalization. Law enforcement activities constitute the "weed" portion of the program. Revitalization, which includes prevention, intervention, and treatment services, and then neighborhood restoration, constitutes the "seed" element. Community policing is the bridge that links the Weed and Seed elements. More information on Weed and Seed can be found at (www.ojp.usdoj.gov/eows).

Workforce Development Boards: These local entities, which replace Private Industry Councils, distribute Job Training Partnership Act (JTPA) funds from the Department of Labor.

Youthbuild: HUD's Youthbuild Program provides grants to organizations that provide education and job training to young adults ages 16 to 24 who have dropped out of school. Participants must spend half of their time building or rehabilitating housing for homeless people or other low-income families. Youthbuild provides a vehicle for achieving compliance with the objectives of Section 3 of the HUD Act of 1968, which requires that preference be given to public housing residents, participants in HUD's Youthbuild programs, and other low- and very low-income persons in the metropolitan area in employment, contracting, and other economic opportunities. More information can be found on HUD's Home Page (www.hud.gov/cpd/econdev/ythhome.html).

REVITALIZATION PLAN NARRATIVE

Note: Page numbers refer to pages in the version of the HOPE VI NOFA contained in this Application Kit.

Exhibit A: SUMMARY INFORMATION

A.1 Executive Summary

Provide an Executive Summary, **not to exceed three pages.**

1. Identify and describe the severely distressed public housing project(s).

2. If you target the same project that was targeted in a previously-funded HOPE VI Revitalization grant, review **Section II(A)(4)(e)** (Page 5) of the NOFA and clearly identify the units previously funded and the units applied for in this application.

3. Summarize your proposed revitalization activities.

4. Summarize your major sources of non-public housing financing.

Related Attachment 20: Application Data Form: Cover Sheet

A.2 Appropriateness of Proposal. Review **Section V(A)(3)** (Page 28) of the NOFA and demonstrate the appropriateness of your proposal in the context of the local housing market relative to other alternatives.

A.3 Evaluation. Respond to **Rating Factor 3(10)(b)** (Page 53).

Related Attachment 4: Evaluation Commitment

Exhibit B: CAPACITY

B.1 Revitalization Capacity and Experience

Review **Rating Factor 1** (Page 33). Provide the firm name and address of your development partner and state whether the developer is proposed or has been selected. Respond to **Rating Factor 1(1)(a)**.

Related Attachment 5: *Staffing and Time Allocation Plan*
Related Attachment 6: *Organizational Chart*
Related Attachment 7: *Program Schedule*
Related Attachment 8: *Developer Commitment*

B.2 Community and Supportive Services Capacity and Experience

Review **Rating Factor 1(2)** (Page 34). Provide the names and addresses of committed CSS partners. Respond to the elements of **Rating Factor 1(2)(a)**.

Related Attachment 9: *CSS Team Commitments*

B.3 Property Management Capacity and Experience

Review **Rating Factor 1(3)** (Page 35). Indicate whether property management activities will be the responsibility of the PHA, an entity that is part of the development team, or a separate entity. If a separate entity, provide the name and address of committed property management partner. Respond to the elements of **Rating Factor 1(3)(a)**.

Related Attachment 10: Property Manager Commitment

B.4 Other Team Members. Review **Rating Factor 1** (Page 33). Provide the firm name and address of any other significant members of your team, a description of the role of the team member, and whether the team member is proposed or has been selected.

Related Attachment 11: Other Team Member Commitments

B.5 Diversity of Team. Respond to **Rating Factor 1(4)** (Page 35).

B.6 Obligation of Modernization Funds

Review **Rating Factor 1(5)** (Page 36) and indicate the percentage of your FY 1998 and prior year Modernization (e.g., Comprehensive Improvement Assistance Program or Comprehensive Grant Program) amounts you have obligated by the quarter ending before the HOPE VI Revitalization application deadline date.

Exhibit C: NEED

C.1 Need for Revitalization

Respond to **Rating Factor 2(1)** (Page 37).

Related Attachment 12: *Representative Photographs*
Related Attachment 13: *Certification of Severe Physical Distress*
Related Attachment 21: *Application Data Form: Existing Units, Occupancy, Vacancy*

C.2 Impact on the Neighborhood

Respond to **Rating Factor 2(2)** (Page 38).

Related Attachment 14: *Neighborhood Conditions*

C.3 Need for Funding.

Review **Rating Factor 2(3)** (Page 38) and provide the amount of your unobligated FY 1998 and prior year Modernization funds as of the latest quarterly obligation report date.

C.4 Identification of Need by the Community

Respond to **Rating Factor 2(4)** (Page 39).

C.5 Need for Affordable Housing in the Community

Respond to **Rating Factor 2(5)** (Page 40).

Exhibit D: PREDEVELOPMENT ACTIVITIES

D.1 Relocation and Section 8

a. Section 8 Needs. Review **Section II(C)** (Page 7) of the NOFA. State the number of Section 8 certificates that will be required for relocation if this HOPE VI application is approved. Indicate the number of units and the bedroom breakout. Note that you must plan to use Section 8 assistance in order to receive points under **Rating Factor 3(5)** (Page 45), Relocation and Section 8. Review Section **III(C)(1)(n)** (Page 10) of the NOFA for information about relocation requirements.

Related Attachment 15: *Section 8 Application*
Related Attachment 21: *Application Data Form: Existing Units, Occupancy, Vacancy*
Related Attachment 22: *Application Data Form: Relocation, Income, Non-Dwelling Units*

b. Relocation Support. Respond to **Rating Factor 3(5)(a)** (Page 45).

c. Community Outreach. Respond to **Rating Factor 3(5)(b)**.

d. Self Sufficiency. Respond to **Rating Factor 3(5)(c)**.

e. Tracking. Respond to **Rating Factor 3(5)(d)**.

D.2 Hazard Reduction. For units to be rehabilitated or demolished, describe the extent of any required abatement of environmentally hazardous materials such as asbestos (Page 8).

D.3 Demolition. Review Section **III(C)(1)(a)** (Page 8) of the NOFA. Describe your plans for demolition, including the buildings (dwelling and non-dwelling units) proposed to be demolished, the purpose of the demolition, and the use of the site after demolition. If the proposed demolition was previously approved as a Section 18 demolition application, state the date the Section 18 demolition application was submitted to HUD and the date it was approved by HUD. Indicate whether you plan to implement the concept of Deconstruction, as described in **Section (IV)(D)(4)(c)** (Page 26 of the NOFA.

D.4 Disposition. Review **Section III(C)(1)(b)** (Page 9) of the NOFA. Describe the extent of any planned disposition of any portion of the site. Cite the number of units or acreage to be disposed, the method of disposition (sale, lease, trade), and the status of any disposition application made to HUD.

D.5 Acquisition. Review **Sections III(C)(1)(f) and (g)** (Page 9) of the NOFA. Describe any plans for the acquisition of rental replacement units or acquisition of land. Describe the purpose of the acquisition, and how that acquisition is proposed to be financed. Indicate whether you now have site control over the property to be acquired, and if not, describe the process you will use to gain site control and an approximate date that site control can be obtained. If you are selected for funding, you will be required to submit an Acquisition Proposal. *See Glossary.*

D.6 Site Improvements. Describe any proposed on-site improvements, including infrastructure requirements, changes in streets, etc. Describe all public improvements needed to ensure the viability of the proposed project with a narrative description of the sources of funds available to carry out such improvements.

Exhibit E: PHYSICAL REVITALIZATION PLAN

E.1 Physical Plan. Describe your planned physical revitalization activities. Refer to **Section IV(D)(2)** (Page 25) of the NOFA for replacement unit requirements.

a. **rehabilitation**, redesign, or reconfiguration of a severely distressed public housing project in accordance with **Section III(C)(1)(c)** (Page 9) of the NOFA.

b. **new construction** of public housing replacement rental housing, both on-site and off-site, in accordance with **Section III(C)(1)(d)** (Page 9) of the NOFA.

Indicate whether you plan to use PATH technologies in the construction of replacement housing, in accordance with Section **IV(D)(4)(e)** (Page 26) of the NOFA.

c. replacement **homeownership** assistance for displaced public housing residents or other public housing-eligible low-income families, in accordance with **Section III(C)(1)(e)** (Page 9) of the NOFA. Also describe any market-rate homeownership units planned, sources and uses of funds. Describe the relationship between the HOPE VI activities and costs and the development of homeownership units, both public housing and market rate. If you are selected for funding, you will be required to submit a Homeownership Proposal. *see glossary*

d. Major rehabilitation, other physical improvements, or new construction of **community facilities** primarily intended to facilitate the delivery of community and supportive services for residents of the targeted development and residents of off-site replacement housing, in accordance with Section **III(C)(1)(h)** (Page 9) of the NOFA. Describe the type and amount of such space and how the facilities will be used in CSS program delivery or other activities.

e. Land acquisition and infrastructure and site improvements associated with developing **economic development facilities**, in accordance with **Section III(C)(1)(l)** (Page 10) of the NOFA. Note that HOPE VI grant funds may **not** be used to pay hard development costs or to buy equipment for retail or commercial facilities.

f. **Extraordinary site work**, in accordance with **Section II(A)(3)(d)(i)** (Page 4) of the NOFA.

Related Attachment 22:	*Application Data Form: Relocation, Income, Non-Dwelling Structures*
Related Attachment 23:	*Application Data Form: Proposed Unit Mix Post-Revitalization*
Related Attachment 24:	*Application Data Form: Planned Units, Accessibility, Concentration*

E.2 Design.

Respond to **Rating Factor 3(2)** (Page 42).

Related Attachment 16: *Conceptual Site Plan*
Related Attachment 17: *Conceptual Interior Unit Design Illustrations*
Related Attachment 18: *Conceptual Elevations*
Related Attachment 19: *Photographs of Architecture in the Surrounding Community*

E.3 Market.

Review **Rating Factor 3(3)(a)** (Page 43) and respond to **3(3)(a)(ii)**.

Related Attachment 27: *Preliminary Market Assessment Letter*

E.4 Lessen Concentration.

Respond to **Rating Factor 3(4)** (Page 44).

Related Attachment 24: *Application Data Form: Planned Units, Accessibility, Concentration*

E.5 Affirmatively Furthering Fair Housing.

Accessabilility: Respond to **Rating Factor 3(9)(a)** (Page 51).

Adaptability: Respond to **Rating Factor 3(9)(b)** (Page 51).

Visitability: Respond to **Rating Factor 3(9)(c)** (Page 52).

Related Attachment 24: *Application Data Form: Planned Units, Accessibility, Concentration*

E.6 Separability.

Review **Section V(B)(2)** (Page 29) of the NOFA, and, if applicable, address the separability of the revitalized building(s).

Related Attachment: *Current Site Map*

Exhibit F: COMMUNITY AND SUPPORTIVE SERVICES

F.1 Community and Supportive Services Plan.

Review **Section IV(C)(2)** (Page 19) of the NOFA for information and requirements of CSS programs. Describe your CSS plan, keeping in mind the elements of **Rating Factor 3(6)** (Page 46).

Related Attachment 25: Application Data Form: Self-Sufficiency

F.2 Endowment Trust.

Review **Section IV(C)(2)(f)** (Page 24) of the NOFA. If you plan to place CSS funds in an Endowment Trust, state the dollar amount and percentage of the entire grant that you plan to place in the Trust.

Exhibit G: Resident and Community Outreach and Involvement

G.1 Collaboration and Inclusiveness.

Respond to **Rating Factor 3(7)(a)** (Page 47).

G.2 Logistics.

Respond to **Rating Factor 3(7)(b)** (Page 47).

Related Attachment 28: Public Meeting Documentation

G.3 Communication.

Respond to **Rating Factor 3(7)(c)** (Page 48).

G.4 Dissention.

Respond to **Rating Factor 3(7)(d)** (Page 48).

Exhibit H: OPERATION AND MANAGEMENT PRINCIPLES AND POLICIES

H.1 Self-Sufficiency and Economic Diversity; Safety and Security.

Review **Rating Factor 3(8)** (Page 49). Demonstrate your team's plan and capacity to carry out the 10 elements listed.

H.2 Diversity.

Respond to **Rating Factor 3(9)(d)** (Page 52).

Exhibit I: PROGRAM COSTS

I.1 Hard Development Costs.

Respond to **Rating Factor 3(3)(b)** (Page 43). Review **Section II(A)(3)(d)** (Page 4) of the NOFA for the certification requirement (Attachment 31) if you are requesting funds for extraordinary site costs.

Related Attachment 26: Application Data Form: Sources and Uses
Related Attachment 29: HOPE VI Budget
Related Attachment 30: Grant Limitations/TDC Worksheet
Related Attachment 31: Extraordinary Site Costs

I.2 Soft Costs.

Review **Section III(C)(1)(j)** (Page 10) of the NOFA for information on soft costs. Respond to **Rating Factor 3(3)(c)** (Page 43).

I.3 Prior HUD Public Housing Grant Assistance.

Review **Section II(A)(4)(h)** (Page 5) of the NOFA. If applicable, disclose all prior HUD public housing grant assistance received for the project(s) you have targeted for the physical revitalization related to the proposed revitalization activities. Do not include Modernization funds used for prior rehabilitation activities unrelated to the proposed HOPE VI revitalization activities.

Exhibit J: PARTICIPATION IN THE CONSOLIDATED PLAN/AI PROCESS

Respond to **Rating Factor 5(2)** (Page 59).

Related Attachment 34: Documentation of Coordination
Related Attachment 35: Consolidated Plan/AI

Acknowledgment of Application Receipt

U.S. Department of Housing and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: _____

To Be Completed by HUD

☐ HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐ HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

- ☐ Enclosed
- ☐ Being sent under separate cover

Processor's Name _____

Date of Receipt _____

ATTACHMENTS

Attachment 1: City Map.

Provide a to-scale city map that clearly identify the following in the context of existing city streets, the central business district, other key city sites, and census tracts:

- the existing development;
- replacement neighborhoods, if available;
- off-site properties to be acquired, if any;
- the location of the Federally-designated Empowerment Zone or Enterprise Community (if applicable); and
- other useful information to place the project in the context of the city, county, or municipality.

If you request funds for more than one project or for scattered site housing, the map must clearly show that the application meets the revitalization site and unit application guidelines of Section II(A)(4)(b) and (c) of the NOFA.

Attachment 2: Current site map, which shows the various buildings of the project and identifies which buildings are to be rehabilitated, demolished, or disposed of.

Attachment 3: Proposed site map, which indicates where proposed construction and rehabilitation activities will take place and any planned acquisition of adjacent property and/or buildings.

Attachment 4: Evaluation Commitment. Review **Rating Factor 3(10)(a)** (Page 53) and provide the requested support letter(s) that addresses the indicated evaluation areas.

Attachment 5: Staffing and Time Allocation Plan that sets forth the PHA staff positions (and names, to the extent available) responsible for implementing each aspect of the Revitalization Plan and the percentage of each staff member's time to be spent administering the program. The staffing plan also must indicate roles, and responsibilities of each staff member. Do not submit resumes.

Attachment 6: Organizational Chart. Provide an organizational chart that indicates the relationships among PHA staff and between the PHA and members of the Development Team.

Attachment 7: Program Schedule. Provide a Program Schedule that clearly indicates that you will adhere to the timeframes listed in **Section IV(D)(3)** (Page 25) of the NOFA. Assume a Grant Agreement execution date of October 1, 2000.

Attachment 8: Developer Commitment. If you have or expect to procure an outside development team, provide a written commitment from the developer that responds to **Rating Factor 1(1)(a)(i)** (Page 33). If the developer will also act as the property manager, one letter may suffice for Attachments 8 and 10. If the developer is providing resources to the project, those resources may be committed in the same letter.

Attachment 9: CSS Team Commitments. Provide letters from CSS team members that respond to **Rating Factor 1(2)(a)** (Page 34). If team members are also providing resources to the project, those resources may be committed in the same letter.

Attachment 10: Property Manager Commitment. If you have or expect to procure a property manager, or if property management will be carried out by the development team, provide a written commitment from the entity that responds to **Rating Factor 1(3)** (Page 35). If the developer will also act as the property manager, one letter may suffice for Attachments 8 and 10. If a separate property manager is providing resources to the project, those resources may be committed in the same letter.

Attachment 11: Other Team Member Commitments. Review **Rating Factor 1** (Page 33) and submit letters or other documentation of commitments from any other procured or potential team members that will participate in the revitalization. If the team member is providing resources to the project, those resources may be committed in the same letter.

Attachment 12: Representative Photographs. Review **Rating Factor 2(1)** (Page 37) and submit photographs of the targeted severely distressed public housing that support your assertion that the project is severely distressed, as defined in **Section IV(A)(1)** (Page 13) of the NOFA.

Attachment 13: Certification of Severe Physical Distress. Submit a certification that meets the requirements of **Section V(B)(1)(a)** (Page 13) of the NOFA. No backup documentation is required for this certification.

Attachment 14: Neighborhood Conditions. Submit documentation described in **Rating Factor 2(2)** (Page 38).

Attachment 15: Section 8 Application. If you will need Section 8 assistance, submit a Section 8 application in accordance with **Section II(C)(1)** (Page 7) of the NOFA. A copy of the Section 8 Application is included in Part V of this HOPE VI Application Kit, and also can be downloaded from HUDCLIPS (www.hudclips.org).

Attachment 16: Conceptual Site Plan.

Attachment 17: Conceptual Interior Unit Design Illustrations.

Attachment 18: Conceptual Elevations.

Attachment 19: Photographs of Architecture in the Surrounding Community. Provide photographs in conjunction with **Rating Factor 3(2)** (Page 42), Design.

Attachment 20: Application Data Form: Cover Sheet

Attachment 21: Application Data Form: Existing Units, Occupancy, Vacancy

Attachment 22: Application Data Form: Relocation, Income, and Non-Dwelling Structures

Attachment 23: Application Data Form: Proposed Unit Mix Post-Revitalization

Attachment 24: Application Data Form: Planned Units, Accessibility, Concentration

Attachment 25: Application Data Form: Self-Sufficiency

Attachment 26: Application Data Form: Sources and Uses

Attachment 27: Preliminary Market Assessment Letter. Respond to the requirements of **Rating Factor 3(3)(a)(i)** (Page 43).

Attachment 28: Public Meetings Documentation. Review **Section IV(C)(1)** (Page 18) of the NOFA, complete Attachment 28, and submit the documentation required by **Section V(B)(3)(a)** (Page 30) of the NOFA.

Attachment 29: HOPE VI Budget. Provide the proposed HOPE VI budget on form HUD-52825-A, parts I and II. This form can be found in Part V of this HOPE VI Application Kit and on HUDCLIPS (www.hudclips.org).

Attachment 30: Grant Limitation/TDC Worksheets. Review **Section II(A)(3)** (Page 3) of the NOFA and complete these Worksheets.

Attachment 31: Extraordinary Site Costs. If you request funds to pay extraordinary site costs in accordance with **Section II(A)(3)(d)(i)** (Page 4) of the NOFA, submit the documentation required by Section **II(A)(3)(d)(ii)** of the NOFA.

Attachment 32: Non-Public Housing Leveraged Resource List. In accordance with **Rating Factor 4** (Page 54): Leveraging Resources, enter the dollar value of all non-public housing leveraged funds or services on the list provided, differentiating between resources to be dedicated to physical development and resources to pay for community and supportive services programs. For each resource entered on Attachment 32, you **must** submit backup documentation, in Attachment 33 or elsewhere in the application.

Attachment 33: Resource Commitment Letters. Review **Rating Factor 4** (Page 54) and submit letters of commitment of resources that meet the given documentation requirements. Enter information from each letter of commitment on Attachment 32. Letters of commitment from elsewhere in the application (e.g., evaluation, team member capacity) do not have to be repeated in Attachment 32 as long as the page numbers of those letters are entered on Attachment 31.

Attachment 34: Documentation of Coordination. Review **Rating Factor 5(1)** (Page 58) and provide the documentation described in Rating Factor 5(1)(c)(i).

Attachment 35: Consolidated Plan/AI. Review **Rating Factor 5(2)** (Page 59) and provide a copy of the page(s) of the Consolidated Plan that identifies severely distressed public housing as a need, as described in Rating Factor 5(2)(a)(i).

HOPE VI Revitalization Application Data Form

U.S. Department of Housing and Urban Development Office of Public and Indian Housing

OMB Approval No. 2577-0208 (exp. 05/31/00)

Attachment 20: *Application Data Form: Cover Sheet*

Development Name: _____

Applicant Information

PHA Number: __ __ - __ __ __

PHA Name: _____

PHA Street Address: _____

City, State, Zip: _____ *Main Telephone #:* _____

PHA Executive Director: _____ *Telephone:* _____ *Fax:* _____

Email Address: _____

HOPE VI Coordinator: _____ *Telephone:* _____ *Fax:* _____

Email Address: _____

HOPE VI Developer (if any): _____ *Telephone:* _____ *Fax:* _____

HOPE VI Developer Contact: _____ *Email Address:* _____

Program Manager (if any): _____ *Telephone:* _____ *Fax:* _____

Email Address: _____

Additional Partner: _____ *Functional Title:* _____

Additional Partner: _____ *Functional Title:* _____

Existing Development Name: _____

Street Address/Zip: _____

Existing Project Number(s): _____ *Neighborhood name/Area of town:* _____

New Development Name: _____ *Congressional District:* _____

Mixed Income Proposed? _____ *Mixed Finance Proposed?* _____

Data Summary

	Existing	*Post-Development*
Number of replacement Public Housing units (on/off-site, including homeownership units - excluding rehabilitated units)		
Number of non-Public Housing, subsidized units (on/off-site, including homeownership)		
Number of market-rate units (no income restrictions)		
TOTAL NUMBER OF UNITS		
Number of units to be rehabilitated (excluding acquisition with rehab)		
Number of newly constructed on-site units (incl. acquisition with rehab)		
Number of newly constructed/off-site units (incl. acquisition with rehab)		
Number of occupied units (at time of application)		
Number of vacant units (at time of application)		

Attachment 20: Cover Sheet & Data Summary Box Instructions

Begin by completing the "Applicant Information" section.

The Data Summary box, at the bottom of Attachment 20, is a summary of the information provided throughout the application.

THE DATA SUMMARY BOX SHOULD BE COMPLETED LAST.

These attachments will be available on the Internet, in Microsoft Excel. The web site address is:

www.hud.gov/pih/programs/ph/hope6/hope6.html

If you choose to download the Microsoft Excel worksheets, the information required in the **Data Summary** box will be completed for you by your computer. Therefore, you will not need to calculate this information.

Downloading the Microsoft Excel file will save you time!

However, if you are unable to complete these worksheets in Microsoft Excel, Figure 1 illustrates where the correct equations are in the instructions.

Figure 1: Data Summary Box

Data Summary

	Existing	*Post-Development*
Number of replacement Public Housing units (on/off-site homeownership units, excluding rehabilitated units)		See #1
Number of non-Public Housing, subsidized units (on/off site, including homeownership)		See #2
Number of market-rate units (no income restrictions)		See #3
TOTAL NUMBER OF UNITS		See #4
Number of units to be rehabilitated (excluding acquisition with rehab)		See #5
Number of newly constructed on-site units(including acquisition with rehab)		See #6
Number of newly constructed off-site units (including acquisition with rehab)		See #7
Number of occupied units (at time of application)	See #8	
Number of vacant units (at time of application)	See #9	

Data Summary Box Instructions

Data Summary: #1

	Existing	*Post-Development*
Number of replacement Public Housing units (on/off-site homeownership units, excluding rehabilitated units)		**#1**

To calculate this number, do the following:

1. **From Attachment 24 SUM:**

   [Total ACC on site] + [Total ACC off site] + [Part 906 on site] + [Part 906 off site] + [Other Homeownership on site] + [Other Homeownership off site]

2. **Then from Attachment 23 SUBTRACT:**

   Total Rehabilitated ACC Units

3. **This EQUALS**

   Number of replacement Public Housing units (on/off site, including homeownership units – excluding rehabilitated units)

Data Summary: #2

	Existing	*Post-Development*
Number of non-Public Housing, subsidized units (on/off site, including homeownership)		**#2**

To calculate this number, do the following:

1. From Attachment 24, ADD:

[Non-ACC LIHTC on site] + [Non-ACC LIHTC off site] + [Non-ACC HOME on site] + [Non-ACC HOME off site] + [Other Subsidized Homeownership with Income Restrictions (no PH Funds) on site] + [Other Subsidized Homeownership with Income Restrictions (no PH Funds) off site]

The white boxes in Figure 2 (below) correspond to this equation.

Figure 2: Excerpt from Attachment 24, Planned Units

Planned Units

Rental Units: ACC							
PH/Only		*PH/LIHTC*		*PH/Other*		*Total ACC*	
On Site	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*

Rental Units: Non-ACC							
LIHTC		*HOME*		*No Income Restrictions*		*Total Non ACC*	
On Site	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*

Homeownership Units									
Part 906 Homeownership (PH Funds Included)		*Other Homeownership (PH Funds Included)*		*Other Subsidized Homeownership with Income Restrictions (No PH Funds)*		*Unsubsidized Homeownership with No Income Restrictions*		*Total Homeownership*	
On Site	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*

Data Summary: #3

	Existing	*Post-Development*
Number of market-rate units (no income restrictions)		#3

In order to calculate this, do the following.

1. From Attachment 24, ADD:

[Non-ACC No Income Restrictions on site] + [Non-ACC No Income Restrictions off site] + [Unsubsidized Homeownership Units with No Income Restrictions on site] + [Unsubsidized Homeownership Units with No Income Restrictions off site]

The white boxes in Figure 3 correspond to this equation.

Figure 3: Excerpt from Attachment 24: Planned Units

Planned Units

Rental Units: ACC							
PH/Only		*PH/LIHTC*		*PH/Other*		*Total ACC*	
On Site	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*

Rental Units: Non-ACC							
LIHTC		*HOME*		*No Income Restrictions*		*Total Non ACC*	
On Site	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*

Homeownership Units									
Part 906 Homeownership (PH Funds Included)		*Other Homeownership (PH Funds Included)*		*Other Subsidized Homeownership with Income Restrictions (No PH Funds)*		*Unsubsidized Homeownership with No Income Restrictions*		*Total Homeownership*	
On Site	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*	*On Site*	*Off Site*

Data Summary: #4

	Existing	*Post-Development*
Total Number of Post-Development Units		#4

To calculate this number, add the numbers from the first three rows in the Data Summary box.

The white boxes in Figure 4 indicate this.

Figure 4: Excerpt from Data Summary box

	Existing	*Post-Development*
Number of replacement Public Housing units (on/off-site homeownership units, excluding rehabilitated units)		
Number of non-Public Housing, subsidized units (on/off site, including homeownership)		
Number of market-rate units (no income restrictions)		
Total Number of Post-Development Units		

Data Summary: #5

	Existing	Post-Development
Number of Units to be Rehabilitated (excluding acquisition with rehab)		#5

In order to calculate this, do the following:

1. **From Attachment 23, ADD:**

[Grand Total of Rehabilitated ACC Units] + [Grand Total of Rehabilitated Non-ACC Units] + [Grand Total of Rehabilitated Other Homeownership]

The white boxes in Figure 5 correspond to this equation.

Figure 5: Excerpt from Attachment 23: Proposed Unit Mix Post-Revitalization

Building Type: New Construction					*Building Type: Rehabilitation*				
Size	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*	*Size*	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					*Total*				
Grand Total									

Data Summary: #6

	Existing	*Post-Development*
Number of newly constructed on-site units (including acquisition with rehab)		**#6**

In order to calculate this, do the following:

1. From Attachment 24, ADD:

[Total ACC on-site] + [Total Non-ACC on-site] + [Total Homeownership on-site]

This is your Total ACC On-Site number.

The white boxes in Figure 6 indicate this.

2. From Attachment 23, ADD:

[Grand Total New ACC Units] + [Grand Total New Non-ACC Units] + [Grand Total New Other Homeownership Units]

This is your Total New Construction number.

The white boxes in Figure 7 indicate this.

NOTE: Any units from the Part 906 program should be included in one of the ACC columns, either New Construction or Rehabilitation.

Compare the Total ACC On-Site number to the Total New Construction number and enter the <u>LESSER</u> value in the Data Summary box.

Data Summary #6 continued

Figure 6: Excerpt from Attachment 24: Planned Units

Planned Units	Rental Units: ACC							
	PH/Only		PH/LIHTC		PH/Other		Total ACC	
	On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Rental Units: Non-ACC							
LIHTC		HOME		No Income Restrictions		Total Non ACC	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Homeownership Units									
Part 906 Homeownership (PH Funds Included)		Other Homeownership (PH Funds Included)		Other Subsidized Homeownership with Income Restrictions (No PH Funds)		Unsubsidized Homeownership with No Income Restrictions		Total Homeownership	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Figure 7: Excerpt from Attachment 23: Proposed Unit Mix Post-Revitalization

Building Type: New Construction					Building Type: Rehabilitation				
Size	Sq. Ft.	ACC Units*	Non-ACC Units**	Other Home-ownership	Size	Sq. Ft.	ACC Units*	Non-ACC Units**	Other Home-ownership
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					Total				
Grand Total									

Data Summary: #7

	Existing	*Post-Development*
Number of newly constructed off-site units (including acquisition with rehab)		#7

In order to calculate this, do the following.

1. From Attachment 24, ADD:

[Total ACC off-site] + [Total Non-ACC off-site] + [Total Homeownership off-site]

This is your Total ACC Off-Site number.

The white boxes in Figure 8 indicate this.

2. From Attachment 23, ADD:

[Grand Total ACC Units] + [Grand Total Non-ACC Units] + [Grand Total Other Homeownership Units]

This is your Total New Construction number.

The white boxes in Figure 9 indicate this.

NOTE: Any units from the Part 906 program should be included in one of the ACC columns, either New Construction or Rehabilitation.

Compare the Total ACC Off-Site number to the Total New Construction number and enter the <u>LESSER</u> value in the Data Summary box.

Data Summary #7 continued

Figure 8: Excerpt from Attachment 24: Planned Units

Planned Units

Rental Units: ACC							
PH/Only		PH/LIHTC		PH/Other		Total ACC	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Rental Units: Non-ACC							
LIHTC		HOME		No Income Restrictions		Total Non ACC	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Homeownership Units									
Part 906 Homeownership (PH Funds Included)		Other Homeownership (PH Funds Included)		Other Subsidized Homeownership with Income Restrictions (No PH Funds)		Unsubsidized Homeownership with No Income Restrictions		Total Homeownership	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Figure 9: Excerpt from Attachment 23: Proposed Unit Mix Post-Revitalization

Building Type: New Construction					Building Type: Rehabilitation				
Size	Sq. Ft.	ACC Units*	Non-ACC Units**	Other Home-ownership	Size	Sq. Ft.	ACC Units*	Non-ACC Units**	Other Home-ownership
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					Total				
Grand Total									

Data Summary: #8

	Existing	*Post-Development*
Number of occupied units (at time of application)		#8

From Attachment 21:

The Grand Total box for the "Number Occupied" column.

The white box in Figure 10 indicates this.

Figure 10: Excerpt from Attachment 21: Existing Units

Existing Units at Time of Grant Application

Building Type	*Size*	*Number Occupied*	*Number Vacant*	*Total Units*	*Converted to non-dwelling*	*Demo Planned*
Row	0 BR					
Etc.	1 BR					
	2 BR					
	3 BR					
	Etc...					
Grand Total						

Data Summary: #9

	Existing	*Post-Development*
Number of vacant units (at time of application)		#9

From Attachment 21:

The Grand Total box for the "Number Vacant" column.

The white box in Figure 11 indicates this.

Figure 11: Excerpt from Attachment 21: Existing Units

Existing Units at Time of Grant Application

Building Type	*Size*	*Number Occupied*	*Number Vacant*	*Total Units*	*Converted to non-dwelling*	*Demo Planned*
Row	0 BR					
Etc.	1 BR					
	2 BR					
	3 BR					
	ETC.					
Grand Total						

Attachment 21: *Application Data Form: Existing Units, Occupancy, Vacancy*

Development Name: _____

Existing Units at Time of Grant Application

Building Type	*Size*	*Number Occupied*	*Number Vacant*	*Total Units*	*Converted to non-dwelling*	*Demo Planned*
Row	0 BR					
	1 BR					
	2 BR					
	3 BR					
	4 BR					
	5 BR					
	6 BR					
	Total					
Detached/	0 BR					
Semi detached	1 BR					
	2 BR					
	3 BR					
	4 BR					
	5 BR					
	6 BR					
	Total					
Walkups	0 BR					
	1 BR					
	2 BR					
	3 BR					
	4 BR					
	5 BR					
	6 BR					
	Total					
Elevator	0 BR					
	1 BR					
	2 BR					
	3 BR					
	4 BR					
	5 BR					
	6 BR					
	Total					
Grand Total						

Attachment 21: Existing Units, Occupancy, Vacancy Instructions

1. Complete this page by first filling in the number of occupied and vacant units according to building and bedroom types.

Figure 12: Excerpt from Attachment 21: Existing Units

Existing Units at Time of Grant Application (abbreviated graphic)

Building Type	*Size*	*Number Occupied*	*Number Vacant*	*Total Units*
Row (etc)	0 BR			
	1 BR			

2. Next, reading across the rows, add the Number Occupied + Number Vacant for the Total Units. Do this for all building and bedroom types.

Figure 13: Excerpt from Attachment 21: Existing Units

Existing Units at Time of Grant Application (abbreviated graphic)

Building Type	*Size*	*Number Occupied*	*Number Vacant*	*Total Units*	*Converted to non-dwelling*	*Demo Planned*
Row	0 BR					

3. Of the Total Units, provide the number that will be converted to non-dwelling units and the number that will be demolished (per building and bedroom type). This will not necessarily equal your Total Units.

Figure 14: Excerpt from Attachment 21: Existing Units

Existing Units at Time of Grant Application

Building Type	*Size*	*Number Occupied*	*Number Vacant*	*Total Units*	*Converted to non-dwelling*	*Demo Planned*
Row	0 BR					
Grand Total						

4. Finally, sum all the columns for the Grand Total row.

Attachment 22: *Application Data Form: Relocation, Income, and Non-Dwelling Structures*

Development Name: _____

Relocation/Occupancy

Relocation Strategy:	*Planned*
To be provided Section 8 certificates/vouchers:	
To be moved within public housing (on and off-site):	
To move to non-assisted housing/unknown:	
Total	

Number of Section 8 certificates/vouchers requested/received from HUD for this project:	***Requested***	***Received***

Number of occupied units at grant application: _____

Projected number of occupied units at time of demolition application approval: _____

Families to be rehoused	*Planned*
Number of original families to be returned to the HOPE VI development (both on and off-site):	
Number of these families to be housed in new construction	

Family Income	*Existing*	*Post Development*
Average income (as percentage of Median) of Public Housing Residents in Development:		
Average income (as percentage of Median) of otherwise subsidized residents in Neighborhood:		
Average Income (as percentage of Median) of market-rate residents in the Neighborhood:		
Resident Profile:		
Total Number of Residents:		
Number of children under 18 years of age:		
Number of children under 6 years of age:		
Number of senior citizens:		
Number of individuals with disabilities		

Non-Dwelling Structure Summary

Proposed Non-Dwelling Structures (Please Describe, including type of facility and whether proposing new construction or rehabilitation	*New or Rehab*	*Square Footage*	*Total Cost*	*Cost per Sq. Ft.*

Attachment 22: Relocation, Income and Non-Dwelling Structures Instructions

The information provided in the "Relocation/Occupancy" section should account for all occupied units reported in Attachment 21: Existing Housing. If a family is moved within the development, this should be recorded as a "move within public housing (on and off site)."

The section "Families to be re-housed" refers only to those families that were on-site prior to revitalization and that will be moved back to the development after revitalization.

If resident households are separated at the time of relocation and the PHA provides relocation assistance to each of the resulting households individually, each is counted as a separate relocation.

If a household is moved more than once during the course of the HOPE VI project, it is counted as <u>one</u> relocation. Report <u>only</u> the number of households that are relocated, not the number of relocations that take place during the duration of the HOPE VI project.

In the "Family Income" section, report a percentage (%) and not a dollar amount. Provide only one percentage, not a range (e.g., <u>do not</u> report 30-45%.).

Finally, complete the "Resident Profile" and "Non-Dwelling Structure Summary".

Attachment 23: *Application Data Form: Proposed Unit Mix Post-Revitalization*

Development Name: _____

Proposed Unit Mix Post-Revitalization

New Construction (include any acquisition w/rehab) *Rehabilitation*

Row: New Construction					*Row: Rehabilitation*				
Size	*Sq. Ft.*	*ACC Units**	*Non- ACC Units***	*Other Home-ownership*	*Size*	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					*Total*				

Detached/Semi-detached: New Construction					*Detached/Semi-detached: Rehabilitation*				
Size	*Sq. Ft.*	*ACC Units**	*Non- ACC Units***	*Other Home-ownership*	*Size*	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					*Total*				

Walkups: New Construction						*Walkups: Rehabilitation*			
Size	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*	*Size*	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					*Total*				

Elevator: New Construction						*Elevator: Rehabilitation*			
Size	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*	*Size*	*Sq. Ft.*	*ACC Units**	*Non-ACC Units***	*Other Home-ownership*
0 BR					0 BR				
1 BR					1 BR				
2 BR					2 BR				
3 BR					3 BR				
4 BR					4 BR				
5 BR					5 BR				
6 BR					6 BR				
Total					*Total*				

Grand Total									

***ACC units include PH rental, PH/LIHTC, and Part 906 lease purchase.**
**** Non-ACC units have no PH or HOPE VI funds and will not be under ACC.**

Attachment 23: Proposed Unit Mix Post-Revitalization Instructions

Complete this form by providing all of the requested information concerning new construction and rehabilitation, according to building type and bedroom number.

Any ACC unit being developed under the Part 906 program should be recorded on this attachment as ACC in either the New Construction or Rehabilitation column.

The numbers you provide for new construction should include the following:

- **new units which are to be built;**
- **existing units which are purchased with the intention of being dwelling units; and**
- **existing units which are purchased with the intention of being rehabilitated.**

Only those units that are already owned or controlled by your PHA and are being rehabilitated should be included in the "Rehabilitation" columns.

The information on Attachment 23 <u>must</u> equal the following information on Attachment 24.

Please ensure that the following are true:

[Attachment 23, New Construction ACC] + [Attachment 23, Rehabilitation ACC] = [Attachment 24, Total ACC on site] + [Attachment 24, Total ACC off site] + [Part 906 Homeownership on-site] + [Part 906 Homeownership off-site]

[Attachment 23, New Construction Non-ACC] + [Attachment 23, Rehabilitation Non-ACC] = [Attachment 24, Total Non-ACC on site] + [Attachment 24, Total Non-ACC off-site]

[Attachment 23, Grand Total New Construction Other Homeownership] + [Attachment 23, Grand Total Rehabilitated Other Homeownership] = [Attachment 24, Other Homeownership on-site] + [Attachment 24, Other Homeownership off-site]

Attachment 24: *Application Data Form: Planned Units, Accessibility, and Concentration*

Development Name: _____

Planned Units

Rental Units: ACC							
PH/Only		PH/LIHTC		PH/Other		Total ACC	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Rental Units: Non-ACC							
LIHTC		HOME		No Income Restrictions		Total Non ACC	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Homeownership Units									
Part 906 Homeownership (PH Funds Included)		Other Homeownership (PH Funds Included)		Other Subsidized Homeownership with Income Restrictions (No PH Funds)		Unsubsidized Homeownership with No Income Restrictions		Total Homeownership	
On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site	On Site	Off Site

Of the homeownership units, how many are rent to own?

Grand Total	

Accessibility

New Construction	*# Rental Units*	*# Homeownership Units*	*# Lease/Purchase Units Part 906*	*Total*
Handicap				
Hearing Impaired				
Sight Impaired				

Rehabilitation	*# Rental Units*	*# Homeownership Units*	*# Lease/Purchase Units Part 906*	*Total*
Handicap				
Hearing Impaired				
Sight Impaired				

Concentration

	Pre Development	*Post Development*
Density of on-site development (Units per Acre):		
Percent of very low income families in the development (30% of median or below)		

Attachment 24: Planned Units, Accessibility, Concentration Instructions

Complete this attachment by first filling in the planned number of ACC rental units, non-ACC rental units, and homeownership units by way of the categories provided.

If an ACC unit is to be developed under the Part 906 program, it should be accounted for within Homeownership in the Part 906 Homeownership box.

Record the number of newly constructed and rehabilitated rental, homeownership, and lease/purchase Part 906 units available to each special needs category. This should include both ACC and non-ACC units.

Finally, record the appropriate information concerning concentration of density and very low-income families – both pre and post development.

When reporting a percentage, do not report a range (e.g., do not report 35-45%). Report a single percentage.

Attachment 25: *Application Data Form: Self-Sufficiency*

Development Name: _____

	During Last 12 Months	At Time of Application	At Grant Award	One Year after Grant Award	Two Years after Grant Award	At Close of Grant
A. Graduation from Public Assistance						
Number of households whose primary monthly source of income is:						
Wages/Salary						
TANF						
Other						
B. Employment/Obstacles to Employment						
Number of TANF participants enrolled in jobs training programs						
Number of non-TANF participants enrolled in jobs training programs						
Number of unemployed residents placed in:						
Section 3 jobs						
Non-Section 3 Jobs						
C. Economic Development						
Number of resident-owned businesses						
D. Section 3						
Dollar amount of HOPE VI contracts going to Section 3 firms						
E. Education						
Number of residents without a high schoold diploma or G.E.D.						
F. Homeownership						
Number of residents in homeownership counciling						
G. Case Management						
If you have a Family Supportive Services program:						
Number of residents enrolled in FSS program						
Dollar amount in escrow accounts						
H. Youth Programs						
Number of youth participating in youth programs						
Number of children participating in day care programs						
I. Health						
Number of partnerships with healthcare agencies (e.g., clinics, hospitals, universities)						
J. Transportation						
Number of residents who use public transportation to get to work or services						

Application Data Form: Self-Sufficiency, Page 2

Development Name: _____

K. Self Sufficiency Projected Spending

Planned Spending	HOPE VI funds	Other funds	Total
Day Care			
Health Care			
Education			
Job Training			
Business Development Training			
Case Management			
Other, (specify)			
Other, (specify)			
Other, (specify)			
Other, (specify)			
Other, (specify)			
Other, (specify)			

TOTAL			

L. Self-Sufficiency: Programs and Partners

List of Self-Sufficiency (CSS) Programs

List of Self-Sufficiency (CSS) Partners

Attachment 25: Self-Sufficiency Instructions

Complete items A through J by filling in all boxes that are associated with each statement. Do not fill in any shaded boxes.

Complete item K by filling in the projected spending for each applicable category from each funding source. HOPE VI Funds should include only HOPE VI Implementation Grant dollars. HOPE VI Planning or Demolition Grants should be included in "Other Funds".

Complete item L by describing your Self-Sufficiency programs and by listing partners associated with this component of the HOPE VI project.

Attachment 26: *Application Data Form: Sources and Uses*

Development Name: _____

Uses ($)*	HOPE VI Uses ($) +	Non-HOPE VI Uses =	Total
Administration			
Administration			
Management Improvements			
Management Improvements - Dev			
Management Improvements - CSS			
Acquisition			
Site Acquisition			
Building Acquisition, Turnkey			
Building Acquisition, Rehabilitation			
Building Acquisition, Non-Dwelling			
Building Remediation/Demolition			
Remediation, Dwelling Units			
Demolition, Dwelling Units			
Remediation, Non-Dwelling Units			
Demolition, Non-Dwelling Units			
Demolition, Other			
Site Improvements			
Site Remediation			
Site Infrastructure			
Off-site improvements			
Construction			
Dwelling Structures - hard costs			
Non-Dwelling - hard costs			
General Requirements			
Builder's Profit			
Builder's Overhead			
Bond Premium			
Hard cost contingency			
Equipment			
Dwelling Equipment			
Non-Dwelling Equipment			
Professional Fees/Consultant Services			
Program Management Services			
Architectural			
Engineering			
Construction Management Services			
Appraisal			
Environmental			
Market Study			
Historic preservation documentation			
Other			
Legal			
Organizational			
Syndication			
PHA outside counsel			
Other			
Tax Credit			
Accounting			
Tax credit application			
Tax credit monitoring fee			
Consultant			
Other			

Application Data Form: Sources and Uses, Page 2

Development Name: _____

Uses ($)*	HOPE VI Uses ($) +	Non-HOPE VI Uses =	Total
Other Development Costs (Soft Costs)			
Accounting Fees			
Financing Fees			
Permit Fees			
Title/Recording/Settlement Fees			
Real Estate taxes during construction			
Insurance during construction			
Interest during construction			
Bridge loan interest			
Marking/Rent-up expenses			
Initial operating deficit			
Soft cost contingency			
Other			
Relocation			
Relocation Costs			
Developer Fee			
Developer Fee			
Reserves			
Operating reserve			
Other reserves			
Non-Development Costs			
Self-Sufficiency (CSS)			
Other non-development costs			
Planning			
Planning Grant			
TOTAL USES:	$	$	
		Total Uses	$

Sources ($)	
Grants	
HOPE VI:	
Modernization:	
PH Development:	
MROP:	
HOPE VI Planning Grant	
HOPE VI Demolition Grant	
Other HUD Funds	
HUD HOME:	
HUD CDBG:	
Total HUD Funds	$
Non-HUD Public Funds	
State Funds	
Local Funds	
Other Funds	
PHA Funds	
Total Non-HUD Public Funds	$
Private Funds	
Tax Exempt Bonds	
Taxable Bonds	
Private LIHTC	
Other Equity	
Homebuyer down payment	
Donations/Grants	
Private Lender	
Other	
Total Private Funds	$
Total Sources	$

Total Uses must Equal Total Sources

THE TOTAL HOPE VI USES MUST EXACTLY EQUAL THE HOPE VI IMPLEMENTATION GRANT (the first line under Sources)!

THE TOTAL USES MUST EXACTLY EQUAL THE TOTAL SOURCES! FAILURE TO DO SO WILL LOWER YOUR SCORE!

MATH WILL BE CHECKED!

The column labeled "HOPE VI Uses ($)" should equal your proposed HOPE VI budget.

The column labeled "Non-HOPE VI Uses" should equal your proposed budget for all other funds for the HOPE VI project (e.g., all leveraged funds). For the purposes of this program, the HOPE VI Planning and Demolition grants are considered leveraged funds and are, therefore, Non-HOPE VI funds and should be accounted for in the Non-HOPE VI Uses column.

The "Total" column is the sum of the HOPE VI Uses and Non-HOPE VI Uses columns. Sum across rows, line item by line item, as well as down columns for the totals.

You must budget a single dollar amount for each budget line item. Do not show a range of dollars (e.g., $500,00-$750,000). Also, it is insufficient to include statements such as "included in above amount" in lieu of a dollar figure. If an amount is included in another amount, break it out and budget it exactly.

The Sources column is concerned with all sources of funding received by the PHA for the HOPE VI project. The first line, HOPE VI, refers to the HOPE VI Implementation Grant, which is different from the HOPE VI Planning and Demolition Grants. The first line of the "Sources" column must equal your HOPE VI Implementation Grant. The HOPE VI Planning and the HOPE VI Demolition Grants are accounted for as separate line items in the Sources column.

ATTACHMENT 28

PUBLIC MEETING DOCUMENTATION

Use this worksheet to record the dates and issues covered in your training session and public meetings, as required by Section IV(C)(1) of the NOFA (Page 18). Each of the issues must be covered in at least one of the public meetings. Use the bottom section to check off the documentation submitted to meet the Threshold requirements of Section V(B)(3) of the NOFA (Page 30). Place all documentation of your meetings behind this worksheet.

	Training Session	Meeting 1	Meeting 2	Meeting 3
DATE HELD:				
ISSUES COVERED:				
HOPE VI planning and implementation process				
Proposed physical plan, including site and unit design				
Extent of proposed demolition				
Planned community and supportive services				
Other proposed revitalization activities				
Relocation				
Reoccupancy plans and policies				
Section 3 and employment opportunities				
REQUIRED DOCUMENTATION:				
notice placed in a commercial newspaper or journal				
first page of sign-in sheets and certification of number of sheets collected				
signed and notarized copies of the meeting minutes				

ATTACHMENT 30
REVITALIZATION GRANT LIMITATIONS WORKSHEET

1. Maximum dollar amount for **TDC Cap**, including "Housing Allocation" and "Community Renewal Allocation," calculated separately for Replacement Units and for existing public housing units to be substantially rehabilitated [including reconfigurations].

   A. Calculation of maximum grant for Replacement Units
   [On- or off-site, including PH rental, PH/LIHTC rental, and homeownership. For the TDC calculation, treat units to be acquired and rehabilitated as new construction. Numbers used in this TDC calculation should be consistent with data provided elsewhere in this application.]

   (1) Total number of proposed Replacement Units _____

   (2) Sum of TDC Cap [at **100%** w/o 6% trend] for these units $ _____

   (3) Amount requested for Replacement Units $ _____

   B. Calculation of maximum grant for Substantially Rehabilitated Units (if any)

   (1) Total number of proposed rehab units [Use number of "after rehab" units rather than pre-rehab, if different] _____

   (2) Sum of TDC Cap [at **90%** w/o 6% trend] for these units $ _____

   (3) Amount requested for Rehabilitated Units $ _____

   C. Calculation of maximum grant for TDC Cap.

   (1) Limit for Replacement units [lesser of 1.A(2) or 1.A(3)] $ _____

   (2) Limit for Rehabilitated units [lesser of 1.B(2) or 1.B(3)] $ _____

   (3) Sum of two Limits [1.C.(1) + 1.C.(2)] $ _____

2. Maximum amount that a PHA can request for **Community and Supportive Services** programs. The limit is **15% of the total HOPE VI grant.**

   A. Total HOPE VI grant requested [Line 5.A.(5)] $ _____

   B. Maximum allowable for Community and Supportive Services [2.A x .15] $ _____

   C. Amount requested by PHA $ _____

   D. Limit for Community and Supportive Services [lesser of Lines 2.B or 2.C] $ _____

3. **Demolition and Site Remediation** costs of units that will not be replaced on site.

A. Number of on-site units to be demolished _____

B. Number of on-site replacement units _____

C. Difference [3.A minus 3.B] _____

D. Allowable ratio [3.C. divided by 3.A.] _____ %

E. Cost of demolition of all on-site units, i.e. units counted in 3.A.

(1) Cost of Abatement and Site Remediation $ _____

(2) Cost of Demolition and Minimal Site Restoration $ _____

(3) Total allowable expense for purposes of this calculation. [sum of 3.E.(1) and 3.E.(2)] $ _____

F. Allowable Demolition and Site Remediation costs that can be funded in the grant [3.E.(3) x percentage in 3.D.] $ _____

4. **Extraordinary Site Costs**

A. Total of all site costs, including "extraordinary" $ _____

B. Total of "Extraordinary Site Costs" included in 4.A.

List by type and amount [must add up to total]: $ _____

_____ $ _____

_____ $ _____

_____ $ _____

_____ $ _____

_____ $ _____

_____ $ _____

5. A PHA may not request more than **$35 million.** In addition, while a PHA may receive a Revitalization grant of up to $35 million, that amount plus any previously-received HOPE VI funds awarded for the project may not exceed the per unit limitations established by applicable TDC policy.

A. Total Amount Requested

(1)	Maximum grant for TDC Cap [Amount on line 1.C(3)]	$ _____
(2)	Limit for Community and Supportive Services [Amount on line 2.D]	$ _____
(3)	Allowable Demolition and Site Remediation costs [Amount on line 3.F]	$ _____
(4)	Extraordinary Site Costs [Amount on line 4.B]	$ _____
(5)	Total allowable HOPE VI grant	$ _____

B. Determination of Maximum Fundable Revitalization Grant Amount

(1)	Total allowable costs for applicant [Line 5.A(5)]	$ _____
(2)	Maximum Revitalization award possible under the NOFA	$35,000,000
(3)	MAXIMUM FUNDABLE REVITALIZATION AMOUNT [Lesser of lines 5.B(1) or 5.B(2)]	$ _____

6. TDC Cost Allocations

In order to better control the use of HUD public housing funds involved in the development of a project, HUD has established a policy that separates the costs of development into three sub-allocations. Refer to Notice PIH 99-17, included as Part VI of this HOPE VI Application Kit, and divide the amount you are requesting into the following cost categories:

A. Revitalization Application Cost Allocations

Housing Cost Cap: $ _____

Community Renewal: $ _____

Community and Supportive Services: $ _____

Demolition and Remediation of Unreplaced Units: $ _____

Extraordinary Site Costs: $ _____

TOTAL
(must equal grant amount requested; may not exceed $35 million): $ _____

B. Revitalization and Demolition Cost Allocations

If you are submitting a HOPE VI Demolition grant application under Priority Group 5 to augment your Revitalization grant request in accordance with Section VII(A)(1)(e) of the NOFA (Page 63), divide the total amount you are requesting in both applications into the following cost categories. The Revitalization request cannot exceed $35 million; there is no cap on the amount you can request in a Demolition application.

Housing Cost Cap: $ _____

Community Renewal: $ _____

Community and Supportive Services: $ _____

Demolition and Remediation of Unreplaced Units: $ _____

Extraordinary Site Costs: $ _____

TOTAL
(must equal grant amounts requested in both applications): $ _____

ATTACHMENT 32

NON-PUBLIC HOUSING LEVERAGED RESOURCE LIST

List all non-public housing leveraged funds or services. For each resource you list, you **must** provide backup documentation in Attachment 26. Your score for Coherence and Consistency will be based partially on whether the resources listed here are adequately documented.

Source of Leveraged Resource	*Physical Development*	*CSS*	*HUD Use Only*
_____	$_____	$_____	$_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
PAGE TOTAL	_____	_____	_____

Page _____ of _____

CERTIFICATIONS

The following certifications and forms constitute the final pages of your application. Detach them from this Application Kit or download them from the web (www.hudclips.org). **DO NOT RETYPE ANY OF THESE FORMS.** Retyped forms will not be accepted.

1. HOPE VI Revitalization Applicant Certifications (Form HUD-52820-A). This form must be signed by the **Chairman of the Board** of the Housing Authority.

2. Certification of Consistency with the Consolidated Plan (Form HUD-2991). This form must be signed by the **appropriate local official** (not the PHA). *See Glossary.*

3. Recipient Disclosure/Update Report (Form HUD 2880). This form must be signed by the **PHA Executive Director.** If, after reading the instructions, you have questions regarding Form 2880, please do not spend an inordinate amount of time on it. If HUD has questions on it at a later date, you will be contacted. The form must be submitted in order to have a complete application, but it can be refined at a later date if necessary, since it does not affect the rating of the application.

4. Certification of Consistency with the EZ/EC Strategic Plan (Form HUD-2990). This form, if applicable, must be signed by the **appropriate local official** (not the PHA). See Section III(C)(1) of the General section of the SuperNOFA for details. A list of the EZs and ECs follows the form.

All of the following certifications must be signed by the **Executive Director** of the Housing Authority. Copies of these forms can be found in Part V of this HOPE VI Application Kit.

5. Assurances - Construction Programs (SF 424D)

6. Certification Regarding Debarment and Suspension (HUD-2992)

7. Certification for a Drug-Free Workplace (Form HUD-50070)

8. Certification of Payments to Influence Federal Transactions (Form HUD-50071)

9. Disclosure of Lobbying Activities (Form SF-LLL). Submission of this form is required only if any funds will be or have been used to influence Federal workers, Members of Congress or their staff regarding specific grants or contracts. The applicant determines if the submission of SF-LLL is applicable.

HOPE VI Revitalization Applicant Certifications

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Acting on behalf of the Board of Commissioners of the Housing Authority listed below, as its Chairman, I approve the submission of the HOPE VI Revitalization application of which this document is a part and make the following certifications to and agreements with the Department of Housing and Urban Development (HUD) in connection with the application and implementation thereof:

Applicant Certifications

1. The public housing project or building in a project targeted in this HOPE VI Revitalization application meets the definition of severe distress provided in Section IV.(A)(1) of the HOPE VI section of the FY 2000 HOPE VI NOFA, in accordance with Section 24(j)(2) of the U.S. Housing Act of 1937 ("the Act"), and no reasonable program of modification would be cost-effective in returning the public housing project or portion of the project to useful life (basing such a determination on whether such a program of modification would exceed 90 percent of the TDC housing cost index).

2. The PHA has not received assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities for which funding is requested in the HOPE VI Revitalization application.

3. The PHA does not have any litigation pending which would preclude timely start-up of activities.

4. The PHA is in full compliance with any desegregation or other court order related to Fair Housing (e.g., Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Section 504 of the Rehabilitation Act of 1973) that affects the PHA's public housing program and that is in effect on the date of application submission.

5. PHA has returned any excess advances received during development or modernization, or amounts determined by HUD to constitute excess financing based on a HUD-approved Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC), or that HUD has approved a payback plan.

6. There are no environmental factors, such as sewer moratoriums, precluding development in the requested locality.

7. The application is consistent with Environmental Justice Executive Order 12898, in that the proposed public housing will be developed only in environmentally sound and desirable locations and will avoid disproportionately high and adverse environmental effects on minority and low-income communities.

8. In accordance with the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), the property targeted for acquisition or construction (including rehabilitation) is not located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, unless:

   (a) The community in which the area is situated is participating in the National Flood Insurance program (see 44 CFR parts 59 through 79), or less than one year has passed since FEMA notification regarding such hazards; and

   (b) Where the community is participating in the National Flood Insurance Program, flood insurance is obtained as a condition of execution of a Grant Agreement and approval of any subsequent demolition or disposition application.

9. The application does not target properties in the Coastal Barrier Resources System, in accordance with the Coastal Barrier Resources Act (16 U.S.C. 3501).

Grantee Certifications

If selected for HOPE VI Revitalization funding:

10. The PHA will comply with all policies, procedures, and requirements prescribed by HUD for the HOPE VI program, including the implementation of HOPE VI revitalization activities in a timely, efficient, and economical manner.

11. The PHA will not receive assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities funded by the HOPE VI Revitalization grant. The PHA has established controls to ensure that any activity funded by the HOPE VI Revitalization grant is not also funded by any other HUD program, thereby preventing duplicate funding of any activity.

12. The PHA will not provide to any development more assistance under the HOPE VI Revitalization grant than is necessary to provide affordable housing after taking into account other governmental assistance provided.

13. The PHA will supplement the aggregate amount of the HOPE VI Revitalization grant with funds from sources other than HOPE VI in an amount not less than 5 percent of the amount of HOPE VI grant.

14. In addition to supplemental amounts provided in accordance with Certification 11 above, if the PHA uses more than 5 percent of the HOPE VI grant for community and supportive services, it will provide supplemental funds from sources other than HOPE VI in an amount equal to the amount used in excess of 5 percent.

15. Disposition activity under the grant will be conducted in accordance with Section 18 of the Act.

16. The PHA will carry out acquisition of land, or acquisition of off-site units with or without rehabilitation to be used as public housing, in accordance with 24 CFR part 941, or successor part.

17. The PHA will carry out major rehabilitation and other physical improvements of housing and non-dwelling facilities in accordance with 24 CFR 968.11 2(b), (d), (e), and (g)-(o), 24 CFR 968.130, and 24 CFR 968.135(b) and (d) or successor part.

18. The PHA will carry out construction of public housing replacement housing, both on-site and off-site, and community facilities, in accordance with 24 CFR part 941 or successor part, including mixed-finance development in accordance with subpart F.

19. The PHA will carry out replacement homeownership activities in general conformance with the requirements of 24 CFR part 906 and the income limitations of the Act.

20. The PHA will administer and operate rental units in accordance with all existing public housing rules and regulations, as those requirements now exist or as they may be amended from time to time.

21. The PHA will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19) and regulations pursuant thereto (24 CFR part 100); Executive Order 11063 (Equal Opportunity in Housing) and regulations pursuant thereto (24 CFR part 107); the fair housing poster regulations (24 CFR part 110) and advertising guidelines (24 CFR part 109); Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations pursuant thereto (24 CFR part 1).

22. The PHA will address the elimination of impediments to fair housing choice relating to its public housing and particularly to the revitalization of distressed public housing that were identified in the jurisdiction's Analysis of Impediments to Fair Housing Choice, remedy discrimination in housing, and promote fair housing rights and fair housing choice.

23. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR part 146); the prohibitions against discrimination against, and reasonable modification and accommodation and accessibility requirements for, handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR part 8); the Americans with Disabilities Act (42 U.S.C. 12101 et. seq.) and regulations issued pursuant thereto (28 CFR Part 36); and the Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151) and regulations issued pursuant thereto (24 CFR Part 40).

24. The PHA has adopted the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and will take appropriate affirmative action to assist resident-controlled and women's business enterprises in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.

25. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135, including the reporting requirements of subpart E.

26. The PHA will comply with Davis-Bacon or HUD-determined prevailing wage rate requirements to the extent required under Section 12 of the U.S. Housing Act of 1937.

27. As applicable, the PHA will comply with the relocation assistance and real property acquisition requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and government-wide implementing regulations at 49 CFR part 24; relocation regulations at 24 CFR 968.108 or successor part (rehabilitation, temporary relocation); 24 CFR 941.207 or successor part (acquisition); and 24 CFR Section 18 of the 1937 Act as amended (disposition).

28. The PHA will comply with the HOPE VI requirements for reporting and access to records as required in the HOPE VI Revitalization Grant Agreement.

29. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821, et seq.) and is subject to 24 CFR part 35 and 24 CFR part 965 (subpart H), as they may be amended from time to time, and Section 968.110(k) or successor part.

30. The PHA will comply with the policies, guidelines, and requirements of OMB Circular A-87 (Cost Principles Applicable to Grants, Contracts, and Other Agreements with State and Local Governments).

31. The PHA will comply with 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments), as modified by 24 CFR 941 or successor part, subpart F, relating to the procurement of partners in mixed finance developments, except when inconsistent with the provisions of the 2000 Appropriations Act or other applicable Federal statutes. Requests for Proposals (RFPs) and Requests for Qualifications (RFQs) will reflect pertinent language from the program section of FY 2000 HOPE VI NOFA; e.g., seeking diversity, accessibility, fair housing requirements, etc.

32. The PHA will keep records in accordance with 24 CFR 85.20 that facilitate an effective audit to determine compliance with program requirements, and comply with the audit requirements of 24 CFR 85.26.

33. The PHA will enter into a binding Development Agreement within 12 months from the date of HUD's approval of the Revitalization Plan. In no event may this time period exceed 18 months from the date the Grant Agreement is executed.

34. The PHA will complete construction within 48 months from the date of HUD's approval of the RP. In no event may the time period for completion exceed 54 months from the date the Grant Agreement is executed.

35. All activities that include construction, rehabilitation, lead-based paint removal, and related activities will meet or exceed local building codes. New construction will comply with the latest HUD-adopted Model Energy Code issued by the Council of American Building Officials.

Name of Housing Authority

Attested By: Board Chairman's Name

Board Chairman's Signature

Date (mm/dd/yyyy)

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Certification of Consistency with the Consolidated Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.

(Type or clearly print the following information:)

Applicant Name: _____

Project Name: _____

Location of the Project: _____

_____

_____

Name of the Federal Program to which the applicant is applying: _____

Name of Certifying Jurisdiction: _____

Certifying Official of the Jurisdiction Name: _____

Title: _____

Signature: _____

Date: _____

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing and Urban Development

OMB Approval No. 2510-0011 (exp. 1/31/2001)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

Indicate whether this is an Initial Report ☐ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code): ( ) -	2. Social Security Number or Employer ID Number: - -
3. HUD Program Name	4. Amount of HUD Assistance Requested/Received

5. State the name and location (street address, City and State) of the project or activity:

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).
   ☐ Yes ☐ No

2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of $200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9
   ☐ Yes ☐ No.

If you answered "No" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form. ***However***, you must sign the certification at the end of the report.

Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(**Note**: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity ($ and %)

(**Note**: Use Additional pages if necessary.)

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed $10,000 for each violation.

I certify that this information is true and complete.

Signature: X	Date: (mm/dd/yyyy)

Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions

Overview.

A. Coverage. You must complete this report if:
   (1) You are applying for assistance from HUD for a specific project or activity and you have received, or expect to receive, assistance from HUD in excess of $200,000 during the during the fiscal year;
   (2) You are updating a prior report as discussed below; or
   (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

B. **Update reports (filed by "Recipients" of HUD Assistance): General.** All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

Line-by-Line Instructions.

Applicant/Recipient Information.
All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

Part I. Threshold Determinations - Applicants Only
Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

If the answer to *either* questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

Part II. Other Government Assistance and Expected Sources and Uses of Funds.

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.
   Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

   The following information must be provided:

   1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
   2. State the type of other government assistance (e.g., loan, grant, loan insurance).
   3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
   4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD ***and any other source*** - that have been or are to be, made available for the project or activity. Non-government sources of funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds $50,000 or 10 percent of the assistance (whichever is lower).

   Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Certification of Consistency with the EZ/EC Strategic Plan

U.S. Department of Housing and Urban Development

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ), Enterprise Community (EC), an Urban Enhanced Enterprise Community, or a Strategic Planning Community.

(Type or clearly print the following information)

Applicant Name _____

Name of the Federal Program to which the applicant is applying _____

Name of EZ/EC _____

I further certify that the proposed activities/projects will be located within the EZ/EC/Urban Enhanced EC or Strategic Planning Community and will serve the EZ/EC/Urban Enhanced EC or Strategic Planning Community residents. (2 points)

Name of the Official Authorized to Certify the EZ/EC _____

Title _____

Signature _____

Date (mm/dd/yyyy) _____

LIST OF EZs, ECs, URBAN ENHANCED ENTERPRISE COMMUNITIES, STRATEGIC PLANNING COMMUNITIES

URBAN EMPOWERMENT ZONES (23)

CA, Los Angeles (EZ)
David Eder
EZ/EC Program Coordinator
City of Los Angeles EZ/EC Programs
Los Angeles Community Development Dept.
215 West 6th Street, Third Floor
Los Angeles, CA 90014
213-485-2956 (Phone)
213-847-0890 (Fax)

CA, Santa Ana (EZ)
Aldo Schindler
EZ Manager
Community Development Agency
PO Box 1988
Santa Ana, CA 92702
714-647-6507 (Phone)
714-647-6549 (Fax)

CT, New Haven (EZ-EC)
Sherri Killins
President/CEO
Empower New Haven, Inc.
59 Elm St., 4th Floor, Suite 410
New Haven, CT 06510
203-776-2777 (Phone)
203-776-0537 (Fax)

FL, Miami/Dade County (EZ-EC)
Andre Wallace
Miami-Dade Empowerment Trust, Inc.
140 West Flagler Street, Suite 1107
Miami, FL 33130
305-372-7620 (Phone)
305-372-7629 (Fax)

GA, Atlanta (EZ)
Joseph Reid
Executive Director
Atlanta EZ Corporation
City Hall East
675 Ponce de Leon Avenue
Second Floor
Atlanta, GA 30308
404-853-7610 (Phone)
404-853-7372 (Fax)

IL, Chicago (EZ)
Ronald Carter, Jr.
Special Assistant/Director
City of Chicago
20 North Clark Street, 28th Floor
Chicago, IL 60602
312-744-9623 (Phone)
312-744-9696 (Fax)

IN, Gary, E. Chicago, Hammond (EZ)
IN, Gary
Taghi Arshami
Office of Planning and
Community Development
475 Broadway, Suite 318
Gary, IN 46402
219-881-5075 (Phone)
219-881-5085 (Fax)

IN, E. Chicago
John Artis
Executive Director
City of East Chicago
Department of Redevelopment
and Housing Authority
4920 Larkspur Drive
East Chicago, IN 46312
219-397-9974 (Phone)
219-397-4249 (Fax)

IN, Hammond
Allen Kress, City Planner
Hammond City Planning
649 Conkey Street
Hammond, IN 46324
219-853-6398 (Phone)
219-853-6334 (Fax)

MA, Boston (EZ-EEC)
Reginald Nunnally
Executive Director of Enhanced EC/
Interim Director of EZ
Boston Empowerment Center
20 Hampdon St.
Roxbury, MA 02119
617-445-3413 (Phone)
617-445-5675 (Fax)

MD, Baltimore (EZ)
Diane Bell
President & CEO
Empower Baltimore Management Corp.
34 Market Pl., Suite 800
Baltimore, MD 21202
410-783-4400 (Phone)
410-783-0526 (Fax)

MI, Detroit (EZ)
Denise Gray
Executive Director
Empowerment Zone Development Corp.
1 Ford Place, Suite 1F
Detroit, MI 48202
313 -872-8050
313 -872-8002 (Fax)

MN, Minneapolis (EZ-EC)
Kim W. Havey
Director
Minneapolis Empowerment Zone
350 South Fifth Street
Minneapolis, MN 55415
612-673-5415 (Phone)
612-673-3724 (Fax)

MO, St. Louis/E.St. Louis, IL (EZ-EC)
Alicia Smith
St. Louis Development Corporation
1200 Market St.
Mayor's Office, Room 200
St. Louis, MO 63103
314-622-3201 (Phone)
314-436-7983 (Fax)

NJ, Cumberland County (EZ)
Gerry Valasquez
Executive Director
Department of Planning and Development
Cumberland County
800 E. Commerce Street
Bridgeton, NJ 08302
856-453-2177 (Phone)
856-453-9138 (Fax)

NY, New York (EZ) (Main Contact)
Marion Phillips, III
Chief Administrative Officer
New York Empowerment Zone Corporation
633 3rd Avenue
New York, NY 10017
212-803-3239 (Phone)
212-803-3294 (Fax)

NY, New York (Bronx)
Maria Canales
Director, Bronx Empowerment Zone
Bronx Overall Economic
Development Corporation
198 East 161st Street
Suite 201
Bronx, NY 10451
718-590-6034 (Phone)
718-590-6249 (Fax)

NY, New York (Upper Manhattan)
Jeannine L. Melly
Director of Grants Management
Upper Manhattan Empowerment Zone
Development Corporation
290 Lenox Avenue, 3rd Floor
New York, NY 10027
212-410-0030 (Phone)
212-410-9616 (Fax)

OH, Cincinnati (EZ)
Susan Paddock
Special Assistant to the City Manager
City of Cincinnati
801 Plum Street, Room 104
Cincinnati, OH 45202
513-352-4648 (Phone)
513-352-2458 (Fax)

OH, Cleveland (EZ)
Valarie McCall
Director
Cleveland Empowerment Zone
601 Lakeside Avenue
City Hall, Room 335
Cleveland, OH 44114
216-664-2804 (Phone)
216-420-8522 (Fax)
216-664-3083 (Direct)

OH, Columbus (EZ-EC)
Jon Beard
Columbus Compact Corporation
1000 East Main St.
Columbus, OH 43205
614-251-0926 (Phone)
614-251-2243 (Fax)

PA, Philadelphia/NJ, Camden (EZ)
Eva Gladstein
Executive Director
City of Philadelphia
1515 Arch Street, I Parkway, 9th Fl.
Philadelphia, PA 19103
215-683-0462 (Phone)
215-683-0493 (Fax)

Bryan K. Finnie
Managing Director
Camden Empowerment Zone Corp.
Hudson Square Complex
817 Carpenter Street
Camden, NJ 08102
856-365-0300 (Phone)
856-365-1058 (Fax)

SC, Sumter/Columbia (EZ)
Leona Plaugh
Assistant City Manager
City of Columbia
Dept. of Community Service
1225 Laurel Street
Columbia, SC 29201
803-733-8313 (Phone)
803-733-8312 (Fax)

TN, Knoxville (EZ)
Jeanette Kelleher
Community Development Administrator
City of Knoxville
Department of Development
P.O. Box 1631
Knoxville, TN 37901
865-215-2116 (Phone)
865-215-2962 (Fax)

TX, El Paso (EZ-EC)
Deborah G. Hamlyn
Director
Community and Human Development
City of El Paso
#2 Civic Center Plaza, 9th Floor
El Paso, TX 79901-1196
915-541-4242 (Phone)
915-541-4370 (Fax)

VA, Norfolk/Portsmouth (EZ-EC)
David Ollison
Empowerment 2010
201 Granby Street, Ste. 100A
Norfolk, VA 23510
757-624-8650 (Phone)
757-622-4623 (Fax)

WV, Huntington/Ironton, OH (EZ-EC)
Cathy Burns
Executive Director
Huntington WV - Ironton OH
Empowerment Zone, Inc.
P.O. Box 1659
Huntington, WV 25717
304-696-5533 (Phone)
304-696-4465 (Fax)

URBAN ENHANCED ENTERPRISE COMMUNITIES (4)

CA, Oakland (EEC)
Mahlon Harmon
EEC Coordinator
Community and Economic Development Agency (CEDA)
250 Frank Ogawa Plaza, 3rd Floor
Oakland, CA 94612
510-238-6204 (Phone)
510-238-2226 (Fax)

KS, Kansas City and MO, Kansas City (EEC)
Marlene Nagel
MARC
600 Broadway
300 Rivergate Center
Kansas City, MO 64105
816-474-4240 (Phone)
816-421-7758 (Fax)

MA, BOSTON (EEC) (SEE EZ)

TX, Houston (EEC)
Judith Butler
Mayor's Office
901 Bagby Street
City Hall, 4th Floor
Houston, TX 77002
713-247-2666 (Phone)
713-247-3985 (Fax)

URBAN ENTERPRISE COMMUNITIES

AL, Birmingham
Keith Strother
City of Birmingham
710 N. 20th Street
City Hall, 3rd Floor
Birmingham, AL 35203
205-254-2870 (Phone)
205-254-7741 (Fax)

AR, Pulaski County
Henry McHenry
Pulaski County Enterprise Community Alliance, Inc.
400 W. Markham, Suite 705
Little Rock, AR 72201-2424
501-340-5675 (Phone)
501-340-5680 (Fax)

AZ, Phoenix
Jennifer Harper
Neighborhood Services Department
City of Phoenix
200 West Washington Street, 4th Floor
Phoenix, AZ 85003-1611
602-262-4730 (Phone)
602-534-1555 (Fax)

CA, Los Angeles - Huntington Park
David Eder
EZ/EC Program Coordinator
City of Los Angeles EZ/EC Programs
Los Angeles Community Development Dept.
215 West 6th Street, Third Floor
Los Angeles, CA 90014
213-485-2956 (Phone)
213-847-0890 (Fax)

CA, San Diego
Bonnie Contreras
Enterprise Community Coordinator
City of San Diego
202 C Street, Third Floor, Mail Sta. 3A
San Diego, CA 92101
619-236-6846 (Phone)
619-236-6512 (Fax)

CA, San Francisco
Anna Yee
City of San Francisco
San Francisco Enterprise
Community Program
25 Van Ness Avenue, Suite 700
San Francisco, CA 94102
415-252-3130 (Phone)
415-252-3110 (Fax)

CO, Denver
Ernest Hughes
Denver Enterprise Community Coordinator
Denver Community Development Agency
216 16th Street, Suite 1400
Denver, CO 80202
303-640-5726 (Phone)
303-640-7120 (Fax)

CT, Bridgeport
Janice Willis
Director
City of Bridgeport Central Grants Office
999 Broad St.
Bridgeport, CT 06604
203-332-5662 (Phone)
203-332-5657 (Fax)

DE, Wilmington
James Walker
Wilmington Enterprise Community
Louis L. Redding City/County Building
800 French Street, 9th Floor
Wilmington, DE 19801
302-571-4472 (Phone)
302-571-4326 (Fax)

District of Columbia
Kimmarie Jamison
DCECP Coordinator
801 N. Capitol St., 6th Floor
Washington, DC 20002
202-442-7203 (Phone)
202-442-7089 (Fax)

FL, Tampa
Jeanette LaRussa Fenton, Manager
Ybor Service Center
2105 N. Nebraska Avenue
Tampa, FL 33602-2529
813-274-7959 (Phone)
813-274-7927 (Fax)

GA, Albany
Julie Duke
City Manager's Office
P.O. Box 447
Albany, GA 31702
912-431-3234 (Phone)
912-431-3223 (Fax)

IA, Des Moines
Carol Gathright
City of Des Moines
602 East First Street
Des Moines, IA 50309
515-283-4151 (Phone)
515-237-1713 (Fax)

IL, East St. Louis
Diane Bonner
Executive Director
CDBG Operations Corporation
301 River Park Drive
East St. Louis, IL 62201
618-482-6635 ext. 15 (Phone)
618-271-8194 (Fax)

IL, Springfield
Jan Sorenson
Interim Director
Office of Economic Development
231 South Sixth St.
Springfield, IL 62701
217-789-2377 (Phone)
217-789-2380 (Fax)

IN, Indianapolis
Renia Colbert
Project Manager
Division of Community Development
and Financial Services
200 East Washington, Suite 1841
Indianapolis, IN 46204
317-327-5869 (Phone)
317-327-5908 (Fax)

KY, Louisville
Carolyn Gatz
Louisville Empowerment Zone
NIA Center
2900 West Broadway
Louisville, KY 40211
502-458-6813 (Phone)
502-456-9780 (Fax)

LA, New Orleans
Thelma H. French
Executive Assistant to Mayor
Office of Federal and State Programs
1300 Perdido Street, Room 2E04
New Orleans, LA 70112
504-565-6445 (Phone)
504-565-6423 (Fax)

LA, Ouachita Parish
Eric Loewe
Executive Director
Ouachita Enterprise Community
P.O. Box 4268
Monroe, LA 71211
318-329-4031 (Phone)
318-329-4034 (Fax)

MA, Lowell
Susanne Beaton
EC Program Manager
Department of Planning and Development
City Hall- JFK Civic Center
50 Arcand Drive
Lowell, MA 01852
978-446-7239 (Phone)
978-970-4262 (Fax)

MA, Springfield
Miguel Rivas
Director of Neighborhood Programs
Community Development Department
36 Court Street
Springfield, MA 01103
413-750-2240 (Phone)
413-787-6027 (Fax)

MI, Flint
Nancy Jurkiewicz
Corporate Resident Agent
Flint Area Enterprise Community
805 Welch Blvd.
Flint, Michigan 48504
810-766-7436 ext. 3014 (Phone)
810-766-7351 (Fax)

MI, Muskegon/Muskegon Heights (EC)
Cathy Brubaker-Clarke
Director
Department of Community and
Economic Development
P.O. Box 536, 933 Terrace St.
Muskegon, MI 49443-0536
231-724-6702 (Phone)
231-724-6790 (Fax)

MN, St. Paul
Harriet Horwath
Senior Employment Training Planner
City of St. Paul, Planning and Economic
Development
25 West Fourth Street
St. Paul, Minnesota 55102
651-266-6591 (Phone)
651-228-3314 (Fax)

MS, Jackson
Roosevelt T. Sanders
Executive Director
Jackson Urban Enterprise Community
Council, Inc.
P.O. Box 10353
Jackson, MS 39289
601-949-7879 (Phone)
601-981-2407 (Fax)

NC, Charlotte
Deborah Hazzard
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URBAN STRATEGIC PLANNING COMMUNITIES (15)

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212-618-8987 (Fax)

AL, Birmingham (See EC)
AR, Little Rock/N. Little Rock (See EC)
KS/MO, Kansas City, KS/MO (see EEC)
KY, Louisville (See EC)
LA, New Orleans (See EC)
MS, Jackson (See EC)
NV, Las Vegas/N. Las Vegas (see EC)
NJ, Newark/Elizabeth (See EC)
RI, Providence (See EC)
SC, Charleston/N. Charleston (See EC)
TX, San Antonio (See EC)
VT, Burlington/Plattsburgh, NY (see EC)
WA, Tacoma/Lakewood (See EC)

PART IV

FY 2000 HOPE VI DEMOLITION APPLICATION

TABLE OF CONTENTS

FY 2000 HOPE VI DEMOLITION APPLICATION

CHANGES IN THE FY 2000 HOPE VI DEMOLITION NOFA

1. The $12.5 million cap per housing authority has been lifted. PHAs may request as much as they wish for eligible demolition activities.

2. The amount per occupied unit that can be requested for relocation has increased from $1500 to $3,000 in order to provide community and supportive services to residents relocated by demolition funded by a HOPE VI Demolition grant.

3. Applicants may now request funds for extraordinary site costs.

4. Priority Group 4 has been added for applicants who wish to request additional HOPE VI Demolition funds to augment a previously-awarded HOPE VI Revitalization grant.

5. Priority Group 5 has been added for applicants who wish to request Demolition funds to augment a Revitalization application that is being submitted in this year's funding round.

APPLICATION SUBMISSION INSTRUCTIONS

A. Application Preparation

It is critical to note the following during the preparation of your HOPE VI Demolition grant application:

1. Section 18 Demolition Application. Your Section 18 demolition application must be approved by HUD by the HOPE VI Demolition grant application deadline date in order to be eligible for funding under Priority 3. In order to allow for sufficient time for a Section 18 demolition application to be processed, you should submit your demolition application to HUD's Special Application Center (SAC) no later than March 30, 2000. If your Section 18 demolition application does not meet the statutory requirements of Section 18, including the requirement for HUD Field Office approval of the Interim or PHA Plan as required by 24 CFR part 903, HUD will not approve the demolition application.

2. HUD Review. If HUD determines that an application is eligible but incomplete, within one day of receipt of the application, HUD will contact you in writing by fax (followed up with a hard copy by mail) to request the missing information. If HUD finds your application and other applications received on the same day to be incomplete, HUD will notify all such applicants of their missing items on the same day. Since HOPE VI Demolition grant applications are not rated, you may submit information to complete your application at any time before the HOPE VI Demolition grant application deadline date. However, if your application is received on the deadline date and it is missing a required submission, you will have no opportunity to submit any missing item after the deadline date and your HOPE VI Demolition grant application will be ineligible for funding.

B. Application Content and Organization.

1. The first page of your application is the **HOPE VI Demolition Application Checklist**. This page serves three purposes:

   a. Use the left side of the Checklist to make sure that all pieces of the application are included.

   b. HUD will use the right side of the Checklist to screen the application for completeness.

   c. If any deficiencies are found, HUD will fax you the Checklist with a letter, if necessary, to identify any missing items.

   Please make sure that the HOPE VI Demolition Application Checklist is on the very top of your application. No transmittal letter is requested.

2. The next page is the **HOPE VI Demolition Application Receipt** (Form 2993-A). This form serves both as an acknowledgement that HUD received your application, but also as a fax transmittal for the checklist above if HUD has found deficiencies in your application.

   a. Print or type the name and address of the person that should receive the receipt in the box provided and provide all of the information requested above the line.

   b. HUD will record the date received, ordinal assigned, and application number.

   c. After HUD has screened the application for completeness, it will either:

      i. Fax the receipt to the fax number listed on the Receipt indicating that no deficiencies have been found, or

      ii. Fax the receipt to you with the HOPE VI Demolition Checklist and a letter, if necessary, indicating the missing documentation. HUD will **not** notify you of deficiencies by telephone. **It is very important that the fax number listed on the Application Receipt is correct so that it gets to the right person on your staff.**

   d. Applicants with deficient applications that share the same Ordinal will be notified by fax of deficiencies on the same day. To account for differences in the time of day of the fax notification and differences in time zones, any response that HUD receives on the same day as the fax notification was sent out will be counted as having been received on the day after the fax notification.

   Place the HOPE VI Demolition Application Receipt directly behind the HOPE VI Demolition Application Checklist in the application.

3. The third page of your application is the **Application for Federal Assistance (SF-424)**. This form provides HUD with essential information about your PHA and the funds you are requesting. Do not fill in box 15, as you will report your funding elsewhere in the application. The CFDA number for HOPE VI is 14.866. You will find a copy of the 424 in Part V of this HOPE VI Application Kit. It is also available from HUDCLIPS (www.hudclips.org).

4. Next are **Exhibits A-H**. Provide the narrative and attachments in the order presented. Please **DO NOT** provide any information that is not requested in this application kit. Extraneous material hinders application review, does not improve an application, and may obscure important information. The HOPE VI Budget form needed for Exhibit E and the Section 8 application for Exhibit C can be found in Part V of this HOPE VI Application Kit, and can also be downloaded from HUDCLIPS (www.hudclips.org). Information on TDC needed for Exhibit G can be found in Part VI of this Application Kit.

5. **Certifications.** The first certification is the HOPE VI Demolition Applicant Certifications (Form HUD-52820-B). The text of these certifications is included as Appendix B of the NOFA, and the form for you to sign and return is included at the end of this Demolition section of the HOPE VI Application Kit. The rest of the certifications are standard and can be found in Part V of this HOPE VI Application Kit. All of the forms can also be downloaded from HUDCLIPS. HUD will not accept any certification forms that have been retyped.

C. Application Format

To speed the processing of your application, please follow these instructions when assembling your package:

1. Use 8-1/2 by 11" paper, one side only.

2. Mark each Exhibit with an appropriately labeled tab.

3. Package the application as securely and simply as possible; do not use a three ring binder.

4. Two-hole punch the pages at the top with a 2-3/4" center.

D. Application Submission

Follow the directions in the **General Section** of the SuperNOFA for procedures for submitting your application (e.g., mailed applications, express mail, overnight delivery, or hand carried). It is recommended that applications be placed with an overnight delivery carrier at least two days before the due date to ensure timely delivery. Experience has shown that attempts to hand-carry applications or place them in regular mail often result in late deliveries and disqualified applications.

HOPE VI DEMOLITION APPLICATION CHECKLIST

PHA Name: _____

Development Name: _____

PHA CHECKOFF | **HUD VERIFICATION**

PHA CHECKOFF		HUD VERIFICATION
_____	HOPE VI Demolition Application Checklist	
_____	HOPE VI Demolition Application Receipt	_____
_____	SF-424	_____
_____	**Exhibit A: Application Information**	_____
	Exhibit B: Priority Group and Documentation of Eligibility:	_____
_____	Priority 1: HUD's letter to PHA approving Section 202 Conversion Plan	_____
_____	Priority 2: PHA's letter transmitting Section 202 Conversion Plan to HUD	_____
_____	Priority 3: HUD's letter to PHA approving Section 18 demolition application, except as provided in Exhibit B	_____
_____	Priority 4: Full budget from existing HOPE VI Revitalization grant	_____
_____	Priority 5: Letter of intent to submit HOPE VI Revitalization application	_____
_____	**Exhibit C: Narrative of Proposed Activities**	_____
_____	**Exhibit D: Program Schedule**	_____
_____	**Exhibit E: HOPE VI Budget**	_____
_____	**Exhibit F: Cost Certification**	_____
_____	**Exhibit G: Total Development Costs** (Priority Groups 4 and 5 only)	_____
_____	**Exhibit H: Grant Limitations Worksheet**	_____
	Certifications:	
_____	HOPE VI Demolition Applicant Certifications (HUD-52820-B)	_____
_____	Assurances - Construction Programs (SF 424D)	_____
_____	Certification Regarding Debarment and Suspension	_____
_____	Certification for a Drug-Free Workplace (Form HUD-50070)	_____
_____	Certification of Payments to Influence Federal Transactions (HUD-50071)	_____
_____	Disclosure of Lobbying Activities (Form LLL) (if appropriate)	_____

HOPE VI Demolition Acknowledgment of Application Receipt

U.S. Department of Housing and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

HA Code ☐☐----☐☐☐

PHA Fax Number ☐☐☐----☐☐☐----☐☐☐☐

Development Name _____

Amount Requested $ ☐☐,☐☐☐,☐☐☐

To Be Completed by HUD

☐ HUD received your application by the deadline.

Date received (mm/dd/yyyy) _____

Ordinal _____

Application Number _____

☐ Your application has been screened and no deficiencies have been identified.

☐ Your application has been screened and a deficiencies has been identified. Please see the attached letter and/or checklist.

☐ HUD did not receive your application by the deadline; therefore, your application will not receive further consideration.

EXHIBIT A: APPLICATION INFORMATION

PHA Name:_____

Development Name:_____

Priority Group: _____

Development Number(s):_____

Development Street Address (including zip):_____

DOFA:_____

Dollar Amount Requested: $_____

Number of total units in development: _____

Number of units proposed for demolition: _____

Estimated date of completion:_____

	Date	Number of Units		Number of Buildings	
		Requested	Approved	Requested	Approved
HUD-Approved Conversion Plan (24 CFR part 971)					
Submitted Conversion Plan (24 CFR part 971)					
HUD-Approved Section 18 Demolition Application					
Previously-awarded HOPE VI Revitalization Grant RP					
FY 2000 HOPE VI Revitalization Application					

Building Numbers:

EXHIBIT B: PRIORITY GROUP AND DOCUMENTATION OF ELIGIBILITY

Indicate the Priority Group in which your application qualifies, and submit the corresponding documentation of eligibility.

_____ Priority 1: Approved Section 202 Mandatory Conversion Plan

Submit your letter from HUD approving your Section 202 Conversion Plan. See Section VII(A)(1)(a) of the NOFA regarding Priority Group 1.

_____ Priority 2: Submitted Section 202 Mandatory Conversion Plan

Submit your letter to HUD transmitting your Section 202 Plan to HUD. See Section VII(A)(1)(b) of the NOFA regarding Priority Group 2.

_____ Priority 3: Approved Section 18 Demolition Application

Submit your letter from HUD approving your Section 18 Demolition Application. If HUD approves your demolition application on the **day before** or **on the application deadline date**, the requirement to provide evidence of approval will be considered to be met and you will not have to submit HUD's approval letter back to HUD. See Section VII(A)(1)(c) of the NOFA regarding Priority Group 3.

_____ Priority 4: Previously-Awarded HOPE VI Revitalization Grant

Submit a copy of the full budget for your Revitalization grant, as approved by HUD. If your Revitalization Plan (RP) has been approved, also submit a copy of HUD's approval letter. See Section VII(A)(1)(d) of the NOFA regarding Priority Group 4.

_____ Priority 5: FY 2000 HOPE VI Revitalization Application

Provide a letter stating your intention to submit an FY 2000 HOPE VI Revitalization application for a site not previously covered by a HOPE VI Revitalization Plan. Provide specific information about the activities and amounts you expect to request in your Revitalization application and the relationship between the Revitalization and Demolition budgets. See Section VII(A)(1)(e) of the NOFA regarding Priority Group 5.

EXHIBIT C: NARRATIVE OF PROPOSED ACTIVITIES

Provide a one- to two-page narrative that briefly summarizes the proposed demolition and related activities. Although this is a required exhibit, this overview is for informational purposes only and will not be used in the evaluation of the application.

1. Describe the scope of the proposed demolition.

   a. Provide the number of original dwelling units and buildings in the project, the number of any units previously demolished or disposed of, and the number of units proposed for demolition with funds from this HOPE VI Demolition grant application.

   b. Describe any non-dwelling facilities to be demolished. Explain the relationship between the non-dwelling facilities and the dwelling units to be demolished, both in terms of proximity and use.

   c. Describe conditions that require extraordinary site costs, such as parking lots, streets, underground utilities, community buildings, etc. Describe the extent of any proposed hazard abatement activities, including the level of asbestos or any other contaminant present, if available.

2. Describe proposed site restoration and any subsequent site improvements to benefit the remaining portion of the development or to make the site more saleable. If activities other than filling in the site and establishing a lawn are proposed, describe the resources to be used to carry out those activities.

3. Describe the extent of proposed relocation. In accordance with Section III(C)(2)(e) of the NOFA, HOPE VI Demolition Grantees are expected to provide not only Section 8 or other assistance to relocate residents, but to provide those residents with services such as one-on-one move counseling and other programs that will smooth the transition from public to private rental housing. If applicable, attach a copy of your Section 8 application for occupied units.

4. Demonstrate the appropriateness of your proposal in the context of the local housing market relative to other alternatives. This is a statutory threshold criterion; see Section V(A)(3) of the NOFA.

EXHIBIT D: PROGRAM SCHEDULE

Provide a Program Schedule that clearly indicates that you will procure a demolition contractor within six months from the date of Grant Agreement execution, and complete the demolition within two years from the date of Grant Agreement execution. Assume a Grant Agreement execution date of October 1, 2000.

EXHIBIT E: HOPE VI Budget

1. Provide your proposed budget on Part I of the HOPE VI Budget Form (HUD-52825). A copy of the Budget form can be found in Part V of this HOPE VI Application Kit, and can be downloaded from HUDCLIPS (www.hudclips.org).

2. On Part II of the Budget:

   a. Provide a **detailed** itemization of the costs of all activities, including demolition, hazard abatement, site restoration, fees, and administrative costs. See Section III(C)(2) of the NOFA for eligible Demolition grant activities.

   b. Differentiate between costs for dwelling units and nondwelling facilities.

   c. Itemize all costs budgeted for relocation activities.

   Applicants that do not adequately describe their costs on Part II of the Budget will be asked to submit a clarification and their Ordinal will change accordingly.

EXHIBIT F: Cost Certifications

1. If you are requesting funds for extraordinary site costs in your budget, you must submit a letter from an engineer or architect licensed by his or her state licensing board who is not an employee of the housing authority or the city that verifies and justifies those costs. The engineer or architect must provide his or her license number and state of registration on the certification. Review Section II(B)(2)(c)(i) of the NOFA for the definition of extraordinary site costs.

2. If you are requesting funds for the demolition of nondwelling facilities in your budget, those costs must also be verified and justified by an engineer or architect, as above. See Section II(B)(2)(d) of the NOFA for examples of nondwelling facilities.

   These two cost certifications may be made by the same architect or engineer in one letter or by different architects or engineers in two letters, as applicable.

EXHIBIT G: Total Development Costs

1. Priority Group 4: Provide your calculations to demonstrate that the amount of FY 2000 HOPE VI Demolition grant funds requested, plus funds from your original HOPE VI Revitalization grant, plus other public housing funds approved by HUD for use in the project, are within the TDC cost cap. Refer to Notice PIH 99-17 (included as Part VI of this HOPE VI Application Kit) for guidance, and use the FY 1999 TDC figures when making your calculations.

2. Priority Group 5: Provide your calculations to demonstrate that the amount of FY 2000 HOPE VI Demolition grant funds requested, plus the amount of FY 2000 HOPE VI Revitalization grant funds you will request, are within the TDC cost cap. Refer to Notice PIH 99-17 (included as Part VI of this HOPE VI Application Kit) for guidance, and use the FY 1999 TDC figures when making your calculations.

EXHIBIT H: GRANT LIMITATIONS WORKSHEET

1. Number of dwelling units approved for demolition that are **vacant** as of the date of the HOPE VI Demolition Application submission:

   _____ x $5,000 $ _____

2. Number of dwelling units approved for demolition that are **occupied** as of the date of the HOPE VI Demolition Application submission:

   _____ x $8,000 $ _____

3. **Extraordinary site costs** for items such as hazard abatement, extensive rock and/or soil removal and replacement, removal of extensive underground utility systems, unusual site conditions and other environmental issues, per Section II(B)(2)(c)(i) of the NOFA. $ _____

4. Reasonable costs for demolition of significant **nondwelling facilities** related to the demolition of dwelling units, such as heating plants, community buildings, or streets, per Section II(B)(2)(d) of the NOFA. $ _____

5. Total allowable cost (1 + 2 + 3 + 4) $ _____

6. Total funds requested $ _____

CERTIFICATIONS

DO NOT RETYPE ANY OF THE FOLLOWING:

1. **HOPE VI Demolition Applicant Certifications.** Form HUD-52820-B must be signed by the Chairman of the Board of the PHA. Detach the form from the HOPE VI Application Kit or download from HUDCLIPS (www.hudclips.org).

All of the following certifications can be found in Part V of this HOPE VI Application Kit, and also can be downloaded from HUDCLIPS:

2. **Assurances - Construction Programs** (SF 424D).

3. Certification Regarding **Debarment and Suspension.**

4. Certification for a **Drug-Free Workplace** (Form HUD-50070).

5. Certification of **Payments to Influence Federal Transactions** (HUD-50071).

6. **Disclosure of Lobbying Activities** (Form SF-LLL). Submission of this form is required **only** if any funds will be or have been used to influence Federal workers, Members of Congress or their staff regarding specific grants or contracts. You determine if the submission of SF-LLL is applicable.

PLEASE NOTE: A Certification of Consistency with the Consolidated Plan is not required in response to the HOPE VI Demolition NOFA. However, note that a Certification of Consistency with the Consolidated Plan is a requirement of Conversion Plans submitted under 24 CFR part 971.

HOPE VI Demolition Applicant Certifications

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Acting on behalf of the Board of Commissioners of the Public Housing Authority (PHA) listed below, as its Chairman, I approve the submission of the HOPE VI Demolition funding application of which this document is a part and make the following certifications to and agreements with the Department of Housing and Urban Development (HUD) in connection with the application and implementation thereof:

Applicant Certifications

1. The public housing project or building in a project targeted in this HOPE VI Demolition application meets the definition of severe distress provided in Section IV.(A)(1) of the program section of the FY 2000 HOPE VI NOFA, in accordance with Section 24(j)(2) of the U.S. Housing Act of 1937 ("the Act").

2. The PHA has not received assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific demolition activities for which funding is requested in the HOPE VI Demolition application.

3. The PHA is in full compliance with any desegregation or other court order related to Fair Housing (e.g., Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Section 504 of the Rehabilitation Act of 1973) that affects the PHA's public housing program and that is in effect on the date of application submission.

4. The PHA does not have any litigation pending which would preclude timely start-up of activities.

5. PHA has returned any excess advances received during development or modernization, or amounts determined by HUD to constitute excess financing based on a HUD-approved Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC), or that HUD has approved a payback plan.

Grantee Certifications

If selected for HOPE VI Demolition funding:

6. The PHA will comply with all policies, procedures, and requirements prescribed by HUD for the HOPE VI program, including the implementation of HOPE VI Demolition activities in a timely, efficient, and economical manner.

7. The PHA will procure a demolition contractor within six months from the date of Grant Agreement execution, and complete the demolition within two years from the date of Grant Agreement execution.

8. The PHA will not receive assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities funded by the HOPE VI Demolition grant. The PHA has established controls to ensure that any activity funded by the HOPE VI Demolition grant is not also funded by any other HUD program, thereby preventing duplicate funding of any activity.

9. The PHA will not provide to any development more assistance under the HOPE VI Demolition grant than is necessary to perform demolition activities after taking into account other governmental assistance provided.

10. The PHA will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19) and regulations pursuant thereto (24 CFR part 100); Executive Order 11063 (Equal Opportunity in Housing) and regulations pursuant thereto (24 CFR part 107); the fair housing poster regulations (24 CFR part 110) and advertising guidelines (24 CFR part 109); Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations pursuant thereto (24 CFR part 1).

11. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR part 146); the prohibitions against discrimination against, and reasonable modification and accommodation and accessibility requirements for, handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR part 8); the Americans with Disabilities Act (42 U.S.C. 12101 et. seq.) and regulations issued pursuant thereto (28 CFR Part 36); and the Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151) and regulations issued pursuant thereto (24 CFR Part 40).

12. The PHA will address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments to Fair Housing Choice; remedy discrimination in housing; and promote fair housing rights and fair housing choice.

13. The PHA has adopted the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and will take appropriate affirmative action to assist resident-controlled and women's business enterprises in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.

14. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135, including the reporting requirements of Subpart E.

15. The PHA will comply with HUD-determined prevailing wage rate requirements to the extent required under Section 12 of the Act.

16. As applicable, the PHA will comply with the relocation assistance and real property acquisition requirements of Section 18 of the Act, as amended (demolition approved by a Section 18 demolition application; and/or the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and

government-wide implementing regulations at 49 CFR part 24 (demolition pursuant to a Section 18 demolition application; demolition approved pursuant to a Mandatory Conversion Plan).

17. The PHA will comply with the HOPE VI requirements for reporting and access to records as required in the HOPE VI Demolition Grant Agreement.

18. The PHA will keep records in accordance with 24 CFR 85.20 that facilitate an effective audit to determine compliance with program requirements, and comply with the audit requirements of 24 CFR 85.26.

19. The PHA will comply with the policies, guidelines, and requirements of OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal ·

Name of Housing Authority

Attested By: Board Chairman's Name

Board Chairman's Signature

Date (mm/dd/yyyy)

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

PART V

CERTIFICATIONS AND FORMS - ALL APPLICATIONS

Application for Federal Assistance (SF-424)

HOPE VI Budget (HUD-52825-A, parts I and II)

Section 8 Application (HUD-52515)

Assurances - Construction Programs (SF-424D)

Certification for a Drug-Free Workplace (HUD-50070)

Certification of Payments to Influence Federal Transactions (HUD-50071)

Disclosure of Lobbying Activities (SF-LLL)

Certification Regarding Debarment and Suspension (HUD-2992)

These certifications and forms can be downloaded from www.hudclips.org

Application for Federal Assistance

OMB Approval No. 0348-0043

	2. Date Submitted (mm/dd/yyyy)	Applicant Identifier
1. Type of Submission Application: [x] Construction [ ] Non-Construction Pre-application: [ ] Construction [ ] Non-Construction	3. Date Received by State (mm/dd/yyyy)	State Application Identifier
	4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier

5. Applicant Information

Legal Name	Organizational Unit
Address (give city, county, State, and zip code)	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. Employer Identification Number (EIN) (xx-yyyyyyy)

[ ] — [ ]

7. Type of Applicant (enter appropriate letter in box) [O]

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Inter-municipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N Nonprofit
O Public Housing Agency
P. Other (Specify)

8. Type of Application:

[ ] New [ ] Continuation [ ] Revision

If Revision, enter appropriate letter(s) in box(es): [ ] [ ]

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify)

9. Name of Federal Agency

U.S. Department of Housing and Urban Development

10. Catalog of Federal Domestic Assistance Number (xx-yyy)

[14] — [866]

Title: HOPE VI

11. Descriptive Title of Applicant's Project

12. Areas Affected by Project (cities, counties, States, etc.)

13. Proposed Project		14. Congressional Districts of	
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	a. Applicant	b. Project

15. Estimated Funding

a. Federal	$	.00
b. Applicant	$	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. Total	$	.00

16. Is Application Subject to Review by State Executive Order 12372 Process?

a. Yes This pre-application/application was made available to the State Executive Order 12372 Process for review on:

Date (mm/dd/yyyy)_____

b. No [ ] Program is not covered by E.O. 12372

or [ ] Program has not been selected by State for review.

17. Is the Applicant Delinquent on Any Federal Debt?

[ ] Yes If "Yes," attach an explanation [ ] No

18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative	b. Title	c. Telephone Number (Include Area Code)
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)

Instructions for the SF-424

Please do not return your completed form to the Office of Management and Budget. Send it to the address provided by the sponsoring agency .

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: – "New" means a new assistance award. – "Continuation" means an extension for an additional funding budget period for a project with a projected completion date. – "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project.

Item	Entry
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

HOPE VI Budget
Part I: Summary

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0208 (exp. 5/31/2000)

Public Reporting Burden for this collection of information is estimated to average 6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This information is necessary to provide details on the funds requested by Housing Authorities. The form displays the amount requested, broken down by budget line item, with each use explained on Part II. The requested information will be reviewed by HUD to determine if the amount requested is reasonable and whether the required percentages of capital and supportive services funds are met. Responses to the collection are required by the appropriation under which the HOPE VI grant was funded. The information collected does not lend itself to confidentiality.

HUD may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number.

PHA Name

HOPE VI Grant Number

☐ Original HOPE VI Budget ☐ Revised HOPE VI Budget ☐ Predevelopment Budget

Line No.	Summary by Budget Line Item	Capital Costs	Supportive Services Costs	Total Funds Requested	HUD Approved Funds
1	Total Non-HOPE VI Funds				
2	1408 Management Improvements				
3	1410 Administration				
4	1430 Fees and Costs				
5	1440 Site Acquisition				
6	1450 Site Improvement				
7	1460 Dwelling Structures				
8	1465 Dwelling Equipment—Nonexpendable				
9	1470 Nondwelling Structures				
10	1475 Nondwelling Equipment				
11	1485 Demolition				
12	1495 Relocation Cost				
13	**Amount of HOPE VI Grant** (Sum of lines 2-12)				

Signature of PHA Executive Director

Date (mm/dd/yyyy)

HUD Certification: In approving this budget and providing assistance to a specific housing development(s), I hereby certify that the assistance will not be more than is necessary to make the assisted activity feasible after taking into account assistance from other government sources (24 CFR 12.50).

Signature of Authorized HUD Official

Date (mm/dd/yyyy)

form HUD-52825-A (12/96)
ref Handbook 7485.1

Previous editions are obsolete

Instructions for Preparation of Form HUD-52825-A,

HOPE VI Budget Submission:

When requested by HUD, prepare a separate form HUD-52825-A (Parts I and II) for the HOPE VI program, describing the activities which are planned to be undertaken with the HOPE VI funds. Submit the original and two copies (or any lesser number of copies as specified by HUD) of this form to the HUD Field Office. On an as-needed basis, submit a revised form when the HUD-established threshold requires prior HUD approval to revise the HOPE VI Budget.

Part I: Summary

HA Name - Enter the name of the Housing Authority (HA).

HOPE VI Grant Number - Enter the unique HOPE VI Grant number assigned by HUD upon grant approval.

FFY of Grant Approval - Enter the Federal Fiscal Year (FFY) in which the HOPE VI grant is being approved/was approved. (last 2 digits of HOPE VI Grant Number).

Type of Submission - Check the appropriate box and indicate whether the submission is the Original HOPE VI Budget or a Revised HOPE VI Budget (and revision number).

Total Funds Approved:

Line 1 - Enter the amount rounded to the nearest ten dollars, for all work that will be undertaken from non-HOPE VI funds. Enter zero if no work will be undertaken from non-HOPE VI funds.

Lines 2 through 12 - For each line, enter the appropriate amount rounded to the nearest ten dollars, or zero if no work will be undertaken in a particular HOPE VI budget line item.

Line 13 - Amount of HOPE VI Grant - Enter the sum of lines 2 through 12.

Part II: Supporting Pages

1. **Work Item Number** - Number each work item sequentially.
2. **Budget Line Item Number** - Enter the appropriated HOPE VI budget line item which corresponds to the work item described.
3. **Statement of Need**
4. **Description of Proposed/Approved Action and Method of Accomplishment** - For each HOPE VI budget line item listed, provide a statement of need and a description of all work items (physical or management, as applicable) that will be funded with HOPE VI funds, including management improvements, supportive services, administrative costs, equipment, etc. Enter the quantity of the work as a percentage or whole number, Describe administrative costs in sufficient detail to clearly identify items.
5. **Individual Project Number** - Enter the abbreviated (e.g., VA-36-1) of the development where the work items will be undertaken.
6. **Total Funds Requested** - For each work item and HA-wide activity described, enter the total funds requested. Where appropriate, add a reasonable contingency amount to each work item and indicate the percentage.

HA Name

HOPE VI Budget
Part II: Supporting Pages

Work Item Number 1	Budget Line Item Number 2	Statement of Need 3	Description of Proposed/Approved Action and Method of Accomplishment 4	Individual Project Number 5	Total Funds Requested 6	HUD-Approved Funds 7

form HUD-52825-A (12/96)
ref Handbook 7485.1

Previous editions are obsolete

Funding Application

Section 8 Tenant-Based Assistance
Rental Certificate Program
Rental Voucher Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0169
(exp.9/30/2002)

Send the original and two copies of this application form and attachments to the local HUD Field Office

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

Eligible applicants (HAs) must submit this information when applying for grant funding for tenant-based housing assistance programs under Section 8 of the U.S. Housing Act of 1937 (42 U.S.C. 1437f). HUD will use the information to evaluate an application based on selection criteria stated in the Notice of Funding Availability (NOFA). HUD will notify the HA of its approval/disapproval of the funding application. Responses are required to obtain a benefit from the Federal Govenment. The information requested does not lend itself to confidentiality.

Name and Mailing Address of the Housing Agency (HA) requesting housing assistance payments

Application/Project No. (HUD use only)

Do you have an ACC with HUD	No	Yes	Date of Application	Legal Area of Operation (area in which the HA has authority under State and local law to administer the program)
for Section 8 Certificates?	☐	☐		
for Section 8 Vouchers?	☐	☐		

A. Area(s) From Which Families To Be Assisted Will Be Drawn.

Locality (city, town, etc.)	County	Congressional District	Units

B. Proposed Assisted Dwelling Units. (Complete this section based on the unit sizes of the applicants at the top of the waiting list)

	Number of Dwelling Units by Bedroom Size							Total Dwelling Units
	0-BR	1-BR	2-BR	3-BR	4-BR	5-BR	6+BR	
Certificates								
Vouchers								

C. Average Monthly Adjusted Income. Complete this section based on actual incomes of current participants by unit size. Enter average monthly adjusted income for each program separately and only for the unit sizes requested in Section B.

	0-BR	1-BR	2-BR	3-BR	4-BR	5-BR	6+BR
Certificates	$	$	$	$	$	$	$
Vouchers	$	$	$	$	$	$	$

D. Need for Housing Assistance. Demonstrate that the project requested in this application is responsive to the condition of the housing stock in the community and the housing assistance needs of low-income families residing in or expected to reside in the community. (If additional space is needed, add separate pages.)

E. Housing Quality Standards (HQS). (Check applicable box)

☐ HUD's HQS will be used with no modifications ☐ Attached for HUD approval are HQS acceptability criteria variations

F. New HA Information. Complete this section if HA currently does not administer a tenant-based certificate or voucher program.

Financial and Administrative Capability. Describe the experience of the HA in administering housing or other programs and provide any other relevant information which evidences present or potential management capability for the proposed rental assistance program. Submit this narrative on a separate page.

Qualification as an HA. Demonstrate that the applicant qualifies as an HA and is legally qualified and authorized to administer the funds applied for in this application. Submit the relevant enabling legislation and a supporting legal opinion.

Note: If this application is approved, the HA must submit for HUD approval a utility allowance schedule and budget documents.

G. Certifications. The following certifications are incorporated as a part of this application form. The signature on the last page of this application of the HA representative authorized to sign the application signifies compliance with the terms of these certifications.

Equal Opportunity Certification

The Housing Agency (HA) certifies that:

(1) The HA will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations issued pursuant thereto (24 CFR Part 1) which state that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives financial assistance; and will take any measures necessary to effectuate this agreement.

(2) The HA will comply with the Fair Housing Act (42 U.S.C. 3601-19) and regulations issued pursuant thereto (24 CFR Part 100) which prohibit discrimination in housing on the basis of race, color, religion, sex, handicap, familial status, or national origin, and administer its programs and activities relating to housing in a manner to affirmatively further fair housing.

(3) The HA will comply with Executive Order 11063 on Equal Opportunity in Housing which prohibits discrimination because of race, color, creed, or national origin in housing and related facilities provided with Federal financial assistance and HUD regulations (24 CFR Part 107).

(4) The HA will comply with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR Part 8) which state that no otherwise qualified individual with handicaps in the United States shall solely by reason of the handicap be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

(5) The HA will comply with the provisions of the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR Part 146) which state that no person in the United States shall on the basis of age be excluded from participation in, be denied the benefits of, or be subjected to discrimination under a program or activity receiving Federal financial assistance.

(6) The Housing Agency will comply with the provisions of Title II of the Americans with Disabilities Act (42 U.S.C. 12131) and regulations issued pursuant thereto (28 CFR Part 35) which state that subject to the provisions of Title II, no qualified individual with a disability shall, by reason of such disability, be excluded from participation in or be denied the benefits of the services, programs or activities of a public entity, or be subjected to discrimination by any such entity.

The following provisions apply only to housing assisted with Project-Based Certificates:

(7) The HA will comply with Executive Order 11246 and all regulations pursuant thereto (41 CFR Chapter 60-1) which state that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal contracts and shall take affirmative action to ensure equal employment opportunity.

(8) The HA will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u) and regulations issued pursuant thereto (24 CFR Part 135), which require that, to the greatest extent feasible, opportunities for training and employment be given to low-income persons residing within the unit of local government for metropolitan area (or nonmetropolitan county) in which the project is located.

Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Certification Regarding Drug-Free Workplace Requirements

Instructions for Drug-Free Workplace Requirements Certification:

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).

6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All *direct charge* employees; (ii) All *indirect charge* employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees or subrecipients or subcontractors in covered workplaces).

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Housing Agency Signature

Signature of HA Representative	Print or Type Name of Signatory	
	Phone No.	Date

Assurances — Construction Programs

OMB Approval No. 0348-0042

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.

4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.

5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.

6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

10. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibit discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other non-discrimination Statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title
Applicant Organization	**Date Submitted**

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. **Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title
Signature X	Date

form HUD-50070 (3/98)
ref. Handbooks 7417.1, 7475.13, 7485.1 & .3

Certification of Payments to Influence Federal Transactions

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title

Signature	Date
X	

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for instructions and Public Reporting burden statement)

1. Type of Federal Action
- ☐ a. contract
- ☐ b. grant
- c. cooperative agreement
- d. loan
- e. loan guarantee
- f. loan insurance

2. Status of Federal Action
- ☐ a. bid/offer/application
- b. initial award
- c. post-award

3. Report Type
- ☐ a. initial filing
- ☐ b. material change

For Material Change Only
year (yyyy) _____ quarter _____
date of last report (mm/dd/yyyy) _____

4. Name and Address of Reporting Entity
☐ Prime ☐ Subawardee Tier _____, if known:

Congressional District, if known

5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime

Congressional District, if known

6. Federal Department/Agency

7. Federal Program Name/Description

CFDA Number, if applicable _____

8. Federal Action Number, if known

9. Award Amount, if known
$

10a. Name and Address of Lobbying Registrant
(if individual, last name, first name, MI)

b. Individuals Performing Services (including address if different from No. 10a.)
(last name, first name, MI)

(attach continuation sheet(s) if necessary)

11. Amount of Payment (check all that apply)
$ _____ ☐ actual ☐ planned

12. Form of Payment (check all that apply)
- ☐ a. cash
- ☐ b. in-kind; specify: nature _____
  value _____

13. Type of Payment (check all that apply)
- ☐ a. retainer
- ☐ b. one-time fee
- ☐ c. commission
- ☐ d. contingent fee
- ☐ e. deferred
- ☐ f. other (specify) _____

14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment indicated in Item 11

(attach continuation sheet(s) if necessary)

15. Continuation sheets attached ☐ **Yes** ☐ **No**

16. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature _____

Print Name _____

Title _____

Telephone No. _____

Date (mm/dd/yyyy) _____

Federal Use Only:

Authorized for Local Reproduction
Standard Form-LLL (7/97)

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide specific and detailed description of the services that the lobbist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just the time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) are attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Certification Regarding Debarment and Suspension

U.S. Department of Housing and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was place when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official	Title	

PART VI

TDC AND COST CONTROL POLICY

U. S. Department of Housing and Urban Development

Office of Public and Indian Housing

Special Attention of:	NOTICE PIH 99-17 (HA)
Secretary Representatives; State and Area Coordinators; Public Housing Directors; Public Housing Agencies	Issued: March 15, 1999 Expires: March 31, 2000

Subject: Public Housing Development Total Development Cost (TDC) and Cost Control Policy

1. Purpose. The purpose of this Notice is to transmit the Department's newly established policy with regard to Total Development Costs for the development of public housing consistent with the Quality Housing and Work Responsibility Act of 1998. The Notice also transmits the updated schedule of unit TDC limits which will be effective for public housing projects developed with funds awarded under the HOPE VI Program in FYs 1997, 1998 and 1999 for public housing projects developed in FY 1998 and 1999 and with other public housing capital funds. This Notice also provides further guidance with respect to the new TDC policy and project funds allocation controls for HUD Field Offices and PHAs in connection with the development of public housing. It is the Department's intent to publish a rule relative to TDC for FY 2000 and forward.

2. Applicability. This Notice is applicable to the development of public housing and other eligible replacement housing under a HOPE VI Grant Agreement between HUD and a PHA chosen to participate in the HOPE VI program and/or under an ACC for public housing development.

3. Points of Contact. The points of contact are:

Headquarters - Office of Public Housing Investments

Field Office - Office of Public Housing

Public Housing HUBs and Program Centers

4. **Background.**

Statutory Requirement:

Section 6(b) of the United States Housing Act of 1937 (Act) requires the Department to establish TDC limits by multiplying the construction cost guideline for the project (which shall be determined by averaging the current construction costs, as listed in not less than 2 nationally recognized residential construction cost indices, for publicly bid construction of a good and sound quality), by 1.6 for elevator type structures and by 1.75 for non-elevator type structures.

Housing Indices:

PIH Notice 98-23 (HA), which is being superseded by this Notice, established the TDC limits using Boeckh and Marshall and Swift indices of average quality. There has been criticism of the indices used by HUD to determine TDC as being inconsistent with the intent of the statute. Therefore, in order to establish reasonable cost guidelines consistent with section 6(b)(2) of the Act, in this Notice the Department is using R.S. Means "average" and Marshall and Swift "good" indices to establish TDC.

Purpose of New TDC Policy & Cost Allocations:

In order to establish reasonable cost guidelines and cost controls, the Department is issuing this Notice to explain the Department's policy with respect to statutory TDC requirements, and to institute other controls over development costs and project funds allocations. In order to better understand and control the actual costs involved in the development of a project, the project fund allocation policy announced in this Notice separates the costs of development into three sub-allocations. This will enable the Department to identify the actual costs associated with the different aspects of the whole development program -- (1) the costs and funds allocated to construct the dwelling units, (2) the costs and funds allocated to renewal of the community and (3) the costs and funds allocated to provide services to the residents.

5. **The Policy for Total Development Costs.**

Construction Indices: As indicated above, the statutory TDC is determined by multiplying the construction cost guideline for a project (which is determined by averaging the current construction costs as listed in two nationally recognized construction indices for publicly bid construction of good

and sound quality for specific unit sizes and structure types) by 1.6 for elevator buildings and 1.75 for non-elevator construction then adding the resulting amounts for all the units in the development. This calculation determines the amount of public housing capital funding that may be used to pay for the costs of development of a public housing project. In this Notice, HUD is changing the construction indices that will be used in calculating TDCs. From now on R.S. Means "average" and Marshall & Swift "good" housing indices will be used to establish TDC.

TDC Limits on Public Housing Funds Only:

The TDC limit, as determined above, applies to the costs of development of public housing that are paid from Public Housing funds. Unless noted otherwise in this Notice, the term "Public Housing funds" is defined to include public housing development funds, modernization funds converted to development purposes, and HOPE VI funds. In order to determine whether a public housing project satisfies the TDC limit, HUD will consider all HUD-approved costs for planning (including proposal preparation), administration, site acquisition, relocation, demolition, site remediation, and site costs (except as noted below), the dwelling unit hard costs, including construction and equipment, interest and carrying charges, builder's overhead and profit, on-site streets and utilities from the street, off-site facilities including community buildings, finish landscaping, a contingency allowance, insurance premiums and any initial operating deficit. This calculation will also include costs attributable to Davis-Bacon wage rates, as applicable.

Demolition, Site-Remediation, and Extraordinary Site Costs:

With respect to demolition, site-remediation, and extraordinary site costs, HUD has determined that these costs are not purely development related costs since they would need to be incurred by the PHA whether or not the site of the demolished public housing project is being redeveloped for public housing. Therefore, the Department has determined to include in the TDC calculation the costs of demolition and site remediation, as approved by HUD, pro-rated with respect to the number of new public housing units being developed on the site. For example, if a PHA is demolishing a 300 unit public housing project and putting only 100 new public housing units back on site, only one-third of the costs of demolition and site remediation will be used in calculating whether the public housing development costs are within the TDC limit. Typical site costs will be included within the TDC. The Department will exclude extraordinary site costs from the TDC calculation. Examples of such costs include, but are not limited to, removal or replacement of extensive underground utility

systems, extensive rock and/or soil removal and replacement, construction of extensive street and other public improvements, dealing with unusual site conditions such as slopes, terraces, water catchments, lakes, etc., and dealing with flood plain and other environmental corrective issues. The costs of demolition, site remediation and extraordinary site costs must be verified by an independent certified engineer, and approved by HUD.

No Exceptions:

Although the statute authorizes the Secretary to approve a higher TDC for a project, the Department will grant no exceptions to the TDC limit for any projects funded from Public Housing funds awarded from FY 1997 forward. This includes any FY 1997 funds awarded under the HOPE VI NOFA, and modernization funds provided to the PHA in FY 1997 and prior years and subsequently approved for conversion to development purposes under PIH Notice 96-56. For Public Housing funds awarded in FY 1996 and prior years, the PHA will be subject to the TDC requirements in effect at the time the funding was provided to the PHA by HUD for any public housing development project in which a PHA is combining Public Housing funds from different years, the TDC and other costs and project funds allocation controls will be governed in accordance with the requirements applicable to the funding most recently provided to the PHA. For purposes of this Notice, in addition to public housing development, HUD will apply the TDC policy and the funds allocation assessment set out below to the development of any replacement housing using Public Housing funds, e.g., eligible homeownership replacement housing.

6. **Project Funds Allocation Categories.**

For purposes of HUD's project funds allocation assessment, HUD must review and approve all funds going into the development of the public housing project with respect to three distinct categories: Housing, Community Renewal, and Community and Supportive Services. All costs related to Housing and Community Renewal which are to be paid out of Public Housing funds must be within the TDC limit. Within the TDC limit, the PHA can determine the Public Housing funds allocation for Housing costs and the Public Housing funds allocation for Community Renewal Costs; provided that the amount of funds allocated for Housing cannot exceed the Housing cost cap described below. The allocation of funds for Community and Supportive Services is outside of the TDC calculation, but HUD is capping the amount that a PHA can pay for Community and Supportive Services from any public housing funds at 15% of the grant.

Housing Cost Cap - Public Housing funds may not be used to pay for housing construction costs in excess of the amount derived by averaging, for a particular market area, the R.S. Means "average" residential construction cost index and the Marshall & Swift "good" residential cost index for specific unit sizes and structure types, and adding the resulting amount for all units in the project. This formula is the same as used in determining the project TDC, with the exception that the multipliers are not applied to the average of the two construction indices. In determining whether housing costs are within this limit, HUD will consider housing unit hard costs; builder's overhead and profit; utilities from the street; finish landscaping; including Davis-Bacon wage rates, as applicable. A PHA may exceed the housing cost cap, as described above, using non-Public Housing funds, such as CDBG funds, HOME funds, low-income housing tax credits, private donations, and private financing.

Community Renewal - The project funds allocation for Community Renewal, as pro-rated for demolition and site remediation costs as discussed above, are the balance of funds remaining within the TDC limit after the allocation of Housing costs is subtracted from the TDC limit. While there is no separate cap on the project funds allocation for Community Renewal costs, the project allocation of Public Housing funds for these purposes when added to the allocation of Public Housing funds for Housing purposes must be within the TDC limit.

Exceptions to TDC Policy - For FY 1997, 1998 and 1999. funds, i.e., HOPE VI funds awarded in FY 1997,1998 and 1999, modernization funds approved by HUD for conversion to public housing development purposes in FY 1997 or subsequently, no exceptions to TDC will be provided.

A PHA may exceed the TDC limit with non-Public Housing funds, i.e., a community may provide CDBG or other HUD funds eligible for use for such purposes, and/or non-HUD funds for eligible costs insofar as the costs bring a project over the TDC limit.

Subsidy Layering - The HUD Reform Act's Subsidy Layering requirements are applicable to all PHA development projects. In addition, any costs above TDC paid from other sources for project improvements and/or amenities cannot result in substantially increased operating and maintenance costs, or other increased costs to be covered by the PHA.

Community and Supportive Services Funds Allocation Cap- While not related to the TDC calculation, the Department has determined to limit the amount of any public housing funds that a PHA may use for community and supportive services programs to 15% of the grant. Such funds are to provide community and supportive services both to current residents who will reside in the redeveloped housing, new residents, and residents who are provided Section 8 certificates and vouchers as replacement housing.

Eligible Community and Supportive Services include but are not limited to:

- job training activities
- day care
- transportation to and from job training/employment and or supportive service activities
- educational activities
- case management
- section 8 counseling
- after school programs for youth focusing on education advancement and self esteem.
- health programs

All Community and Supportive Services shall be performance based with quantifiable results and sustainability after expenditure of HOPE VI funds.

7. Non-HUD and Non-Public Housing Funds.

A PHA may exceed the Housing Cost allocation established above, provided the excess Housing Costs are paid for with non-Public Housing funds.

There is no cap on non-Public Housing funds for community renewal and/or community and supportive services purposes.

TDC Policy Chart & Illustration

The attached HOPE VI TDC Policy chart illustrates the policy graphically; the TDC Policy Illustration chart provides examples of how PHAs might choose to allocate their Public Housing and other HUD funds.

8. Further Cost Controls

PHAs are urged to scrutinize all fees and other soft costs to assure that they are kept to the minimum.

In order to further control costs and tighten the overall management of the program, in consultation with others, HUD has undertaken an effort to streamline grant processing and procedures; set cost limits for PHA administration, developer, legal, consultant, and other fees; implement data collection and management reporting systems; and establish a construction inspection protocol. Further guidance will be forthcoming as a Notice.

/s/

Harold Lucas, Assistant Secretary
for Public and Indian Housing

TDC Housing Cap Limits for FY 1999 can be found on the HOPE VI Home Page: www.hud.gov/pih/programs/ph/hope6/hope6.html

HOPE VI TDC POLICY CHART

(Applies to 1998 Grants forward)

TDC Cap

I. Housing Allocation

Housing unit hard costs, utilities from the street, finish landscaping, builder's overhead and profit with Davis-Bacon wage rates.

Cap Public Housing funds at Housing Cost Cap

No Cap on Non-Public Housing funds

II. Community Renewal Allocation

PHA administration; all development costs; planning; infrastructure and other site improvements; community and economic development facilities; acquisition, relocation, demolition and remediation of units to be replaced on-site; any initial operating deficit.

Demolition and remediation costs associated with on-site units not replaced through revitalization and extraordinary site costs approved by HUD.

No cap on non-Public Housing funds

NOFA Grant Cap

III. Community and Supportive Services

Cap Community and Supportive Services at 15% of Grant.

No cap on non-Public Housing funds

TDC Policy Explanation

- HUD ***limits*** the amount of Public Housing funds for **housing and community renewal** to TDC
- HUD ***limits*** the amount of Public Housing funds for the house to the housing cost cap.
- HUD does ***not limit*** non-Public Housing funds for the **house, community renewal, or Community and Supportive Services.**

Example: **TDC = $148,750**

Housing Cost Cap - $85,000

	HOUSING		COMMUNITY RENEWAL	TDC
Example A				
House at	**$60,000 of PH Funds**	+Community Renewal at	**$88,750 of PH Funds**	= TDC of **$148,750**
	$20,000 of HOME			
	$ 5,000 of CDBG			
Total	**$85,000**	Total	**$88,750**	
Example B (Homeownership Example)				
House at	**$ 60,000 of PH Funds**	+Community Renewal at	**$ 88,750 of PH Funds**	= TDC of **$148,750**
	$ 40,000 of Private		**$ 40,000 of CDBG**	
Total	**$100,000**	Total	**$128,750**	
Example C				
House at	**$ 65,000 of PH Funds**	+Community Renewal at	**$ 83,750 of PH Funds**	= TDC of **$148,750**
	$ 20,000 of HOME		**$ 10,000 of CDBG**	
	$ 25,000 of LIHTC		**$ 5,000 of City**	
Total	**$110,000**	Total	**$ 98,750**	

Housing Hard Cost Cap

RS Means "Average"; Marshall and Swift "Good"

1999 Housing Cost Cap - $87,839 (National Average)

Represents basic components of three bedroom row house

- Two (2) story, three (3) bedroom row house
- Exterior brick veneer on front
- Vinyl siding exterior on rear with wrapped aluminum fascia and vinyl soffit
- 1,200 square feet
- Three (3) bedrooms
- One (1) bath with ceramic tile
- HVAC/electric heat pump with air conditioning
- Wall-to-wall carpet with vinyl sheet goods in kitchen, bath, and laundry area
- Twelve (12) linear feet of kitchen cabinetry, plastic laminate countertops
- Unfinished basement; **or** 1/2 bath plus appliances: 30" range with range hood, electric water heater, dishwasher, garbage disposal, and refrigerator
- Standard builder's general conditions, overhead and profit
- Davis-Bacon labor rates

PART VII

HUD FIELD OFFICE CONTACT LIST

HUD FIELD OFFICE CONTACT LIST

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
NEW ENGLAND	Boston, MA	Massachusetts State Office O'Neil Federal Building 10 Causeway Street, Rm.375 Boston, MA 02222-1092 OFC PHONE (617) 565-5236 Office Hours 8:30 AM - 5:00 PM
	Hartford, CT	Connecticut State Office One Corporate Center Hartford, CT 06103-3220 OFC PHONE (860) 240-4844 Office Hours 8:00 AM - 4:30 PM
	Manchester, NH	New Hampshire State Office Norris Cotton Federal Bldg. 275 Chestnut Street Manchester, NH 03103-2487 OFC PHONE (603) 666-7682 Office Hours 8:00 AM - 4:40 PM
	Providence, RI	Rhode Island State Office 10 Weybosset Street Sixth Floor Providence, RI 02903-2808 OFC PHONE (401) 528-5352 Office Hours 8:00 AM - 4:30 PM
	Bangor, ME	Maine State Office 202 Harlow Street - Chase Bldg. Suite 101 PO Box 1384 Bangor, ME 04402-1384 OFC PHONE (207) 945-0468 Office Hours 8:00 AM - 4:30 PM
	Burlington, VT	Vermont State Office Room 237 - Federal Building 11 Elmwood Avenue, PO Box 879 Burlington, VT 05401-0879 OFC PHONE (802) 951-6290 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
NY/NEW JERSEY	New York, NY	New York State Office 26 Federal Plaza - Suite 3541 New York, NY 10278-0068 OFC PHONE (212) 264-1161 Office Hours 8:00 AM - 4:30 PM
	Buffalo, NY	Buffalo Area Office Lafayette Court, 5th Floor 465 Main Street Buffalo, NY 14203-1780 OFC PHONE (716) 551-5733 Office Hours 8:00 AM - 4:30 PM
	Camden, NJ	Camden Area Office 2nd Floor - Hudson Bldg. 800 Hudson Square Camden, NJ 08102-1156 OFC PHONE (609) 757-5081 Office Hours 8:00 AM - 4:30 PM
	Newark, NJ	New Jersey State Office 13th Floor One Newark Center Newark, NJ 07102-5260 OFC PHONE (973) 622-7619 Office Hours 8:00 AM - 4:30 PM
	Albany, NY	Albany Area Office 52 Corporate Circle Albany, NY 12203-5121 OFC PHONE (518) 464-4200 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
MID-ATLANTIC	Philadelphia, PA	Pennsylvania State Office The Wanamaker Building 100 Penn Square, East Philadelphia, PA 19107-3380 OFC PHONE (215) 656-0600 Office Hours 8:00 AM - 4:30 PM
	Baltimore, MD	Maryland State Office 5th Floor 10 South Howard Street Baltimore, MD 21201-2505 OFC PHONE (410) 962-2520 Office Hours 8:00 AM - 4:30 PM
	Pittsburgh, PA	Pittsburgh Area Office 339 Sixth Avenue - Sixth Floor Pittsburgh, PA 15222-2515 OFC PHONE (412) 644-5945 Office Hours 8:00 AM - 4:30 PM
	Washington, DC	District of Columbia Office Suite 300 820 First Street, N.E. Washington, DC 20002-4205 OFC PHONE (202) 275-9200 Office Hours 8:00 AM - 4:30 PM
	Richmond, VA	Virginia State Office 3600 West Broad Street Richmond, VA 23230-4920 OFC PHONE (804) 278-4500 Office Hours 8:00 AM - 4:30 PM
	Charleston, WV	West Virginia State Office 405 Capitol Street, Suite 708 Charleston, WV 25301-1795 OFC PHONE (304) 347-7036 Office Hours 8:00 AM - 4:30 PM
	Wilmington, DE	Delaware State Office One Rodney Square 920 King Street, Suite 404 Wilmington, DE 19801 OFC PHONE (302) 573-6300 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
SOUTHEAST/CARIBBEAN	Atlanta, GA	Georgia State Office 40 Marietta Street - Five Points Plaza Atlanta, GA 30303-2806 OFC PHONE (404) 331-4111 Office Hours 8:00 AM - 4:30 PM
	Birmingham, AL	Alabama State Office 600 Beacon Parkway West, Rm. 300 Birmingham, AL 35209-3144 OFC PHONE (205) 290-7617 Office Hours 8:00 AM - 4:30 PM
	Louisville, KY	Kentucky State Office 601 West Broadway, PO Box 1044 Louisville, KY 40201-1044 OFC PHONE (502) 582-5251 Office Hours 8:00 AM - 4:45 PM
	Jackson, MS	Mississippi State Office McCoy Federal Building 100 W. Capitol Street, Room 910 Jackson, MS 39269-1096 OFC PHONE (601) 965-4700 Office Hours 8:00 AM - 4:45 PM
	Memphis, TN	Memphis Area Office 200 Jefferson Avenue, Suite 1200 Memphis, TN 38103-2335 OFC PHONE (901) 544-3403 Office Hours 8:00 AM - 4:30 PM
	Nashville, TN	Tennessee State Office 251 Cumberland Bend Drive Suite 200 Nashville, TN 37228-1803 OFC PHONE (615) 736-5213 Office Hours 8:00 AM - 4:30 PM
	Jacksonville, FL	Jacksonville Area Office 301 West Bay Street, Suite 2200 Jacksonville, FL 32202-5121 OFC PHONE (904) 232-2627 Office Hours 8:00 AM - 4:30 PM
	Miami, FL	Florida State Office 909 SE First Avenue Miami, FL 33131 OFC PHONE (305) 536-5676 Office Hours 8:30 AM - 5:00 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
SOUTHEAST/CARIBBEAN (continued)	Greensboro, NC	North Carolina State Office Koger Building 2306 West Meadowview Road Greensboro, NC 27401-3707 OFC PHONE (336) 547-4001,4002, 4003 Office Hours 8:00 AM - 4:45 PM
	San Juan, PR	Caribbean Office 171 Carlos E. Chardon Avenue San Juan, PR 00918-0903 OFC PHONE (787) 766-5201 Office Hours 8:00 AM - 4:30 PM
	Columbia, SC	South Carolina State Office 1835 Assembly Street Columbia, SC 29201-2480 OFC PHONE (803) 765-5592 Office Hours 8:00 AM - 4:45 PM
	Knoxville, TN	Knoxville Area Office 710 Locust Street, SW Knoxville, TN 37902-2526 OFC PHONE (423) 545-4384 Office Hours 7:30 AM - 4:15 PM
	Orlando, FL	Orlando Area Office 3751 Maguire Boulevard, Room 270 Orlando, FL 32803-3032 OFC PHONE (407) 648-6441 Office Hours 8:00 AM - 4:30 PM
	Tampa, FL	Tampa Area Office 501 East Polk Street, Room 700 Tampa, FL 33602-3945 OFC PHONE (813) 228-2504 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
MIDWEST	Chicago, IL	Illinois State Office Ralph Metcalfe Federal Building 77 West Jackson Boulevard Chicago, IL 60604-3507 OFC PHONE (312) 353-5680 Office Hours 8:15 AM - 4:45 PM
	Detroit, MI	Michigan State Office 477 Michigan Avenue Detroit, MI 48226-2592 OFC PHONE (313) 226-7900 Office Hours 8:00 AM - 4:30 PM
	Indianapolis, IN	Indiana State Office 151 North Delaware Street, Suite 1200 Indianapolis, IN 46204-2526 OFC PHONE (317) 226-7034 Office Hours 8:00 AM - 4:45 PM
	Grand Rapids, MI	Grand Rapids Area Office Trade Center Building 50 Louis Street, N.W. Grand Rapids, MI 49503-2648 OFC PHONE (616) 456-2125 Office Hours 8:00 AM - 4:30 PM
	Minneapolis, MN	Minnesota State Office 220 Second Street, South Minneapolis, MN 55401-2195 OFC PHONE (612) 370-3000 Office Hours 8:00 AM - 4:30 PM
	Cincinnati, OH	Cincinnati Area Office 525 Vine Street, Suite 700 Cincinnati, OH 45202-3188 OFC PHONE (513) 684-2967 Office Hours 8:00 AM - 4:45 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
MIDWEST (Continued)	Cleveland, OH	Cleveland Area Office 1350 Euclid Avenue, Suite 500 Cleveland, OH 44115-1815 OFC PHONE (216) 522-4058 Office Hours 8:00 AM - 4:40 PM
	Columbus, OH	Ohio State Office 200 North High Street Columbus, OH 43215-2499 OFC PHONE (614) 469-2540 Office Hours 8:00 AM - 4:45 PM
	Milwaukee, WI	Wisconsin State Office 310 West Wisconsin Avenue Room 1380 Milwaukee, WI 53203-2289 OFC PHONE (414) 297-3214 Office Hours 8:00 AM - 4:30 PM
	Flint, MI	Flint Area Office 605 North Saginaw Street, Room 200 Flint, MI 48502-1953 OFC PHONE (810) 766-5112 Office Hours 8:00 AM - 4:30 PM
	Springfield, IL	Springfield Field Office 320 West Washington 7th Floor Springfield, IL 62707 OFC PHONE (217) 492-4120 Office Hours 8:15 AM - 4:45 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
SOUTHWEST	Fort Worth, TX	Texas State Office 801 Cherry Street, PO Box 2905 Ft. Worth, TX 76113-2905 OFC PHONE (817) 978-5965 Office Hours 8:00 AM - 4:30 PM
	Dallas, TX	Dallas Area Office 525 Griffin Street, Room 860 Dallas, TX 75202-5007 OFC PHONE (214) 767-8300 Office Hours 8:00 AM - 4:30 PM
	Albuquerque, NM	New Mexico State Office 625 Silver Avenue SW, Suite 100 Albuquerque, NM 87102-3185 OFC PHONE (505) 346-6463 Office Hours 8:00 AM - 5:00 PM
	Houston, TX	Houston Area Office 2211 Norfolk, #200 Houston, TX 77098-4096 OFC PHONE (713) 313-2274 Office Hours 7:45 AM - 4:30 PM
	Lubbock, TX	Lubbock Area Office 1205 Texas Avenue, Rm. 511 Lubbock, TX 79401-4093 OFC PHONE (806) 472-7265 Office Hours 8:00 AM - 4:45 PM
	San Antonio, TX	San Antonio Area Office 800 Dolorosa San Antonio, TX 78207-4563 OFC PHONE (210) 475-6806 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
SOUTHWEST (continued)	Little Rock, AR	Arkansas State Office 425 West Capitol Avenue #900 Little Rock, AR 72201-3488 OFC PHONE (501) 324-5401 Office Hours 8:00 AM - 4:30 PM
	New Orleans, LA	Louisiana State Office Hale Boggs Bldg. - 501 Magazine Street, 9th Floor New Orleans, LA 70130-3099 OFC PHONE (504) 589-7201 Office Hours 8:00 AM - 4:30 PM
	Shreveport, LA	Shreveport Area Office 401 Edwards Street, Rm. 1510 Shreveport, LA 71101-3289 OFC PHONE (318) 676-3440 Office Hours 7:45 AM - 4:30 PM
	Oklahoma City, OK	Oklahoma State Office 500 W. Main Street, Suite 400 Oklahoma City, OK 73102-2233 OFC PHONE (405) 553-7500 Office Hours 8:00 AM - 4:30 PM
	Tulsa, OK	Tulsa Area Office 50 East 15th Street Tulsa, OK 74119-4030 OFC PHONE (918) 581-7496 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
GREAT PLAINS	Kansas City, KS	Kansas/Missouri State Office 400 State Avenue, Room 200 Kansas City, KS 66101-2406 OFC PHONE (913) 551-5462 Office Hours 8:00 AM - 4:30 PM
	Omaha, NE	Nebraska State Office 10909 Mill Valley Road, Suite 100 Omaha, NE 68154-3955 OFC PHONE (402) 492-3103 Office Hours 8:00 AM - 4:30 PM
	St. Louis, MO	St. Louis Area Office 1222 Spruce Street #3207 St. Louis, MO 63103-2836 OFC PHONE (314) 539-6560 Office Hours 8:00 AM - 4:30 PM
	Des Moines, IA	Iowa State Office 210 Walnut Street, Room 239 Des Moines, IA 50309-2155 OFC PHONE (515) 284-4573 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
ROCKY MOUNTAINS	Denver, CO	Colorado State Office 633 17th Street, 14th Floor Denver, CO 80202-3607 OFC PHONE (303) 672-5440 Office Hours 8:00 AM - 4:30 PM
	Salt Lake City, UT	Utah State Office 257 East, 200 South, Rm. 550 Salt Lake City, UT 84111-2048 OFC PHONE (801) 524-6071 Office Hours 8:00 AM - 4:30 PM
	Helena, MT	Montana State Office 7 West Sixth Avenue Power Block Building Helena, MT 59601 OFC PHONE (406) 449-5048 Office Hours 8:00 AM - 4:30 PM
	Sioux Falls, SD	South Dakota State Office 2400 West 49th Street, Rm. I-201 Sioux Falls, SD 57105-6558 OFC PHONE (605) 330-4223 Office Hours 8:00 AM - 4:30 PM
	Fargo, ND	North Dakota State Office 657 2nd Avenue North, Room 366 Fargo, ND 58108 OFC PHONE (701) 239-5040 Office Hours 8:00 AM - 4:30 PM
	Casper, WY	Wyoming State Office 100 East B Street, Room 4229 Casper, WY 82601-1969 OFC PHONE (307) 261-6250 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
PACIFIC/HAWAII	San Francisco, CA	California State Office 450 Golden Gate Avenue, Box 36003 San Francisco, CA 94102-3448 OFC PHONE (415) 436-6532 Office Hours 8:15 AM - 4:45 PM
	Honolulu, HI	Hawaii State Office 7 Waterfront Plaza 500 Ala Moana Blvd. #500 Honolulu, HI 96813-4918 OFC PHONE (808) 522-8175 Office Hours 8:00 AM - 4:00 PM
	Los Angeles, CA	Los Angeles Area Office 611 W. Sixth Street, Suite 800 Los Angeles, CA 90017 OFC PHONE (213) 894-8007 Office Hours 8:00 AM - 4:30 PM
	Sacramento, CA	Sacramento Area Office 925 L Street Sacramento, CA 95814 OFC PHONE (916) 498-5220 Office Hours 8:00 AM - 4:30 PM
	Reno, NV	Reno Area Office 3702 S. Virginia Street, Suite G-2 Reno, NV 89502-6581 OFC PHONE (775) 784-5383 Office Hours 8:00 AM - 4:30 PM
	San Diego, CA	San Diego Area Office 2365 Northside Drive, Room 300 San Diego, CA 92108-2712 OFC PHONE (619) 557-5310 Office Hours 8:00 AM - 4:30 PM
	Las Vegas, NV	Nevada State Office 333 N. Rancho Drive - Atrium Bldg. Suite 700 Las Vegas, NV 89106-3714 OFC PHONE (702) 388-6208/6500 Office Hours 8:00 AM - 4:30 PM
	Phoenix, AZ	Arizona State Office 400 North Fifth Street, Suite 1600 Phoenix, AZ 85004-2361 OFC PHONE (602) 379-4434 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
PACIFIC/HAWAII (continued)	Santa Ana, CA	Santa Ana Area Office 1600 N. Broadway, Suite 100 Santa Ana, CA 92706-3927 OFC PHONE (714) 796-5577 Office Hours 8:00 AM - 4:30 PM
	Tucson, AZ	Tucson Area Office 33 North Stone Avenue #700 Tucson, AZ 85701-1467 OFC PHONE (520) 670-6000 Office Hours 8:00 AM - 4:30 PM
	Fresno, CA	Fresno Area Office 2135 Fresno Street, Suite 100 Fresno, CA 93721-1718 OFC PHONE (559) 487-5032 Office Hours 8:00 AM - 4:30 PM

JURISDICTION	OFFICE	ADDRESS AND PHONE NUMBERS
NORTHWEST/ALASKA	Seattle, WA	Washington State Office 909 First Avenue, Suite 200 Seattle, WA 98104-1000 OFC PHONE (206) 220-5101 Office Hours 8:00 AM - 4:30 PM
	Portland, OR	Oregon State Office 400 SW 6th Avenue #700 Portland, OR 97204-1632 OFC PHONE (503) 326-2561 Office Hours 8:00 AM - 4:30 PM
	Anchorage, AK	Alaska State Office 949 East 36th Avenue, Suite 401 Anchorage, AK 99508-4399 OFC PHONE (907) 271-4170 Office Hours 8:00 AM - 4:30 PM
	Boise, ID	Idaho State Office Suite 220, Plaza IV 800 Park Boulevard Boise, Idaho 83712-7743 OFC PHONE (208) 334-1990 Office Hours 8:00 AM - 4:30 PM
	Spokane, WA	Spokane Area Office US Courthouse Bldg. 920 W. Riverside, Suite 588 Spokane, WA 99201-1010 OFC PHONE (509) 353-0674 Office Hours 8:00 AM - 4:30 PM

U.S. Department of Housing and Urban Development
Washington, DC 20410

Revitalization

Demolition

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