



Federal Register

**Wednesday,
December 29, 2004**

Part II

Department of Housing and Urban Development

**Notice of Funding Availability for
Revitalization of Severely Distressed
Public Housing HOPE VI Revitalization
Grants Fiscal Year 2004; Correction;
Notice**

**DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

[Docket No. FR-4921-C-02]

**Notice of Funding Availability for
Revitalization of Severely Distressed
Public Housing HOPE VI Revitalization
Grants Fiscal Year 2004; Correction**

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

ACTION: Notice of funding availability; correction.

SUMMARY: On November 3, 2004, HUD published the Notice of Funding Availability (NOFA) for Revitalization of Severely Distressed Public Housing HOPE VI Revitalization and Demolition Grants for Fiscal Year 2004. This notice announces several corrections to the NOFA.

FOR FURTHER INFORMATION CONTACT: Lar Gnessin, Office of Public Housing Investments, Office of Public and Indian Housing, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington DC, 20410-5000; telephone (202) 708-0614 extension 2676 (this is not a toll-free number). Hearing-or speech-impaired individuals may access this number via TTY by calling the toll-free Federal Information Relay Service at (800) 877-8339.

SUPPLEMENTARY INFORMATION:

On November 3, 2004, HUD published (69 FR 64136) the Notice of Funding Availability (NOFA) for Revitalization of Severely Distressed Public Housing HOPE VI Revitalization and Demolition Grants for Fiscal Year 2004. This notice announces corrections to the NOFA.

Subsequent to publication, the Department discovered that some references had been inconsistently used in the NOFA and appendices. Corrections to incorrect references are made in this document. This notice also makes a clarification to the description of calculating matching funds. Further clarification is made in the milestone chart that describes, in general, a timeline for the HOPE VI grant cycle. In addition, the notice clarifies that as part of the determination of capacity of existing HOPE VI grantees, production achievement numbers will be taken from the HOPE VI Quarterly Progress Report for the quarter ending September 30, 2004.

In addition, the Department discovered that two required submission items that are described in the NOFA were inadvertently left off the application checklist. Consequently, this notice explains that the checklist is

no longer a required submission of the application. Although the application checklist is not required, HUD recommends that applicants utilize the suggested Table of Contents, Appendix 1 to this Notice, to help ensure that they have included all necessary documents with their applications. For a complete list of required narrative exhibits and forms, see pages 64149 and 64150 of the November 3, 2004, NOFA publication.

After publication, HUD took notice that the explanation of Housing Choice Voucher utilization rate was unclear. Therefore, this notice also clarifies for applicants how to determine the Housing Choice Voucher utilization rate. Similarly, HUD determined that the NOFA definition of "project-based affordable housing units" needed clarification and is made clear in this correction notice. Other clarifications are included in this notice to assist applicants in understanding the NOFA. Finally, this correction notice includes additional detailed application submission information in appendices 2 and 3.

Accordingly, the Notice of Funding Availability for Revitalization of Severely Distressed Public Housing HOPE VI Revitalization Grants for Fiscal Year 2004, published in the **Federal Register** on November 3, 2004 (69 FR 64135) is corrected as follows:

1. On page 64138, in the middle column, revise paragraph III.B.1.c. to read as follows: "c. In accordance with Section 24(c) of the Act, for purposes of calculating the amount of matching funds required by Sections a. and b. above, you may not include amounts from HOPE VI program funding, including HOPE VI Revitalization, HOPE VI Demolition, and HOPE VI Neighborhood Networks grants. You may include funding from other public housing sources, *e.g.*, Capital Funds, other federal sources, any state or local government source and any private contributions. You may also include the value of donated material or buildings, 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."

2. On page 64139, in the middle column, paragraph III.C.1.e., remove the phrase, "(community building, etc.)"

3. On page 64139, in the third column, paragraph III.C.1.i., page 64150, in the third column, paragraph IV.B.4.f., and on page 64156, in the middle column, paragraph V.A.1.c.(1)(iii):

a. Revise the Milestone table to read as follows:

Milestone	Date
Grant Award	May 2, 2005.
Grant Agreement Execution.	August 1, 2005.
HUD's written request for Supplemental Submissions.	September 1, 2005.
HUD's approval of Supplemental Submissions.	January 2, 2006.

b. Remove the paragraph that follows immediately the Milestone table. "If grant award takes place after October 1, 2004, the grantee's program schedule may be changed in the Supplemental Submissions to account for the period of time between October 1, 2004, and the actual date of grant award." and add in its place, "If grant award takes place after May 2, 2005, the grantee's program schedule may be changed in the Supplemental Submissions to account for the period of time between May 2, 2005, and the actual date of grant award."

4. On page 64140, in the third column, remove paragraph III.C.2.a.(2).

5. On page 64141, in the first column, revise paragraph III.C.2.b.(3) to read as follows:

"(3) Resident Involvement in the Revitalization Program Certification." You must certify that you have involved affected public housing residents at the beginning and during the planning process for the revitalization program, prior to submission of your application. If you have not included affected residents in the planning process, your application will not be rated or ranked and will be ineligible for funding. See Section III.C.4. of this NOFA for minimum training and meeting requirements and Section IV.B. of this NOFA for documentation requirements.

6. On page 64149, in the second column, remove paragraph IV.B.2.a.(3); Form HUD-52800, "HOPE VI Revitalization Application Checklist," as this form is no longer a mandatory part of the application. Although the application checklist is not required, HUD recommends that applicants utilize the suggested Table of Contents, Appendix 1 to this Notice, to help ensure that they have included all necessary documents with their applications. For additional information about required narrative exhibits and forms, see pages 64149 and 64150 of the November 3, 2004 NOFA publication.

7. On page 64149, in the last column, remove paragraph IV.B.2.b.(17).

8. On page 64150, in the first column, add a new paragraph IV.B.2.c. after paragraph IV.B.2.b.(32)(d) to read as follows: "Additional detailed application submission information is

included in Appendix 2 to this Notice, "HOPE VI Revitalization Application Submission Instructions," and Appendix 3 to this Notice, "Instructions for HOPE VI Application Data Forms."

9. On page 64150, in the first column, paragraph IV.B.4.d., This documentation is for the Need rating factor, not a threshold. Move paragraph IV.B.4.d. from its current position to page 64151, column 3, and label it paragraph IV.B.6.b.(3).

10. On page 64150, in the middle column, There are two paragraphs labeled "(3)" The paragraph beginning with, "(3) Applicants must ensure that their obligation and expenditure information was updated in LOCCS * * *" will remain as stated. Revise the paragraph beginning with, "(3) For MTW PHAs that do not record capital funds obligations in LOCCS * * *" by removing the paragraph label "(3)" and replacing it with the paragraph label "(4)".

11. On page 64151, in the middle column, revise paragraph IV.B.5.c. to read as follows: "c. Relocation Plan Certification. (1) You must certify that the HOPE VI Relocation plan has been completed and that it conforms to the URA requirements as described in Sections III.C.4. and V.A.6. of this NOFA. If, after the deficiency cure period, this certification is not properly included in your application, the application will not be rated or ranked and will be ineligible for funding."

12. On page 64153, in the third column, remove paragraph IV.B.6.f.(2).

13. On page 64153, in the third column, revise paragraph IV.B.6.j. by adding the following sentence at the end of the paragraph: "You must answer the questions in either Part A or Part B of the form, but not both."

14. On page 64155, in the middle column, revise paragraph IV.E.6.c. by removing the phrase "* * * Control and Safe Harbor Standards can be found on the Grants.gov web site." and replacing it with, "* * * Control and Safe Harbor Standards can be found on HUD's HOPE VI web site."

15. On page 64156, in the second and third columns, revise paragraph V.A.1.d.(2) by removing the last sentence and replacing it with the following: "Production achievement numbers will be taken from the HOPE VI Quarterly Progress Report for the quarter ending September 30, 2004."

16. On page 64157, in the middle column, add a new paragraph V.A.1.h.(4) after paragraph V.A.1.h.(3) to read as follows: "(4) For MTW PHA applicants: (a) If you are in compliance with your MTW Agreement, you will receive 2 points. (b) If you are not in

compliance with your MTW Agreement, you will receive 0 points."

17. On page 64157, in the middle column, add a new paragraph V.A.1.i.(4) after paragraph V.A.1.i.(3) to read as follows: "(4) For MTW PHA applicants: (a) If you are in compliance with your MTW Agreement, you will receive 2 points. (b) If you are not in compliance with your MTW Agreement, you will receive 0 points."

18. On page 64158, in the first column. There are two paragraphs labeled "c." The paragraph heading, "c. Need for HOPE VI Funding—8 points." remains as stated. Revise the paragraph heading, "c. Need for Affordable Accessible Housing in the Community—3 Points." to read as follows: "d. Need for Affordable Accessible Housing in the Community—3 Points."

19. On page 64158, in the middle column, revise the second sentence of paragraph V.A.2.d.(2) to read as follows: "* * * In figuring the Housing Choice Voucher utilization rate, determine and provide the percentage of HCV units out of the total number authorized or the percentage of HCV funds expended out of the total amount authorized, whichever percentage is higher * * *."

20. On page 64158, in the middle column, revise paragraph V.A.2.d.(2) by adding at the end: "For Sections (3), (4) and (5) below, you will be rated based upon either (a) or (b), whichever is determined to be the higher of the two percentages. The lower of the two percentages will not affect your rating."

21. On page 64158, in the middle column, revise paragraph V.A.2.d.(6) to read as follows: "(6) You will receive 0 Points if both the utilization rate of your Housing Choice Voucher program and the occupancy rate of your public housing inventory are less than 93 percent."

22. On page 64158, in the third column, revise paragraph V.A.3.a. by adding at the end, "In determining Leverage ratios, HUD will include as Leverage the match amounts that are required by Section III.B. of this NOFA."

23. On page 64159, in the first column, revise paragraph V.A.3.d.(1) to read as follows: "(1) You will receive 2 Points if the ratio of the amount of HOPE VI funds requested for physical development activities to the amount of your documented anticipatory resources is 1:0.1 or higher. The clause, "HOPE VI funds requested for physical development activities" is defined as your total requested amount of funds minus your requested CSS, administration amounts, and relocation. HUD will presume that your combined

CSS and administration amounts are the total of Budget Line Items 1408 (excluding Management Improvements), 1410, and 1495 on the form HUD-52825-A, "HOPE VI Budget" that is included in your application."

24. On page 64160, in the first column, revise paragraph V.A.6. by adding at the end, "For all applicants, whether you have completed, or have yet to complete, relocation of all residents of the targeted project, your HOPE VI Relocation Plan must include the three goals set out in Section 24, as described in Sections a.(1)(a), (b) and (c) below."

25. On page 64160, in the first column, remove paragraph V.A.6.a.(2).

26. On page 64160, in the first column, revise paragraph V.A.6.b. through d. to read as follows: "b. You will receive 4 Points for this Factor if: Your Relocation Plan complies with only two of the goals in (a) through (c) above. c. You will receive 2 Points for this Factor if: Your Relocation Plan complies with only one of the requirements in (a) through (c) above. d. You will receive 0 Points for this Factor if: (1) Your Relocation Plan does not comply with any of the requirements in (a) through (c) above; or (2) Your application does not address this factor to an extent that makes HUD's rating of this factor possible."

27. On page 64161, in the middle column, revise paragraph V.A.8.a.(1)(a) to read as follows: "project-based affordable housing units" are defined as on-site and off-site housing units where there are affordable-housing use restrictions on the unit, e.g., public housing, project-based HCV (Section 8) units, LIHTC units, HOME units, affordable homeownership units, etc."

28. On page 64161, in the third column, remove paragraphs V.A.8.a.(1)(c) and (d).

29. On page 64161, in the third column, revise paragraph V.A.8.a.(2) by adding at the end, "* * * In figuring the Housing Choice Voucher utilization rate, determine and provide the percentage of HCV units out of the total number authorized or the percentage of HCV funds expended out of the total amount authorized, whichever percentage is higher * * *."

30. On page 64164, in the middle column, revise paragraph V.B.5. by removing the citation to the "FY2003 HOPE VI appropriation" and adding in its place a citation to "FY2004 HOPE VI appropriation."

31. On page 64164, in the third column, revise paragraph VI.B.2. to read as follows: "2. Timeliness of Development Activity. Grantees 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. These timeframes must be reflected in the form of a program schedule, in accordance with the threshold requirement at Section III.C.1.i. of this NOFA and the Rating Factor requirement at Section V.A.1.c. of this NOFA.”

32. On page 64166, in the third column, revise paragraph VII.B.1. to read as follows: “1. Technical corrections to this NOFA will be posted to the Grants.gov/Find website, to <http://www.hud.gov/offices/adm/grants/otherhud.cfm> and to HUD’s HOPE VI website.”

33. On page 64168, remove form HUD-52800, “HOPE VI Revitalization

Application Checklist,” as this form is no longer a mandatory part of the application. Although the application checklist is not required, HUD recommends that applicants utilize the suggested Table of Contents, Appendix 1 to this Notice, to help ensure that they have included all necessary documents with their applications. For a complete list of required narrative exhibits and forms, see pages 64149 and 64150 of the November 3, 2004 NOFA publication.

34. On page 64199, form HUD-52785, Attachment 23; In the first paragraph below the public reporting burden statement, remove the reference to “Section VII.(A)(2)” and add in its place a reference to “Section III.C.4.j.” In the paragraph below, “Date of HOPE VI Resident Training Session,” remove the

reference to “Section VII.(A)(3)” and add in its place a reference to “Section III.C.4.j.”

35. On page 64200, form HUD-52787, Attachment 31; In the first paragraph below the public reporting burden statement, remove the reference to “Section XII.(B)(4)” and add in its place a reference to “Section V.A.9.d.” For the checklist item beginning, “The PHA has held 5 or more public planning sessions * * *,” remove the sentence, “No more than three of these meetings may be the same as those certified to in Attachment 23.”

Dated: December 20, 2004.

Michael Liu,

Assistant Secretary for Public and Indian Housing.

BILLING CODE 4210-33-P

APPENDIX 1**HOPE VI REVITALIZATION APPLICATION SUGGESTED
TABLE OF CONTENTS****NARRATIVE EXHIBITS****Application Page Number****Exhibit A: SUMMARY INFORMATION**

A.1	Executive Summary	_____
A.2	Physical Plan	_____
A.3	Hazard Reduction	_____
A.4	Demolition	_____
A.5	Disposition	_____
A.6	Site Improvements	_____
A.7	Site Conditions	_____
A.8	Separability	_____
A.9	Proximity	_____

Exhibit B: CAPACITY

B.1	Most Recent PHAS and SEMAP Ratings	_____
B.2	Development Capacity of Developer	_____
B.3	Development Capacity of Applicant	_____
B.4	Capacity of Existing HOPE VI Revitalization Grantees	_____
B.5	CSS Program Capacity	_____
B.6	Property Management Capacity	_____
B.7	PHA Plan	_____

Exhibit C: NEED

C.1	Need for Revitalization: Severe Physical Distress of the PH Site	_____
C.2	Need for Revitalization: Impact of the Severely Distressed Site on the Surrounding Neighborhood	_____
C.3	Need for HOPE VI Funds	_____
C.4	Previously-Funded Sites	_____
C.5	Need for Affordable Housing in the Community	_____

Exhibit D: RESIDENT AND COMMUNITY INVOLVEMENT

D.1 Resident and Community Involvement _____

Exhibit E: COMMUNITY AND SUPPORTIVE SERVICES

E.1 Community and Supportive Services _____

E.2 Endowment Trust _____

Exhibit F: RELOCATION

F.1 Housing Choice Voucher Needs _____

F.2 Relocation Plan _____

Exhibit G: FAIR HOUSING AND EQUAL OPPORTUNITY

G.1 Accessibility _____

G.2 Universal Design _____

G.3 Fair Housing _____

G.4 Section 3 _____

Exhibit H: WELL-FUNCTIONING COMMUNITIES

H.1 Unit Mix and Need for Affordable Housing _____

H.2 Off Site Housing _____

H.3 Homeownership Housing _____

Exhibit I: SOUNDNESS OF APPROACH

I.1 Appropriateness of Proposal _____

I.2 Appropriateness and Feasibility of the Plan _____

I.3 Neighborhood Impact and Sustainability of the Plan _____

I.4 Design _____

I.5 Evaluation _____

ATTACHMENTS**Application Page Number**

1: Application Data Form: Cover Sheet	_____
2: Application Data Form: Existing Units, Occupancy, Vacancy	_____
3: Application Data Form: Relocation, Income, & Non-Dwelling Structures	_____
4: Application Data Form: Proposed Unit Mix Post-Revitalization	_____
5: Application Data Form: Units, Accessibility, Concentration	_____
6: Application Data Form: Self-Sufficiency	_____
7: Application Data Form: Sources and Uses	_____
8: HOPE VI Budget Form	_____
9: TDC/Grant Limitations Worksheet	_____
10: Extraordinary Site Costs Certification	_____
11: Cost Certification	_____
12: City Map	_____
13: Developer Certification	_____
14: Property Management Certification	_____
15: Program Schedule	_____
16: Certification of Severe Physical Distress	_____
17: Photographs of the Severely Distressed Housing	_____
18: Neighborhood Conditions	_____
19: Physical Development Resources	_____
20: CSS Resources	_____
21: Anticipatory Resources	_____
22: Collateral Resources	_____
23: Resident Training and Public Meeting Certification	_____
24: Commitments with CSS Providers	_____
25: HOPE VI Revitalization Relocation Plan Certification	_____
26: Deleted	_____
27: Documentation of Site Control for Off-Site Public Housing	_____

- 28: Documentation of Site Control, Environmental,
 & Neighborhood Standards _____
- 29: Preliminary Market Assessment Letter _____
- 30: Certification of Zoning Approval or Documentation _____
- 31: Project Readiness Certification _____
- 32: Current Site Plan _____
- 33: Photographs of Architecture in the Surrounding Community _____
- 34: Conceptual Site Plan _____
- 35: Conceptual Building Elevations _____
- 36: Evaluation Commitment Letter(s) _____
- 37: Portions of the PHA Plan _____
- 38. Logic Model, form HUD-96010 _____
- 39. America’s Affordable Communities Initiative, form HUD-27300 _____
- 40: HOPE VI Revitalization Application Certifications (4pg. Form) _____
- 41: Standard Forms and Certifications
 - Applicant Assurances and Certifications (HUD-424-B) _____
 - Standard Form LLL, as applicable, “Disclosure of
 Lobbying Activities” _____
 - HUD-2880, “Applicant/Recipient Disclosure/Update Report _____
 - HUD-52515, “Funding Application, Section 8 Tenant-Based
 Assistance Rental Certificate Program, Rental Voucher
 Program,” as applicable _____

HOPE VI REVITALIZATION APPLICATION SUBMISSION INSTRUCTIONS**GENERAL INSTRUCTIONS****A. Application Preparation**

The preparation of an approvable HOPE VI Revitalization application is time-consuming and can involve significant costs. You are cautioned that only applications with strong showings of readiness, need, and capacity will be selected.

1. Your application must be complete and you must present all items in a manner that is succinct and clear. Respond to *every requirement and question posed*. Many applicants lose crucial points because they do not adequately respond to a question, because language is 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 Resident Training Session and Public Meeting requirements in the NOFA. Be sure to advertise and document those meetings carefully. You will receive additional points under the Project Readiness rating factor if you conduct additional meetings.
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.
4. Note the requirement of a certification of severe physical distress by an independent, certified engineer or architect. If you request funds to pay for extraordinary site costs, you will also need to have an independent certified engineer or architect justify and verify those costs.
5. Specific formatting and documentation instructions are provided in the NOFA itself, and will be strictly enforced. You should carefully review Section IV of the NOFA to make sure you adhere to the various application submission, content, formatting and documentation requirements.
6. If you are proposing a mixed-finance project, you should obtain and review 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 (not the HOPE VI Grant Implementation Guidebook, which has been replaced by the HOPE VI website).

B. Application Content and Organization. Provide application materials in the following order:

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). You must use a SF-424, not a HUD-424. The CFDA number for the HOPE VI Program is 14.866. This form is included in this HOPE VI Application. Please be sure to enter your DUNS number on the form in the space provided.
3. HOPE VI Revitalization Application Table of Contents. The HOPE VI Application Table of Contents, attached at the back of these instructions, lists Narrative Exhibits, Attachments, and Standard Certifications that should be contained in the application. It 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. After you have completed your application, please enter the page numbers of the Narrative Exhibits and Attachments and include the completed Table of Contents behind your SF-424.
4. The Narrative Exhibits constitute specific aspects of your 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 conform to the page number and format requirements of the NOFA.
5. Attachments must be located behind the Narrative Exhibits. Information in the Attachments may not substitute for information requested in a Narrative Exhibit. Attachments include photographs, maps, illustrations, 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 the instructions posted on the HOPE VI website and best estimates if necessary. Do not fill in fields blocked in gray. Be sure that all numbers and data throughout the Narrative Exhibits and Attachments are consistent. For more detailed information on the Data Forms, instructions are provided on the HOPE VI website where the NOFA is posted.
6. Standard certifications and forms must be placed at the end of the application, in the order provided for in Section IV of the NOFA and on the Application Table of Contents (guide below). Standard certifications and forms include the HOPE VI Revitalization Applicant Certifications (4 pages, to be signed by the Board Chair) and other HUD and Standard forms as identified below.

DETAILED INSTRUCTIONS FOR COMPLETING NARRATIVE EXHIBITS AND ATTACHMENTS

EXHIBIT A: SUMMARY INFORMATION

- A.1 Executive Summary. Provide an Executive Summary, not to exceed three pages. Describe your Revitalization Plan, as clearly and thoroughly as possible. Do not argue for the need for the HOPE VI grant, but explain what you would do if you received a grant. Briefly describe why the targeted project is severely distressed, provide the number of units, and indicate how

many of the units are occupied. Describe specific plans for the revitalization of the site. Include income mix, basic features (such as restoration of streets), and any mixed use or non-housing components. If you are proposing off site replacement housing, provide the number and type of units and describe the off site locations. Describe any homeownership components included in your Plan, including numbers of units. Briefly summarize your plans for community and supportive services. State the amount of HOPE VI funds you are requesting, and list the other resources you will use for your mixed-finance development, briefly indicating the strength of those financial commitments. Identify whether you have procured a developer or whether you will act as your own developer.

A.2 **Physical Plan.** Describe your planned physical revitalization activities:

- a. rehabilitation of severely distressed public housing units in accordance with Sections I(D)(4) and III(C)(4) of the NOFA (pages 64137 and 64141 of the NOFA as published in the Federal Register).
- b. development of public housing replacement rental housing, both on-site and off-site, in accordance with Sections I(D)(5) and III(C)(4)(b) of the NOFA (pgs. 64137 and 64141).
- c. Indicate whether you plan to use PATH technologies in the construction of replacement housing, in accordance with Section III(C)(4)(f) of the NOFA (pg. 64142).
- d. market rate housing units (see Sections III(C)(1)(e), pg. 64139, and III(C)(3)(b)(1), pg. 64141, for threshold requirements).
- e. units to be financed with low-income housing tax credits
- f. replacement homeownership assistance for displaced public housing residents or other public housing-eligible low-income families, in accordance with Sections I(D)(6) and III(C)(4)(c) of the NOFA (pgs. 64137 and 64141). 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 (homeownership term sheet).
- g. Rehabilitation 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. Describe the type and amount of such space and how the facilities will be used in CSS program delivery or other activities.
- h. Land acquisition and infrastructure and site improvements associated with developing economic development facilities, in accordance with Sections I(D)(7) and III(C)(4)(d) (pgs. 64137 and 64142) 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.

A.3 **Hazard Reduction.** Review Sections I(D), III(C)(4), and IV(E) of the NOFA (pgs. 64137, 64141, and 64154). For units to be rehabilitated or demolished, describe the extent of any required abatement of environmentally hazardous materials such as asbestos.

- A.4 **Demolition.** Review Sections I(D)(2) and III(C)(4)(a) of the NOFA (pgs. 64137 and 64141). 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 III(C)(4)(f)(2) of the NOFA (pg. 64142).
- A.5 **Disposition.** Review Sections I(D)(3) and III(C)(4) of the NOFA (pgs. 64137 and 64141). 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.
- A.6 **Site Improvements.** Review Sections I(D), III(C)(4), and IV(E) of the NOFA (pgs. 64137, 64141, and 64154). 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.
- A.7 **Site Conditions.** Review Sections I(D), III(C)(4), and IV(E) of the NOFA (pgs. 64137, 64141, and 64154). Describe the conditions of the site to be used for replacement housing. Listing all potential contamination or danger sources (e.g. smells, fire heat, explosion and noise) that might be hazardous or cause discomfort to residents, PHA personnel, or construction workers. List potential danger sources, including commercial and industrial facilities, brownfields and other sites with potentially contaminated soil, commercial airports and military airfields. Note any facilities and/or activities within one mile of the proposed site.
- A.8 **Separability.** Review Section III(C)(1)(j) of the NOFA (pg. 64139), and, if applicable, address the separability of the revitalized building(s).
- A.9 **Proximity.** If applicable, describe how two contiguous projects meet the requirements of Section III(C)(1)(c)(1) of the NOFA, or how a scattered site project meets the requirements of Section III(C)(1)(c)(2) of the NOFA (pg. 64139).

EXHIBIT B: CAPACITY

- B.1 **PHAS and SEMAP.** Respond to the PHAS Rating Factor V(A)(1)(h) of the NOFA (pg. 64157) and the SEMAP Rating Factor V(A)(1)(i) (pg. 64157), providing the most recent ratings as of the application due date. See Section IV(B) for documentation requirements. If you are a Moving to Work participant and are not required to report/be scored in PHAS or SEMAP under the terms of your MTW Agreement, you must provide information on what your PHAS and SEMAP ratings would be in accordance with your MTW Agreement.
- B.2 **Development Capacity of Developer.** Respond to Rating Factor V(A)(1)(b) of the NOFA (pg. 64156). See Section IV(B) for documentation requirements.
- B.3 **Development Capacity of Applicant.** Respond to Rating Factor V(A)(1)(c) of the NOFA (pg. 64156). See Section IV(B) for documentation requirements.

- B.4 Capacity of Existing HOPE VI Revitalization Grantees. Respond to Rating Factor V(A)(1)(d) of the NOFA (pg. 64156). This rating factor applies only to PHAs with existing HOPE VI Revitalization grants from fiscal years 1993-2001. Production achievement numbers will be taken from the HOPE VI Quarterly Progress Reports for the quarter ending September 30, 2004. See Section IV(B) for documentation requirements.
- B.5 CSS Program Capacity. Respond to Rating Factor V(A)(1)(e) of the NOFA (pg. 64156). See Section IV(B) for documentation requirements.
- B.6 Property Management Capacity. Respond to Rating Factor V(A)(1)(f) of the NOFA (pg. 64157). See Section IV(B)(6) for documentation requirements.
- B.7 PHA Plan. Respond to Rating Factor V(A)(1)(g) of the NOFA (pg. 64157). See Section IV(B) for documentation requirements.

EXHIBIT C: NEED

- C.1 Need for Revitalization: Severe Physical Distress of the Public Housing Site. Respond to Rating Factor V(A)(2)(a) of the NOFA (pg. 64157). See Section IV(B) for documentation requirements.
- C.2 Need for Revitalization: Impact of the Severely Distressed Site on the Surrounding Neighborhood. Respond to Rating Factor V(A)(2)(b) of the NOFA (pg. 64157). See Section IV(B) for documentation requirements.
- C.3 Need for HOPE VI Funding (Obligation of Capital Funds). Respond to Rating Factor V(A)(2)(c) of the NOFA (pg. 64158). If you are a Moving to Work participant and are not required to enter obligations into LOCCS, review Section IV(B)(6)(b)(3) (formerly labeled as Section IV(B)(4)(d) prior to technical correction) of the NOFA (pg. 64150) and provide a certification of your obligation rate of your FY 1999-2004 Capital Funds in order to earn points under Section V(A)(2)(c). If you are not a participant in MTW, you must provide information on your Capital Funds in accordance with Section IV(B)(6)(b)(3) (formerly labeled as Section IV(B)(4)(d)) and Section V(A)(2)(c). The portion of the PHA Plan that lists the planned uses of your FY 1999-2004 Capital Funds should be placed in Attachment 37. See Section IV(B) for other documentation requirements.
- C.4 Previously-Funded Sites. Respond to Section III(C)(1)(h) of the NOFA (pg. 64139). See Section IV(B) for documentation requirements.
- C.5 Need for Affordable, Accessible Housing in the Community. Respond to Rating Factor V(A)(2)(d) of the NOFA (pg. 64158). See Section IV(B) for documentation requirements.

EXHIBIT D: RESIDENT AND COMMUNITY INVOLVEMENT

- D.1 Resident and Community Involvement. Respond to Rating Factor V(A)(4) of the NOFA (pg. 64159). See Section IV(B) for documentation requirements.

EXHIBIT E: COMMUNITY AND SUPPORTIVE SERVICES

- E.1 Community and Supportive Services. Respond to Section V(A)(5) of the NOFA (pg. 64159). See Section IV(B) for documentation requirements.
- E.2 Endowment Trust. Review Section III(C)(4)(k) and Section V(A)(5) of the NOFA (pgs. 64144 and 64159). 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. See Section IV(B) for documentation requirements.

EXHIBIT F: RELOCATION

- F.1 Housing Choice Voucher Needs. Review Section III(C)(4)(n) and V(A)(6) of the NOFA (pgs. 64147 and 64160). State the number of Housing Choice Vouchers that will be required for relocation if this HOPE VI application is approved, both in total and the number needed for FY 2005. Indicate the number of units and the bedroom breakout. As applicable, attach a Housing Choice Voucher application behind the Standard Forms tab of your application. See Section IV(B) for documentation requirements.
- F.2 Relocation Plan. Review Sections III(C)(2)(b)(2) and III(C)(4)(n) of the NOFA (pg. 64147) and respond to Rating Factor V(A)(6) (pg. 64160). For additional guidance on developing a relocation plan, refer to CPD Notice 02-08 ("Guidance on the Application of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA), as amended, in HOPE VI Projects"). See Section IV(B) for documentation requirements.

EXHIBIT G: FAIR HOUSING AND EQUAL OPPORTUNITY

- G.1 Accessibility: Respond to Rating Factor V(A)(7)(a)(1) of the NOFA (pg. 64160). See Section IV(B) for documentation requirements.
- G.2 Universal Design: Respond to Rating Factor V(A)(7)(a)(2) of the NOFA (pg. 64160). See Section IV(B) for documentation requirements.
- G.3 Fair Housing: Respond to Rating Factor V(A)(7)(b)(1) of the NOFA (pg. 64161). See Section IV(B) for documentation requirements.
- G.4 Section 3: Respond to Rating Factor V(A)(7)(b)(2) of the NOFA (pg. 64161). See Section IV(B) for documentation requirements.

EXHIBIT H: WELL-FUNCTIONING COMMUNITIES

- H.1 Unit Mix and Need for Affordable Housing. Respond to Rating Factor V(A)(8)(a) of the NOFA (pg. 64161).
- H.2 Off-Site Housing. Respond to Rating Factor V(A)(8)(b) of the NOFA (pg. 64162)..

H.3 Homeownership Housing. Respond to Rating Factor V(A)(8)(c) of the NOFA (pg. 64162).

EXHIBIT I: SOUNDNESS OF APPROACH

- I.1 Appropriateness of Proposal. Respond to Section III(C)(1)(b) of the NOFA (pg. 64138). See Section IV(B) for documentation requirements.
- I.2 Appropriateness and Feasibility of the Plan. Respond to Rating Factor V(A)(9)(b) of the NOFA (pg. 64162).
- I.3 Neighborhood Impact and Sustainability of the Plan. Respond to Rating Factor V(A)(9)(c) of the NOFA (pg. 64162).
- I.4 Design. Describe the features of your proposed design and respond to Rating Factor V(A)(9)(e) of the NOFA (pg. 64163).
- I.5 Evaluation. Respond to Rating Factor V(A)(9)(f) of the NOFA (pg. 64163).

ATTACHMENTS

Detailed instructions for Attachments 1 through 7, Application Data Forms, are attached at the end of these instructions.

Attachment 1: Application Data Form: Cover Sheet

Attachment 2: Application Data Form: Existing Units, Occupancy, Vacancy

Attachment 3: Application Data Form: Relocation, Income, and Non-Dwelling Structures

Attachment 4: Application Data Form: Proposed Unit Mix Post-Revitalization

Attachment 5: Application Data Form: Planned Units, Accessibility, Concentration

Attachment 6: Application Data Form: Self-Sufficiency

Attachment 7: Application Data Form: Sources and Uses

Attachment 8: HOPE VI Budget Form. Provide the proposed HOPE VI budget on form HUD-52825-A, parts I and II. This form can be found in the HOPE VI website, FY 2004 funding page. Guidance on preparing a HOPE VI budget can be found on the Grant Administration page of the HOPE VI web site. See Section IV(B) for documentation requirements.

Attachment 9: TDC/Grant Limitations Worksheet (HUD form 52797). Review Section IV(E), specifically IV(E)(3),(4),(5) and (6) of the NOFA (pgs. 64154-64155) and complete this Total Development Cost/Grant Limitations Worksheet, as provided in this Application. An electronic version of the worksheet in Excel is available on the HOPE VI web site.

See Section IV(B) for documentation requirements.

Attachment 10: Extraordinary Site Costs Certification. If you request funds to pay for extraordinary site costs in accordance with Section IV(E)(5)(b)(5) of the NOFA (pg. 64155), complete this Attachment 10, as provided in this Application (page 64193), and submit the required documentation indicated. See Section IV(B) for documentation requirements.

Attachment 11: Cost Certification. Provide a certification of cost estimates in accordance with Sections III(C)(3)(a)(1) and IV(E) of the NOFA (pg. 64141 and 64155). This certification may be in the form of a letter. See Section IV(B) for documentation requirements.

Attachment 12: 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 and other revitalization activity underway or planned.

If you request funds for more than one project or for scattered site housing, the map must clearly show that the application meets the site and unit requirements of Sections III(C)(4)(m) of the NOFA. Do not submit a foldout map. This is the only Attachment that may be submitted on 8-1/2" by 14" paper. See Section IV(B) for documentation requirements.

Attachment 13: Developer Certification. In accordance with Section III(C)(2)(a)(1) of the NOFA (pg. 64140), provide a certification that you have either procured a developer in accordance with the requirements set by HUD or that you will act as your own developer. This certification may be in the form of a letter. See Section IV(B) for documentation requirements.

Attachment 14: Property Management Certification. Provide a certification that you and/or your selected Property Manager will implement the operation and management principles and policies identified in Section III(C)(2)(b)(1) (and Section III(C)(4)(h)) of the NOFA (pgs. 64140 and 64143). This certification may be in the form of a letter. See Section IV(B) for documentation requirements.

Attachment 15: Program Schedule. Review Sections III(C)(1)(i) and VI(B)(2) of this NOFA (pgs. 64139 and 64164) and provide a program schedule accordingly. See Section IV(B) for documentation requirements. Please note that your program schedule **MUST** contain all timeframe requirements listed in Section VI(B)(2). Further, in accordance with Section VI(B)(2)(e), the program schedule **MUST** indicate the date on which the development proposal for EACH phase of the revitalization plan will be submitted to HUD.

- Attachment 16: Certification of Severe Physical Distress. In accordance with Sections I(C)(4) and III(C)(3)(a)(2) of the NOFA (pgs. 64136 and 64141), an engineer or architect must complete Attachment 16, as provided in this NOFA (page 64194). No backup documentation is required for this certification. See Section IV(B) for documentation requirements.
- Attachment 17: Photographs of the Severely Distressed Housing. Review Rating Factor V(A)(2)(a) (pg. 64157) of the NOFA and submit photographs of the targeted severely distressed public housing that illustrate the extent of physical distress. See Section IV(B) for documentation requirements.
- Attachment 18: Neighborhood Conditions. Submit documentation described in Rating Factor V(A)(2)(b) of the NOFA (pg. 64157). Such documentation may include 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. See Section IV(B) for documentation requirements.
- Attachment 19: Physical Development Resources (HUD form 52797). In accordance with Rating Factor V(A)(3)(b) of the NOFA (pg. 64158), complete this Attachment 19, as provided in this application, by entering the dollar value of each resource that will be used for physical development. For each resource entered, you must submit backup documentation in Attachment 19. See Section IV(B) for documentation requirements.
- Attachment 20: CSS Resources (HUD form 52797). In accordance with Rating Factor V(A)(3)(c) of the NOFA (pg. 64158), complete this Attachment 20, as provided in this Application, by entering the dollar value of all resources that will be used for CSS activities. For each resource entered, submit backup documentation in Attachment 20. See Section IV(B) for documentation requirements.
- Attachment 21: Anticipatory Resources (HUD form 52797). Complete Attachment 21, as provided in this Application, by entering the dollar value of all anticipatory resources as described in Rating Factor V(A)(3)(d) (pg. 64159). For each resource entered, submit backup documentation in Attachment 21. See Section IV(B) for documentation requirements.
- Attachment 22: Collateral Resources (HUD form 52797). Complete Attachment 22, as provided in this Application, by entering the dollar value of all collateral resources as described in Rating Factor V(A)(3)(e) (pg. 64159). For each resource entered, submit backup documentation behind Attachment 22. See Section IV(B) for documentation requirements.
- Attachment 23: Resident Training and Public Meeting Certification (HUD form 52785). Review Section III(C)(2)(b)(3) (see technical correction for new language) of the NOFA (pg. 64141) and complete Attachment 23, as provided in this application. See Section III(C)(4)(j) for Resident and Community Involvement requirements. See Section IV(B) for documentation requirements.
- Attachment 24: Commitments with CSS Providers. In accordance with Section V(A)(5)(e) of the NOFA (pg. 64159), provide letters from CSS providers that have made

commitments to participate in your CSS activities if you are awarded a HOPE VI Revitalization grant under the NOFA. See Section IV(B) for documentation requirements.

- Attachment 25: HOPE VI Revitalization Relocation Plan Certification. In accordance with Sections III(C)(2)(b)(2) and III(C)(4)(n) of the NOFA (pgs. 64140 and 64147), submit a certification that you have completed a HOPE VI Relocation Plan in conformance with the URA. HUD may use this certification in its evaluation of Rating Factor V(A)(6) (pg. 64160). This certification may be in the form of a letter. Refer to CPD Notice 02-08 for additional guidance, including a template. The HOPE VI Relocation Plan Guide should not be submitted; only the certification should be in the application. This Attachment is not applicable if the targeted project is vacant as of the application due date. See Section IV(B) for documentation requirements.
- Attachment 26: Certification of Completed Relocation. If applicable, submit a certification in accordance with Section III(C)(2)(b)(2)(b) (pg. 64140) and Section V(A)(6) (pg. 64160) of the NOFA. You must include this certification if you are trying to evidence that your site was vacant at the time applications were due, in order to meet the threshold at III(C)(2)(b)(2)(b) and earn maximum points under the rating factor at V(A)(6). This certification may be in the form of a letter. See Section IV(B) for documentation requirements.
- Attachment 27: Documentation of Site Control for Off-Site Public Housing. If applicable, provide evidence of site control for rental replacement units or land, in accordance with Section III(C)(1) of the NOFA (pg. 64140). See Section IV(B) for documentation requirements.
- Attachment 28: Documentation of Site Control, Environmental, and Site & Neighborhood Standards. If applicable, provide a certification that the site(s) acquired for off-site public housing meet site control, environmental and site and neighborhood standards, as provided in Section V(A)(8)(b)(2) of the NOFA (pg. 64162). This certification may be in the form of a letter. See Section IV(B) for documentation requirements.
- Attachment 29: Preliminary Market Assessment Letter. In accordance with Section III(C)(3)(b)(1) of the NOFA (pg. 64141), if you include market rate housing, in your Revitalization Plan, you must demonstrate that there is a demand for the housing units of the type, number, and size proposed in the location you have chosen. In your application you must provide a preliminary market assessment letter prepared and signed by an independent, third party, credentialed market resource firm or professional that describes its assessment of the market for the proposed residential market rate units, and any community facilities, economic development, and retail structures. See Section IV(B) for documentation requirements.
- Attachment 30: Certification of Zoning Approval or Documentation. Respond to Section III(C)(1)(m) of the NOFA. See Section IV(B) for documentation requirements.
- Attachment 31: Project Readiness Certification (HUD form 52787). Complete Attachment 31, as provided in this application, by indicating which of the items in Rating Factor V(A)(9)(d) of the NOFA have been completed. See Section IV(B) for documentation requirements.
-

- Attachment 32: Current Site Plan, which shows the various buildings of the project and identifies which buildings are to be rehabilitated, demolished, or disposed of. See Section IV(B) for documentation requirements.
- Attachment 33: Photographs of Architecture in the Surrounding Community. Provide photographs in conjunction with Rating Factor V(A)(9)(e) (Design) of the NOFA (pg. 64163). See Section IV(B) for documentation requirements.
- Attachment 34: Conceptual Site Plan, which indicates where proposed construction and rehabilitation activities will take place and any planned acquisition of adjacent property and/or buildings. Review Section V(A)(9)(e) (pg. 64163). See Section IV(B) for documentation requirements.
- Attachment 35: Conceptual Building Elevations. Review Section V(A)(9)(e) (pg. 64163). See Section IV(B) for documentation requirements.
- Attachment 36: Evaluation Commitment Letter(s). Review Section V(A)(9)(f) of the NOFA and provide the requested commitment letter(s) that addresses the indicated evaluation areas.
- Attachment 37: Portions of the PHA Plan. Review Rating Factor V(A)(2)(c) and the documentation requirements at IV(B)(4)(d).
- Attachment 38: Logic Model, form HUD-96010. See Section IV(B) for documentation requirements.
- Attachment 39: America's Affordable Communities Initiative, form HUD-27300. See Section IV(B) for documentation requirements.
- Attachment 40: HOPE VI Revitalization Applicant Certifications (HUD form 52800). These certifications (4 page document) must be signed by the Chairman of the Board of the PHA, NOT the Executive Director. See Section IV(B) for documentation requirements.
- Attachment 41: Standard Forms and Certifications. See Section IV(B) for documentation requirements. The following Standard/HUD Forms should be placed in this order:
- Applicant Assurances and Certifications (HUD-424-B)
 - Disclosure of Lobbying Activities (SF-LLL), as applicable
 - Applicant/Recipient Disclosure/Update Report (HUD-2880)
 - Funding Application, Section 8 Tenant-Based Assistance Rental Certificate Program, Rental Voucher Program (HUD-52515), if applicable

HOPE VI REVITALIZATION APPLICATION SUGGESTED TABLE OF CONTENTS

<u>NARRATIVE EXHIBITS</u>	<u>Application Page Number</u>
Exhibit A: SUMMARY INFORMATION	
A.1 Executive Summary	_____
A.2 Physical Plan	_____
A.3 Hazard Reduction	_____
A.4 Demolition	_____
A.5 Disposition	_____
A.6 Site Improvements	_____
A.7 Site Conditions	_____
A.8 Separability	_____
A.9 Proximity	_____
Exhibit B: CAPACITY	
B.1 Most Recent PHAS and SEMAP Ratings	_____
B.2 Development Capacity of Developer	_____
B.3 Development Capacity of Applicant	_____
B.4 Capacity of Existing HOPE VI Revitalization Grantees	_____
B.5 CSS Program Capacity	_____
B.6 Property Management Capacity	_____
B.7 PHA Plan	_____
Exhibit C: NEED	
C.1 Need for Revitalization: Severe Physical Distress of the PH Site	_____
C.2 Need for Revitalization: Impact of the Severely Distressed Site on the Surrounding Neighborhood	_____
C.3 Need for HOPE VI Funds	_____
C.4 Previously-Funded Sites	_____
C.5 Need for Affordable Housing in the Community	_____
Exhibit D: RESIDENT AND COMMUNITY INVOLVEMENT	
D.1 Resident and Community Involvement	_____

Exhibit E: COMMUNITY AND SUPPORTIVE SERVICES

E.1 Community and Supportive Services _____

E.2 Endowment Trust _____

Exhibit F: RELOCATION

F.1 Housing Choice Voucher Needs _____

F.2 Relocation Plan _____

Exhibit G: FAIR HOUSING AND EQUAL OPPORTUNITY

G.1 Accessibility _____

G.2 Universal Design _____

G.3 Fair Housing _____

G.4 Section 3 _____

Exhibit H: WELL-FUNCTIONING COMMUNITIES

H.1 Unit Mix and Need for Affordable Housing _____

H.2 Off Site Housing _____

H.3 Homeownership Housing _____

Exhibit I: SOUNDNESS OF APPROACH

I.1 Appropriateness of Proposal _____

I.2 Appropriateness and Feasibility of the Plan _____

I.3 Neighborhood Impact and Sustainability of the Plan _____

I.4 Design _____

I.5 Evaluation _____

ATTACHMENTS

1: Application Data Form: Cover Sheet _____

2: Application Data Form: Existing Units, Occupancy, Vacancy _____

3: Application Data Form: Relocation, Income, & Non-Dwelling Structures _____

4: Application Data Form: Proposed Unit Mix Post-Revitalization _____

5: Application Data Form: Units, Accessibility, Concentration _____

6: Application Data Form: Self-Sufficiency _____

7: Application Data Form: Sources and Uses _____

- 8: HOPE VI Budget Form _____
- 9: TDC/Grant Limitations Worksheet _____
- 10: Extraordinary Site Costs Certification _____
- 11: Cost Certification _____
- 12: City Map _____
- 13: Developer Certification _____
- 14: Property Management Certification _____
- 15: Program Schedule _____
- 16: Certification of Severe Physical Distress _____
- 17: Photographs of the Severely Distressed Housing _____
- 18: Neighborhood Conditions _____
- 19: Physical Development Resources _____
- 20: CSS Resources _____
- 21: Anticipatory Resources _____
- 22: Collateral Resources _____
- 23: Resident Training and Public Meeting Certification _____
- 24: Commitments with CSS Providers _____
- 25: HOPE VI Revitalization Relocation Plan Certification _____
- 26: Certification of Completed Relocation _____
- 27: Documentation of Site Control for Off-Site Public Housing _____
- 28: Documentation of Site Control, Environmental,
 & Neighborhood Standards _____
- 29: Preliminary Market Assessment Letter _____
- 30: Certification of Zoning Approval or Documentation _____
- 31: Project Readiness Certification _____
- 32: Current Site Plan _____
- 33: Photographs of Architecture in the Surrounding Community _____
- 34: Conceptual Site Plan _____
- 35: Conceptual Building Elevations _____
- 36: Evaluation Commitment Letter(s) _____
- 37: Portions of the PHA Plan _____
- 38. Logic Model, form HUD-96010 _____
- 39. America's Affordable Communities Initiative, form HUD-27300 _____
- 40: HOPE VI Revitalization Application Certifications (4pg. Form) _____

41: Standard Forms and Certifications

- Applicant Assurances and Certifications (HUD-424-B) _____
- Standard Form LLL, as applicable, “Disclosure of
Lobbying Activities” _____
- HUD-2880, “Applicant/Recipient Disclosure/Update Report _____
- HUD-52515, “Funding Application, Section 8 Tenant-Based
Assistance Rental Certificate Program, Rental Voucher
Program,” as applicable _____

**Appendix 3 Instructions for HOPE VI Application Data Forms
Attachment 1: Cover Sheet & Data Summary Box Instructions**

Begin by completing the "Applicant Information" section.

The Data Summary box, at the bottom of Attachment 1, 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 website address is:

www.hud.gov/hopevi

If you choose to download the Microsoft Excel worksheets, your computer will complete the information required in the Data Summary box for you. 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

	<i>Existing</i>	<i>Post-Revitalization</i>
<i>Number of replacement public housing units (on/off-site, including Affordable Lease/Purchase, Affordable Fee Simple Homeownership, and Second Mortgage Only – excluding rehabilitated units)</i>		See #1
<i>Number of non-public housing, subsidized units (on/off-site, including homeownership)</i>		See #2
<i>Number of market-rate units (no income restrictions)</i>		See #3
<i>Number of other units</i>		See #4
TOTAL NUMBER OF POST-DEVELOPMENT UNITS		See #5
<i>Number of units to be rehabilitated (excluding acquisition with rehab)</i>		See #6
<i>Number of newly constructed on-site units (including acquisition with rehab)</i>		See #7
<i>Number of newly constructed off-site units (including acquisition with rehab)</i>		See #8
<i>Number of occupied units (at time of application)</i>	See #9	
<i>Number of vacant units (at time of application)</i>	See #10	

Data Summary Box Instructions

Data Summary #1

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of replacement public housing units (on/off-site, including Affordable Lease/Purchase, Affordable Fee Simple Homeownership and Second Mortgage Only – excluding rehabilitated units)</i>		#1

To calculate this number, do the following:

1. From Attachment 5 SUM:

[Total ACC On-site] + [Total ACC Off-site] + [Affordable Lease/Purchase On-site] + [Affordable Lease/Purchase Off-site] + [Affordable Fee Simple On-site] + [Affordable Fee Simple Off-site] + [Second Mortgage Only On-site] + [Second Mortgage Only Off-site]

2. Then from Attachment 4 SUBTRACT:

[Grand Total Rehabilitated ACC Units] + [Grand Total Rehabilitated HOPE VI or PH funded Homeownership]

3. This EQUALS

Number of replacement public housing units (on/off-site, including Affordable Lease/Purchase, Affordable Fee Simple Homeownership and Second Mortgage--excluding rehabilitated units)

The white boxes in Figure 1 and Figure 2 (below) correspond to this equation.

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 5, ADD:

$ \begin{aligned} & [\text{Non-ACC LIHTC On-site}] + [\text{Non-ACC LIHTC Off-site}] + [\text{Non-ACC} \\ & \text{CDBG, HOME On-site}] + [\text{Non-ACC CDBG, HOME Off-site}] + \\ & [\text{Homeownership with other subsidies (No HOPE VI or PH funds) On-site}] + \\ & [\text{Homeownership with other subsidies (No HOPE VI or PH funds) Off-site}] \end{aligned} $

The white boxes in Figure 3 correspond to this equation.

Figure 3: Excerpt from Attachment 5: Units, Accessibility, and Concentration

Planned Units	Rental Units: ACC											
	<i>PH Only</i>		<i>PH/LIHTC</i>		<i>PH/Other</i>		<i>Total ACC</i>					
	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>				
	Rental Units: Non-ACC											
	<i>LIHTC</i>		<i>CDBG, HOME, or other subsidy</i>		<i>No Income Restrictions</i>		<i>Total Non-ACC</i>					
	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>				
	Homeownership Units											
	<i>Affordable Lease/Purchase with H6/PH funds</i>		<i>Affordable Fee Simple Homeownership with H6/PH funds</i>		<i>Second Mortgage Only with H6/PH funds</i>		<i>HO with other subsidies (No H6/PH funds)</i>		<i>Market Rate (No subsidies)</i>		<i>Total Homeownership</i>	
<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	

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 5, ADD:

$[\text{Non-ACC No Income Restrictions On-site}] + [\text{Non-ACC No Income Restrictions Off-site}] + [\text{Market Rate On-site}] + [\text{Market Rate Off-site}]$

The white boxes in Figure 4 correspond to this equation.

Figure 4: Excerpt from Attachment 5: Units, Accessibility, and Concentration

Planned Units	Rental Units: ACC											
	<i>PH Only</i>		<i>PH/LIHTC</i>		<i>PH/Other</i>		<i>Total ACC</i>					
	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>				
	Rental Units: Non-ACC											
	<i>LIHTC</i>		<i>HOME</i>		<i>No Income Restrictions</i>		<i>Total Non-ACC</i>					
	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>				
	Homeownership Units											
	<i>Affordable Lease/Purchase with H6/PH funds</i>		<i>Affordable Fee Simple Homeownership with H6/PH funds</i>		<i>Second Mortgage Only with H6/PH funds</i>		<i>HO with other subsidies (No H6/PH funds)</i>		<i>Market Rate (No subsidies)</i>		<i>Total Homeownership</i>	
<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	<i>On-site</i>	<i>Off-site</i>	

Data Summary #5

	<i>Existing</i>	<i>Post-Development</i>
TOTAL NUMBER OF POST-DEVELOPMENT UNITS		#5

To calculate this number, add the numbers from the first four rows in the Data Summary box.

The white boxes in Figure 6 indicate this.

Figure 6: Excerpt from Data Summary box

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of replacement public housing units (on/off-site, including Affordable Lease/Purchase, Affordable Fee Simple Homeownership and Second Mortgage – excluding rehabilitated units)</i>		
<i>Number of non-public housing, subsidized units (on/off site, including homeownership)</i>		
<i>Number of market-rate units (no income restrictions)</i>		
<i>Number of other units</i>		
TOTAL NUMBER OF POST-DEVELOPMENT UNITS		

Data Summary #6

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of units to be rehabilitated (excluding acquisition with rehab)</i>		#6

In order to calculate this, do the following:

- From Attachment 4, ADD:**

[Grand Total of Rehabilitated ACC Units] + [Grand Total of Rehabilitated Non-ACC Units] + [Grand Total of Rehabilitated HOPE VI/PH funded Homeownership] + [Grand Total of Rehabilitated Other Homeownership]

The white boxes in Figure 7 correspond to this equation.

Figure 7: Excerpt from Attachment 4: Proposed Unit Mix Post-Revitalization

<i>Building Type: New Construction</i>						<i>Building Type: Rehabilitation</i>					
<i>Size</i>	<i>Sq. Ft.</i>	<i>ACC Units*</i>	<i>Non-ACC Units**</i>	<i>H6/PH funded HO</i>	<i>Other Homeownership</i>	<i>Size</i>	<i>Sq. Ft.</i>	<i>ACC Units*</i>	<i>Non-ACC Units**</i>	<i>H6/PH funded HO</i>	<i>Other Homeownership</i>
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

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of newly constructed on-site units (including acquisition with rehab)</i>		#7

In order to calculate this, do the following:

1. From Attachment 5, ADD:

**[Total ACC On-site] + [Total Non-ACC On-site] + [Total Homeownership On-site]
+ [Total Other Units On-site]**

**This is your total On-site number.
The white boxes in Figure 8 indicate this.**

2. From Attachment 4, ADD:

**[Grand Total New ACC Units] + [Grand Total New Non-ACC Units] + [Grand
Total HOPE VI or PH funded Homeownership] + [Grand Total New Other
Homeownership Units]**

**This is your total New Construction number.
The white boxes in Figure 9 indicate this.**

NOTE: Any units from the Affordable Lease/Purchase Homeownership program funded with HOPE VI or public housing funds should be included in one of the ACC columns, either New Construction or Rehabilitation.

Compare the total On-Site number to the total New Construction number and enter the LESSER value in the Data Summary box.

Data Summary #8

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of newly constructed off-site units (including acquisition with rehab)</i>		#8

In order to calculate this, do the following:

1. From Attachment 5, ADD:

[Total ACC Off-site] + [Total Non-ACC Off-site] + [Total Homeownership Off-site] + [Total Other Units Off-site]

This is your total Off-Site number.

The white boxes in Figure 10 indicate this.

2. From Attachment 4, ADD:

[Grand Total New ACC Units] + [Grand Total New Non-ACC Units] + [Grand Total New HOPE VI/PH funded Homeownership] + [Grand Total New Other Homeownership Units]

This is your total New Construction number.

The white boxes in Figure 11 indicate this.

NOTE: Any units from the Affordable Lease/Purchase Homeownership program funded with HOPE VI or public housing funds should be included in one of the ACC columns, either New Construction or Rehabilitation.

Compare the total Off-Site number to the total New Construction number and enter the LESSER value in the Data Summary box.

Data Summary #9

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of occupied units (at time of application)</i>	#9	

From Attachment 2:

The Grand Total box for the “Number Occupied” column.

The white box in Figure 12 indicates this.

Figure 12: Excerpt from Attachment 2: Existing Units, Occupancy, and Vacancy

Existing Units at Time of Grant Application

<i>Building Type</i>	<i>Size</i>	<i>Number Occupied</i>	<i>Number Vacant</i>	<i>Total Units</i>	<i>Converted To Non-Dwelling</i>	<i>Demo Planned</i>
<i>Row</i>	0 BR					
	1 BR					
	2 BR					
	3 BR					
Grand Total						

Data Summary #10

	<i>Existing</i>	<i>Post-Development</i>
<i>Number of vacant units (at time of application)</i>	#10	

From Attachment 2:

The Grand Total box for the "Number Vacant" column.

The white box in Figure 13 indicates this.

Figure 13: Excerpt from Attachment 2: Existing Units, Occupancy, and Vacancy

Existing Units at Time of Grant Application

<i>Building Type</i>	<i>Size</i>	<i>Number Occupied</i>	<i>Number Vacant</i>	<i>Total Units</i>	<i>Converted to Non-Dwelling</i>	<i>Demo Planned</i>
<i>Row</i>	0 BR					
	1 BR					
	2 BR					
	3 BR					
Grand Total						

A) Attachment 2: Existing Units, Occupancy, and Vacancy Instructions

1. Complete this page by first filling in the number of occupied and vacant units according to building and bedroom types.

Figure 14: Excerpt from Attachment 2: Existing Units, Occupancy, and Vacancy

Existing Units at Time of Grant Application

<i>Building Type</i>	<i>Size</i>	<i>Number Occupied</i>	<i>Number Vacant</i>	<i>Total Units</i>
<i>Row</i>	0 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 15: Excerpt from Attachment 2: Existing Units, Occupancy, and Vacancy

Existing Units at Time of Grant Application

<i>Building Type</i>	<i>Size</i>	<i>Number Occupied</i>	<i>Number Vacant</i>	<i>Total Units</i>	<i>Converted to Non-Dwelling</i>	<i>Demo Planned</i>
<i>Row</i>	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 16: Excerpt from Attachment 2: Existing Units, Occupancy, and Vacancy

Existing Units at Time of Grant Application

<i>Building Type</i>	<i>Size</i>	<i>Number Occupied</i>	<i>Number Vacant</i>	<i>Total Units</i>	<i>Converted to Non-Dwelling</i>	<i>Demo Planned</i>
<i>Row</i>	0 BR					
<i>Grand Total</i>						

4. Finally, sum all the columns for the Grand Total row.

Attachment 3: Relocation, Income, and Non-Dwelling Structures Instructions

The information provided in the “Relocation/Occupancy” section should account for all occupied units reported in Attachment 2: Existing Units, Occupancy, and Vacancy. If a family is moved within the development, this should be recorded as a “move within public housing (on- and off-site).”

The section “returning households” 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 one relocation. Report only 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 “Household Income” section, report a percentage (%) and not a dollar amount. Provide only one percentage, not a range (e.g., do not report 30-45%).

Finally, complete the “Resident Profile” and “Non-Dwelling Structure Summary.”

Attachment 4: 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 Affordable Lease/Purchase program funded with HOPE VI or public housing funds 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 that are purchased with the intention of being dwelling units; and**
- **Existing units that 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 4 must equal the following information on Attachment 5.
Please ensure that the following are true:**

**[Attachment 4, New Construction ACC] + [Attachment 4, Rehabilitation ACC] =
[Attachment 5, Total ACC On-site] + [Attachment 5, Total ACC Off-site] + [Affordable
Lease/Purchase Homeownership On-site] + [Affordable Lease/Purchase Homeownership
Off-site]**

**[Attachment 4, New Construction Non-ACC] + [Attachment 4, Rehabilitation Non-ACC] =
[Attachment 5, Total Non-ACC On-site] + [Attachment 5, Total Non-ACC Off-site]**

**[Attachment 4, Grand Total New Construction HOPE VI or PH funded Homeownership] +
[Attachment 4, Grand Total Rehabilitation HOPE VI or PH funded Homeownership] =
[Attachment 5, Affordable Fee Simple Homeownership with HOPE VI or PH funds On-site]
+ [Attachment 5, Affordable Fee Simple Homeownership with HOPE VI or PH funds Off-
site] + [Attachment 5, Second Mortgage Only with HOPE VI or PH funds On-site] +
[Attachment 5, Second Mortgage Only with HOPE VI or PH funds Off-site]**

B) Attachment 5: Units, Accessibility, and 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 Affordable Lease/Purchase program using HOPE VI or public housing funds, it should be accounted for within Homeownership in the Affordable Lease/Purchase box.

Record the number of newly constructed and rehabilitated rental, homeownership, and lease/purchase units available to each special needs category. This should include both ACC and Non-ACC units. If you have units that do not fit into any of the categories, record them in the other units box (include a description in the *Type* field).

For Accessibility, put in the percentage that each construction category is of the total unit type in the development.

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 6: 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 Revitalization Grant dollars. HOPE VI 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 7: Sources and Uses Instructions

**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 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., \$500,000-\$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 Revitalization Grant, which is different from the HOPE VI Demolition Grants. The first line of the "Sources" column must equal your HOPE VI Revitalization Grant. The HOPE VI Demolition Grants are accounted for as a separate line item in the Sources column.