

General Guidance on Resident and Community Involvement

This chapter provides general guidance for HOPE VI Grantees and HOPE VI-eligible public housing agencies (PHAs) on resident and community involvement in the HOPE VI Program. This guidance seeks to clarify the role of residents and the community in the HOPE VI process, and provides public housing agencies with a suggested framework for resident and community involvement as they plan, develop and manage their HOPE VI project.

Background

The participation of both public housing residents living at HOPE VI sites to be revitalized and the surrounding community is essential to the HOPE VI Program and community building efforts. Full resident involvement and community input are crucial elements of the HOPE VI Program. The spirit of the HOPE VI Program is one of full consultation and collaboration among the Grantee, affected residents and the broader community. The Grantee must consider the advice, counsel, recommendations and input of affected residents and the broader community in its decision-making throughout the entire development process. As the Grantee of the HOPE VI funds, the PHA has the fiduciary responsibility for the grant, and therefore has final decision-making authority regarding the use of funds.

This guidance suggests ways that housing agencies can foster resident and community involvement. PHAs are encouraged to implement approaches to meet the needs of their particular residents and address the circumstances that relate specifically to their revitalization efforts.

Key Principles for Resident Involvement

Resident involvement ***must start with the duly elected Resident Council***, with an eye toward involving all residents in the development. All affected residents must be given reasonable notice of meetings about HOPE VI planning and implementation, and provide them with opportunities to provide input. Such meetings should be open to all affected residents and their representatives. Conducting resident surveys on key issues is another way to obtain meaningful input from all affected residents.

There are four key principles of the HOPE VI Program with regard to affected residents: Collaboration, inclusion, communication and participation.

1. ***Collaboration*** involves working together to create a vision that drives the HOPE VI revitalization effort. The objective is a cooperative partnership with residents and the Resident Council, in which the PHA and residents have a shared commitment and a productive relationship. Residents are to be included in all phases of the application preparation, planning, implementation and operation of the HOPE VI development in this spirit of collaboration.
2. Effective collaboration also requires ***inclusion***. PHAs are responsible for communicating with and disseminating information to all affected residents and ensuring that all affected residents have opportunities to participate in the activities related to the HOPE VI planning and development process.

3. Regular **communication** and **information sharing** with the residents regarding all aspects of the revitalization plan are essential to ensure continuing involvement, support, inclusion and collaboration. All affected public housing residents must be informed of all revitalization activities, and must make documents such as the HOPE VI Application, Grant Agreement, Developer's Agreement, Revitalization Plan, Relocation Plan, Community and Supportive Services Plan, and minutes of meetings with affected residents available on-site at the management office, or at another easily accessible location on-site. The information disseminated should be clear and understandable to the target population. Technical language and complicated concepts may require simplification for both residents and the community-at-large. Where residents speak a number of languages besides English, PHAs can explore using language-based focus groups and consider other means of getting information to residents. PHAs should put in place a public information strategy in order to get timely information to residents and the community. Reporting outcomes of development activities is one way to keep people engaged in the process. Some PHAs use a quarterly HOPE VI newsletter to keep residents informed of the outcomes and the status of revitalization activities.
4. Residents should be encouraged to **participate** in the planning and implementation of the entire development process. For example, residents may participate on selection panels to choose development partners and consultants; attend meetings with the development team, program manager, public and private lenders, the city and other partners; and participate in working and advisory groups (e.g., the Community Task Force). Where affected residents and/or community representatives are included on selection panels, the Grantee must constitute the majority of the panel membership.

PHAs and residents should be aware that Resident Councils often evolve and are redefined in the new mixed-income communities. Under 24 CFR 964, Resident Councils are required to maintain bylaws. These bylaws should contain a provision where a Resident Council can terminate its by-laws if it so chooses. For example, the Resident Council may dissolve and collaborate with a larger community organization which includes both public housing and market rate residents. Active resident and Resident Council participation in the HOPE VI development process will assist with this transformation and ensure continuity of resident involvement.

Training

PHAs are responsible for providing or funding training to residents on the fundamentals of development issues related to procurement, financing, development of mixed income communities, demolition, relocation, Section 8, design and planning, and operations to enable residents to participate meaningfully in HOPE VI planning and implementation activities. Residents and housing agencies should work together to identify specific needs and appropriate sources of training to meet those needs. For example, local universities, non-profit organizations, and professional associations may be excellent sources of technical assistance and training for residents.

This participatory process seeks to build consensus while also assuring that PHAs obtain valuable input from residents critical to creating a positive living environment. Residents need to see that their input is thoroughly considered in creating and implementing the revitalization plan. This input is integral to the planning and implementation of the HOPE VI Program without controlling it.

Resident and Community Involvement Prior to the Award of Grants

Resident and community participation are key ingredients to a successful HOPE VI application. Involving residents and the community in the planning process and in shaping the HOPE VI application should start well before the application is submitted, ideally a year or more before submission. Early discussions with residents and community members about the HOPE VI application should focus on the entire development process and how it works. Basic topics of discussion may include: physical design of buildings and units including accessibility for persons with disabilities, demolition, unit mix, relocation, procurement, homeownership plans, lease agreements and community and supportive services. Affected residents, as well as other stakeholders including persons with disabilities, should achieve a sense of ownership of the plan.

The effectiveness of resident and community participation in the planning and application preparation process will be carefully assessed during the application review process. Notices of Funding Availability (NOFAs) explain the specifics of how resident involvement will be evaluated. NOFA applications have required PHAs to detail how affected residents and the broader community have had and will continue to have full and meaningful involvement in the planning and implementation of revitalization.

Resident and Community Involvement After Relocation

PHAs must continue to involve affected residents in HOPE VI activities after relocation from the original public housing site. However, participation in the Resident Council changes once residents are relocated to Section 8 housing. When relocating, residents have the option to choose among the following options: other public housing, Section 8, private rental market, or affordable homeownership. Residents who relocate and choose Section 8 are not eligible to vote or participate as leaders of the Resident Council of the affected development since they are no longer public housing residents.

The HOPE VI Office is working with PHAs, public interest groups and resident groups to ensure the continuing involvement of all affected residents in the HOPE VI process after relocation. Further guidance will be developed and issued as an additional insert to this chapter of the HOPE VI Guidebook by December 30, 1999.

Procurement

PHAs are encouraged to include Resident Council members or their designees on selection panels for the procurement of services related to the HOPE VI revitalization efforts, including the selection of the developer, program manager, etc. PHA officials or employees must constitute a majority on all selection panels. Typically, the PHA establishes an evaluation plan which sets up the criteria for evaluating the proposal, helps the panel reach consensus in the procurement decision and lends structure to the process. In addition, the HUD Procurement Handbook has specific guidelines that must be followed. Residents who participate on these panels must receive training on procedures, conflict of interest issues, and substantive issues concerning the specific services to be procured so that they can participate as informed panel members. Residents that serve on selection panels or as advisors to selection panels must comply with the PHA's procurement policy and HUD procurement regulations for grantees (PHAs) at 24 CFR 85.36 and in particular 24 CFR 85.36(b)(3) regarding conflicts of interest.

PHAs should ensure that such residents are provided related training and copies of the PHA's procurement policies and 24 CFR 85.36, since such residents will be considered agents of the PHA when serving on selection panels. Under no circumstances should there be communication between respondents to RFQs and panel members. In order to contract with resident-owned businesses, PHAs must follow the alternative procurement requirements under 24 CFR Part 963.

Community Involvement

In addition to affected public housing residents, neighbors, local businesses, service providers, community groups, local officials, public agencies, and other stakeholders must be involved in the HOPE VI planning and implementation process. A Community Task Force (CTF) is one way to involve these different players, and foster broader collaboration and support for the HOPE VI Program. The CTF provides advice, counsel and recommendations to the PHA on all aspects of the development process, including both the "hard" side and self-sufficiency activities. The PHA is responsible for ensuring that the CTF holds regular meetings. PHAs should support the CTF by disseminating information, providing sufficient notice about time and place of meetings, developing formal agendas, and providing meeting minutes and reports, etc.

Experience has shown that for effective integration and acceptance of public housing and low-income residents into the broader community, the broader community must be involved in developing the HOPE VI proposal. **Collaboration, inclusion, communication and participation** are also critical elements in the community involvement process. The support and involvement of the community surrounding the HOPE VI development and proposed scattered sites is crucial for developing a sound and feasible development plan.

Conclusion

Every HOPE VI development is unique in terms of unit mix, geographic area, local needs and desires, and social and economic history. Over the years, each PHA has developed a unique relationship with its residents and the surrounding community. That relationship must meet the needs and challenges of the particular plan and community. PHAs must create and maintain frameworks for trust to build those relationships and truly transform distressed public housing, the surrounding community, and the lives of residents. At a minimum:

- Resident and community involvement is required throughout the entire HOPE VI planning, development and implementation process.
- PHAs must provide information and training so that residents may participate fully and meaningfully throughout the entire development process.

Only through effective collaboration and consensus-building can a PHA generate resident and community support of the plan, which is essential for a successful HOPE VI development which meets the spirit and principles of HOPE VI. Working together requires not only the solicitation and gathering of resident and community input, but also serious consideration and response to that input, even if the input ultimately is rejected. While residents are to participate actively in all aspects of the HOPE VI process, PHAs remain accountable for meeting the terms of the Grant Agreement, have fiscal responsibility for the funds, and have final decision making authority.

CSS Workplan

U.S. Department of Housing & Urban Development
Office of Public & Indian Housing
Office of Urban Revitalization

HOPE VI Community & Supportive Services

Grantee Name: _____
Executive Director: _____
HOPE VI Coordinator: _____

Planning Team Members: _____

TA Provider: _____

Dated: _____

Revised 1/1/99

9 1st draft

9 2nd draft

9 Final Plan



COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- I. Describe community needs assessment process that you used to establish the basis for the self-sufficiency and support service plan. (If you have not done your community needs assessment, enter all of the steps you will take below under "to be accomplished" and in the CSS Milestones and Tasks table.)

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES MILESTONES AND TASKS

#	TASK: (LIST SPECIFIC ACTIVITIES)	ASSIGNED TO (NAME, DEPARTMENT)	BEGINNING DATE	ENDING DATE
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COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- II. Describe key community partners. Is there an MOU with the local TANF agency? If yes please provide. Is there an MOU with the local PIC? If yes please provide. Is there a Community Task Force in place? Please describe roles and responsibilities of members.

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- III. Develop programs/services matrix that clearly demonstrates the relationship between community needs and services to be provided.

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

PROGRAMS/SERVICES MATRIX

Needs Established by Assessment	Ongoing Initiatives	Lead Agency	Brief Description	Partners	# of Participants Projected	Status of Activity (Ongoing or Proposed Start Date)	Existence of Evaluation Mechanism	Eligible Under TANF Plan
Youth Activities/Job Training/Employment								
Career Training/Employment								
Youth Activities/Cultural Arts								
Employment Skills & Training/Employment								
Day Care/Employment Skills/Employment								
Asset Accumulation/Employment Skills								
Employment Skills								
Transportation								
Job Readiness								
Health Care								

COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- IV. Define specific goals and objectives for achieving self-sufficiency for residents of the HOPE VI site. They should be quantifiable and measurable in the areas of: employment, education, Section 3, child care, transportation, etc.

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES MILESTONES AND TASKS

#	TASK: (LIST SPECIFIC ACTIVITIES)	ASSIGNED TO (NAME, DEPARTMENT)	BEGINNING DATE	ENDING DATE
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COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- V. Describe the process for selecting and monitoring service providers. Include a description of your process for performance-based contracting. If there are contracts signed for services, please describe and provide amounts of contracts. (Use the Milestones and Tasks table to provide details of any activities you plan to undertake.)

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

1



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COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- VI. Explain the formal evaluation process you have established for measuring the effectiveness of the programs and for making periodic adjustment of goals and objectives. How does your evaluation process relate to the baseline data required by HUD? **(If you have not yet established this process, use the Milestones and Tasks table to list the steps you will take.)**

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES MILESTONES AND TASKS

#	TASK: (LIST SPECIFIC ACTIVITIES)	ASSIGNED TO (NAME, DEPARTMENT)	BEGINNING DATE	ENDING DATE
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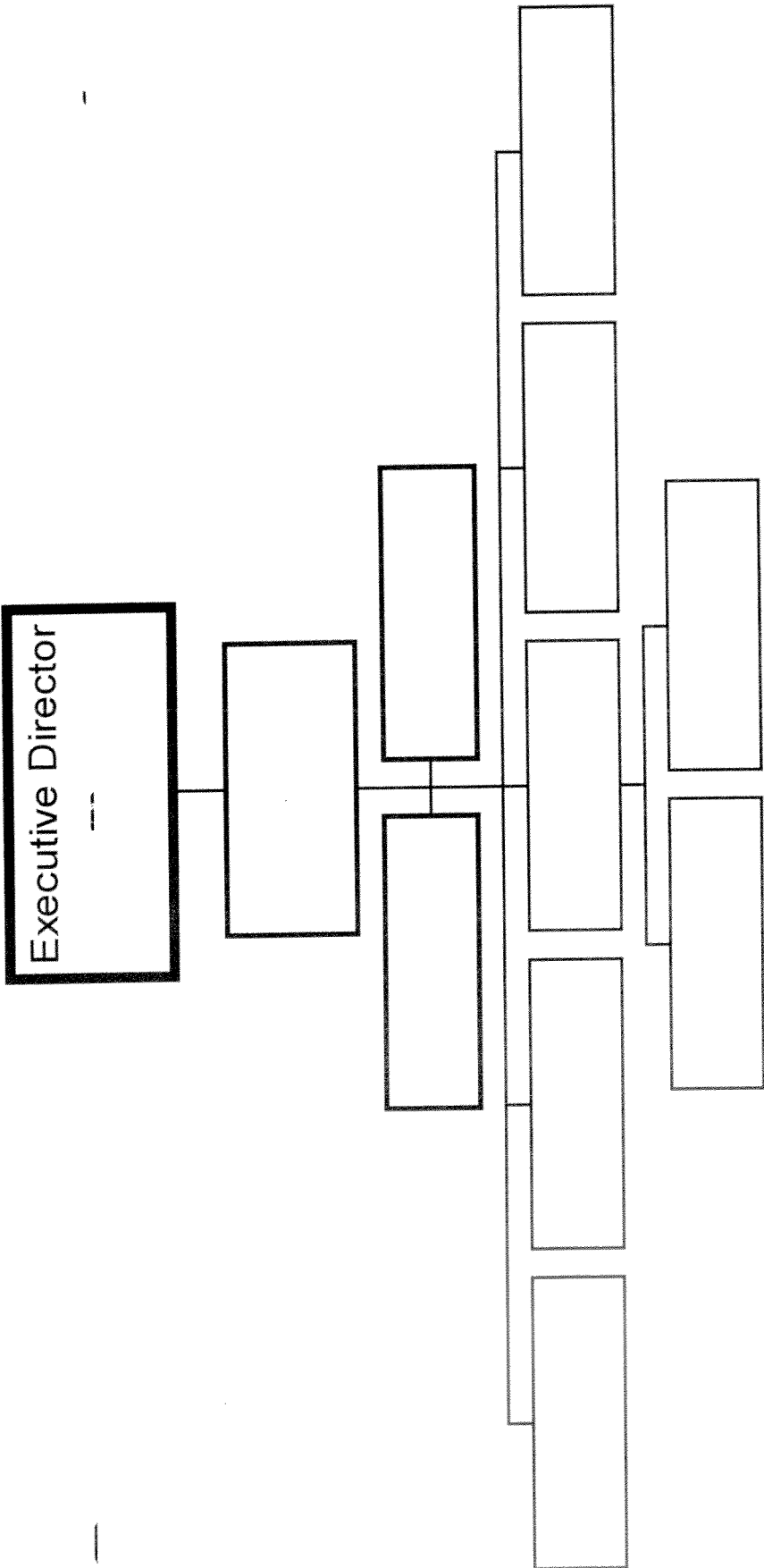
COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- VII.** Describe the organizational structure for implementation of the CSS component. Will this component be managed in-house or out-sourced to consultants? What is the role of the HOPE VI Coordinator in the management of daily CSS activities? What role do the service providers and residents play during implementation. **(Also attach an organizational chart.)**

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

ORGANIZATIONAL CHART



COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- VIII.** Describe the policies and procedures to be used for case management in tracking services delivered to HOPE VI residents. Also describe your process for each stage of relocation including: preparation for relocation; the physical moving of residents; tracking of services delivered to relocated residents; and the eventual return of residents. **(Use the Milestones and Tasks table to provide details of any activities you plan to undertake.)**

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES MILESTONES AND TASKS

#	TASK: (LIST SPECIFIC ACTIVITIES)	ASSIGNED TO (NAME, DEPARTMENT)	BEGINNING DATE	ENDING DATE
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COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- IX.** For programs and services to be provided to residents describe the current and planned physical facilities including information on location (on-site/off-site). (Use the **Milestones and Tasks** table to provide details of any activities you plan to undertake.)

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES MILESTONES AND TASKS

#	TASK: (LIST SPECIFIC ACTIVITIES)	ASSIGNED TO (NAME, DEPARTMENT)	BEGINNING DATE	ENDING DATE
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COMMUNITY AND SUPPORTIVE SERVICES WORKPLAN

- X. Describe what actions will be taken over the course of this plan to ensure that CSS activities are sustainable beyond the HOPE VI grant. Will the Community Task Force provide additional funding and services in the post-HOPE VI era? If yes, explain. If no, what other strategy is being considered? (Use the Milestones and Tasks table to provide details of any activities you plan to undertake.)

ACCOMPLISHED TO DATE:

TO BE ACCOMPLISHED:

COMMUNITY AND SUPPORTIVE SERVICES MILESTONES AND TASKS

#	TASK: (LIST SPECIFIC ACTIVITIES)	ASSIGNED TO (NAME, DEPARTMENT)	BEGINNING DATE	ENDING DATE
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REPORTING REQUIREMENTS HOPE VI REVITALIZATION GRANTS

A. HOPE VI QUARTERLY PROGRESS REPORT

1. Nature of Report

The HOPE VI Quarterly Project Progress Report is the primary instrument used to collect data about ongoing HOPE VI revitalization progress. This report replaces the requirements of the five page narrative report and SF-269 that were previously used to report program progress. All Revitalization Grantees, regardless of the year in which their grants were awarded, must submit their quarterly reports on this form.

The Quarterly Report is a comprehensive program management tool that will provide HUD with:

- data in several key program areas
- a graphic representation of each project's planned activity and progress to date
- general budget and financial status for all fund sources and a breakdown of the specific uses of HOPE VI funds
- a narrative report on the current project status

The report consists of four worksheets:

- Worksheet A: Production Schedule
- Worksheet B: Administrative/Compliance Checkpoints
- Worksheet C: Financial Report
- Worksheet D: Narrative

Directions for the completion of the Quarterly Report are included as Attachment A of this Chapter. A blank copy of the Quarterly Report is included as Attachment B.

2. Report Due Dates

The first HOPE VI Quarterly Report is due 30 days after the quarter in which the grant agreement was executed by HUD.

After your first Quarterly Report is submitted, you must submit a Quarterly Report 30 days after the end of each subsequent quarter. Reports are due on January 31, April 30, July 31, and October 31.

3. LOCCS Report Reminders

LOCCS/VRS will send you a system-generated letter which will remind you of the upcoming report due date, 30 days before the report is due. A sample of this letter is included as Attachment C of this Chapter.

LOCCS will send you a second letter 30 days after the report due date if you have not submitted a report. The letter will tell you that all future payments will be suspended until the report is received. A sample of this letter is included as Attachment D of this Chapter. LOCCS does not provide written acknowledgement that a report has been received.

4. Where to Send the Report

Mail an original and one copy of your report to the following address:

U.S. Department of Housing and Urban Development
Office of Public Housing Investments
Attn: DeWayne Kimbrough, Room 4138
451 - 7th Street SW
Washington, DC 20410

DO NOT FAX YOUR REPORT TO HUD. Beginning with the report due on October 31, 1999, HUD **will not review or log in** any reports that have been faxed in. If you want to be sure that your report has been received on time, send it via an overnight service that will track your package.

HUD is currently developing an interactive computer system that will allow Grantees to submit their reports by email directly into the HOPE VI grant database. Grantees will be notified when this streamlined reporting method is operational.

5. HUD Report Receipt and Data Entry

When each Quarterly Report is received, HUD and/or its consultants will review the report for completeness. If information is missing, HUD will contact you and ask you for additional information or corrections. Only when the report is deemed by HUD to be complete will it be recorded as received into LOCCS. As long as an overdue report is not entered into LOCCS, you will be unable to request any future funds until the missing report is received and entered into LOCCS by HUD.

B. CUMULATIVE OBLIGATION AND EXPENDITURE DATA

1. Nature of Report

In addition to reporting detailed cumulative obligation and expenditure information in the Quarterly Report, you must also enter cumulative totals directly into LOCCS each quarter. LOCCS/VRS gives you the option to enter or change previously entered cumulative obligation and expenditure data without drawing down, or to continue the drawdown without entering the data. You must report the total cumulative obligation and expenditure amounts for each grant for which funds are being requested. If no obligation or expenditure activity has occurred since the last quarterly update, reenter the existing cumulative obligation and expenditure data in order for LOCCS/VRS to acknowledge data entry for the most recent previous quarter.

a. Obligations

Obligations refers to the cumulative amount of commitments you have entered into, i.e., contract execution for contract labor, materials or services; start and continuation of physical work by force account labor; and start and continuation of administrative expenses. Contract execution means execution of the contract by both you and the contractor.

b. Expenditures

When funds have been obligated, you are expected to show reasonable progress as evidenced by increasing fund expenditures each quarter at a rate which would allow completion within the time frame set forth in the approved implementation schedule. Request construction funds only when payment is due and after inspection and acceptance of the work. You are generally required to distribute funds within three working days of receipt of the funds from HUD.

2. Data Entry Deadlines and LOCCS Oversight

You must enter Cumulative Obligation and Expenditure Data during the month following the due date of the Quarterly Report. One month after each Quarterly Report due date, you will not be allowed to continue the drawdown unless you have entered the cumulative obligation and expenditure data for the previous quarter. For example, for the quarter ending December 31, you must enter the required data during the month of January. If you have not done so by January 31 and you attempt to requisition funds on February 1, LOCCS/VRS will not process the requisition until you enter the required data.

If you have not requested funds during a previous quarter or quarters, you will not be allowed to request funds until you have entered the cumulative obligation and expenditure data for the most recent previous quarter. For example, if you have not requested funds during the quarters ending March 31 and June 30, but you need to request funds in July, LOCCS/VRS will not process your request until you have entered the required data for the quarter ending June 30. If there has been no change in the obligated and expended amounts, you must reenter the existing cumulative obligation and expenditure data in order for LOCCS/VRS to acknowledge data entry for the most recent previous quarter.

3. LOCCS Report Reminders

LOCCS/VRS will send you a system-generated letter which will remind you that you must enter your obligation and expenditure information into LOCCS. A sample of this letter is included as Attachment E of this Chapter.

LOCCS will send you a second letter 30 days after the due date if you have not entered obligation/expenditure information. The letter will tell you that you will not be able to draw down funds until the required information is entered. A sample of this letter is included as Attachment F of this Chapter.

3. Initial Data Entry

For the initial drawdown for a particular grant, the procedure set forth in paragraph 2 applies. If the cumulative obligation and expenditure data for the most recent previous quarter are zero, enter zeroes for both amounts. For example, if the Grant Agreement was executed in January and you are requesting your first funds under the grant in March, you must enter zeroes for the quarter ending December 31, even though the Grant Agreement was not executed as of that date.

4. Data Entry Edits

- a. If the entered cumulative obligation or expenditure amount is less than the prior quarter's obligation or expenditure amount, LOCCS/VRS will ask you whether the entered amount is correct. If the amount is incorrect, you may correct the amount. For example, the obligation amount may decrease due to a contract modification, reducing the fixed price of the contract.
- b. If the entered cumulative obligation amount is greater than the grant amount, LOCCS/VRS will ask you to enter a corrected amount. The obligation amount cannot exceed the grant amount.
- c. If the entered cumulative expenditure amount is greater than the obligation amount, LOCCS/VRS will ask you to enter a corrected amount. The expenditure amount cannot exceed the obligation amount.

ATTACHMENT A

HOPE VI Program Quarterly Progress Report Instructions

Worksheet A TIPS

- ♦ Insert the years that correspond to the entire life of your HOPE VI Project in the “Year” row which is the second row from the top, directly beneath the row designated “Quarter”.
- ♦ Simply report the number of “units” planned for or actually completed rather than using an additive approach. For example, if you are planning to demolish 100 units across four continuous quarters you should:

Report the numbers like this:

Jan-Mar: 25 Apr-May: 25 June-Aug: 25 Sept-Dec: 25 Total=100 Units

DO NOT report the number of units like this (additive approach):

Jan-Mar: 25 Apr-May: 50 June-Aug: 75 Sept-Dec: 100 Total = 250 Units

- ♦ If you have begun work on a particular program area (e.g., demolition), but no work has been completed, please indicate this by putting a zero (0) in the appropriate cell(s). However, if no work was done, leave those cells blank. For examples please refer to the attached sample Worksheet A.
- ♦ Please note the “Approved” row in Demolition. In the total box record the number of units HUD has approved for Demolition. There is no need to plan this out across time.
- ♦ Please note the “Eviction” row in Relocation. Evictions cannot be planned for, however, it is important to track the number of households evicted from the development. In this instance, the ‘planned’ number will always equal zero.
- ♦ In Acquisition, Site Improvement, and Non-Dwelling Unit Structure you are now asked to provide the **exact dollar amounts** spent – rather than a percentage of the work complete.

Worksheet B TIPS

- ♦ For checkpoints which are not required of your project, check the “N/R” box with an “X”
- ♦ If you have completed a checkpoint, you must provide the date (mm/dd/yy). There is no need to determine what the planned completion date had been for checkpoints that you have already completed.
- ♦ For all checkpoints not yet completed, but still required of your project, you must provide the planned completion date (mm/dd/yy).



TIPS -- To Insure Proper Submissions

General Information

- ♦ These worksheets contain new information. Please take a moment to look over them in order to familiarize yourself with the information being requested.
- ♦ Information collected in this document **must** reflect the **most recently HUD-approved** HOPE VI Revitalization Plan. If you do not have an approved RP, the information collected **must** reflect the **most current agreement with HUD** regarding the planned activities. This information should also be reflected in your Baseline Data Report (BDR).
- ♦ When reporting actual activity, include all activity that has been completed by September 30, 1999 – the last day of this quarterly reporting period.
- ♦ If you have submitted a QPR before, **start by reviewing your last quarterly report.** Generally, **planned information should not change and neither should any previously reported “actual” data.** Any changes to planned or previously reported actual information **must** be explained in the narrative report (Worksheet D).
- ♦ Any HOPE VI activity included in this report **must** be represented in “Worksheet C: Financial Report” in the “All Sources” budget (i.e., if it’s scheduled out, it must be budgeted for as well)
- ♦ If your computer prompts you to “enable macros” click “yes”.
- ♦ You will notice that some rows have been shaded. This indicates that you are not to enter any data in those cells. In these instances, the computer will calculate the appropriate value based on other information you have previously entered.
- ♦ It is of paramount importance that your final submission be **absolutely 100% complete and accurate** since it will be uploaded into the database. Therefore, it is to your benefit to utilize KPMG and all of their resources **well in advance of the October 29, 1999 Deadline for receipt of final submission.**



Worksheet C TIPS

- The shaded areas on this worksheet indicate both sub totals and grand totals. Do not enter data in these shaded fields. They will be automatically calculated by your computer based on the dollar amounts entered for each Budget Line Item.
- Remember that no HOPE VI Implementation Grant funding can be used in the Leveraged Finance category.



Worksheet A: Production Schedule

Demolition

The number of units being entirely demolished.

- ♦ This data should include **only** those units which are:
 - (A) slated for **complete** demolition; **and**
 - (B) slated for demolition using either the HOPE VI Implementation Grant or other funding accounted for in the "All Sources" budget on Worksheet C.
- ♦ Partial or interior demolition activity will be captured in Rehabilitation.

Approved: In the total box enter the number of units that have been approved by HUD for demolition. There is no need to plan this out across the schedule.

Planned: In the appropriate years and quarters, plan out, across time, when these units will be demolished.

Actual: In the appropriate years and quarters in which there was demolition activity, enter the number of units that were completely demolished.

- ♦ If there was demolition activity, but no units were demolished (e.g., time spent preparing the site for demolition), enter a "0". This will indicate that activity occurred, but that no units were demolished. **However**, if no work, of any sort, was undertaken, do not enter a "0". Leave that cell blank.
- ♦ Again, any partial or interior demolition activity completed will be captured in Rehabilitation.

Acquisition

Any real estate (property and/or structures) being purchased by the Public Housing Authority (PHA) for the HOPE VI Project.

- ♦ Please indicate on Worksheet D exactly what you will be acquiring.

Planned: In the appropriate years and quarters, plan out, across time, the **exact dollar amount** you are planning to spend on the Acquisition of "production units" required for the HOPE VI Project.

Actual: In the appropriate years and quarters in which there was money spent on "production unit" acquisition, please record the **exact dollar amounts**.

Site Improvements

The infrastructure required to complete the HOPE VI Project. These on or off-site infrastructure improvements could include roads, sidewalks, or sewers.



Planned: In the appropriate years and quarters, plan out, across time, the **exact dollar amount** you are planning to spend on site improvements.

Actual: In the appropriate years and quarters in which there was money spent on site improvements, please record the **exact dollar amounts**.

New Dwelling Unit (DU) Construction (includes Acquisition w/ Rehab.)

The schedule for the completion of new dwelling units in four categories: Rental ACC, Rental Non-ACC, Homeownership ACC, and Homeownership Non-ACC. This includes all units newly acquired by the PHA that are scheduled for rehabilitation (i.e., "acquisition with rehabilitation"). This means that if your PHA has purchased existing units, with the intention of rehabilitating them, they should be counted in this category.

Planned: For each category and in the appropriate years and quarters, plan out, across time, when these new dwelling units will be completed (either built or rehabilitated), accepted from the contractor, and ready for occupancy.

Actual: In the appropriate years and quarters in which there was new DU construction, enter the number of units that were completed (either built or rehabilitated), accepted from the contractor, and ready for occupancy.

- ♦ If there was new DU activity, but no units were completed (i.e., time spent preparing the site for construction), enter a "0". This will indicate that activity occurred, but that no units were completed. **However,** if no work, of any sort, was done for new DU construction, **do not** enter a "0". Leave the cell blank.

Dwelling Unit (DU) Rehabilitation

The completion of dwelling unit rehabilitation, including any partial or interior demolition activity, in the following four categories: Rental ACC, Rental Non-ACC, Homeownership ACC, and Homeownership Non-ACC. This category refers to the rehabilitation of dwelling units already "owned" by the PHA. If your PHA has bought already existing units, which they intend to rehabilitate, these units should be considered under New DU Construction (including acquisition with rehabilitation).

Planned: For each category and in the appropriate years and quarters, plan out, across time, when these units will be completed, accepted from the contractor, and ready for occupancy.

Actual: In the appropriate years and quarters in which there was DU rehabilitation, enter the number of units that were completed, accepted from the contractor, and ready for occupancy.

- ♦ If there was DU rehabilitation activity, but no units were completed (i.e., time spent preparing the site), enter a "0". This will indicate that activity occurred, but that no units were completed. **However,** if no work, of any sort, was done for DU rehabilitation, **do not** enter a "0". Leave the cell blank.



Non-Dwelling Structures

The completion of any non-dwelling structure. A non-dwelling structure is any structure, other than a traditional residential unit or residential building, which will be used for non-residential purposes. Examples of a non-dwelling structure are a day care center or a community center.

Planned: In the appropriate years and quarters, plan out, across time, the **exact dollar amounts** you are planning to spend on non-dwelling structures.

Actual: In the appropriate years and quarters when there was money spent on non-dwelling units, please record the **exact dollar amounts**.

Relocation

The number of households relocated as a result of the HOPE VI project. The following relocation categories must be considered: Relocation in Public Housing, Relocation in Section 8 housing, Evictions, and Non-Assisted, Other, or Unknown housing.

Planned: In the appropriate years and quarters, plan out, across time, the number of households that will be relocated to other public housing, Section 8 housing, or non-assisted, other, or unknown housing.

- ♦ If resident households are split up at the time of relocation, thereby creating multiple households, and the PHA provides relocation assistance to each of them, each of these individual households should be counted as a separate relocation (with an appropriate explanation on Worksheet D).

Actual: In the appropriate years and quarters in which there was relocation, enter the number of households that were completely relocated.

- ♦ If a household is relocated more than once as a result of the HOPE VI Project, it should still be counted as only one relocation.
- ♦ If there was relocation activity, but no households were actually relocated (i.e., time spent preparing the relocation units), enter a "0". This will indicate that the activity occurred, but that no households were actually relocated. **However**, if no work, of any sort, was done towards relocation, **do not** enter a "0". Leave the cell blank.

Occupancy

The number of new and rehabilitated HOPE VI units that are occupied. This should include households from the original development as well as all other households occupying these new and rehabilitated HOPE VI units.

Planned: In the appropriate years and quarters, enter the number of new or rehabilitated units that will be occupied, regardless of whether or not the households were from the original site. This number should equal the total number of units from New Construction (including acquisition with rehabilitation) and Rehabilitation.



Actual: In the appropriate years and quarters, enter the number of new or rehabilitated units that were occupied, regardless of whether or not the households were from the original site.

Re-Occupancy

The number of households from the original public housing development that will occupy HOPE VI residential units.

Planned: In the appropriate years and quarters, plan out, across time, when these households will be re-occupied.

Actual: In the appropriate years and quarters in which there was re-occupancy activity, enter the number of households that were re-occupied.

- ♦ If there was re-occupancy activity, but no households were actually reoccupied (i.e., time spent preparing for re-occupancy), enter a "0". This will indicate that activity occurred, but that no households were actually re-occupied. **However**, if no work, of any sort, was done towards re-occupancy, **do not** enter a "0". Leave that cell blank.

Leveraged Funds

The amount of funds leveraged as a result of the HOPE VI Implementation Grant.

- ♦ **Leveraged Funds = All Sources – HOPE VI Implementation Grant**
Leveraged Funds equal the All Sources Budget minus the HOPE VI Implementation Grant. HOPE VI Planning Grants and Demolition Grants should be considered leveraged funds.

Planned: In the appropriate years and quarters, plan out, across time, when the PHA will receive these funds.

Actual: In the appropriate years and quarters in which the PHA received funds, enter the exact dollar amount received.



Worksheet B: Administrative/Compliance Checkpoints

Project Phases

Project phases are characterized by activities that are discrete project components, which might be managed individually. This could be because of separate development agreements, time constraints, project financing or site logistics. The “steps” involved in developing a project (e.g., demolition, relocation, etc...) could occur within each phase and should not be represented as individual phases.

For example, your HOPE VI Project could be building Rental-ACC units, homeownership units, and a community center. Each of these elements would be a separate phase – even though completing each of them might require many of the same steps (e.g., demolition, construction, relocation, and re-occupancy)

List each phase of the project in the “Project Phases” box in the upper right hand corner of the worksheet.

Administrative Checkpoints (1-17)

Items 1 through 17 are milestones that, if required of your project, are only done once.

Compliance Checkpoints (18-45)

Items 18 through 45 could be repeated, depending on whether the project has more than one phase.

The columns are designed to accommodate the planned and actual completion dates for checkpoints required more than once in the life of the project. This could be the result of phased activities, separate contracts, and/or revisions to documents such as the RP or C/SS plan.

“N/R”, “Planned” & “Actual” Status

Review the list of checkpoints and identify those that apply to your project. Also identify any checkpoints that may require completion more than once during the life of the project.

If a checkpoint is **not required** of your project, mark the “N/R” box with an “X” to illustrate this. Otherwise, use the “Planned” and “Actual” columns to record the planned completion and actual completion dates for each activity which is required or relevant to your project. Do this throughout all appropriate project phases. **All dates must be expressed in terms of the month, day, and year (mm/dd/yy)** regardless of whether or not it is a planned or actual completion date.





Worksheet C: Financial Report

Worksheet C provides an overview of the budget and financial status for the HOPE VI Project by examining budget line items (BLIs) across three budget types: the Latest HUD-Approved Budget, the HOPE VI Budget, and the All Sources Budget.

Latest HUD-Approved Budget

The Latest HUD-Approved budget is the approved allocation for each BLI.

Budgeted: This is part of your HOPE VI Implementation Grant Budget. As your project progresses, and more funds are approved for your use, the dollar amounts in this category will increase. Eventually, your Latest HUD-Approved Budget will equal the total HOPE VI Implementation Grant Budget.

- ♦ **No funding from your Latest HUD-Approved budget can be used in the leveraged finance category.** That is why these blocks have been shaded.

HOPE VI Implementation Grant Budget

The HOPE VI budget area is concerned with only HOPE VI Implementation Grant funding. **Do not consider other sources of funding (e.g., leveraged funds) in this budget area.** The HOPE VI budget area has three categories: Budgeted, Obligated, and Expended.

- ♦ This category includes the funding budgeted for in the “Latest HUD-Approved” budget (see above).
- ♦ **No HOPE VI Implementation Grant funding may be used for any part of the Leveraged Finance category.** That is why these blocks are already filled in with “N/A”.

Budgeted: the amount of HOPE VI Implementation Grant funding that you have allocated for each BLI. This total amount **must** equal your grant amount and, unlike the Latest HUD-Approved Budget, will not change over time. This total amount will remain the same, quarter after quarter, unless HUD changes the amount of your grant.

Obligated: the amount of HOPE VI Implementation Grant funding which you have contracted for or expended, as of September 30, 1999, for each BLI (i.e., the amount of funding promised or paid). **The Obligated amount will always be equal to or greater than the Expended amount – but never less.**

Expended: the amount of HOPE VI Implementation Grant funding which has already been paid out for each BLI as of September 30, 1999.



All Sources Budget

The All Sources budget area includes both the HOPE VI Implementation Grant and Leveraged funds (not to be confused with the “Leveraged Finance” line item). The HOPE VI Implementation Grant and the funds you have (or expect to) leverage should account for your total “All Sources” budget (i.e., **the total budget for the entire HOPE VI Project**). The All Sources budget area has two categories: Budgeted and Expended.

All Sources = HOPE VI Pre-development Grant + HOPE VI Demolition Grant + HOPE VI Implementation Grant + Other Leveraged Funds

- ♦ HOPE VI Pre-development and HOPE VI Demolition Grants should be considered “leveraged funds” – funds separate from the HOPE VI Implementation Grant – and should be accounted for here, in “All Sources”.
- ♦ The HOPE VI Implementation Grant should also be counted in All Sources.
- ♦ To avoid double counting, **do not include** the “Latest HUD-Approved Budget” amounts in All Sources. These amounts are included in the HOPE VI Implementation Grant budget.
- ♦ The dollar amounts in the “All Sources” budget must represent all of the activity planned for as part of the HOPE VI Project. All program areas considered on Worksheet A (i.e., demolition, construction, relocation, re-occupancy, etc.) must have funds allocated in the “All Sources” budget.

Budgeted: the total amount, from all sources, allocated to each BLI. This amount will change over time, as you leverage more funds for the HOPE VI Project.

Expended: the total amount, from all sources, which has already been paid out for each BLI as of September 30, 1999.



Worksheet D: The Narrative Report

The Narrative Report serves two purposes. First and foremost, the Narrative Report provides a place for you to explain any discrepancies on Worksheets A, B or C. **At a minimum, the Narrative Report must include explanations for the following:**

- ♦ Deviations between the planned data and the actual work completed on Worksheet A
- ♦ Any schedule slippages or missed milestones on Worksheet B
- ♦ Any over expenditures or over obligations in the HOPE VI Implementation Grant budget from Worksheet C
- ♦ Any over Expenditures in the All Sources Budget from Worksheet C
- ♦ You should also use the Narrative Report to discuss any other discrepancies which may be cause for concern

Secondarily, the Narrative Report provides you with an opportunity to discuss other things that are happening with your HOPE VI site. **At a minimum, this should include the following:**

- ♦ a description of critical action items for HUD (i.e., if you are waiting for your RP to be approved; if you need HUD assistance for any reason)
- ♦ a brief description of the scope of your HOPE VI Project
- ♦ a listing of major participants and a description of their roles (i.e., developer or contractor names)
- ♦ a description of major work completed
- ♦ a description of work in-progress (i.e., things expected to be completed in 90 days)
- ♦ a description of supportive services and resident issues
- ♦ a review of human interest or success stories
- ♦ a description of any other issues which you believe to be relevant to the success of your HOPE VI Project

The blocks on this worksheet will expand to accommodate lengthy paragraphs – so don't feel as if you are limited by the visible space. If you wish to include items which cannot be easily typed into these blocks (i.e., newspaper clippings), please mail them to the KPMG address listed at the beginning of this packet. Keep in mind, though, that these items will **not** be uploaded into the database. **Only information typed into this worksheet can be uploaded.** Therefore, you must fill out this report as completely as possible.

When possible, use the category codes and project phases to highlight the issues discussed in the Narrative Report.



ATTACHMENT B

HOPE VI Program Quarterly Project Progress Report

GRANTEE

DEVELOPMENT

DATE

PROGRESS THROUGH

Tips for completing this form:

Start by reviewing and entering the information from your last QPR submission. Generally, the planned and actual information on it should not change. Any changes must be explained on Worksheet D.
 Don't enter any information in the shaded boxes, they will total automatically.

Only include information as of September 30, 1999.

Use zeros to indicate activity that took place but no units were completed. If no activity took place, leave the cell blank.
 Don't forget to enter the # of units approved for demolition by HUD.

Don't use an "additive" method when entering units.

Don't forget to enter the years in the appropriate columns.

Quarter		Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec
Year																	
Demolition (# of Units)																	
Approved																	
Planned																	
Actual																	
Acquisition																	
Planned \$																	
Actual \$																	
Site Improvements																	
Planned \$																	
Actual \$																	
New DU (incl. acq. w/ rehab)																	
Rental ACC																	
Planned																	
Actual																	
Rental Non ACC																	
Planned																	
Actual																	
Homeownership ACC *																	
Planned																	
Actual																	
Homeownership Non ACC **																	
Planned																	
Actual																	
TOTAL NEW DU																	
(Totals Automatically)																	
Planned																	
Actual																	

DU Rehabilitation							
Rental ACC	Planned	0					
	Actual	0					
Rental Non ACC	Planned	0					
	Actual	0					
Homownership ACC *	Planned	0					
	Actual	0					
Homownership Non ACC **	Planned	0					
	Actual	0					
TOTAL REHABILITATION (Totals Automatically)	Planned	0	0	0	0	0	0
	Actual	0	0	0	0	0	0
Non-Dwelling Structures							
	Planned \$	0					
	Actual \$	0					
Relocation							
PH	Planned	0					
	Actual	0					
Section 8	Planned	0					
	Actual	0					
Evictions							
Non-Assisted / Other	Actual	0					
	Planned	0					
	Actual	0					
TOTAL RELOCATION (Totals Automatically)	Planned	0	0	0	0	0	0
	Actual	0	0	0	0	0	0
Occupancy (# of new or rehab units that are occupied)	Planned	0					
	Actual	0					
Re-Occupancy							
# of households from the original development that have returned to HOPE VI)	Planned	0					
	Actual	0					
Leveraged Funds <small>(Leveraged funds equals all sources budgeted total minus HOPE VI budgeted total from worksheet C)</small>	Planned \$						
	Actual \$						

* ACC Homeownership includes 5(h) Homeownership or Nehemiah units.

** Non-ACC Homeownership includes Other Subsidized Homeownership with Income Restrictions, Other Subsidized Homeownership with No Income Restrictions or Unsubsidized Homeownership with No Income Restrictions units.

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GRANTEE

DATE

DEVELOPMENT

PROGRESS THROUGH

Tips for completing this form:

Every checkpoint MUST be addressed.

Enter dates as mm/dd/yy.

If the item is not required, place an X in the N/R box.

#	Administrative Checkpoints	N/R	Planned	Actual
1	Grant Awarded			
2	Grant Agreement Executed			
3	PHA HOPE VI Coord. Designated			
4	C/SS Plan Submitted			
5	C/SS Plan Approved			
6	Predevelopment Budget Submitted			
7	Predevelopment Budget Approved			
8	Program Mgr. RFP Submitted			
9	Program Mgr. RFP Approved			
10	Program Mgr. Contract Submitted			
11	Program Mgr. Contract Approved			
12	Program Mgr. Contract Executed			
13	Demo Application Submitted			
14	Demo Application Approved			
15	Revitalization Plan Submitted			
16	Revitalization Plan Conditionally Approved			
17	Revitalization Plan Approved			

Project Phases

A _____

B _____

C _____

D _____

E _____

F _____

Compliance Checkpoints	Phase A			Phase B			Phase C			Phase D			Phase E			N/R
	N/R	Planned	Actual	N/R	Planned	Actual	N/R	Planned	Actual	N/R	Planned	Actual	N/R	Planned	Actual	
18 Environmental Clearance Submitted																
19 Environmental Clearance Approved																
20 Relocation Start																
21 Relocation Complete																
22 Remediation/Demolition Start																
23 Remediation/Demolition Complete																
24 Site Acquisition Submitted																
25 Site Acquisition Approved																
26 Homeownership Plan Submitted																
27 Homeownership Plan Approved																
28 Developer RFQ Submitted																
29 Developer RFQ Approved																
30 Developer Agreement Submitted																
31 Developer Agreement Approved																
32 Developer Agreement Executed																
33 Tax Credits Awarded																
34 Mixed-Finance Proposal Submitted																
35 Mixed-Finance Proposal Approved																
36 Evidentiaries Submitted																
37 Evidentiaries Approved																
38 ACC/MF-ACC/Addendum Executed																
39 Closing																
40 End of Initial Operating Period (EIOP)																
41 Date of Full Availability (DOFA)																
42 First Unit Availability for Occupancy																
Final Narrative Report																
Final Financial Report																
45 Closeout-Agreement Certification																

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GRANTEE DEVELOPMENT

DATE

PROGRESS THROUGH

BLI	Fund use	Latest HUD Approved Budget	Hope VI Implemtentation Grant ONLY Budgeted	Obligated	Expended	All Sources (includes Hope VI) Budgeted	Expended
Planning/Professional Services							
1430.0	PM/CM Fees						
	A/E Fees						
	Legal Fees						
	Other Fees						
	Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Demolition/Remediation							
1485.0	Remed/Demo - DU						
	Remed/Demo - Non DU						
	Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
New Or Rehab Units/Facilities							
1440.0	Acquisition						
1450.0	Site Improvements						
1460.0	DU Construction						
1465.1	DU Equipment						
1470.0	Non-DU Construction						
1475.0	Non-DU Equipment						
1440-75	Other New/Rehab						
	Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Families Relocated/Reoccupancy							
1495.1	Relocation Costs						
	Other Reloc/Reoccupancy						
	Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Leveraged Finance							
LevF-N/A	Tax Credit Costs	N/A	N/A	N/A	N/A	N/A	N/A
	Developer Fee	N/A	N/A	N/A	N/A	N/A	N/A
	Other Dev't Finance Costs	N/A	N/A	N/A	N/A	N/A	N/A
	Reserves	N/A	N/A	N/A	N/A	N/A	N/A
	Other Lev. Finance Costs	N/A	N/A	N/A	N/A	N/A	N/A
	Subtotal					\$ -	\$ -
Community/Supportive Services							
1408.0	Mgmt. Improvements - C/SS						
	Other C/SS 1408.0						
	Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Administration							
1408.0	Mgmt. Improvements - Admin						
1410.0	Administration						
	Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Grand Totals	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

411



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81



84
44



GRANTEE

DEVELOPMENT

DATE

PROGRESS THROUGH

BACKGROUND SUMMARY

Brief Scope of Project		Categories I. HUD Funding/Finance II. Planning/Prof Svc III. Demolition IV. Construction V. Relocation/Occupancy VI. Leveraged Funding VII. Supportive Services VIII. Administration
Major Participants and Roles		Project Phases A. B. C. D. E. F.

ISSUE SUMMARY

		Category	Phase
Worksheet A (e.g., changes to <u>any</u> planned or actual activity must be explained here.)			
Worksheet B (e.g., changes to <u>any</u> scheduled checkpoint <u>es</u> must be explained <u>e.</u>)			
Worksheet C (e.g., overexpenditures in <u>any</u> budgeted line items must be explained here.)			
Major Work Completed			
Work in Progress/ 90-Day Look Ahead			
Critical Actions Needed From HUD			
Support Services/ Resident Issues			
Human Interest/ Success Stories Remarks			

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ATTACHMENT C

Progress Report Reminder Letter

U.S. Dept. of Housing and Urban Development
Line of Credit Control System (LOCCS)

Ltr# 034: Progress Report Reminder Letter

This document is required on a Quarterly basis from the Grantee for each of its Grants. It is due 30 days after the end of the reporting period. Non-receipt of this document within 45 days of the period end date will result in the Suspension of Drawdowns.

- - - - - Notifications via Automated Mail - - - - -	Letter ID
The initial notice is sent immediately after the reporting period end date.	034
1st Reminder letter is sent 45 days following period end.	035
Last notice on: 12/31/1998, for period 10/01/1998 through 12/31/1998.	
Next notice on: 03/31/1999, for period 01/01/1999 through 03/31/1999.	

RE: HOPE VI Program
Grant: *GRANT NUMBER*

Dear Grantee:

The HOPE VI Program requires a Progress Report to be submitted on a quarterly basis for each grant within 30 days after the end of the reporting period to HUD Headquarters at:

U.S. Department of HUD
Office of Urban Revitalization
451 7th Street, S.W.
Attention: Mr. DeWayne Kimbrough, Rm 4138
Washington, D.C. 20410

Failure to submit the report to the above address by the due date will result in your being unable to draw down funds for this grant until you submit the required report and HUD personnel enters its receipt into LOCCS.

Please submit the required document as soon as possible. If you have any questions, please contact your HOPE VI Grant Manager or Mr. DeWayne Kimbrough on (202) 708-2822.

Thank you for your cooperation.

ID: 034

ATTACHMENT D

Progress Report Late Letter

U.S. Dept. of Housing and Urban Development
Line of Credit Control System (LOCCS)

Ltr# 035: Progress Report Late Letter

RE: HOPE VI Program
Grant: *GRANT NUMBER*

Dear Grantee:

The HOPE VI Program requires a Progress Report to be submitted on a quarterly basis for each grant within 30 days after the end of the reporting period to HUD Headquarters at:

U.S. Department of HUD
Office of the Urban Revitalization
451 7th Street, S.W.
Attention: Mr. DeWayne Kimbrough, Rm 4138
Washington, D.C. 20410

The following lists a document which is now outstanding and has caused LOCCS payments to stop:

Progress Report for the reporting period ending: *TO DATE*

Please submit the required document as soon as possible. If you have any questions, please contact your HOPE VI Grant Manager or Mr. DeWayne Kimbrough on (202) 708-2822.

Thank you for your cooperation.

ID: 035

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ATTACHMENT E

Obligation/Expenditure Reminder Letter

U.S. Dept. of Housing and Urban Development
Line of Credit Control System (LOCCS)

Ltr# 049: Obligation/Expenditure Reminder

re: *PROGRAM AREA*

Dear Grantee:

The HOPE VI Program requires obligation and expenditure data to be entered into the Voice Repsonse System on a quarterly basis for each grant. This information is due for the following grants on *DUE DATE* for quarter ending *TO DATE*:

LIST OF GRANTS

LIST OF GRANTS

Failure to enter this information for a particular grant by the due date will result in your being unable to draw down funds for that grant until you enter the required information.

Thank you for your cooperation.

ID: 049

ATTACHMENT F

Obligation/Expenditure Late Letter

U.S. Dept. of Housing and Urban Development
Line of Credit Control System (LOCCS)

Ltr# 050: Obligation/Expenditure Late

re: *PROGRAM AREA*

Dear Grantee:

The HOPE VI Program requires obligation and expenditure data to be entered into the Voice Response System on a quarterly basis for each grant. LOCCS will not allow funds to be disbursed from a particular grant if the required information on that grant is not provided within 30 days after the end of the quarter.

The obligation and expenditure data for the following grants for the quarter ending *TO DATE* are now outstanding:

****LIST OF GRANTS****

You are no longer able to draw funds for a particular grant on the above list until you enter the required information.

Thank you for your cooperation.

ID: 050

HOPE VI REVITALIZATION GRANT

HUD OVERSIGHT AND MONITORING

I. DEFINITIONS AND ACRONYMS

Field Office (FO): HUD Field Offices have been consolidated into 27 Hubs and 16 Program Center Offices. Program Centers are located in smaller offices, and are headed by Program Center Coordinators who report to the Public Housing Director in the appropriate Hub Office. The term Field Office used in this document refers to either a Public Housing Director at a Hub or a Program Center Coordinator, as appropriate for the area or State in which the HOPE VI Grantee is located. However, if a HOPE VI Grantee has been determined to be "troubled," as indicated by its PHMAP score, Field Office duties may be performed by a TARC (see below).

FHEO: Fair Housing and Equal Opportunity. References to FHEO staff in this document refer to personnel located in Field Offices.

Grant Manager: the HUD staff person - primarily on the OPHI staff, although occasionally in the HUD Field Office - who is responsible for the overall HUD administration of a HOPE VI grant.

HOPE VI Coordinator: the HUD employee in the Field Office assigned to coordinate all Field Office activities necessary to administer a HOPE VI grant.

Hub: See Field Office.

LOCCS: Line of Credit Control System; the disbursement system by which Grantees request and receive HOPE VI grant funds.

OPHI: Office of Public Housing Investments, located at HUD Headquarters. OPHI includes the Office of Capital Improvements, which administers Public Housing Development and Modernization programs, and the Office of Urban Revitalization, which administers the HOPE VI Program.

Program Center Coordinator: See Field Office.

Program Manager: an entity procured by the Grantee to manage the HOPE VI program on behalf of the PHA.

SAC: Special Applications Center, located in HUD's Chicago office.

TARC: Troubled Agency Recovery Center. The mission of the TARCs is to develop and implement intervention strategies for "troubled" housing authorities with 250 or more units in order to achieve a passing PHMAP score within one year of the "troubled" designation. The two TARCs are located in HUD's Cleveland and Memphis offices. Smaller troubled PHAs are assigned to the TARC staff in Hub Offices. If a HOPE VI Grantee has been determined to be "troubled," responsibility for the PHA will be assigned to a TARC for one year. At the end of the year, responsibility for the PHA will either be returned to the Field Office or placed into judicial or administrative receivership.

II. GRANT MANAGEMENT

A. Headquarters Grant Management and Monitoring

Each HOPE VI Revitalization Grant has been assigned a HUD Headquarters Grant Manager from OPHI. The OPHI Grant Manager is responsible for performing or coordinating the following actions:

1. Track the overall status of the grant.
2. Debrief the Grantee on concerns and issues related to the initial application.
3. Review and approve the Revitalization Plan, including budget and implementation schedule.
4. Review costs for compliance with TDC limitations.
5. For any grant with a Revitalization Plan approved after October 21, 1998, approve any demolition pursuant to that Revitalization Plan.
6. Coordinate review of self-sufficiency plan.
7. Track review of disposition application by the SAC.
8. Review the homeownership plan, as applicable.
9. Track review of the property management plan by the Field Office .
10. Track review of designated elderly plan by the SAC.
11. Track approval of site-based waiting list waiver requests by FHEO.
12. Review and approve Mixed-Finance Proposals and Evidentiary Materials; provide assistance to Grantees in structuring innovative arrangements for replacement housing, including leveraged financing, public/private financing, tax credits, mixed income development, etc.
13. Approve all changes to revitalization plans, budgets, and schedules.
14. Review requests for waivers of existing regulations.
15. LOCCS:
 - a. Ensure that budgets and other funding approvals are spread into LOCCS.
 - b. Review and approve requests for release of funds, including predevelopment budgets.
 - c. Review and approve drawdowns that hit edits in LOCCS.

16. Monitoring:

- a. Review LOCCS reports for progress in obligation and expenditure of funds, including excessive drawdowns.
- b. Review Quarterly Progress Reports:
 - (1) For FY 93 - 95 grants, review for compliance with the requirement of the 15 percent match from the City for the provision of supportive services as required by the Grant Agreement.
 - (2) For FY 99 and subsequent grants, review for compliance with the match requirements contained in the Grant Agreement.
- c. Review and approve Requests for Proposals (RFPs) and Requests for Qualifications (RFQs) for Program Managers and Developers.
- d. Review and approve contracts between Grantees and Program Managers and Developers.
- e. Review other procurement documents, including RFPs, RFQs, and procurement waivers such as contract terms in excess of two years.
- f. Respond to questions and requests for policy determinations, status reports, and program statistics from Grantees, Field Offices, Partners, Consultants, Congress, and others.
- g. Make at least one technical assistance on-site visit per year to each assigned HOPE VI PHA.
- h. Issue any warning or default letters, as necessary.
- i. Coordinate the assignment of Technical Advisors/Expeditors to monitor and assist the Grantee.

B. Field Office Primary Grant Management (by assignment only)

A small number of HOPE VI Revitalization grants have been assigned to Field Offices to represent HUD on behalf of OPHI in performing some of the activities listed above. The authority of the assigned Field Office Public Housing staff to review and approve selected documents or actions will vary case-by-case; specific responsibilities will be detailed in writing by OPHI when such an assignment is made. Field Offices may be assigned the following actions:

1. Track the overall status of the grant and advise OPHI of any problems.
2. Review and approve revisions to Revitalization Plans.
3. Review and approve revisions to program budgets.
4. Review and approve revisions to program schedules.
5. Review procurement documents, including Requests for Proposals, Requests for Qualifications, and procurement waivers such as contract terms in excess of two years.
6. Review Quarterly Reports and use as a basis for monitoring and site visits.
7. LOCCS:
 - a. Review and approve requests for release of funds, including predevelopment budgets.
 - b. Review and approve drawdowns that hit edits in LOCCS.
 - c. Monitor grantee progress in obligation and expenditure of funds.

III. HUD FIELD OFFICE ROLE

A. Field Office Lead Responsibilities

Each HUD Field Office Public Housing office with one or more PHAs selected for a HOPE VI Revitalization grant must have one Public Housing staff person assigned as a HOPE VI Coordinator. The HOPE VI coordinator acts as a point of contact for all HOPE VI activity within the Field Office. The HOPE VI Coordinator will also communicate and coordinate activities with local HUD FHEO staff and others as appropriate. Each HOPE VI Coordinator should also have a designated backup.

The Field Office HOPE VI Coordinator plays the lead role in performing or coordinating the following actions:

1. Assist Grantees in the preparation of demolition/disposition application.
2. Coordinate HOPE VI grant funds and activities with other management improvement and capital funds approved for HOPE VI developments.
3. Coordinate HOPE VI with any resident initiative grants that may have been approved for HOPE VI developments.
4. ACC Amendments:
 - a. Review and process ACC amendments as necessary to reduce operating subsidy as a result of relocation, reconfiguration, and/or demolition.
 - b. Reinstate operating subsidy for replacement housing.
 - c. Assign project numbers to revitalized development(s).
5. Revitalization Plan/Mixed-Finance Proposal:
 - a. Review and approve compliance with accessibility requirements.
 - b. Review and approve staffing allocation plan.
 - c. Review and approve 6(h) new construction certification.
 - d. Review and approve facilities assessment.

6. Management:
 - a. Review management agreement/plan/lease.
 - b. Coordinate HOPE VI-funded management improvement activities with those approved under other funding sources.
 - c. Approve admittance and occupancy plan.
 - d. Approve tenant assignment and selection plan.
7. Review any relocation plan not associated with a disposition application, including any Section 8 relocation plan.
8. Review environmental assessment and approve Release of Funds.
9. Review hazard abatement cost analysis.
10. Coordinate site and neighborhood standard reviews for proposed replacement units with FHEO.
11. Verify evidence of site control.
12. Verify appropriate zoning.
13. Review and approve site acquisition proposal.
14. Review plans and specs for new construction and rehabilitation.
15. Assist, as needed, in the formation, recognition, and involvement of viable resident councils at the HOPE VI development.
16. Coordinate FHEO training re: Section 3, employment and contracting opportunities, including STEP-UP.

B. Field Office Review and Comment Responsibilities

The Field Office participates in the review of the following:

1. resident consultation plan;
2. Community and Supportive Services Plan;
3. sub-grantee agreements;
4. methodology of distribution of operating subsidy to project;
5. market study.

IV. FIELD OFFICE MONITORING

A. Construction Monitoring

All HOPE VI developments under construction must be routinely inspected by HUD or the Army Corps of Engineers (COE) in accordance with an agreement between the COE and HUD. The Statement of Work for these inspections is as follows:

In addition to the requirements set forth in the implementing instructions - HUD Programs, the COE, under this agreement, shall furnish all materials, equipment, services, and facilities; provide its own transportation; execute tasks incident to or stated in the work orders issued for the HOPE VI inspections. When acting as HUD's agent, the COE shall have right of entry and free access to the site and inspect all work as directed in the work order (including materials, equipment and fixtures furnished, installed or stored in and about the development).

Once construction has started, physical inspections of all HOPE VI sites will be performed on monthly basis or as directed by HUD Field offices.

HUD shall prepare and send to the COE a work order quarterly for the sites to be inspected on the attached form and send to the COE for estimating the cost of work to be performed. The work order shall contain the task(s) to be performed by the COE at identified sites. Any specific instructions to the COE will be put in the comments column of work order. The COE shall estimate the cost of conducting the inspections and send the work order back to the HUD office. HUD shall determine the reasonableness of the cost and, if reasonable, shall sign the work order and send it to the COE for performing the tasks.

After receiving the work order, the COE shall contact HUD to receive further instructions regarding the contact person on-site and the PHA phone number for contacting the PHA before inspection. HUD shall advise the PHA to be inspected to provide a set of the plans and specifications of the site to be inspected to the COE for its review before the on-site inspection. The COE shall review the plans and specifications furnished by the PHA prior to the inspection. For contract administration reviews, HUD shall advise the PHA to provide access to the COE representative to all necessary records of the particular project(s) being reviewed. The COE shall inform the Community Builder of the inspection date and time. The Community Builder, if feasible will accompany the COE for conducting the inspection. The names and phone numbers of the Community Builders will be provided to the COE. The COE shall schedule the inspections at the same time as others inspecting for the purpose of approving draws.

The COE shall include in each inspection report any identified safety or health hazard; discuss identified hazards with the PHA's Executive Director or designee before leaving the site; immediately notify the PHA's Executive Director or designee, and HUD, of any observed safety or health hazards which endanger life or threaten serious injury or property damage.

COE REPORTING

- A. After completion of an inspection/review, the COE shall prepare a report for each of the following in the attached format.
- B. For all inspections/reviews, the COE shall discuss the inspection results and the corrective action required with the HA on-site representative and shall submit the report, identifying findings, observations and recommendations, to HUD Field office within two Calendar days of the inspection. HUD shall examine the report for completeness and shall send a copy to HA and the Grant Manager at the HUD Headquarters with a form transmittal letter/memorandum to be signed by the Office of Public Housing Director. If warranted, HUD shall contact the COE representative to discuss the areas of concern on the report and advise on corrections. The report shall reach the HA no later than one week after the on-site inspection is completed. Within 20 calendar days of the inspection, the HA shall furnish a written response of the actions taken or to be taken as appropriate to remedy the findings and/or accomplish the recommendations contained in the HUD-approved COE inspection report. A copy of the HA response shall be provided to the COE.
- C. The COE Headquarters shall submit quarterly and annual financial reports reflecting the funds expended and remaining for each HUD Field Office to HUD Headquarters. HUD Headquarters may rearrange the allocation of funds for each Field Office based on the quarterly reports and the projected need for inspections by each Field Office.
- D. The COE District Office shall submit to HUD Field Office monthly reports which document the expense and status of open work orders.

B. On-site Monitoring

HUD Field Office staff will make on-site monitoring visits to each HOPE VI site at least once per year and prepare a report to the Housing Authority with a copy to OPHI. A draft of the monitoring visit report shall be provided to the OPHI Grant Manager for review and comment before issuance to the Grantee.

Additional monitoring visits are encouraged and should be scheduled by the Field Office on a risk management basis. FHEO staff should be invited to participate in the on-site monitoring. In those cases where the HOPE VI monitoring visits require Field Office staff to remain away from their duty station on overnight travel, the FO may request travel cost reimbursement from Headquarters.

The Field Office will be responsible for making recommendations on whether the PHA has adequate systems and controls in place to ensure its own compliance with program requirements during the implementation of program activities, and for monitoring the PHA's adherence to its systems and controls.

The Field Office, including FHEO staff, as appropriate, shall review the PHA's systems and test whether those systems are working by reviewing random samples of documents and taking the following actions during the on-site review:

1. Review PHA inspection reports to determine whether the PHA or its architect has adequately inspected its revitalization activities to ensure that the physical work is being carried out in accordance with the plans and specifications.
2. Inspect the physical work completed and in progress to ensure that the activities undertaken are consistent with the Revitalization Plan (including the approved budget) and are eligible activities.
3. Review documentation maintained on file at the PHA in support of any minor changes to the Revitalization Plan and/or approved budget.
4. Inspect evidence of resident involvement in accordance with the Grant Agreement and any approved Resident Consultation Plan.
- ~~5.~~ Review for compliance with requirements for procurement and contract administration; monitor contracts in excess of two years; change orders in excess of \$25,000, and sole-source procurements.
6. Review for compliance with HUD financial management and accounting requirements with respect to the PHA's internal controls for its HOPE VI program, including proration and allocation of charges, and correction of any pertinent deficiencies identified in annual fiscal audits.

7. Review for compliance with other statutory and regulatory requirements for activities such as:
 - a. displacement and relocation;
 - b. real property acquisition;
 - c. hazard abatement, including treatment of lead-based paint, asbestos, and other abatement issues;
 - d. fair housing and equal opportunity requirements, including Section 3, in conjunction with FHEO staff;
 - e. administrative requirements of 24 CFR part 85 and OMB Circular A-87.
8. Review the PHA's progress in obligating and expending funds and completing the work set forth in the Revitalization Plan and Program Schedule, and assessment of additional need for monitoring.
9. Review the PHA's progress in obtaining all funds and resources set forth in the approved Sources and Uses.
10. Review the status of the PHA's management improvements and the impact of those improvements on the program.
11. Review the PHA's accomplishments in carrying out community and supportive services programs, including those of sub-grantees and/or contractors.
12. For FY 93 - 95 grants, review the PHA's accomplishments in carrying out the community service portion of the Revitalization Plan.

The Field Office will issue the final monitoring report to the PHA, with a copy to the Deputy Assistant Secretary for the Office of Public Housing Investments. Monitoring Reports should document accomplishments and successes of the PHA, consultants, contractors, service providers and residents, as well as any deficiencies that need to be addressed. Special attention should be given to the results of any waivers of regulations and unique innovations. Reports should present a balanced picture of the HOPE VI program, and should indicate if and how HOPE VI activities are making an impact on the PHA's PHMAP score. The emphasis of monitoring reports should be to offer solutions to the problems noted during the visit, and should identify follow-on actions to be taken by HUD staff as well as the PHA. To the extent possible, each recommendation and follow-up action should have a specific target date for its accomplishment. If necessary, the reports should also recommend that HUD issue formal a Letter of Deficiency, Corrective Action Order, Letter of Warning, or Declaration of Default if the situation so warrants.

The following is a sample monitoring report outline:

- a. Summary
- b. Issues, items for follow-up
- c. Relocation
- d. Homeownership
- e. Contracting and procurement
- f. Finance and administration
- g. Conditional Revitalization Plan approval issues
- h. Occupancy
- i. Community and Supportive Services

C. Off-Site Monitoring

In addition to the one or more formal on-site monitoring reviews each year, Field Offices shall be alert and sensitive at all times to progress and problems associated with the PHA's HOPE VI program. Any need for assistance shall be responded to at once. On-going information can be obtained by taking the following actions:

1. Review HOPE VI Quarterly Performance and Budget Progress Reports.
2. Attend regular meetings with PHA top management.
3. Attend HOPE VI progress meetings at the PHA.
4. Attend resident council meetings.
5. Meet with consultants, contractors, sub-grantees, and service providers.
6. Participate in on-site technical assistance by Expeditors and other HUD-funded consultants.
7. Monitor media coverage of the local HOPE VI program.
8. Review complaints from contractors, residents, community organizations, and others.
9. Represent HUD as observer to the PHA's interviews and selection of consultants and contractors through competitive selection proceedings.
10. Review the PHA's allocation of personnel costs and other administrative expense among available funding sources; Budgets, financial statements and reports received from the PHA on other programs and grants.
11. Review audit reports and the PHA's actions to resolve any audit findings or deficiencies.
12. Communicate with other program divisions in the Field Office and/or HUB concerning their interaction with the PHA.

Attachments:

HUD-27054-A: LOCCS Access Authorization Security Form for HUD Staff

Physical Inspection Report Format

HI-00590R

Line of Credit Control System (LOCCS)

This form is to be completed by the LOCCS user and signed by both the Personnel Official and a LOCCS Access Authorizing Official. **All entries are mandatory unless specifically not applicable.** Print all information clearly. Send the completed form to:

U.S. Department of Housing and Urban Development
Office of Information and Policy Systems, AISAO
451 Seventh St., SW
Washington, DC 20410-3600

1. Type of Action: (mark one) <input type="checkbox"/> New User <input type="checkbox"/> Add/Change Authority <input type="checkbox"/> Reset Password <input type="checkbox"/> Terminate User		2. Type of User: (mark one) <div> <input type="checkbox"/> RAD <input type="checkbox"/> RO </div> <div> <input type="checkbox"/> FO <input type="checkbox"/> OFA </div> <div> <input type="checkbox"/> OSS <input type="checkbox"/> CTR </div> <div> <input type="checkbox"/> ACH <input type="checkbox"/> HQ <input type="checkbox"/> HAO </div>		U.S. Department of Housing and Urban Development Office of Information and Policy Systems, AISAO 451 Seventh St., SW Washington, DC 20410-3600	
		3. Region: (2 digits)	4. Field Office: (2 digits)	5. User ID: (unless you're a new user)	
6. User's Last Name:		User's First Name:		Middle Initial:	7. User's Social Security Number:
8. User's Office Street Address:				9. Office Phone No: (include area code)	
City:		State:	Zip Code:	10. Office Correspondence Code:	
11. User's Signature:					

X

12. Access Requested: (Skip this part if the Type of User code is "HAO," "ACH," "OSS," or "CTR".)

[illegible]

13. Personnel Office Certification:

I certify that:

- NACI Level 1 Clearance is on file as of (date): _____
- Limited Background Investigation form (SF 85P) and Fingerprint Form (SF 87) were submitted to the Inspector General's Office as of (date): _____

Personnel Official's Title:

Phone Number:

Personnel Official's Signature & Date:

14. LOCCS Access Authorizing Official:

I authorize the above LOCCS access privileges.

Name of Supervisor or Line Manager _____

Social Security Number:

Title:

Phone Number:

Supervisor or Line Manager's Signature & Date:

X

X

PHYSICAL INSPECTION REPORT
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD)
OFFICE OF PUBLIC HOUSING INVESTMENTS
HOPE VI

I. GENERAL

Site Name: _____

Location: _____

Inspection Team: _____

Date: _____

Date of Prior
Inspection: _____

Weather: _____

Address(es) of
Properties
Inspected: _____

II. CONSTRUCTION QUALITY

Does the construction conform to the plans, specifications and change orders?

Yes: _____ No: _____ Comments:

Is construction on Schedule? Yes: _____ No: _____ IF no, is there an update progress
schedule? Yes: _____ No: _____ Can this be revised schedule be met barring unforeseen
circumstances? Yes: _____ No: _____

Comments: _____

Estimate of percentage of construction complete as of date of inspection?

Does the percentage of completion conform to the draw request? Yes: ____ No: ____
Comments: _____

Are materials and equipment at the project site being properly stored and protected prior to installation? Yes: ____ No: ____
Comments: _____

Are general safety regulations being followed, i.e., hard-hats on workers and site visitors, site fencing, pedestrian protections, etc.? Yes: ____ No: ____

Were there any safety deficiencies observed? Yes: ____ No: ____
Comments: _____

Are handicap accessible units and other handicap construction in accordance to UFAS and HUD regulations and /or requirements? Yes: ____ No: ____
Comments: _____

Are lead-based paint and /or asbestos removal and abatement and other site remediation requirements being properly followed (application, worker protection, clean-up, disposal, etc.)? Yes: ____ No: ____ not Applicable : ____

Have previously noted deficiencies been corrected? Yes: ____ No: ____
Comments: _____

Comments on work quality: _____

Additional Comments: _____

III. CONTRACT ADMINISTRATION

A. Oversight Control:

1. How often are inspections being performed (if no inspections being performed, explain why not):

HA ____

A/E ____

Other ____

Comments:

2. Is A/E performing inspections as required by his contract and providing timely inspection reports to the HA?

Yes ____

No ____

N/A ____

Comments:

3. Does HA take appropriate action to ensure quality, progress, and in correcting defects and deficiencies in the contractor's work?

Yes ____ No ____

Comments:

4. Is the HA exercising control over the project?

Yes ____

No ____

Comments:

B. Quality Control:

1. Is a daily construction report or log, documenting progress, quality assurance, deficiencies, corrective actions taken, change orders, etc. being maintained by HA or AE?

Yes ____

No ____

Comments: _____

2. Are submittals and shop drawings being properly processed (are they adequate and timely)?

Yes ____ No ____

Comments:

3. Is HA keeping plans, specifications, change orders, shop drawings, pay estimates, etc. in an orderly fashion and up-to-date?

Yes ____ No ____

Comments:

4. Are tests for materials and equipment being conducted according to the specifications, done in a timely fashion, noted in logs and reports, and kept up to date?

Yes ____ No ____

Comments:

5. Does the contractor provide adequate supervision and direction of the work?

Yes ____ No ____

Comments:

6. Contractor keeps work site relatively clean and free of excess debris during construction and, performs a satisfactory cleanup at the end of the job?

Yes ____ No ____

Comments:

7. Are As-Built drawings being maintained?

Yes ____ No ____

Comments:

C. Miscellaneous:

1. a.) Is there any Force Account Work being performed? b.) If yes, are labor, materials, and equipment usage being properly documented and, the work of satisfactory quality?

a.) Yes ____ No ____; b.) Yes ____ No ____

Comments:

IV. RECOMMENDATIONS AND COMMENTS:

V. ATTACHMENTS

VI. THE RESULTS OF THIS INSPECTION WERE DISCUSSED WITH THE FOLLOWING PERSON(S) ON THE DATES INDICATED:

Name

Date

HA Representative(s):

COE Rep Signature: _____

Printed Name & Title:
