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SECTION 6

HOPE VI PLANNING GRANTS

HOPE VI PLANNING GRANTS

PHA NAME	DEVELOPMENT NAME	FY AWARDED	AMOUNT OF GRANT	SUBSEQUENT IMPLEMENTATION FUNDING
Housing Authority of the City of Atlanta 739 West Peachtree Street NE Atlanta, GA 30365 Phone: 404-817-7200 Fax: 404-815-4070	Perry Homes, Carver Homes	95	400,000	Perry Homes 96: 20,000,000 Carver Homes 98: 34,669,400
Austin Housing Authority P.O. Box 6159 Austin, TX 78762 Phone: 512-477-4488 Fax: 800-696-4690	Chalmers Courts, Rosewood Courts	95	399,200	
Housing Authority of Baltimore City 417 East Fayette Street, Room 1346 Baltimore, MD 21202 Phone: 410-396-3232 Fax: 410-396-4943	Flag House Courts, Hollander Ridge	95	700,000	Hollander Ridge 96: 20,000,000 Flag House 98: 21,500,000
Boston Housing Authority 52 Chauncey Street Boston, MA 02111-2375 Phone: 617-988-4124 Fax: 617-988-4133	Orchard Park	95	400,000	95 (2): 30,000,000
Chester City Housing Authority 1010 Madison Street Chester, PA 19013 Phone: 610-876-5561 Fax: 610-876-0304	Lamokin Village, McCaffrey Village	95	400,000	Lamokin Village 96: 14,949,554 McCaffrey Village 98: 9,751,178

PHA NAME	DEVELOPMENT NAME	FY AWARDED	AMOUNT OF GRANT	SUBSEQUENT IMPLEMENTATION FUNDING
<p>Chicago Housing Authority 626 West Jackson Blvd. Chicago, IL 60661-5601 Phone: 312-791-8401 Fax: 312-627-0346</p>	<p>ABLA, Henry Horner, Rockwell Gardens</p>	95	400,000	<p>ABLA Brooks Extension 96: 24,483,250</p> <p>Henry Horner 96: 18,435,300</p> <p>ABLA: Abbott, Addams, Brooks Extension 98: 35,000,000</p>
<p>Columbus Metropolitan Housing Authority 960 East Fifth Avenue Columbus, OH 43201 Phone: 614-421-4400</p>	<p>Georgesville Hollow, Linton Gardens, Taylor Terrace</p>	95	400,000	
<p>Cuyahoga Metropolitan Housing Authority 1441 West 25th Street Cleveland, OH 44113-3101 Phone: 216-348-5911</p>	<p>Woodhill Homes Estates</p>	95	361,729	
<p>Dallas Housing Authority 3939 North Hampton Road Dallas, TX 75212 Phone: 214-951-8300</p>	<p>Roseland Homes</p>	95	400,000	98: 34,907,186
<p>Housing Authority of the City and County of Denver 110 West Colfax Avenue Denver, CO 80204 Phone: 303-534-0821 Fax: 303-825-2969</p>	<p>Curtis Park Homes</p>	95	400,000	98: 25,753,220

PHA NAME	DEVELOPMENT NAME	FY AWARDED	AMOUNT OF GRANT	SUBSEQUENT IMPLEMENTATION FUNDING
Detroit Housing Commission 2211 Orleans Detroit, MI 48207 Phone: 313-877-8000 Fax: 313-877-8805	Parkside Homes	94	499,922	95 (1): 47,620,227
	Parkside Addition, Herman Gardens, Gardenview	95	400,000	96: 24,224,160
	Park Morton, Valley Green	95	400,000	Valley Green, Skytower 97: 20,300,000
District of Columbia Housing Authority 1133 North Capitol St. NE Washington, DC 20002-7599 Phone: 202-535-1500 Fax: 202-535-1740	Rafael Marmolejo, Jr, Ruben Salazar Park, Sherman Park	95	400,000	
	Kennedy Brothers Memorial Apartments	94	500,000	95 (1): 36,224,644
Indianapolis Housing Authority 5 Indiana Square Indianapolis, IN 46204 Phone: 317-327-8103 Fax: 317-327-8181	Concord Village, Eagle Creek	94	500,000	95 (1): 29,999,010
	Durkeeville	95	400,000	96: 21,552,000
Jacksonville Housing Authority 1300 Broad Street Jacksonville, FL 32202 Phone: 904-366-3453	Lamar Terrace, Fowler Homes, Hurt Village	95	400,000	
	LeMoynes Gardens	94	481,000	95 (1): 47,281,182

PHA NAME	DEVELOPMENT NAME	FY AWARDED	AMOUNT OF GRANT	SUBSEQUENT IMPLEMENTATION FUNDING
Metropolitan Development and Housing Agency (Nashville) 701 Sixth Street PO Box 846 Nashville, TN 37202 Phone: 615-252-8410	Vine Hill Homes	95	400,000	97: 13,563,876
Housing Authority of New Orleans 918 Carondelet Street New Orleans, LA 70130 Phone: 504-582-7776 Fax: 504-526-5848	Fischer	95	400,000	
New York City Housing Authority 250 Broadway, Room 904 New York, NY 10007 Phone: 212-306-3434 Fax: 212-306-3823	Beach 41st Street Houses	93	500,000	
	Arverne Houses, Edgemere Houses	95	400,000	95 (1): 47,700,952 96: 20,000,000
Oakland Housing Authority 1619 Harrison Street Oakland, CA 94612 Phone: 510-874-1661 Fax: 510-874-1674	Chestnut Court, Scattered Sites	95	400,000	98: 12,705,010
Philadelphia Housing Authority 2012 Chestnut Street Philadelphia, PA 19103-4497 Phone: 215-684-4174 Fax: 215-684-4160	Martin Luther King Plaza	95	400,000	98: 25,229,950
Pittsburgh Housing Authority 200 Ross Street, 8th Floor Pittsburgh, PA 15219-2068 Phone: 412-456-5012 Fax: 412-456-5068	Addison Terrace, Arlington Heights, Bedford Dwellings, Manchester	95	395,700	Bedford Addition 96: 26,592,764 Manchester 95 (2): 7,500,000

PHA NAME	DEVELOPMENT NAME	FY AWARDED	AMOUNT OF GRANT	SUBSEQUENT IMPLEMENTATION FUNDING
Puerto Rico Housing Administration PO Box 363188 San Juan, PR 00936-3188 Phone: 787-274-2647 Fax: 787-763-2484	Ramos Antonini	95	400,000	
St. Louis Housing Authority 4100 Lindell Boulevard St. Louis, MO 63108 Phone: 314-286-4371 Fax: 314-531-0184	Darst-Webbe	94	500,000	95 (1): 46,771,000
San Antonio Housing Authority 818 South Flores San Antonio, TX 78204 Phone: 210-220-3210 Fax: 210-271-3645	Cassiano Homes, Wheatley Courts	95	400,000	
San Francisco Housing Authority 440 Turk Street San Francisco, CA 94102 Phone: 415-554-1296 Fax: 415-241-1024	North Beach	95	400,000	96: 20,000,000
Seattle Housing Authority 120 Sixth Avenue North Seattle, WA 98109-5003 Phone: 206-615-3500 Fax: 206-615-3504	Holly Park	93	500,000	95 (1): 48,116,503
Housing Authority of the City of Spartanburg 325 South Church Street Spartanburg, SC 29304-2828 Phone: 864-598-6000 Fax: 864-598-6155	Rainer Vista, High Point	95	400,000	Rainier Vista 99: 35,000,000
Housing Authority of the City of Spartanburg 325 South Church Street Spartanburg, SC 29304-2828 Phone: 864-598-6000 Fax: 864-598-6155	Tobe Hartwell, Tobe Hartwell Extension, Phyllis Goins	95	400,000	Tobe Hartwell 96: 14,620,369

PHA NAME	DEVELOPMENT NAME	FY AWARDED	AMOUNT OF GRANT	SUBSEQUENT IMPLEMENTATION FUNDING
<p>Tucson Public Housing Authority 1501 North Oracle Road Tucson, AZ 85726-7210 Phone: 520-791-4171 Fax: 520-791-5407</p>	<p>Connie Chambers</p>	<p>95</p>	<p>369,980</p>	<p>96: 14,600,000</p>

HOPE VI PLANNING GRANT CLOSEOUT PROCEDURES

A. TERMINATION OF DISBURSEMENTS

1. **Grantee Notification Letter**

To begin the Closeout process, within **30 calendar days** after completion of all HOPE VI-funded program activities, the Grantee must send a Termination of Disbursements letter to HUD's Office of Public Housing Investments (OPHI) that includes the items listed below.

The Grantee's Termination of Disbursements letter must state that:

- a. The Grantee has completed all activities to be performed using HOPE VI planning grant funds.
- b. All requirements of the Grant Agreement have been met.
- c. All obligated HOPE VI grant funds have been disbursed.
- c. The Grantee will abide by any continuing ^{HUD} Federal requirements.
- e. The Grantee will submit all required Closeout documentation.

2. **Pre-Audit End Date**

Upon receipt of the Grantee's Termination of Disbursements letter, OPHI will enter, as the Pre-Audit End Date, the date of the letter. This action will prevent any further disbursements, and will stop LOCCS from automatically sending Quarterly Report reminder letters to the Grantee.

B. PRELIMINARY CLOSEOUT

Preliminary Closeout takes place within **90 calendar days** following completion of all activities to be performed using HOPE VI grant funds. At HUD's option, the Grantee may delay initiation of Closeout until the resolution of any HUD-monitoring findings. If HUD exercises this option, the Grantee must promptly resolve the findings.

1. Required Submissions

a. Final Budget

The Grantee must submit Form HUD-52825 (HOPE VI Budget), marked "final," that shows all expenditures by Budget Line Item.

b. Final Financial Report

The Grantee must submit to OPHI a Final Financial Report (Form SF-269-A), which contains a cumulative summary of expenditures to date and indicates the exact balance of unexpended funds. Expenditure of grant funds is allowable only for expended project costs that meet the standards of OMB Circular A-87.

c. Actual HOPE VI Cost Certificate

The Grantee must submit Form HUD-53001-A, Actual HOPE VI Cost Certificate (AHCC). This form summarizes the information on the Final Financial Report, and serves as the document that officially closes out the grant.

d. Revitalization Concept

The Planning Grant Agreement requires that each Planning Grantee provide a "Revitalization Concept" to OPHI, which includes:

- (1) a summary of the steps taken
- (2) the concepts developed, and
- (3) the parameters of a proposed revitalization plan.

The Grant Agreement also requires a post-grant report that describes:

- (4) the activities carried out
- (5) the impact of the activities toward achieving the program objectives,
- (6) the Grantee's plan for continuing the activities, if and as appropriate

- (7) any other plans, reports or documents developed under the Revitalization Planning Strategy and useful or necessary to showing what the Grantee has accomplished with the HOPE VI funds.

Because the goal of planning grants is to prepare housing authorities to implement HOPE VI activities, the submission of a HOPE VI implementation application in FY 1996 or 1997 for at least one of the planning sites will satisfy all of the above requirements, whether or not an implementation grant was awarded.

Any planning Grantee that has not submitted an implementation application for a planning site in FY 96 or FY 97 must submit a document that responds to the requirements listed above.

2. **OPHI Review of Closeout Documents**

Upon receipt of the Required Submissions from the Grantee, OPHI will review them to determine the Grantee's compliance with the Grant Agreement. The Grantee will be expected to cooperate with any review by making available records requested by HUD. OPHI shall review the submissions as follows:

- a. The amounts on the final Budget and the AHCC must agree as to funds approved, obligated, and expended. OPHI will re-spread the Budget Line Items (BLIs) in LOCCS to reflect actual expenditures by BLI that exceed 110 percent of the authorized amounts.
- b. The amount of funds approved and disbursed on the AHCC must agree with Departmental records in LOCCS.
- c. If a dollar figure on Line 1.E of the AHCC indicates that HUD disbursed more funds than the Grantee expended, OPHI will direct the Grantee to remit immediately the excess funds, without waiting for the audit. If the amount to be returned is \$2,000 or less, the Grantee must prepare a check payable to the Department of HUD, note the Grant Number on the check, and mail the check to the appropriate Grant Manager for deposit. If the amount is over \$2,000, the Grantee must request its financial institution to wire the funds to HUD in accordance with instructions set forth in the Financial Management Handbook 7485.1, as revised. The wire transfer must identify the URP Program Area and the Grant Number.

- d. Once any excess funds have been returned, the amounts approved, obligated, expended, and shown as disbursed in LOCCS should be identical, and those amounts must be reflected on a revised AHCC.

3. **Preliminary Approval of Closeout**

When the amounts disbursed, obligated and expended are equal in LOCCS, OPHI shall:

- a. preliminarily approve the AHCC by signing the top HUD line, signifying that it is approved for audit.
- b. approve the Final Budget.
- c. realign drawdowns that exceed authorized amounts by over 110 percent.
- d. send a letter to the Grantee transmitting a copy of the preliminarily approved AHCC and Final Budget.

C. FINAL AUDIT

Each Housing Authority is required to conduct an audit in accordance with the requirements of OMB Circular A-133 (included as Chapter 7.E of the 1997 Revision of the HOPE VI Guidebook). When contracting for an auditor, the PHA should require that statements of actual HOPE VI costs, certified to by the PHA and submitted to HUD during the audit period, be included in the audit's scope and as required supplemental information in the audit report. The Grantee must ensure that the auditor has the AHCC for review.

The HUD Field Office will review the audit report to determine if any findings have been identified with respect to the HOPE VI funds. Unless the auditor states otherwise in the audit report, the PHA-certified cost should be considered acceptable by HUD. The Field Office must notify OPHI of any identified findings, OPHI and the Field Office will work with the PHA to close the finding. If the audited AHCC indicates that HOPE VI funds were expended for ineligible activities or at inappropriate amounts, the Grantee may be required to return such funds to HUD in the manner prescribed in Section B.2.c above. The HUD Official that reviews the audit for consistency with the AHCC must sign the second HUD line of the AHCC.

D. FINAL CLOSEOUT

1. **Final Approval of the AHCC**

When HUD has determined that the expenditure of grant funds was allowable, the activities to be completed using HOPE VI grant funds were completed as required by the Grant Agreement, and all Federal requirements were satisfied, the designated HUD official will sign the bottom line of the AHCC. The original and copies will be distributed as follows:

- a. One copy to the Grantee for its files.
- b. One copy to HUD's Office of Finance and Accounting (OFA), to be attached to OFA's copy of the Grant Agreement. The AHCC will serve to automatically amend the Grant Agreement to reduce the amount of the grant to the actual revitalization/planning cost.
- c. The original will be retained in the Grant Manager's Docket file.

2. **Post-Audit End Date**

The Grant Manager will ensure that the Post-Audit End Date is entered in LOCCS. This date interfaces with PAS to record that the grant has been closed out. Entry of the Post-Audit End Date will automatically recapture all undisbursed balances through LOCCS and officially close out the grant.



Actual HOPE VI Cost Certificate

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0208(exp. 12/31/99)

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency does not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This collection of information requires that each Grantee submit information to enable HUD to initiate the fiscal closeout process. The information will be used by HUD to determine whether the HOPE VI grant is ready to be audited and closed out. The information is essential for audit verification and fiscal close out. Responses to the collection are required by the HOPE VI Grant Agreement. The information requested does not lend itself to confidentiality.

Grantee Name	HOPE VI Grant Number
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The Grantee hereby certifies to the Department of Housing and Urban Development as follows:

1. That the Actual Program Cost of the HOPE VI Grant is as shown below:

A. Original Funds Approved	\$
B. Funds Disbursed	\$
C. Funds Expended (Actual Program Cost)	\$
D. Amount to be Recaptured (A-C)	\$
E. Excess of Funds Disbursed (B-C)	\$

That all work in connection with the HOPE VI Grant has been completed;

3. That the entire Actual Program Cost or liabilities therefor incurred by the Grantee have been fully paid;
4. That there are no undischarged mechanics', laborers', contractors', or materialmen's liens against such Program work on file in any public office where the same should be filed in order to be valid against such Program work; and
5. That the time in which such liens could be filed has expired.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Signature of Executive Director and Date

X

For HUD Use Only	The Cost Certificate is approved for audit	Date
X	The audited costs agree with the costs shown above	Date
X	Verified	Date
X	Approved	Date
X		Date

**Instructions for Preparation of Form HUD-53001-A
Actual HOPE VI Cost Certificate**

Prepare and submit to HUD an original and one copy of form HUD-53001-A for each completed HOPE VI.

Heading Instructions:

Grantee Name - Enter the name of the Housing Authority (HA).

HOPE VI Grant Number - Enter the unique 13-digit HOPE VI Grant Number for the grant for which this form is being submitted.

Line Instructions:

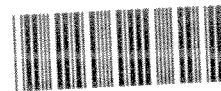
Line 1A, Original Funds Approved - For the identified grant, enter the total HOPE VI funds originally approved by HUD through a HOPE VI Grant Agreement and any amendments.

Line 1B, Funds Disbursed - For the identified grant, enter the total funds disbursed by HUD. This amount may never exceed the amount on line 1A.

Line 1C, Funds Expended - For the identified grant, enter the total funds expended (total cash disbursed) by the Grantee. This amount may never exceed the amount on line 1A.

Line 1D, Amount To Be Recaptured (A minus C) - For the identified grant, enter the amount to be recaptured by subtracting line 1C from line 1A.

Line 1E, Excess of Funds Disbursed (B minus C) - For the identified grant, enter the excess of funds disbursed by subtracting line 1C from line 1B; this is the amount to be remitted by the Grantee to HUD. If line 1C is greater than line 1B, enter the figure in brackets; this is the amount of funds owed by HUD to the Grantee.



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