

**U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

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**Funding Availability  
for the Demolition and Revitalization of Severely Distressed  
Public Housing (HOPE VI Revitalization)  
Fiscal Year 1999**

**PROGRAM OVERVIEW**

**Purpose of the Program.** The purpose of this program is to provide Revitalization Grants to enable public housing agencies (PHAs) to improve the living environment for public housing residents of severely distressed public housing projects and Demolition Grants to expedite the demolition of obsolete and/or severely distressed public housing units.

**Available Funds.** Approximately \$583 million, as allocated in accordance with Section II.(A) of this program section of the SuperNOFA, below.

**Eligible Applicants.** PHAs that own public housing units, in accordance with the requirements at Section III.(B) of this program section of the SuperNOFA, below.

**Application Deadlines.** Revitalization grant applications are due on **May 27, 1999**. Demolition grant applications are due on **May 6, 1999**. (See Section V.(D)(2)(c), below, for important information regarding the application deadline and deficiency cure period for Demolition grants.)

**Match.** For Revitalization grants only, 5 percent of total grant amount plus an additional match for Community and Supportive Services, as described in Section IV.(B)(4) of this program section of the SuperNOFA, below. No match is required for Demolition grants.

**ADDITIONAL INFORMATION**

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

**I. Application Due Date, Application Kits, Further Information, and Technical Assistance.**

**Application Due Date.** HUD must receive your Revitalization grant application at HUD Headquarters no later than 12:00 midnight Eastern time on **May 27, 1999**. HUD must receive your Demolition grant application at HUD Headquarters on or before 12:00 midnight Eastern time on **May 6, 1999**. See Section V.(D)(2)(c) below for important information regarding the application deadline and deficiency cure period for Demolition grants.

**Address for Submitting Applications.** Send one copy of your completed application to HUD Headquarters, 451 Seventh Street, SW, Room 4138, Washington, DC 20410, Attention: Elinor Bacon, Deputy Assistant Secretary for Public Housing Investments. In addition, send two copies of your completed application to your local HUD Field Office. HUD will determine whether your application is timely filed based on the date and time of receipt at HUD Headquarters, not the date and time that copies are received in your local Field Office.

**Mailed Applications.** HUD will consider your application to be timely filed if it is postmarked no later than 12:00 midnight on the application due date and if HUD receives it at HUD Headquarters on or within ten days of the application due date.

**Applications Sent by Overnight/Express Mail Delivery.** If you send your application by overnight delivery or express mail, HUD will consider it to be timely filed if HUD receives it at Headquarters on or before the application due date. HUD will also consider it to be timely filed if HUD does not receive it on the due date, but you can provide documentary evidence that you placed the application in transit with the overnight delivery service by no later than the application due date.

**Hand Carried Applications.** If you wish to hand carry your application to HUD Headquarters, you may bring it to Room 4138 of the HUD Headquarters Building in Washington, DC any time between 8:45 am and 5:45 pm Eastern Time before or on the application due date. You may also hand carry your application to HUD Headquarters between 5:15 pm and 12:00 midnight Eastern Time by delivering it to the South Lobby of the HUD Headquarters Building.

**Applications Submitted to HUD Field Offices.** If you wish to hand carry the required two copies of your application to your local HUD Field Office, you may do so during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 pm. (Please see the Appendix A of the General Section of the SuperNOFA for the hours of operation of the HUD Field Offices.)

**For Application Kits, Further Information and Technical Assistance.** If you are planning to apply for a HOPE VI grant under this program section of the SuperNOFA, your application must conform to the requirements of the Fiscal Year (FY) 1999 HOPE VI application kit. The kit provides specific instructions, data forms to complete, certification forms, and other information required in every application. Each Revitalization application must contain no more than 75 pages of narrative and 100 pages of attachments. HUD will mail a copy of the application kit to every eligible PHA. You may also obtain copies of application kits and any supplementary information by contacting the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. When requesting an application kit, please refer to HOPE VI and provide your name, address (including zip code), and telephone number (including area code). The application kit also will be available on the Internet through the HUD web site at <http://www.hud.gov>.

**For answers to your questions,** you may call Mr. Robert Prescott, Acting Director, Office of Urban Revitalization, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 4142, Washington, DC 20410; telephone (202) 708-2822 (this is not a toll free number). Persons with hearing or speech impairments may access this number via TTY by calling the Federal Information Relay Service at 1-800-877-8339.

**II. Amount Allocated**

Type of Assistance	Allocation of Appropriation	Announced in this Program Section of the SuperNOFA
Revitalization	\$523,050,000	\$523,050,000
Demolition	60,000,000	60,000,000
Section 8	26,950,000	
Technical Assistance	15,000,000	
<b>Total</b>	<b>\$625,000,000</b>	<b>\$583,050,000</b>

**(A) Revitalization Grants. Approximately \$523 million of the FY 1999 HOPE VI appropriation has been allocated to fund HOPE VI Revitalization grants and will be awarded in accordance with this program section of the SuperNOFA. The total amount you may request is limited to the sum of the amounts in Section (1) below or the amount in Section (2) below, whichever is lower.**

**(1) (a) Total Development Cost. The total cost of development, including relocation costs, is limited to the sum of:**

- (i) HUD's Total Development Costs (TDCs) up to 100 percent of HUD's published TDC limits for the costs of demolition and new construction, multiplied by the number of HOPE VI Replacement Units; and/or**
- (ii) 90 percent of the TDC limits, multiplied by the number of public housing units after substantial rehabilitation and reconfiguration.**

**TDCs are limited by the HUD-published TDC Cost Tables, which are issued for each fiscal year for the building type and bedroom distribution for the public housing replacement units. You may not request funds to replace units if you have previously received HOPE VI or other public housing funds to replace those same units. However, you may use any non-HUD funds to supplement HUD funds for any project cost. Your application must disclose all prior HUD grant assistance received for the project(s) you have targeted for revitalization.**

**(b) Community and Supportive Services. You may request an amount up to 15 percent of the total HOPE VI grant to pay the costs of Community and Supportive Services. These costs are in addition to the TDC calculation in section II.(A)(1)(a) of this program section of the SuperNOFA, above.**

**(c) Demolition and Site Remediation Costs of Unreplaced On-site Units. You may request an amount necessary for demolition and site remediation costs of units that will not be replaced on-site. This cost is in addition to the TDC calculation in section II.(A)(1)(a) of this program section of the SuperNOFA, above.**

(d) **Extraordinary Site Costs.** You may request an amount necessary to pay extraordinary site costs necessary to complete the project. These costs are in addition to the TDC calculation in section II.(A)(1)(a) of this program section of the SuperNOFA, above.

(2) **Total Grant Amount.**

(a) You may submit one or two separate Revitalization applications. The total amount you may request in one or both applications may not exceed \$35 million. If you submit two applications, each application will be reviewed separately.

(b) Each of the one or two applications you submit may request funds for only one public housing development. For the purposes of this program section of the SuperNOFA, the definition of one "development" may also include more than one project, as long as those projects are contiguous, immediately adjacent to one another, or within a quarter-mile of each other at their closest. If you include more than one project in a single application, you must provide clear documentation that the projects are within a quarter-mile of each other.

(3) Within the grant limitations above, you may request funds for as few or as many units as you wish in a single application. HUD will review requests for small numbers of units on an equal basis with requests for large numbers of units.

(B) **Demolition Grants.** Approximately \$60 million of the FY 1999 HOPE VI appropriation has been allocated to fund HOPE VI Demolition grants and will be awarded in accordance with this program section of the SuperNOFA. If all of these funds are not needed for demolition of obsolete and/or severely distressed public housing, unused funds will be reallocated for HOPE VI Revitalization grants.

(1) You may submit multiple applications;

(2) You may target units in only one public housing project per application;

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

**(4) You may request funds for as many or as few units in an application as you wish, subject to the following provisions:**

**(a) Per Unit Limitation. You may receive no more than:**

**(i) \$5,000 per vacant unit;**

**(ii) \$6,500 per unit occupied as of the date of HOPE VI demolition funding application submission. This amount includes relocation costs; and**

**(iii) Reasonable costs for demolition of significant nondwelling facilities related to the demolition of dwelling units, such as heating plants, community buildings, or streets. These costs must be included in an application for funding of demolition of public housing units; you may not apply for them in a separate application.**

**(b) Overall Limitation. The sum of all Demolition funding applications from a single applicant may not exceed \$12.5 million, in accordance with the evaluation procedures provided in section V.(D) of this NOFA, below. It is recognized that the HOPE VI grant may not pay for the total costs of relocation, abatement and demolition in all cases, and that the PHA may have to provide additional funding from other sources.**

**(2) You may apply for both HOPE VI Revitalization and Demolition funding to demolish the same units. If HUD determines that both applications are eligible for funding, HUD will use its discretion to determine whether the demolition will be funded under a Revitalization or a Demolition grant.**

**(C) Section 8. If necessary, HUD reserves the right to allocate up to \$26,950,000 (approximately 3,500 units) for Section 8 tenant-based assistance for public housing relocation or public housing replacement (including units associated with HOPE VI grants). If any funds allocated for Section 8 tenant-based assistance are not needed for such assistance, those funds will be reallocated for HOPE VI Revitalization grants. If you have already received Section 8 assistance to relocate residents from obsolete or severely distressed units, you may still apply for HOPE VI funds to physically replace those same units. If you will need Section 8 assistance in order to carry out the proposed revitalization, you must indicate the number of certificates needed in your HOPE VI application. HUD will award Section 8 certificates needed for HOPE VI sites after the HOPE VI selections have been made.**

**(D) Technical Assistance. The FY 1999 appropriation allocated \$15 million to provide Technical Assistance in the planning, development, and implementation of the HOPE VI program.**

**III. Program Description; Eligible Applicants; Eligible Activities**

**(A) Program Description.**

**(1) HOPE VI Revitalization grants enable public housing agencies (PHAs) to:**

- (a) Improve the living environment for public housing residents of severely distressed public housing projects through the demolition, substantial rehabilitation, reconfiguration, and/or replacement of severely distressed units;**
- (b) Revitalize the sites on which severely distressed public housing projects are located and contribute to the improvement of the surrounding neighborhood;**
- (c) Lessen isolation and reduce the concentration of low-income families;**
- (d) Build sustainable mixed-income communities; and**
- (e) Provide well-coordinated, results-based community and supportive services that directly complement housing redevelopment and that help residents to achieve self-sufficiency, young people to attain educational excellence, and the community to secure a desirable quality of life.**

**(2) HOPE VI Demolition Grants enable PHAs to expedite the demolition of obsolete and/or severely distressed public housing units. Any subsequent new construction or revitalization of any remaining units must be funded from other resources.**

**(B) Eligible Applicants. An eligible applicant for any HOPE VI grant is:**

- (1) Any PHA that is not designated as "troubled" pursuant to section 6(j)(2) of the United States Housing Act of 1937 (1937 Act);**
- (2) Any PHA for which a private housing management agent has been selected, or a receiver has been appointed, pursuant to section 6(j)(3) of the 1937 Act; and**
- (3) Any PHA that is designated as "troubled" pursuant to section 6(j)(2) of the 1937 Act and that:**
  - (a) Was designated as troubled principally for reasons that will not affect its capacity to carry out the proposed revitalization or demolition;**
  - (b) Is making substantial progress toward eliminating the deficiencies that resulted in its troubled status; or**
  - (c) Has sufficiently demonstrated to HUD that it is capable of carrying out the proposed revitalization or demolition.**

**(C) Eligible Activities.**

- (1) Revitalization Grants. Eligible activities are those eligible under the Appropriations Acts for the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies, for the Fiscal Years 1993, 1994, 1995, 1997, 1998 and 1999; and the Omnibus Consolidated Rescissions and Appropriations Act of 1996. In addition, eligible HOPE VI activities are those included in the 1937 Act, including Section 24 of the 1937 Act, as amended by Section 535 of the Quality Housing and Work Responsibility Act of 1998 (Pub.L. 105-276, 112 Stat. 2461, approved October 21, 1998) (QHWRA).**

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

**The following is a list of specific activities that are eligible using HOPE VI Revitalization grant funds. Other activities may also be eligible with HUD approval. If HOPE VI Revitalization funds are used for any of the following activities, you must conduct them in accordance with the following program requirements unless HUD has provided written approval to follow other requirements.**

- (a) Total or partial demolition of buildings. Section 24 of the 1937 Act provides that severely distressed public housing demolished in conjunction with a revitalization plan with HOPE VI funds is not subject to Section 18 of the 1937 Act or regulations at 24 CFR Part 970. Instead, if you are selected to receive a HOPE VI Revitalization grant, HUD will use information in your application to determine whether the proposed demolition can be approved. If you are not selected to receive a HOPE VI Revitalization grant, the information in your application will not be used to process a request for demolition. Please note that demolition is not a required element of a HOPE VI Revitalization application.**
- (b) Disposition of property, in accordance with Section 18 of the 1937 Act and regulations at 24 CFR part 970;**
- (c) Public housing development through the acquisition of land, or acquisition of off-site units with or without rehabilitation to be used as public housing, in accordance with 24 CFR part 941;**

- (d) Major rehabilitation and other physical improvements of housing and community facilities primarily intended to facilitate the delivery of self-sufficiency, economic development, or other community and supportive service opportunities for residents of the targeted development, in accordance with 24 CFR 968.112(b), (d), (e), and (g)-(o), 24 CFR 968.130, and 24 CFR 968.135(b) and (d);**
- (e) Construction of replacement rental housing, both on-site and off-site, and community facilities primarily intended to facilitate the delivery of self-sufficiency, economic development, or other supportive services for residents of the targeted development and off-site replacement housing, in accordance with 24 CFR part 941, including mixed-finance development in accordance with subpart F;**
- (f) Homeownership activities, including:**

  - (i) Development of replacement homeownership units that meet the regulatory requirements of the Section 5(h) Program at 24 CFR part 906;**
  - (ii) Development of replacement homeownership units that meet the statutory requirements of the HOPE II program (42 U.S.C. 12871-80; Pub. L. 101-625, secs. 421-31; 104 Stat. 4079, 4162-72);**
  - (iii) Development of replacement homeownership units that meet the statutory requirements of the HOPE III program (42 U.S.C. 12891-98; Pub.L. 101-625, secs. 441-48; 104 Stat. 4079, 4172-80);**
  - (iv) Replacement homeownership units that are made available through housing opportunity programs for construction or substantial rehabilitation of homes meeting essentially the same eligibility requirements as the Nehemiah Program; and**
  - (v) Other appropriate replacement homeownership activities, including downpayment assistance for displaced residents and the provision of closing costs.**
- (g) Management improvements;**
- (h) Reasonable costs for administration, planning, and technical assistance, including fees and costs as specifically approved by HUD;**
- (i) Well-integrated Community and Supportive Services programs designed to assist residents to attain educational excellence, gain employment, and become self-sufficient, and related support programs such as day care, after school activities, etc.;**
- (j) Economic development activities, including the costs of infrastructure and site improvements associated with developing retail/commercial facilities, but excluding hard development costs;**



- (k) Leveraging other resources, including additional housing resources, retail supportive services, jobs, and other economic development uses on or near the project that will benefit future residents of the site; and**
- (l) Relocation, conducted in accordance with 24 CFR 970.5 (demolition) or 24 CFR 968.108 (rehabilitation), as appropriate.**
- (2) Demolition Grants. The following is a list of specific activities that are eligible using HOPE VI Demolition grant funds. Other activities may also be eligible with HUD approval. If HOPE VI Demolition funds are used for any of the following activities, you must conduct them in accordance with the following program requirements unless HUD has provided written approval to follow other requirements.**

  - (a) Demolition, including any required asbestos and/or lead-based paint abatement, of dwelling units and nondwelling facilities, in accordance with Section 18 of the 1937 Act and regulations at 24 CFR part 970;**
  - (b) Minimal site restoration after demolition and subsequent site improvements to benefit the remaining portion of the project, to provide project accessibility, or to make the site more saleable;**
  - (c) Demolition of nondwelling facilities, only where related to the demolition of dwelling units;**
  - (d) Necessary administrative costs; and**
  - (e) Relocation and other assistance related to the permanent relocation of families under the approved demolition, conducted in accordance with 24 CFR 970.5.**

#### **IV. Program Requirements**

In addition to the requirements listed in section II. of the General Section of this SuperNOFA, you must also meet the following requirements.

##### **(A) Program Requirements - All HOPE VI Applications.**

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

  - (a) The community in which the area is situated is participating in the National Flood Insurance program (see 44 CFR parts 59 through 79), or less than one year has passed since FEMA notification regarding such hazards; and**
  - (b) Where the community is participating in the National Flood Insurance Program, flood insurance is obtained as a condition of execution of a Grant Agreement and approval of any subsequent demolition or disposition application.**
- (2) Coastal Barrier Resources Act. In accordance with the Coastal Barrier Resources Act (16 U.S.C. 3501), HUD will not approve your grant application if it targets properties in the Coastal Barrier Resources System.**
- (3) Internet Access. If you are selected for funding, you must have access to the Internet and provide HUD with email addresses of key staff and contact people.**
- (4) Labor Standards. Davis-Bacon or HUD-determined wage rates apply to development or operation of revitalized housing to the extent required under Section 12 of the U.S. Housing Act of 1937. In the case of demolition, Davis-Bacon wage rates apply to demolition followed by construction on the site; HUD-determined wage rates apply to demolition followed only by filling in the site and establishing a lawn. Under Section 12, the wage rate requirements do not apply to individuals who: perform services for which they volunteered; do not receive compensation for those services or are paid expenses, reasonable benefits, or a nominal fee for the services; and are not otherwise employed in the work involved (24 CFR part 70). In addition, if other Federal programs are used in connection with your HOPE VI Program, labor standards requirements apply to the extent required by the other Federal programs, on portions of the project that are not subject to Davis-Bacon rates under the Act.**
- (5) Lead-Based Paint Testing and Abatement. All property assisted under your HOPE VI Program is covered by the Lead-Based Paint Poisoning Prevention Act (24 U.S.C. 4821 et seq.) and 24 CFR part 35; 24 CFR part 965, subpart H; and 24 CFR 968.110(k).**

**(6) Building Standards.**

- (a) All activities that include construction, rehabilitation, lead-based paint removal, and related activities must meet or exceed local building codes. New construction must comply with the latest HUD-adopted Model Energy Code issued by the Council of American Building Officials. In addition, HUD encourages you to set higher standards for energy and water efficiency in HOPE VI new construction, which can achieve utility savings of 30 to 50 percent with minimum extra cost. Upon request, HUD will provide technical assistance and training in design and financing to assist your authority, architects, and contractors in improving resource efficiency.**
- (b) You are encouraged to design programs that incorporate sustainable construction and demolition practices, such as the dismantling or "deconstruction" of public housing units, recycling demolition debris, and reusing salvage materials in new construction.**

**(7) Program Income. If you expect to receive program-related income prior to grant closeout (e.g., from sale of homeownership Replacement Units or the disposition of improved land), this income must be reflected in your HOPE VI budget and used for program purposes.**

**(8) Environmental Review.**

- (a) Under 24 CFR part 58, the responsible entity, as defined in 24 CFR 58.2(a)(7), must assume the environmental responsibilities for projects being funded by HOPE VI. If your organization objects to the responsible entity conducting the environmental review, on the basis of performance, timing or compatibility of objectives, HUD will review the facts and determine who will perform the environmental review. At any time, HUD may reject the use of a responsible entity to conduct the environmental review in a particular case on the basis of performance, timing or compatibility of objectives, or in accordance with 24 CFR 58.77(d)(1). If a responsible entity objects to performing an environmental review, or if HUD determines that the responsible entity should not perform the environmental review, HUD may designate another responsible entity to conduct the review or may conduct the environmental review in accordance with the provisions of 24 CFR part 50. After selection by HUD for Joint Review, you must provide any documentation to the responsible entity (or HUD, where applicable) that is needed to perform the environmental review.**
- (b) If the environmental review is completed before HUD approval of the HOPE VI Revitalization Plan (RP) and you have submitted your request for release of funds (RROF), the RP approval letter will require any conditions, modifications, prohibitions, etc. arising from the environmental review.**

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

**(B) Program Requirements - Revitalization Applications.**

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- (1) Severe Distress.** The targeted public housing project or building in a project must be severely distressed. The term "severely distressed public housing" means a public housing project or building in a project that fits the description of either all of the elements in paragraph (a) of this section, or is described by paragraph (b) of this section, as follows:
- (a)**
    - (i)** The public housing requires major redesign, reconstruction or redevelopment, or partial or total demolition, to correct serious deficiencies in the original design (including inappropriately high population density), deferred maintenance, physical deterioration or obsolescence of major systems, and other deficiencies in the physical plant of the project;
    - (ii)** The condition of the public housing project is a significant contributing factor to the physical decline of and disinvestment by public and private entities in the surrounding neighborhood;
    - (iii)**
      - (1)** The public housing is occupied predominantly by families who are very low-income families with children, are unemployed, and are dependent on various forms of public assistance; or
      - (2)** The public housing has high rates of vandalism and criminal activity (including drug-related criminal activity) in comparison to other housing in the area;
    - (iv)** The public housing cannot be revitalized with funds from other programs because the costs are much greater than the amounts that are available;
    - (v)** If only individual buildings of the project are targeted for revitalization, they must be sufficiently separated from the remainder of the project to make use of the building feasible; or
  - (b)** Public housing that has been legally vacated or demolished is deemed severely distressed if it met the description in paragraph (a) of this section, above, and has not yet been replaced other than with Section 8 certificates.
  - (c)** To demonstrate that the targeted public housing project, or buildings in a project, meets the severe distress requirement you must:
    - (i)** Sign a certification, included in the HOPE VI Revitalization Certifications as provided in Appendix A below, that the public housing targeted in the application meets the definition of severe distress provided in paragraphs (a) or (b) of this section, above; and
    - (ii)** Include in your application a certification by an independent engineer, signed on or before the application deadline date, that the project meets the severe distress requirement in paragraph (a)(1) of this section, above.

**(2) Public Meetings.**

- (a) You must conduct at least one training session for residents on the HOPE VI development process and at least three public meetings with residents and community members to involve them in the process of planning the revitalization and preparing the application. At least one meeting must be held after the publication date of this HOPE VI NOFA.**
- (b) You must cover the following issues in the public meetings:**

  - (i) The HOPE VI planning and implementation process;**
  - (ii) The proposed physical plan, including site and unit design;**
  - (iii) The extent of proposed demolition;**
  - (iv) Community and supportive services;**
  - (v) Relocation issues; and**
  - (vi) Other proposed revitalization activities.**
- (c) To demonstrate that you have conducted the required public meetings, you must include the following evidence of each meeting in your application:**

  - (i) The notices announcing the meetings. In addition to other means of notification, at least one notice for each meeting must be placed in a commercial newspaper or journal that serves both the public housing project and the broader community;**
  - (ii) A copy of the meeting sign-in sheets; and**
  - (iii) A signed and notarized copy of the meeting minutes, describing in detail the resident training and/or discussion regarding the proposed plan.**
- (d) Submission of the documentation required of the meetings is a curable item and is not rated. If you fail to properly document that you have conducted all of the required meetings, after being provided with the opportunity to correct any deficiencies in accordance with section V. of the General Section of this SuperNOFA, your application cannot be considered for funding. You may not conduct a required meeting after the application due date in order to cure a deficiency identified by HUD.**

**(3) Community and Supportive Services.**

- (a) Each HOPE VI Revitalization application must propose a program of Community and Supportive Services that meets the needs of residents, and self-sufficiency programs that are designed to promote upward mobility, independence, and improved quality of life for residents of the targeted public housing development.**
- (b) Community and Supportive Services must be designed to serve existing residents of the severely distressed project, residents who have been displaced by revitalization activities, and new residents of the revitalized units.**
- (c) Community and Supportive Services may also be provided to non-public housing residents, as long as the primary users of the services are residents as described in paragraph (b) of this section, above.**
- (d) Community and Supportive Service Programs may include, but are not limited to:**
  - (i) Substance/alcohol abuse treatment and counseling;**
  - (ii) Health care services;**
  - (iii) Domestic violence prevention;**
  - (iv) Transportation as necessary to enable any participating family member to receive available services or to commute to his or her place of employment;**
  - (v) On-site credit unions;**
  - (vi) "Life skills" courses on topics such as parenting, family budgeting, consumer education;**
  - (vii) Child care that provides sufficient hours of operation and serves appropriate ages as needed to facilitate parental access to education and job opportunities and that stimulates children to learn and be responsible citizens;**
  - (viii) Employment training and counseling, such as the Step-Up and Youthbuild Programs, that includes job training, preparation, counseling, development, placement, and follow-up assistance after job placement;**
  - (ix) Motivational and self-empowerment training;**
  - (x) Computer skills training;**

- (xi) **Education, including remedial education, literacy training, completion of secondary or post-secondary education, assistance in the attainment of certificates of high school equivalency, and the integration of modern computer technology into the education program;**
- (xii) **Programs that promote learning for children from infancy, created with strong partnerships with public and private educational institutions;**
- (xiii) **Mentoring for children, non-literate adults, potential entrepreneurs, and English as a Second Language (ESL), as needed;**
- (xiv) **Job placements for residents who complete adult education and job training programs, as provided through partnerships with local businesses;**
- (xv) **Services and programs provided through results-oriented partnerships with Empowerment Zones and Enterprise Community Boards and economic development agencies and non-profit organizations; and**
- (xvi) **Business development training, with the goal of establishing resident-owned businesses.**

**(4) Match.**

- (a) **Overall Match. The HOPE VI Revitalization Applicant Certifications (Appendix A to this NOFA, below) include a certification that if you are selected for funding, you will provide resources other than HOPE VI funds in an amount that is at least 5 percent of the HOPE VI grant amount.**
- (b) **Additional Community and Supportive Services Match. In addition to the match requirement in paragraph (a) of this section, above, if you use more than 5 percent of the HOPE VI grant for Community and Supportive Services programs described in section IV.(B)(3) of this program section of the SuperNOFA, above, you must certify that you will provide resources other than HOPE VI funds in an amount that is equal to the amount used over 5 percent.**
- (c) **Matching Funds. Your matching funds may include amounts from other Federal sources, any State or local government sources, any private contributions, the value of any donated material or building, the value of any lease on a building, the value of the time and services contributed by volunteers, and the value of any other in-kind services or administrative costs provided. Active involvement of the city government in your HOPE VI plan is key to the success of the program. Providing a strong city match is one way for a city to demonstrate its commitment to the proposed development.**



**(5) Replacement Units.**

- (a) Rental units will be deemed Replacement Units and qualify for operating subsidy only if they are to be placed under Annual Contributions Contract and operated as Public Housing.**
- (b) Homeownership units will be deemed Replacement Units only if they meet the requirements listed in Section III(C)(1)(f) of this program section of the SuperNOFA, above.**
- (c) HOPE VI funds may not directly support mixed-finance units, including tax credit units, which are not themselves to be placed under ACC or to be sold as homeownership units as specified above.**

**(6) Timeliness of Construction. If selected, you will be held to strict schedules and performance measures. If you fail to obligate construction funds within the timeframes provided below, HUD may withdraw grant funds. HUD will take into consideration those delays caused by factors beyond your control when enforcing these schedules.**

- (a) You must enter into a binding General Contractor (GC) Contract within 18 months from the date of HUD's approval of the Revitalization Plan (RP). In no event may this time period exceed 24 months from the date the Grant Agreement is executed.**
- (b) You must complete construction under the GC Contract within 48 months from the date of HUD's approval of the RP. In no event may the time period for completion exceed 54 months from the date the Grant Agreement is executed.**

**(C) Program Requirements - Demolition Applications.**

- (1) Eligible Units. Public housing units to be demolished with HOPE VI Demolition grant funds must meet one of the following criteria:**
- (a) The units must be targeted in an approved or submitted Conversion Plan (i.e., a plan for removal of the obsolete and/or severely distressed project from the public housing inventory in accordance with the requirements at 24 CFR 971.7(b)). To meet this requirement, you must have submitted a Conversion Plan to HUD on or before the HOPE VI Demolition funding application due date. You must meet the requirements of 24 CFR part 971 to meet this requirement; or**
  - (b) The units must have been targeted in a HOPE VI Demolition funding application that you submitted in FY 1998 but that HUD did not fund solely because of a lack of funds; or**
  - (c) The units must be approved by HUD for demolition in accordance with 24 CFR part 970 on or before the application due date, but the approved units have not yet been demolished. The demolition application must be approved:**
    - (i) If you have merely submitted a demolition application, your HOPE VI application does not meet this requirement.**
    - (ii) If HUD has approved your demolition application but HUD later rescinded the approval at your request, your HOPE VI application does not meet this requirement.**
- (2) Previous Demolition. You must not have an executed demolition contract for or have previously demolished any of the targeted units.**
- (3) Previous Funding. You may not submit a HOPE VI Demolition application for units that have been previously funded for demolition with HOPE VI funds. HUD will determine whether the units have been previously funded by looking at the most recent HUD-approved budget for any HOPE VI Revitalization or Demolition grant for the same development. If that grant budget shows that HOPE VI funds have been budgeted for demolition of the units you have targeted in your HOPE VI Demolition application, even if you have subsequently made an internal decision not to fund the demolition with HOPE VI funds, your HOPE VI Demolition application will not be considered for funding.**
- (4) Timeliness of Demolition. You must procure a demolition contractor within six months from the date of ACC Amendment execution, and complete the demolition within two years from the date of ACC Amendment execution.**

**V. Application Selection Process**

- (A) Revitalization Threshold Criteria.** In addition to any applicable threshold requirements listed in the General Section of this SuperNOFA, your application must meet the following threshold requirements to be considered for funding.
- (1) Eligible Applicant.** You must be an eligible Public Housing Agency, as defined in Section III.(B) of this program section of the SuperNOFA, above. If HUD has designated your housing authority as troubled pursuant to section 6(j)(2) of the 1937 Act, HUD's Troubled Agency Recovery Center will use documents and information available to it to determine whether you meet the eligibility criteria in this program section of the SuperNOFA.
  - (2) Severe Distress.** The targeted public housing project, or buildings in a project must be severely distressed, as defined in section IV.(B)(1) of this program section of the SuperNOFA, above.
  - (3) Public Meetings.** You must conduct at least one training session and at least three public meetings in accordance with section IV.(B)(2) of this program section of the SuperNOFA, above.
- (B) Revitalization Application Evaluation.** HUD's selection process is designed to ensure that HOPE VI Revitalization grants are awarded to PHAs with the most meritorious applications.
- (1) Threshold and Completeness Review.** HUD will screen each application to determine if it is complete and meets the Threshold Criteria in Section V.(A) of this program section of the SuperNOFA, above. If necessary, HUD will contact you to provide missing information, in accordance with the provisions of section V. of the General Section of this SuperNOFA.
  - (2) Preliminary Rating and Ranking.**
    - (a) HUD will preliminarily review, rate and rank each eligible application on the basis of the rating factors described in Section V.(C) of this program section of the SuperNOFA, below.**
    - (b) After preliminary review, the following applications will be deemed "competitive:"**
      - (i) Applications with a preliminary score above a base score that encompasses all applications that represent approximately twice the amount of funds available, and**
      - (ii) Applications that propose revitalization of public housing that was targeted in HOPE VI Revitalization applications submitted to HUD in both the FY 1997 and 1998 HOPE VI Revitalization competitions but were not selected for funding.**

**(3) Final Panel Review.**

**(a) A Final Review Panel will:**

- (i) Assess each competitive application;**
- (ii) Assign the final scores; and**
- (iii) Recommend for funding the most highly-rated eligible applications up to the amount of available funding.**

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

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

**(d) HUD may not give competitive advantage to applications that propose to use HOPE VI grant funds to pay judgments or undertake HOPE VI revitalization activities in order to settle litigation.**

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

**Rating Factor 1: Capacity (20 Points Total)**

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This factor measures the capability and record of the applicant PHA or any alternative entity you choose to serve as your representative for managing large-scale redevelopment or substantial rehabilitation projects and administering Community and Supportive Services and management improvements. To ensure that revitalization efforts will take place without delays due to problems in administration and management, HUD will award the most points to applications that demonstrate the highest degree of capacity to implement revitalization in a timely manner upon grant award.

If you are selected for funding, HUD may require you to use an outside entity as directed by HUD to carry out the revitalization activities. HUD does not require you to select a developer and/or Program Manager, if any, prior to submission of your application, although you may choose to do so. Rather, you must demonstrate (1) your current capacity to manage a large scale redevelopment and/or substantial rehabilitation project, or (2) your ability to identify needs in your current staffing and fill such gaps in order to successfully implement your proposed program, and/or (3) your proposed method for securing a program manager, and/or development partner to implement your plan. The rating of the "applicant" or the "applicant's organization and staff," unless otherwise specified, will include any sub-contractors, consultants, subrecipients, and members of consortia that are firmly committed to the project. HUD will evaluate the information you provide in your application when rating subfactors (1) - (3) below.

- (1) **Revitalization Capacity and Experience: 7 Points.** To receive maximum points, you and/or your proposed partners, including the overall proposed development director and staff of the PHA, the developer (if any), program manager (if any), consultants, and contractors, must convincingly demonstrate your team's knowledge and recent, successful experience in planning, implementing, and managing large scale revitalization activities as described in the first two paragraphs above, and meeting construction timetables.
- (2) **Community and Supportive Services Experience: 5 Points.** To receive maximum points, you and/or your proposed partners, including the overall proposed development director and staff of the PHA, the developer (if any), program manager (if any), consultants, and contractors, must convincingly demonstrate your team's knowledge and recent, successful experience in planning, implementing, and managing the Community and Supportive Service Programs proposed in your application.
- (3) **Property Management Experience: 5 Points.** To receive maximum points, you and/or your proposed partners, including the overall proposed development director and staff of the PHA, the developer (if any), program manager (if any), consultants, and contractors, must convincingly demonstrate your team's knowledge and recent, successful experience in property management of public housing. You must thoroughly evaluate the obstacles, if any, that previously prevented good management, as well as other problems that contributed to the severe distress of the targeted project, and develop a new management plan that will protect against such obstacles and problems in the future and will improve the efficiency and economy of management.
- (4) **Obligation of Modernization Funds: 3 Points.** To receive maximum points, you must have obligated at least 90 percent of your FY 1997 and prior year Modernization (e.g., Comprehensive Improvement Assistance Program or Comprehensive Grant Program) amounts by the HOPE VI application submission date. HUD will use the LOCCS disbursement system as of the application due date to verify your obligation rate.

**Rating Factor 2: Need (20 Points Total)**

**This factor addresses the extent to which you have demonstrated that the targeted public housing project, or portion of the project, is severely distressed.**

**To be considered for funding, your application must earn at least 12 of the 14 points available for elements (1) - (4) of this rating factor, and your application must earn all 5 points for element (1), Physical Distress.**

**For all elements under this factor, HUD will consider the extent to which the information you provide is documented by objective, measurable indicators.**

**In rating this factor, HUD will consider:**

- (1) Physical Distress: 5 Points. To receive maximum points, the targeted project or portion of the project must be severely distressed as defined in Section IV.(B)(1) of this SuperNOFA, above. If a targeted site has been demolished or approved by HUD for demolition (including sites approved for demolition under 24 CFR Part 970 (demolition) and 24 CFR Part 971 (Mandatory Conversion)) on or before the HOPE VI application due date, your application will receive full points for this subfactor. Indications of physical distress may include:**
  - (a) Major structural deficiencies, including settlement, leaking roofs, electrical systems not meeting code, high levels of lead based paint, high levels of deferred maintenance, and units that do not meet Housing Quality Standards;**
  - (b) Major site deficiencies, including lack of reliable and efficient heat and hot water, poor soil conditions, inadequate drainage, deteriorated laterals and sewers, and inappropriate topography;**
  - (c) Design deficiencies, including inappropriately high population density, isolation, indefensible space, inaccessibility for persons with disabilities with regard to individual units, entrance ways, and/or common areas;**
  - (d) Environmental conditions that make the current site or a portion of the site and its housing structures unsuitable for residential use.**
  
- (2) Impact on the Neighborhood: 5 Points. To receive maximum points, the public housing must be a significant current or potential contributing factor to the physical decline of and disinvestment by public and private entities in the surrounding neighborhood. If the surrounding neighborhood is not currently distressed, you must demonstrate that the targeted project is causing deterioration in the neighborhood which will become worse if the project remains in its current condition and that its revitalization would have a positive effect on the neighborhood. It is critical to show concretely how the public housing revitalization through HOPE VI will spur reinvestment in the surrounding community and/or how the redevelopment will positively impact and support the surrounding community. You should include a careful strategy for comprehensive revitalization with housing redevelopment as the impetus.**

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**(3) Demographic Distress: 3 Points. To receive maximum points, the public housing must:**

- (a) Be occupied predominantly by families who are very low-income families with children, are unemployed and dependent on various forms of public assistance; or**
- (b) Have high rates of vandalism and criminal activity (including drug-related criminal activity) in comparison to other housing in the area.**

**(4) Need for Funding: 2 Points. To receive maximum points, the public housing cannot be revitalized with funds from other programs because the costs are much greater than available funds. Indications that you have inadequate funds are:**

- (a) If you receive Comprehensive Grant Program (CGP) funds and you will use 50 percent or more of your CGP funds for one year to fund a combination of emergency needs and critical needs at other public housing projects. A critical need is defined as a modernization need that is a threat to health and safety of residents but that does not qualify as an emergency since there is no immediate threat to resident health or safety. An example of a critical need is the repair of roofs and plumbing in cases where failure to repair the problem would result in a significant increase in the expenditure of funds in the future.**
- (b) If you receive CIAP funds and you do not have adequate leftover CIAP funds (i.e., funds remaining from previous modernization programs that are subject to reprogramming after completion of all approved work items in the program) to perform the revitalization activities without affecting current emergency or critical needs.**

**(5) Need for Affordable Housing in the Community: 2 Points. To receive maximum points, there must be a need for affordable housing in the community, and there must be an inadequate supply of other housing available and affordable to accommodate families receiving tenant-based assistance under Section 8. HUD will make this determination based on your analysis of the need for affordable housing in the community on the basis of the rental apartment listings in a newspaper of general circulation in the community over the most recent complete month prior to the HOPE VI application deadline, supplemented by additional relevant data, if any.**

**(6) Documentation of Need: 3 Points. To receive maximum points, you must document the level of need for your proposed activities and the urgency in meeting the need with statistics and analyses contained in a data source(s) that is sound and reliable. If your community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice identify the level of the problem and the urgency in meeting the need, you must include references to these documents in your response in order to receive maximum points. If these documents are not applicable to your jurisdiction or do not address the level of problem and the urgency in meeting the need, specifically state as such.**

**If your proposed activities are not covered under the scope of the Consolidated Plan and Analysis of Impediments to Fair Housing Choice, explain why they are not covered and use other sound data sources to identify the level of need and the urgency in meeting the need. Types of other sources include, but are not limited to, Census reports, Continuum of Care gaps analysis, law enforcement agency crime reports, Public Housing Authorities' Five Year Comprehensive Plan, and other sound and reliable sources.**

### **Rating Factor 3: Soundness of Approach (40 Points Total)**

**This factor addresses the quality of your design and planning and the cost-effectiveness of your proposed revitalization activities; your plan's appropriateness in the context of the broader community; the degree to which housing and non-housing aspects of your strategy are integrated and well-segmented; how your plan fits into needs of the local housing market; and the likelihood that a HOPE VI grant will result in a revitalized site that will enhance the neighborhood in which the project is located and enhance economic opportunities for residents. HUD will award full points to applications that demonstrate a clear relationship between the proposed activities, community assets and needs, and the purpose of HOPE VI funding.**

- (1) Vision: 5 Points. To receive maximum points, you must present the most innovative physical, social, and economic development approach possible given your local conditions, constraints, and opportunities. HUD will evaluate your Executive Summary to make this determination.**
  
- (2) Feasibility: 4 Points Total.**
  - (a) Market. 1 Point. To receive this point there must be a demonstrated considerable market for the revitalized and/or replacement units of the type and size proposed. HUD will use a preliminary market assessment letter prepared by an independent, third party, recognized market resource firm or professional to make this determination.**
  
  - (b) Development Costs. 2 Points. To receive maximum points, you must show that:**
    - (i) Hard costs are comparable to industry standards for the kind of construction to be performed in the proposed geographic area;**
  
    - (ii) Soft costs (developers' fees, PHA administration costs, legal fees, program manager's fees, consultants' fees, etc.) are reasonable, comparable to industry standards, and justified. HUD is particularly concerned that soft costs be minimized and will review carefully the proposed soft cost structure (i.e., is your reliance on outside entities at an appropriate level given the scope of your project and your in-house capacity), total soft costs as a percentage of overall development costs, and any innovative means you propose to keep such costs at a minimum so that as many HOPE VI resources as possible can go into hard development and transforming the lives of the residents;**
  
    - (iii) Costs are realistic and developed through the use of technically competent methodologies; and**
  
    - (iv) Cost estimates represent a cost-effective plan for designing, organizing and carrying out your proposed activities.**



**(c) Coherence and Consistency. 1 Point. To receive this point, the information and strategies described in the application must be coherent and internally consistent, particularly the data provided for types and numbers of units, budgets and other financial estimates, and other numerical information. It is critical that you carefully review all numbers for unit mix, costs, etc. to make sure that all numbers are consistent throughout the application. HUD will make this determination based on your entire application.**

**(3) Lessen Concentration: 9 Points Total. The activities you propose must lessen concentration of low-income households, create opportunities for desegregation, and offer viable housing choices.**

**(a) Physical Plan and Design. 6 Points. To receive maximum points, you must show that:**

- (i) The physical plan and design of the proposed on-site housing will significantly reduce the isolation of low-income residents and/or significantly promote mixed-income communities in well-functioning neighborhoods;**
- (ii) Any plans for off-site housing will lessen concentration of low-income residents and create opportunities for desegregation by actively ensuring that locations of housing will not be in neighborhoods with high levels of poverty and/or high concentrations of minorities. (You do not have to have selected the precise location of off-site units in your application to receive full points for this element.);**
- (iii) For both on-site and any off-site units, the plan will increase access to municipal services, jobs, mentoring opportunities, transportation, and educational facilities; i.e., the physical plan and services strategy are integrated;**
- (iv) Proposed new units and buildings are designed in a creative way that ensures that they blend into and enrich the surrounding neighborhood. Design elements and amenities present in houses in the broader community are incorporated into the revitalized homes and will appeal to the market segments for which they are intended.**

- (b) Section 8. 3 Points. To receive maximum points, you must propose to provide assistance to residents of the targeted development receiving Section 8 certificates and vouchers with relocation assistance and smooth the transition from public to private housing for relocatees and members of their new communities. Such activities include:**
- (i) Helping Section 8 assistance holders find housing in non-poverty areas;**
  - (ii) Conducting programs designed to prepare residents for the transition to private rental housing;**
  - (iii) Involving faith-based, non-profit and/or other institutions and/or individual members of the community that relocatees choose to move into, in order to ease the transition and minimize the impact on the neighborhood. HUD will view favorably innovative programs such as community mentors, support groups, and the like;**
  - (iv) Tracking families receiving Section 8 assistance;**
  - (v) Providing Community and Supportive Service program support to Section 8 relocatees to achieve self-sufficiency;**
  - (vi) Offering eligible residents who have been given Section 8 relocation assistance as a result of HOPE VI revitalization opportunities to return to the revitalized units.**

**(4) Community and Supportive Services: 5 Points**

**This factor evaluates the quality of your proposed Community and Supportive Services Programs, as required and described in Section IV.(B)(3) of this program section of the SuperNOFA, above, and gauges the probability that the Community and Supportive Services Programs you propose will result in "living wage" jobs, economic development, and educational advancements which are quantifiable and long-lasting. You are encouraged to be innovative and to create results-based programs which break new ground and can serve as national models.**

**You must implement public housing revitalization in tandem with the principles of welfare reform, self-sufficiency, and educational achievement. Not only must the physical environment meet the needs of residents, but the social environment must encourage and enable low-income residents to achieve long-term self-sufficiency, particularly for persons enrolled in welfare-to-work programs. To that end, it is crucial that local welfare agencies are part of your HOPE VI partnership. Many HOPE VI residents are directly affected by Temporary Assistance to Needy Families (TANF), making these self-sufficiency efforts critical to their success. You must design your Community and Supportive Services Programs not only for residents remaining on-site, but also for residents who have relocated to other PHA units or to Section 8 housing, and for new residents of the revitalized units.**

**To receive maximum points, your proposed Community and Supportive Services Programs must:**

- (a) Identify objectives that are results-oriented, with measurable goals and outcomes that will result in "living wage" jobs and educational advancements;**
- (b) Demonstrate consistency with state and local welfare reform requirements and goals;**
- (c) Be well integrated with the development process, both in terms of timing and the provision of facilities to house on-site service programs;**
- (d) Be of an appropriate scale, type, and variety of services to meet the needs of residents remaining on-site, residents who have relocated to other PHA units or Section 8 housing, and new residents of the revitalized units;**
- (e) Demonstrate an effective use of technology;**
- (f) Incorporate the enforcement of Section 3, both in the area of hiring residents from the HOPE VI site and in contracting with Section 3 firms;**
- (g) Be developed in response to a rigorous resident needs identification process and directly respond to the identified needs;**
- (h) Be coordinated with the efforts of other service providers and agencies in your locality; and**
- (i) Be sustainable after the grant term has expired.**

**(5) Evaluation: 2 Points**

**To receive maximum points, you must propose to work with local universities and other institutions of learning, foundations, and/or others to evaluate the performance and impact of your proposed HOPE VI revitalization. Where possible, HUD encourages you to form partnerships with Historically Black Colleges and Universities (HBCUs) and Hispanic-Serving Institutions (HSIs), Community Outreach Partnership Centers (COPCs), others in HUD's University Partnerships Program. Areas for evaluation might include such issues as:**

- (a) The impact of your HOPE VI effort on the lives of the residents;**
- (b) The nature and extent of economic development generated;**
- (c) The effect of the revitalization effort on surrounding communities, including spillover revitalization activities, property values, etc.;**
- (d) Your success at integrating physical and non-physical (Services) aspects of your strategy.**

**(6) Resident and Community Outreach and Involvement: 5 Points**

**In addition to the Threshold requirement for public meetings provided in Section IV.(B)(2) of this program section of the SuperNOFA, above, this rating subfactor evaluates the nature, extent, and quality of the resident and community outreach and involvement you have done by the time your application is submitted, as well as your plans for continued and/or additional outreach and involvement. HUD will evaluate your efforts to include affected residents and members of the surrounding community in the planning and development of your application.**

**To receive maximum points, you must demonstrate that you have:**

- (a) Communicated regularly with affected residents and members of the surrounding community about your application and that you have:**
  - (i) Included all interested parties, especially affected residents and members of the surrounding community, in the development of your application;**
  - (ii) Developed specific plans for continued or different involvement and participation in the planning and implementation of revitalization activities if your application is successful;**
  - (iii) Scheduled informational and planning meetings with affected residents and other interested parties during the development of your application at frequent and convenient times; and**

- (iv) Announced meetings in ways that are designed to generate the most participation. Methods of announcing upcoming meetings include, but are not limited to:**

  - (1) Publishing notices of meetings in newspapers of local distribution;**
  - (2) Hand distributing flyers to residences and locations likely to attract notice;**
  - (3) Posting meeting information in adequate time to allow participants to plan to attend;**
  - (4) Addressing the language needs of affected residents;**
  - (5) Making meetings and information available to persons with disabilities.**
  
- (b) Communicated effectively with affected residents and members of the surrounding community and that you have:**

  - (i) Provided training and technical assistance on the HOPE VI development process and general principles of development to affected residents to enable them to participate meaningfully in the development of your application, and developed plans to provide further training and technical assistance if your application is successful;**
  - (ii) Provided information to affected residents and other interested parties about your planned revitalization;**
  - (iii) Provided affected residents with substantive opportunities to participate in the development of your HOPE VI plan;**
  - (iv) Incorporated input and recommendations of interested parties, especially affected residents, into your application;**
  - (v) Generated support for your application among interested parties;**
  - (vi) Recognized and addressed dissenting viewpoints among affected residents and other interested parties. Your application will not lose points if there has been opposition to your plan, but may lose points if you do not demonstrate that any such opposition has been addressed; and**
  - (vii) Provided status reports on the development of your application.**

**(7) Operation and Management Principles and Policies: 5 Points.**

- (a) Self Sufficiency and Economic Diversity. To receive maximum points, you must propose operation and management principles and policies to be applied to on-site public housing and any on-site or adjacent assisted housing that will encourage residents to move in, move up, and move on. Such principles must:**
- (i) Complement self-sufficiency programs and result in a mix of residents in the revitalized development who have a range of incomes, including substantial numbers of working residents;**
  - (ii) Reward work and promote family stability by promoting positive incentives such as income disregards and ceiling rents;**
  - (iii) Promote economic and demographic diversity by instituting a system of local preferences; and**
  - (iv) Encourage self-sufficiency by including lease requirements that promote resident involvement in the tenants association, community service, self-sufficiency, and transition from public housing.**
- (b) Safety and Security. To receive maximum points, you must demonstrate that your proposed operation and management principles and policies will provide greater safety and security by:**
- (i) Instituting tough screening requirements;**
  - (ii) Enforcing tough lease and eviction provisions;**
  - (iii) Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through collaborative efforts with local law enforcement agencies and local United States Attorneys and program policy efforts such as "One Strike and You're Out," the "Officer Next Door" initiative, the Department of Justice "Weed and Seed" programs, or HUD's "Operation Safe Home" and Drug Elimination programs;**
  - (iv) Improving the safety and security of residents through the implementation of defensible space principles, anti-crime measures, and the installation of physical security systems such as surveillance equipment, control engineering systems, etc.;**
  - (v) Improving the safety of children by promoting the concept of healthy homes. Healthy homes activities are described in Section VI(D) of the General Section of this SuperNOFA.**

**(8) Affirmatively Furthering Fair Housing: 5 Points.** To receive maximum points, you must affirmatively further fair housing through the physical design of the revitalized units, the location of new units, and marketing of housing that will encourage diversity. You are encouraged to work with local advocacy groups which represent individuals with disabilities, the elderly, and other special needs populations to further these goals.

**(a) Accessibility.**

**(i) Accessibility Requirements.** The design of your proposed new construction and/or rehabilitation of housing must conform to the civil rights statutes and regulations required in Section II.(B) of the General Section of this SuperNOFA.

**(ii) Accessibility Priorities.** HUD encourages you to promote greater opportunities for housing choice by implementing the following accessibility activities:

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

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

**(3) Implement innovative designs and room configurations, particularly for homeownership housing, which are both accessible to disabled residents and marketable to non-disabled households;**

**(4) Provide for accessibility modifications, where necessary, to Section 8 units of residents who have been relocated out of the targeted project due to revitalization activities.**

**(iii) Visitability.** HUD encourages you to meet the visitability standards adopted by HUD that apply to units not otherwise covered by the accessibility requirements. The elements of visitability are described in Section VI.(C) of the General Section of this SuperNOFA and in the HOPE VI Application Kit Glossary.

**(iv) Adaptability.** HUD encourages you to meet the adaptability standards adopted by HUD at 24 CFR 8.3 that apply to those units not otherwise covered by the accessibility requirements. The elements of adaptability are included in the HOPE VI Application Kit Glossary.

- (b) Diversity.** To receive maximum points, program activities must aid a broad diversity of eligible residents, including the elderly, the disabled, etc. HUD will also evaluate your efforts to increase community awareness in a culturally sensitive manner through education and outreach, as applicable. Describe specific steps to address the elimination of impediments to fair housing that were identified in your jurisdiction's Analysis of Impediments to Fair Housing Choice, remedy discrimination in housing, or promote fair housing rights and fair housing choice. Your marketing and outreach activities should be targeted to all segments of the population on a nondiscriminatory basis, promote housing choice and opportunity throughout your jurisdiction, and contribute to the deconcentration of minority and low-income neighborhoods.



**Rating Factor 4: Leveraging Resources (10 Points Total)**

**In accordance with Section IV(B)(4) of this program section of the SuperNOFA, above, all HOPE VI Revitalization grant funds are subject to a matching requirement. By signing the HOPE VI Revitalization Applicant Certifications (Appendix A to this NOFA, below), you are certifying that, if selected, you will provide matching funds which can be combined with HUD funds to carry out revitalization activities, including Community and Supportive Services Programs. Although firm commitments for these matching resources are not required in your application, if funded you will be required to show evidence of matching resources through your quarterly reports as your project proceeds.**

**Although you will provide evidence of matching resources during the course of the grant term, you must provide evidence of any currently-available funds in order to earn points under this rating factor. Your application will be rated based on the extent to which you have secured additional resources now for proposed activities which can be added to HUD funds to achieve program purposes, and will secure additional resources. It is important that you do not just seek endorsements from organizations or describe vendor relationships, but actively enlist individuals and/or entities who will provide significant financial and/or other assistance to the revitalization effort.**

**In rating this factor, HUD will evaluate the strength of your partnerships and relationships with other entities, and the extent those other entities will provide significant, firm funding commitments and other resources if HOPE VI funds are awarded.**

**In your application, you must provide evidence of each proposed resource by including letters of firm commitments, memoranda of understanding, agreements to participate, or letters of support. If you cannot secure firm commitments, the entity must describe why the firm commitment cannot be made at the current time and affirm that your PHA and your HOPE VI project meet all eligibility criteria for receiving the resource. This is particularly important with regard to Low Income Housing Tax Credits (LIHTC). All such documentation must include the donor organization's name, the specific resource proposed, and the purpose of that resource. Letters providing only general support of the revitalization effort, and letters offering to provide vendor services will not count toward this rating factor. The commitment must be signed by an official of the organization legally authorized to make commitments on behalf of the organization. HUD will evaluate the strength of commitment that the letters articulate.**

**If you propose to use Low Income Housing Tax Credits (LIHTC) as a part of your financing, provide in your application a letter from your State Housing Finance Agency that provides information from the state allocation plan regarding the total amount and type (4 percent vs. 9 percent) of tax credits available, any set-asides available for PHAs, per project funding limits, the schedule of funding rounds, verification that your project meets eligibility criteria, and other pertinent information.**

- (1) Development Resources: 6 Points.** HUD seeks to fund mixed-finance development that will use HOPE VI funds to leverage other development funds, resulting in revitalized public housing, other types of assisted and market rate housing, and retail and economic development. To receive full points, you must actively enlist other stakeholders who are vested in and can provide **significant financial assistance** to your revitalization effort. In rating this factor, HUD will consider the amount, breadth, and firmness of financial commitments for development purposes.

Sources of development resources may include public and private non-profit and for-profit entities with experience in the development and/or management of low- and moderate-income housing; foundations; LIHTC syndicators; State Housing Finance Agencies; nonprofit organizations; private debt and equity; and banks or insured loans. If your PHA is also a redevelopment agency or otherwise has citywide responsibilities, HUD will consider the City's housing and/or redevelopment agency or other functional area to be a separate entity with which you are partnering.

- (2) Community and Supportive Services Program Resources: 4 Points.** It is critical that you form partnerships to achieve quantifiable self-sufficiency goals and that you leverage scarce HOPE VI self-sufficiency funds with other funds. It is essential that you provide for the sustainability of Community and Supportive Services programs so that they may continue after the HUD funds have been expended.

HUD encourages you to create public/private partnerships with hard commitments from and accountability to organizations skilled in the delivery of services to residents of public housing. It is particularly important to create partnerships with local Boards of Education which will provide the foundation for young people from infancy through high school graduation to succeed in academia, the professional world, and mainstream society. You are encouraged to form partnerships with organizations such as local businesses, faith-based organizations, non-profit organizations, foundations, banks, welfare departments, Private Industry Councils, Departments of Transportation, Police, and economic development agencies, charitable, fraternal, and business organizations, Weed and Seed programs, and individual employers. Identify prospective employers, the number and types of jobs they propose to make available, the kind and level of training needed to prepare residents for such jobs and how such training will be provided.

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

In rating this factor, HUD will consider the amount, breadth and firmness of financial and in-kind commitments for Community and Supportive Services Programs, and the sustainability of such programs during the life of the grant and after HOPE VI funds have been expended.

**Rating Factor 5: Comprehensiveness and Coordination (10 Points Total)**

**This factor evaluates your efforts to address the need for revitalized public housing in a holistic and comprehensive manner by creating linkages with other activities in the community, incorporating the revitalization of public housing into the overall plans for revitalization of the broader community, and participating or promoting participation in the community's Consolidated Planning process.**

- (1) Coordination: 5 Points. To receive maximum points, you must indicate that you have and/or will:**
- (a) Coordinate your proposed activities with related activities of other groups or organizations prior to submission in order to best complement, support and coordinate all known related activities. For example, it is important to know about changes in transportation, infrastructure, land use, and other revitalization issues when planning the locations of revitalized housing to prevent future site problems.**
  - (b) Take specific steps to share information about solutions and outcomes with others.**
  - (c) Take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan, such as civil rights organizations; Local Area Agency on Aging, if applicable; local agencies and organizations serving persons with disabilities; Local Weed and Seed task force if the targeted project is located in a designated Weed and Seed area; HUD drug elimination, welfare-to-work, and self-sufficiency programs; other Federal, State or locally funded activities, including those proposed or on-going in the community; and Local law enforcement agencies and the local United States Attorney.**
  - (d) Forge relationships with local Boards of Education, institutions of higher learning, non-profit or for-profit educational institutions and public/private mentoring programs that will lead to new or improved educational facilities and improved educational achievement of young people in the revitalized development from birth through higher education.**
- (2) Community Planning: 5 points. To receive maximum points, you must indicate that you have or that you will take specific steps to become active in the community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address the need for revitalized public housing, that your plans are tied to revitalization plans for the broader community and the jurisdiction as a whole, and that your plans are consistent with plans or organizing efforts in the immediate, surrounding neighborhoods.**

**(D) Demolition Application Evaluation.**

**(1) Demolition Funding Categories. HUD will select Demolition applications on a first-come, first-served basis, by an application's Funding Tier, Priority Group, and Ordinal. Demolition applications are not rated.**

**(a) Funding Tiers. If you wish to request more than \$7.5 million for HOPE VI Demolition grants, you must divide your applications and identify each of your applications as either Tier 1 or Tier 2. If funds remain after all Tier 1 applications are funded, HUD will begin to fund Tier 2 applications, in accordance with the procedures in Section V.(D)(3) of this program section of the SuperNOFA, below.**

**(i) The total amount requested in all of your Tier 1 applications may not equal more than \$7.5 million.**

**(ii) The total amount requested in all of your Tier 2 applications may not equal more than \$5 million.**

**(iii) The total amount requested in all your applications, both Tier 1 and Tier 2, may not exceed \$12.5 million.**

**(b) Priority Groups. You must also identify each of your applications by its appropriate Priority Group, as described below. Each application must target units of a single Priority Group, e.g., do not include Priority Group 1 units in the same application as Priority Group 2 units.**

**(i) Priority Group 1: HOPE VI Demolition funding applications that target units included in a Conversion Plan (i.e., plan for removal of the obsolete and/or severely distressed development from the public housing inventory in accordance with the requirements at 24 CFR 971.7(d)) that HUD has approved on or before the HOPE VI Demolition funding application due date under this program section of the SuperNOFA. Please note that the term "Conversion Plan" used in this program section NOFA is the plan required by 24 CFR part 971.**

**(ii) Priority Group 2: HOPE VI Demolition funding applications that target units that were included in a HOPE VI Demolition funding application that you submitted in FY 1998 and that HUD deemed eligible for funding, but could not select for lack of sufficient funds.**

**(iii) Priority Group 3:**

**(1) HOPE VI Demolition funding applications that target units included in a Conversion Plan (i.e., plan for removal of the obsolete and/or severely distressed development from the public housing inventory in accordance with the requirements at 24 CFR 971.7(d)) that you have submitted to HUD on or before the HOPE VI Demolition funding application due date under this program section of the SuperNOFA.**

**(a) If you submit a HOPE VI Demolition funding application for units that are targeted in a Conversion Plan that was submitted under 24 CFR Part 971 but not yet approved (Priority Group 3), and the Conversion Plan is subsequently approved (before the application deadline), you may revise your application and it will be reclassified as Priority Group 1. HUD will change the Ordinal to the Ordinal corresponding to the date that the revised application was received.**

**(b) If you submit a Conversion Plan but you are not eligible under 24 CFR part 971, your HOPE VI Demolition will not be considered to be in Priority Group 3. Please check with your local HUD Office before submitting a HOPE VI Demolition funding application based on submission of a Conversion Plan.**

**(2) Applications that target units that you included in a HUD-approved 24 CFR part 970 Demolition Application. If you have submitted a Part 970 Demolition Application to HUD's Special Applications Center (SAC) but it has not yet been approved by HUD, your HOPE VI Demolition application will not be considered complete and you will not receive an Ordinal until your Part 970 Demolition application is approved.**

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

**(2) Demolition Screening.**

- (a) Within a day after HUD receives your application, HUD will screen the application to ensure that it has met each HOPE VI Demolition funding program requirement listed in Section IV.(C) of this program section of the SuperNOFA, above, and that it includes each application submission requirement listed in Section VI.(B) of this program section of the SuperNOFA, below.**
- (b) If HUD determines that an application is not eligible for funding (e.g., the applicant is not a PHA), HUD will not consider the application further and will immediately notify the applicant that the application has been rejected.**
- (c) If HUD determines that an application is eligible but incomplete, within one day of receipt of the application, HUD will contact you in writing by fax (followed up with a hard copy by mail) to request the missing information. If HUD finds your application and other applications received on the same day to be incomplete, HUD will notify all such applicants of their missing items on the same day. Since Demolition funding applications are not rated, you may submit information to complete your application at any time before the Demolition funding application deadline date. However, if your application is received on the deadline date and it is missing a required submission, you will have no opportunity to submit any missing item after the deadline date and your application will be ineligible for funding.**

**PLEASE NOTE: This provision means that the nearer to the deadline you submit your application, the less time you will have to correct any deficiencies, and if HUD receives your application ON the deadline date and there is a deficiency, that application will NOT be considered for funding. You are advised to submit your application as soon as possible, in the event that HUD identifies a deficiency that you need to correct.**

- (d) When HUD receives information in response to its letter asking for missing information and determines that it completes the application, HUD will change the application's Ordinal to the Ordinal corresponding to the date that HUD received the information. If the information does not make the application complete, HUD will treat the submitted information in the same manner as a newly-submitted application and send you another letter requesting the missing information, up until the deadline date.**
- (e) Notwithstanding the above, if HUD approves a demolition application or a conversion plan on the day before or on the application deadline date, the requirements to provide evidence of these approvals will be considered to be met and you will not be required to submit your approval letters from HUD.**

- (3) Funding. HUD will award HOPE VI Demolition grants in the following order, based on fund availability.**
- (a) HUD will fund eligible Tier 1, Priority Group 1 applications by Ordinal.**
  - (b) If funds remain after HUD has funded all eligible Tier 1, Priority Group 1 applications, HUD will fund Tier 1, Priority Group 2 applications by Ordinal.**
  - (c) If funds remain after HUD has funded all eligible Tier 1, Priority Group 2 applications, HUD will fund Tier 1, Priority Group 3 applications by Ordinal.**
  - (d) If funds remain after HUD has funded all eligible Tier 1 HOPE VI Demolition funding applications, HUD will fund eligible Tier 2 applications, by Priority Group and Ordinal.**
  - (e) If funds remain after all eligible Tier 1 and Tier 2 HOPE VI Demolition funding applications have been funded, the remaining funds will be reallocated for HOPE VI Revitalization grants.**
  - (f) At any stage, if there are insufficient funds to fund all applications with the next Ordinal, HUD will conduct a lottery among the applications sharing the Ordinal to determine funding. HUD reserves the right to partially fund the last lottery winner chosen if insufficient funds remain to fund the entire amount requested, if HUD deems such partial funding will be a viable alternative to full funding.**

**(E) Grant Award Procedures.**

**(1) Notification of Funding Decisions.**

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

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

**(i) You or HUD must complete a subsidy layering review pursuant to 24 CFR 941.10(b), if required by HUD;**

**(ii) You and HUD must execute a HOPE VI Revitalization Grant Agreement or Demolition ACC Amendment in accordance with Sections (2) or (3) below, as applicable; and**

**(iii) The responsible entity has completed an environmental review and you have submitted and obtained HUD approval of a request for release of funds and the responsible entity's environmental certification in accordance with Section IV(A)(8) of this program section of the SuperNOFA, above.**

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

**(a) The amount of the grant;**

**(b) Applicable rules, terms, and conditions, including sanctions for violation of the Agreement;**

**(c) The precise schedules of the HOPE VI Program;**

**(d) Program requirements;**

**(e) Requirements for implementation of the proposed plan;**

**(f) Any applicable special conditions that you must meet;**



- (g) Certifications in which you will agree to:**
- (i) Carry out the program in accordance with the provisions of this program section of the SuperNOFA, applicable law, the approved application, and all other applicable requirements, including requirements for mixed finance development;**
  - (ii) Comply with any other terms and conditions, including recordkeeping and reports, that HUD may establish for the purposes of administering, monitoring, and evaluating the program in an effective and efficient manner, including full cooperation with HUD's program oversight contractor;**
  - (iii) Assemble a team to implement the HOPE VI Program that has a strong management and development track record and is able to start and carry out a quality HOPE VI program. If you fail to demonstrate your ability to assemble a competent team to the satisfaction of HUD and its program oversight manager, HUD will direct corrective actions as a condition of retaining the grant;**
  - (iv) Execute a construction contract within 18 months from the date of HUD's approval of the revitalization Plan (or a period specified in the Grant Agreement);**
  - (v) Establish interim performance goals and complete the physical component of the HOPE VI revitalization within 54 months from the date that HUD executed the Grant Agreement. If you fail to meet this or other deadlines established in the Grant Agreement, HUD may enforce default remedies described in the Grant Agreement, up to and including the withdrawal of grant funding. HUD will take into consideration those delays caused by factors beyond your control when enforcing these schedules;**
  - (vi) Execute an ACC Amendment for Mixed-Finance development with HUD, if required by HUD; and**
  - (vii) Foster the involvement of and gather input and recommendations from affected residents throughout the entire development process.**

**(3) Demolition ACC Amendment.** If you are selected to receive a Demolition grant, HUD will send you an ACC Amendment setting forth the amount of the grant. Both you and HUD will sign the ACC Amendment, and it is effective on the date of HUD's signature.

**(a) By signing the ACC Amendment, you will agree that:**

**(i) You will carry out the demolition and relocation work in accordance with the requirements of this program section of the SuperNOFA, applicable law including all HUD regulations, the approved HOPE VI Demolition Funding Application, applicable Demolition Application approval, and all other applicable requirements; and**

**(ii) You will procure a demolition contractor within six months from the date of ACC Amendment execution, and complete the demolition within two years from the date of ACC Amendment execution; and**

**(iii) You will comply with such other terms and conditions, including recordkeeping and reports, as HUD may establish for the purposes of administering, monitoring, and evaluating the program in an effective and efficient manner.**

**(b) Subject to the provisions of Part A of the ACC, and to assist in the demolition and relocation, HUD will agree to disburse to the PHA from time to time as needed, up to the amount of funding assistance awarded.**

## VI. Application Submission Requirements

### (A) Revitalization Application Exhibits.

- (1) **Application Kit.** The HOPE VI Application Kit provides explicit, specific instructions as to the format of a HOPE VI Revitalization application. Your application must conform to the requirements of this program section of the SuperNOFA and follow the format described in the Kit. In addition to the narratives that respond to the rating criteria in this program section of this SuperNOFA, your application will also include submissions that provide HUD with detailed information about your proposed revitalization, including forms and other documentation.
  
- (2) **Submissions Required for Rating.** HUD will review the following application submissions and rate them in accordance with the Revitalization rating factors in section V.(C) of this program section of the SuperNOFA, above. Because these submissions are rated, they cannot be improved after submission of the application, and you may not submit any missing submissions after the deadline date.
  - (a) **An Executive Summary.**
  - (b) **A description of your experience and that of your committed partners in developing and managing housing and providing Community and Supportive Services Programs.**
  - (c) **A description of existing site conditions, which demonstrates the extent of need for your proposed revitalization.**
  - (d) **A description of all predevelopment activities.**
  - (e) **A description of all revitalization activities proposed in your application and details of how the proposed work will be accomplished.**
  - (f) **A description of Community and Supportive Services Programs.**
  - (g) **A plan for resident and community outreach and involvement in the planning process.**
  - (h) **A description of current or planned coordination with related activities of other groups or organizations, including any applicable EZ/EC local empowerment board.**
  - (i) **A description of proposed management principles and policies which will support revitalization efforts, increase safety and security for residents, affirmatively further fair housing, lessen concentration of low-income residents and create desegregation opportunities, and promote mixed-income communities.**
  - (j) **Program Resources and Financing: budget, sources and uses, documentation of resources.**

- (k) Photographs of distressed public housing and representative photographs of the neighborhood.**
  - (l) A current site map showing the various buildings of the project and identifying the buildings to be demolished and/or disposed of.**
  - (m) A relocation plan for relocation not described in a demolition application.**
  - (n) A city map which clearly identifies key facilities in the context of existing city streets, the central business district, other key city sites, and census tracts and which indicates the existing project, the planned development, and any off-site housing.**
  - (o) A neighborhood map which clearly shows the distance, and distance scale, between two projects, if the two projects are being submitted as a single development for HOPE VI funding, pursuant to Section II.(A)(2)(b), above, of this NOFA.**
  - (p) A proposed site map which indicates where proposed construction, rehabilitation acquisition, or disposition activities will take place.**
  - (q) Site and unit design illustrations.**
- (3) Submissions Required for Completeness. The following submissions are required in your application but HUD will not use them for rating purposes. In accordance with section V. of the General Section of this SuperNOFA, HUD will give you the opportunity to submit missing submissions. If, after the cure period, HUD has not received and accepted the missing submissions, your application will not be eligible for funding.**
- (a) A certification by an independent engineer that the targeted public housing project, or buildings in a project, meets the severe distress requirement described in Section IV.(B)(1)(a)(i) of this program section of the SuperNOFA, above.**
  - (b) An Implementation Schedule.**
  - (c) Evidence that at least one training session on the HOPE VI development process and three public meetings were held in accordance with the requirements of section IV.(B)(2) of this program section of the SuperNOFA, above.**
  - (d) The HOPE VI Revitalization Applicant Certifications. The text of the Revitalization Applicant Certifications is included as Appendix A below, and the actual form to sign is located in the HOPE VI Application Kit; and**
  - (e) Signed copies of the standard forms, certifications, and assurances listed in section II.(G) of the General Section of this SuperNOFA.**

- (B) Demolition Application Requirements.** The HOPE VI Application Kit provides explicit, specific instructions as to the format of a HOPE VI Demolition application. Your application must conform to the requirements of this program section of the SuperNOFA and follow the format described in the kit. The following is a summary of the application information required by this program section of the SuperNOFA. Demolition grants are awarded on a first-come, first-served basis and HUD does not rate the applications. Therefore, any missing information may be submitted after the application is first submitted in accordance with section V.(D) of this program section of the SuperNOFA, above. HUD will not consider any application for funding until you submit each of the following requirements to HUD's satisfaction.
- (1) Standard Form 424, Request for Federal Assistance, signed by a person legally authorized to enter into an agreement with the Department.**
  - (2) Site Information and Proposed Activities: information and description of the proposed demolition and related activities.**
  - (3) Documentation of unit eligibility:**
    - (a) Evidence of HUD approval of a demolition/disposition application (approval letter); or**
    - (b) Approval by HUD or submission to HUD by the HOPE VI demolition application due date of an obsolete and/or severely distressed public housing conversion plan in conformance with the requirements of 24 CFR part 971.**
  - (4) A description of program financing, including a program budget submitted on Form HUD-52825-A and third-party certification of reasonable and accurate costs.**
  - (5) A program schedule which clearly shows that you will complete the proposed demolition within two years from the date your ACC Amendment is executed.**
  - (6) The HOPE VI Demolition Applicant Certifications. The text of the Demolition Applicant Certifications is included in Appendix B below, and the actual form to execute is located in the HOPE VI Application Kit; and**
  - (7) Signed copies of the standard forms, certifications, and assurances listed in Section II.(G) of the General Section of this SuperNOFA.**

**VII. Corrections to Deficient Applications**

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

**VIII. Authority**

The funding for HOPE VI Revitalization and Demolition grants under this program section of the SuperNOFA is provided by the FY 1999 HUD Appropriations Act under the heading "Revitalization of Severely Distressed Public Housing (HOPE VI)."

**Appendix A**

**HOPE VI Revitalization Applicant Certifications**

**The text of the HOPE VI Revitalization Applicant Certifications is as follows:**

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

- 1. The PHA will comply with all policies, procedures, and requirements prescribed by HUD for the HOPE VI program, including the implementation of HOPE VI activities in a timely, efficient, and economical manner.**
- 2. The PHA has not and will not receive assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities for which funding is requested in the application. The PHA has established controls to ensure that any activity funded by the HOPE VI grant is not also funded by any other HUD program, thereby preventing duplicate funding of any activity.**
- 3. The PHA will not provide to any development more assistance under the HOPE VI Program than is necessary to provide affordable housing after taking into account other governmental assistance provided. The PHA could not undertake the activities proposed in the application without the additional assistance provided by the requested HOPE VI grant.**
- 4. The PHA will supplement the aggregate amount of the HOPE VI grant with funds from sources other than HOPE VI in an amount not less than 5 percent of the amount of HOPE VI grant.**
- 5. In addition to supplemental amounts provided in accordance with Certification 4 above, if the PHA uses more than 5 percent of the HOPE VI grant for Community and Supportive Services Programs, it will provide supplemental funds from sources other than HOPE VI in an amount equal to the amount used in excess of 5 percent.**
- 6. The PHA has conducted at least one training session for residents on the HOPE VI development process and three public meetings with residents and community members to involve them in the process of planning the revitalization and preparing the application. At least one meeting was held after the publication date of the FY 1999 HOPE VI Revitalization NOFA.**
- 7. The PHA does not have any litigation pending which would preclude timely startup of activities.**
- 8. The application is in full compliance with any desegregation or other court order related to Fair Housing (e.g., Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Section 504 of the Rehabilitation Act of 1973) that affects the PHA's public housing program and that is in effect on the date of application submission.**

- 9. Disposition activity under the grant will be conducted in accordance with 24 CFR part 970.**
- 10. Acquisition of land, or acquisition of off-site units with or without rehabilitation to be used as public housing, will be carried out in accordance with 24 CFR part 941.**
- 11. Major rehabilitation and other physical improvements of housing and non-dwelling facilities will be carried out in accordance with 24 CFR 968.11 2(b), (d), (e), and (g)-(o), 24 CFR 968.130, and 24 CFR 968.135(b) and (d).**
- 12. Construction of replacement rental housing, both on-site and off-site, economic development, and community facilities, will be carried out in accordance with 24 CFR part 941, including mixed-finance development in accordance with subpart F.**
- 13. Replacement housing activity with units acquired or otherwise provided for homeownership under Section 5(h) of the 1937 Act will be conducted in accordance with 24 CFR part 906.**
- 14. Replacement housing activities provided through housing opportunity programs of construction or substantial rehabilitation of homes will meet essentially the same eligibility requirements of the Nehemiah Program.**
- 15. The administration and operation of units will be in accordance with all existing public housing rules and regulations.**
- 16. The PHA will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19) and regulations pursuant thereto (24 CFR part 100); Executive Order 11063 (Equal Opportunity in Housing) and regulations pursuant thereto (24 CFR part 107); the fair housing poster regulations (24 CFR part 110) and advertising guidelines (24 CFR part 109); Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations pursuant thereto (24 CFR part 1).**
- 17. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR part 146); the prohibitions against discrimination against, and reasonable modification and accommodation and accessibility requirements for, handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR part 8); the Americans with Disabilities Act (42 U.S.C. 12101 et. seq.) and regulations issued pursuant thereto (28 CFR Part 36); and the Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151) and regulations issued pursuant thereto (24 CFR Part 40).**
- 18. The PHA has adopted the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and will take appropriate affirmative action to assist resident-controlled and women's business enterprises in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.**

- 19. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135.**
- 20. The PHA will comply with Davis-Bacon or HUD-determined prevailing wage rate requirements to the extent required under Section 12 of the U.S. Housing Act of 1937.**
- 21. The PHA will comply with the relocation assistance and real property acquisition requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and government-wide implementing regulations at 49 CFR part 24 and will provide temporary relocation assistance in accordance with 24 CFR 968.108.**
- 22. The PHA will comply with the HOPE VI requirements for reporting, and for access to records and audits as required in the HOPE VI Grant Agreement.**
- 23. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821, et seq.) and is subject to 24 CFR parts 35 and 965 (subpart H) and Section 968.110(k), as they may be amended from time to time.**
- 24. The PHA will comply with the policies, guidelines, and requirements of OMB Circular Nos. A-87 (Cost Principles Applicable to Grants, Contracts, and Other Agreements with State and Local Governments) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments), as modified by 24 CFR 941 subpart F relating to the procurement of partners in mixed finance developments, except when inconsistent with the provisions of the 1998 Appropriations Act or other applicable Federal statutes or the NOFA pursuant to which the application was submitted.**
- 25. PHA has returned any excess advances received during development or modernization, or amounts determined by HUD to constitute excess financing based on a HUD-approved Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC), or that HUD has approved a pay-back plan.**
- 26. There are no environmental factors, such as sewer moratoriums, precluding development in the requested locality.**
- 27. The application is consistent with Environmental Justice Executive Order 12898, in that the proposed public housing will be developed only in environmentally sound and desirable locations and will avoid disproportionately high and adverse environmental effects on minority and low-income communities.**
- 28. The PHA will comply with the provisions of 24 CFR part 24 with regard to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status.**
- 29. The public housing project or building in a project targeted in this HOPE VI application meets the definition of severe distress provided in Section IV.(B)(1) of the FY 1999 HOPE VI NOFA.**



## Appendix B

### HOPE VI Demolition Applicant Certifications

The text of the HOPE VI Demolition Applicant Certifications is as follows:

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

1. The PHA will comply with all policies, procedures, and requirements prescribed by HUD for the HOPE VI program, including the implementation of HOPE VI activities in a timely, efficient, and economical manner.
2. The PHA has not and will not receive assistance from the Federal government, State, or unit of local government, or any agency or instrumentality, for the specific activities for which funding is requested in the application. The PHA has established controls to ensure that any activity funded by the HOPE VI grant is not also funded by any other HUD program, thereby preventing duplicate funding of any activity.
3. The PHA will not provide to any development more assistance under the HOPE VI Program than is necessary to perform demolition activities after taking into account other governmental assistance provided.
4. Disposition activity under the grant will be conducted in accordance with 24 CFR part 970;
5. The PHA will comply with the requirements of the Fair Housing Act (42 U.S.C. 3601-19) and regulations pursuant thereto (24 CFR part 100); Executive Order 11063 (Equal Opportunity in Housing) and regulations pursuant thereto (24 CFR part 107); the fair housing poster regulations (24 CFR part 110) and advertising guidelines (24 CFR part 109); Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and regulations pursuant thereto (24 CFR part 1).
6. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and regulations issued pursuant thereto (24 CFR part 146); the prohibitions against discrimination against, and reasonable modification and accommodation and accessibility requirements for, handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and regulations issued pursuant thereto (24 CFR part 8); the Americans with Disabilities Act (42 U.S.C. 12101 et. seq.) and regulations issued pursuant thereto (28 CFR Part 36); and the Architectural Barriers Act of 1968, as amended (42 U.S.C. 4151) and regulations issued pursuant thereto (24 CFR Part 40).
7. The PHA will address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments to Fair Housing Choice; remedy discrimination in housing; and promote fair housing rights and fair housing choice.

- 8. The PHA has adopted the goal of awarding a specified percentage of the dollar value of the total of the HOPE VI contracts to be awarded during subsequent fiscal years to minority business enterprises and will take appropriate affirmative action to assist resident-controlled and women's business enterprises in accordance with the requirements of Executive Orders 11246, 11625, 12432, and 12138.**
- 9. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (Employment Opportunities for Lower Income Persons in Connection with Assisted Projects) and its implementing regulation at 24 CFR part 135.**
- 10. The PHA will comply with Davis-Bacon or HUD-determined prevailing wage rate requirements to the extent required under Section 12 of the U.S. Housing Act of 1937.**
- 11. The PHA will comply with the relocation assistance and real property acquisition requirements of 24 CFR 970.5.**
- 12. The PHA will keep records in accordance with 24 CFR 85.20 that facilitate an effective audit to determine compliance with program requirements.**
- 13. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821, et seq.) and is subject to 24 CFR parts 35 and 965 (subpart H) and Section 968.110(k), as they may be amended from time to time.**
- 14. The PHA will comply with the policies, guidelines, and requirements of OMB Circular Nos. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).**
- 15. The PHA does not have any litigation pending which would preclude timely startup of activities.**
- 16. PHA has returned any excess advances received during development or modernization, or amounts determined by HUD to constitute excess financing based on a HUD-approved Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC), or that HUD has approved a pay-back plan.**