in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care, or early childhood development services are provided to children. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

**Executive Order 12372**

Applications submitted in response to the FY 2001 activity listed above are subject to the intergovernmental review requirements of Executive Order 12372, as implemented through DHHS regulations at 45 CFR Part 100. E.O. 12372 sets up a system for State and local government review of applications for Federal financial assistance. Applicants (other than Federally recognized Indian tribal governments) should contact the State's Single Point of Contact (SPOC) as early as possible to alert them to the prospective application(s) and to receive any necessary instructions on the State's review process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. A current listing of SPOCs is included in the application guidance materials. The SPOC should send any State review process recommendations directly to: Division of Extramural Activities, Policy, and Review, Substance Abuse and Mental Health Services Administration, Parklawn Building, Room 17–89, 5600 Fishers Lane, Rockville, Maryland 20857.

The due date for State review process recommendations is no later than 60 days after the specified deadline date for the receipt of applications. SAMHSA does not guarantee to accommodate or explain SPOC comments that are received after the 60-day cut-off.

Dated: March 29, 2001.

**Richard Kopanda,**

*Executive Officer, SAMHSA.*

[FR Doc. 01–8454 Filed 4–5–01; 8:45 am]

BILLING CODE 4162–20–P

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**[Docket No. FR 4652–N–09]**

## Notice of Proposed Information Collection for Public Comment for the Revitalization of Severely Distressed Public Housing (HOPE VI): HOPE VI Revitalization Application Requirements; HOPE VI Demolition Application Requirements; HOPE VI Revitalization Quarterly Reporting; Certification of Mixed-Finance Procurement

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

**ACTION:** Notice.

**SUMMARY:** The proposed information collection requirement described below will be submitted to the Office of Management and Budget (OMB) for review, as required by the Paperwork Reduction Act. The Department is soliciting public comments on the subject proposal.

**DATES:** *Comments Due Date:* June 5, 2001.

**ADDRESSES:** Interested persons are invited to submit comments regarding this proposal. Comments should refer to the proposal by name and/or OMB Control number and should be sent to: Mildred M. Hamman, Reports Liaison Officer, Public and Indian Housing, Department of Housing and Urban Development, 451 7th Street, SW., Room 4238, Washington, DC 20410–5000.

**FOR FURTHER INFORMATION CONTACT:** Mildred M. Hamman, (202) 708–3642, extension 4128, for copies of the proposed forms and other available documents. (This is not a toll-free number).

**SUPPLEMENTARY INFORMATION:** The Department will submit the proposed information collection to OMB for review, as required by the Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35, as amended).

This Notice is soliciting comments from members of the public and affected agencies concerning the proposed collection of information to: (1) Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (2) evaluate the accuracy of the agency's estimate of the burden of the proposed collection of information; (3) enhance the quality, utility, and clarity of the information to be collected; and (4) minimize the burden of the collection of information on those who ear to respond, including through the use of appropriate automated collection techniques or other forms of information technology; e.g., permitting electronic submission of responses.

This Notice also lists the following information:

*Title of Proposal:* Revitalization of Severely Distressed Public Housing (HOPE VI): HOPE VI Revitalization Application Requirements; HOPE VI Demolition Application Requirements; HOPE VI Revitalization Quarterly Reporting; Certification of Mixed-Finance Procurement.

*OMB Control Number:* 2577–0208.

*Description of the Need for the Information and Proposed Use:* These information collections are required in connection with the publication in the **Federal Register** of a Notice of Funding Availability (NOFA) which announces the availability of $565,00,000, $490,000,000 of which is available for the revitalization of severely distressed public housing under the HOPE VI program. The remaining $75,000,000 is available for HOPE VI Demolition grants.

Eligible public housing agencies (PHAs) interested in obtaining HOPE VI Revitalizing funding are required to submit applications to HUD, as explained in the NOFA. The information collection conducted in the applications enables HUD to conduct a comprehensive, merit-based selection process in order to identify and select the applications to receive funding. With the use of HUD-prescribed forms, the information collection provides HUD with sufficient information to approve or disapprove applications.

Eligible PHAs interested in obtaining HOPE VI Demolition funding are required to submit applications to HUD, as explained in the NOFA. The information collection conducted in the applications enables HUD to conduct a comprehensive selection process in order to identify and select the applications to receive funding. The information collection provides HUD with sufficient information to approve or disapprove applications.

Applicants that are awarded HOPE VI Revitalization funds (''Grantees'') are required to report on a quarterly basis on the sources and uses of all amounts expended for revitalization activities. Grantees use a fully-automated, Internet-based process for the submission of quarterly reporting information. HUD reviews and evaluates the collected information and uses it as a primary tool with which to monitor the status of HOPE VI Revitalization

projects and the HOPE VI Revitalization program.

HUD requires Grantees (PHAs) to submit to HUD the Certification of Mixed-Finance Procurement form if they choose to certify that they have complied with 24 CFR Part 85.36, as permitted by 85.36(g)(3)(ii), in the procurement of program managers and developers. HUD will review and approve/disapprove the Certification form. HUD's approval of the Certification form allows the Grantee to contract with the procured firm and eliminates the need for the Grantee to submit the Request for Proposal (RFP) or Request for Qualifications (RFQ) documents for HUD approval prior to advertisement. Collection of the information in this manner helps to streamline the procurement process and reduce the administrative burden on participating Grantees and HUD staff.

*Agency Form Number:* HUD–52860–A (HOPE VI Application Data Form); There are no agency form numbers for HOPE VI Demolition Applications, HOPE VI Revitalization quarterly reporting and the Certification of Mixed-Finance Procurement form.

*Members of Affected Public:* Public Housing Authorities.

*Estimation of the Total Number of Hours Needed to Prepare the Information Collection Including Number of Respondents, Frequency of Response, and Hours of Response:*

For HOPE VI Revitalization Application: 80 respondents, once annually, 190 hours average per response results in a total annual reporting burden of 15,200 hours.

For HOPE VI Revitalization Application Data Form (part of the HOPE VI Revitalization Application above): 80 respondents, once annually, 80 hours average per response results in a total annual reporting burden of 6,400 hours (this annual reporting burden of 6,400 hours is part of the 15,200 hours of annual reporting burden for the HOPE VI Revitalization Application, provided above).

For HOPE VI Budget (part of the HOPE VI Revitalization Application above): 80 respondents, once annually, 6 hours average per response results in a total annual reporting burden of 480 hours (this annual reporting burden of 480 hours is part of the 15,200 hours of annual reporting burden for the HOPE VI Revitalization Application, provided above).

For HOPE VI Demolition Application: 34 respondents, twice annually, 48 hours average per response results in a total annual reporting burden of 3264 hours.

For HOPE VI Revitalization Quarterly Reporting: 148 respondents, 4 times annually, 20 hours average per response results in a total annual reporting burden of 11,840 hours.

For the Certification of Mixed-Finance Procurement form: 40 respondents, once annually, 20 minutes average per response results in a total annual reporting burden of 13 hours.

Grand total: These information collections performed in connection to the HOPE VI program result in an annual total reporting burden of 30,317 hours.

*Status of the Proposed Information Collection:* Reinstatement, with change.

**Authority:** Section 3506 of the Paperwork Reduction Act of 1995, 44 U.S.C. Chapter 35, as amended.

Dated: March 30, 2001.

**Gloria Cousar,**

*Acting General Deputy Assistant Secretary for Public and Indian Housing.*

BILLING CODE 4210–33–M

**HOPE VI Revitalization Application Data Form**

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

**OMB Approval Pending**

Public Reporting Burden for this collection of information is estimated to average 80 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Response to this collection of information is mandatory to obtain a benefit. The information requested does not lend itself to confidentiality. HUD may not conduct or sponsor, and an applicant is not required to respond to a collection of information unless it displays a currently valid OMB control number.

# Attachment 20: *Application Data Form: Cover Sheet*

*Existing Development Name(s):* _____

***Applicant Information*** *PHA Number:* _____

*PHA Name:* _____

*PHA Mailing Address:* _____

*City, State, Zip:* _____ *Main Telephone:* _____

*PHA Executive Director:* _____ *Telephone:* _____ *Fax:* _____

*Email Address:* _____

*HOPE VI Coordinator:* _____ *Telephone:* _____ *Fax:* _____

*Email Address:* _____

*HOPE VI Developer (if any):* _____ *Telephone:* _____ *Fax:* _____

*HOPE VI Developer Contact:* _____ *Email Address:* _____

*Program Manager (if any):* _____ *Telephone:* _____ *Fax:* _____

*Email Address:* _____

*Additional Partner:* _____ *Functional Title:* _____

*Additional Partner:* _____ *Functional Title:* _____

*Existing Development Name(s):* _____

*Street Address, City, State, Zip:* _____

*Existing Project Number(s):* _____ *Neighborhood /Area of town:* _____

*New Development Name:* _____ *Congressional District:* _____

*Mixed Income Proposed?* *Yes/No* *Mixed Finance Proposed?* *Yes/No*

***Data Summary***

| | *Existing* | *Post-Revitalization* |
|---|---|---|
| *Number of replacement public housing units (on/off-site, including Affordable Lease/Purchase, Fee Simple Homeownership and Second Mortgage- excluding rehabilitated units)* | | |
| *Number of non-public housing, subsidized units (on/off-site, including homeownership)* | | |
| *Number of market-rate units (no income restrictions)* | | |
| *Number of other units* | | |
| **TOTAL NUMBER OF POST DEVELOPMENT UNITS** | | |
| | | |
| *Number of units to be rehabilitated (excluding acquisition with rehab)* | | |
| *Number of newly constructed on-site units (including acquisition with rehab)* | | |
| *Number of newly constructed off-site units (including acquisition with rehab)* | | |
| | | |
| *Number of occupied units (at time of application)* | | |
| *Number of vacant units (at time of application)* | | |

# Attachment 21: *Application Data Form: Existing Units, Occupancy, Vacancy*

*Development Name:* _____

**Existing Housing Units at Time of Grant Application**

| *Building Type* | *Size* | *Number Occupied* | *Number Vacant* | *Total Units* | *Converted to non-dwelling* | *Demo Planned* |
|---|---|---|---|---|---|---|
| **Row** | 0 BR | | | | | |
| | 1 BR | | | | | |
| | 2 BR | | | | | |
| | 3 BR | | | | | |
| | 4 BR | | | | | |
| | 5 BR | | | | | |
| | 6 BR | | | | | |
| | **Total** | | | | | |
| **Detached/ Semi-Detached** | 0 BR | | | | | |
| | 1 BR | | | | | |
| | 2 BR | | | | | |
| | 3 BR | | | | | |
| | 4 BR | | | | | |
| | 5 BR | | | | | |
| | 6 BR | | | | | |
| | **Total** | | | | | |
| **Walkups** | 0 BR | | | | | |
| | 1 BR | | | | | |
| | 2 BR | | | | | |
| | 3 BR | | | | | |
| | 4 BR | | | | | |
| | 5 BR | | | | | |
| | 6 BR | | | | | |
| | **Total** | | | | | |
| **Elevator** | 0 BR | | | | | |
| | 1 BR | | | | | |
| | 2 BR | | | | | |
| | 3 BR | | | | | |
| | 4 BR | | | | | |
| | 5 BR | | | | | |
| | 6 BR | | | | | |
| | **Total** | | | | | |
| **Grand Total** | | | | | | |

# Attachment 22: *Application Data Form: Relocation, Income, and Non-Dwelling Structures*

*Development Name:* _____

***Relocation/Occupancy***

| ***Relocation Strategy*** | ***Planned*** |
|---|---|
| *Original households to be provided Section 8 certificates/vouchers* | |
| *Original households to be moved within public housing (on and off-site)* | |
| *Original households to move to non-assisted housing/unknown* | |
| *Total* | |

| ***Number of Section 8 certificates/vouchers requested/received from HUD for this project:*** | ***Requested*** | ***Received*** |
|---|---|---|
| | | |

***Number of occupied units at time of grant application:*** _____

***Projected number of occupied units at time of demolition application approval:*** _____

| ***Returning Households*** | **Planned** |
|---|---|
| *Number of original households estimated to return to revitalized HOPE VI units (both on-site and off-site):* | |
| *Number of these households to be housed in new construction* | |

| ***Household Income*** | **Existing** | **Post Development** |
|---|---|---|
| *Average income (as percentage of Median) of public housing residents in development* | | |
| *Average income (as percentage of Median) of otherwise subsidized residents in neighborhood* | | |
| *Average income (as percentage of Median) of market-rate residents in the neighborhood* | | |
| ***Resident Profile*** | | |
| *Total number of residents* | | |
| *Number of children under 18 years of age* | | |
| *Number of children under 6 years of age* | | |
| *Number of senior citizens* | | |
| *Number of individuals with disabilities* | | |

| ***Non-Dwelling Structure Summary*** | | | | |
|---|---|---|---|---|
| *Proposed non-dwelling structures (please describe, including type of facility and whether proposing new construction or rehabilitation)* | *New or Rehab* | *Square Footage* | *Total Cost* | *Cost per Sq. Ft.* |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

## Attachment 23: *Application Data Form: Proposed Unit Mix Post-Revitalization*

*Development Name:* _____

*New Construction (include any acquisition w/rehab)* — *Rehabilitation*

| *Row: New* | | | | | | *Row: Rehabilitation* | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* | *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* |
| 0 BR | | | | | | 0 BR | | | | | |
| 1 BR | | | | | | 1 BR | | | | | |
| 2 BR | | | | | | 2 BR | | | | | |
| 3 BR | | | | | | 3 BR | | | | | |
| 4 BR | | | | | | 4 BR | | | | | |
| 5 BR | | | | | | 5 BR | | | | | |
| 6 BR | | | | | | 6 BR | | | | | |
| *Total* | | | | | | *Total* | | | | | |

| *Detached/Semi-detached: New* | | | | | | *Detached/Semi-detached: Rehabilitation* | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* | *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* |
| 0 BR | | | | | | 0 BR | | | | | |
| 1 BR | | | | | | 1 BR | | | | | |
| 2 BR | | | | | | 2 BR | | | | | |
| 3 BR | | | | | | 3 BR | | | | | |
| 4 BR | | | | | | 4 BR | | | | | |
| 5 BR | | | | | | 5 BR | | | | | |
| 6 BR | | | | | | 6 BR | | | | | |
| *Total* | | | | | | *Total* | | | | | |

| *Walkups: New* | | | | | | *Walkups: Rehabilitation* | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* | *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* |
| 0 BR | | | | | | 0 BR | | | | | |
| 1 BR | | | | | | 1 BR | | | | | |
| 2 BR | | | | | | 2 BR | | | | | |
| 3 BR | | | | | | 3 BR | | | | | |
| 4 BR | | | | | | 4 BR | | | | | |
| 5 BR | | | | | | 5 BR | | | | | |
| 6 BR | | | | | | 6 BR | | | | | |
| *Total* | | | | | | *Total* | | | | | |

| *Elevator: New* | | | | | | *Elevator: Rehabilitation* | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* | *Size* | *Sq. Ft.* | *ACC Units** | *Non-ACC Units*** | *HOPE VI and/or PH funded HO* | *Other Home-Ownership* |
| 0 BR | | | | | | 0 BR | | | | | |
| 1 BR | | | | | | 1 BR | | | | | |
| 2 BR | | | | | | 2 BR | | | | | |
| 3 BR | | | | | | 3 BR | | | | | |
| 4 BR | | | | | | 4 BR | | | | | |
| 5 BR | | | | | | 5 BR | | | | | |
| 6 BR | | | | | | 6 BR | | | | | |
| *Total* | | | | | | *Total* | | | | | |

| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Grand Total | | | | | | Grand Total | | | | | |

*** ACC units include PH rental, PH/LIHTC, and Affordable Lease/Purchase with HOPE VI and/or PH funds.**

**** Non-ACC units have no PH or HOPE VI funds and will not be under ACC.**

## Attachment 24: *Application Data Form: Units, Accessibility and Concentration*

*Development Name:* _____

***Planned Units***

| Rental Units: ACC | | | | | | | |
|---|---|---|---|---|---|---|---|
| PH Only | | PH/LIHTC | | PH/Other | | Total ACC | |
| On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site |
| | | | | | | | |

| Rental Units: Non-ACC | | | | | | | |
|---|---|---|---|---|---|---|---|
| LIHTC | | CDBG, HOME, or other subsidy | | No Income Restrictions | | Total Non ACC | |
| On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site |
| | | | | | | | |

| Homeownership Units | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Affordable Lease/Purchase with HOPE VI and/or PH funds | | Affordable Fee Simple Homeownership with HOPE VI and/or PH | | Second Mortgage Only with HOPE VI and/or PH funds | | Homeownership with other subsidies (No HOPE VI or PH funds) | | Market Rate Homeownership (No subsidies) | | Total Homeownership | |
| On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site |
| | | | | | | | | | | | |

| Other Units (operating subsidy only, etc) | | | | | | | |
|---|---|---|---|---|---|---|---|
| Type: | | Type: | | Type: | | Total Other Units | |
| On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site | On-Site | Off-Site |
| | | | | | | | |

| Grand Total | |
|---|---|
| On-Site | Off-Site |
| | |
| **Grand Total - All Units** | |

***Accessibility***

| New Construction | Rental Units (including Lease/Purchase) % of Category | Homeownership Units % of Category | Total % of Category |
|---|---|---|---|
| Mobility-Impaired (wheelchair) | | | |
| Hearing-Impaired | | | |
| Sight-Impaired | | | |
| Visitability | | | |

| Rehabilitation | Rental Units (including Lease/Purchase) % of Category | Homeownership Units % of Category | Total % of Category |
|---|---|---|---|
| Mobility-Impaired (wheelchair) | | | |
| Hearing-Impaired | | | |
| Sight-Impaired | | | |
| Visitability | | | |

***Concentration***

| | Pre-Development | Post-Development |
|---|---|---|
| Density of on-site development (units per acre) | | |
| Percent of very low income households in the development (30% of median or below) | | |

# Attachment 25: *Application Data Form: Self-Sufficiency, Page 1*

*Development Name:* _____

| | During Last 12 Months | At Time of Application | At Grant Award | Projected One Year after Grant Award | Projected Two Years after Grant Award | Projected at Close of Grant |
|---|---|---|---|---|---|---|
| **A. Graduation from Public Assistance** | | | | | | |
| Number of households whose primary monthly source of income is: | | | | | | |
| Wages/Salary | | | | | | |
| TANF | | | | | | |
| Other | | | | | | |
| **B. Employment/Obstacles to Employment** | | | | | | |
| Number of TANF participants enrolled in job training programs | | | | | | |
| Number of non-TANF participants enrolled in job training programs | | | | | | |
| Number of unemployed residents placed in: | | | | | | |
| Section 3 jobs | | | | | | |
| Non-Section 3 jobs | | | | | | |
| **C. Economic Development** | | | | | | |
| Number of resident-owned businesses | | | | | | |
| **D. Section 3** | | | | | | |
| Dollar amount of HOPE VI contracts going to Section 3 firms | | | | | | |
| **E. Education** | | | | | | |
| Number of residents without a high school diploma or G.E.D. | | | | | | |
| Number of residents with a high school diploma, G.E.D., or higher degree | | | | | | |
| **F. Homeownership** | | | | | | |
| Number of residents in homeownership counseling | | | | | | |
| **G. Case Management** | | | | | | |
| If you have a Family Supportive Services program: | | | | | | |
| Number of residents enrolled in FSS program | | | | | | |
| Dollar amount in escrow accounts | | | | | | |
| **H. Youth Programs** | | | | | | |
| Number of youth participating in youth programs | | | | | | |
| Number of children participating in day care programs | | | | | | |
| **I. Health** | | | | | | |
| Number of partnerships with healthcare agencies (e.g., clinics, hospitals, universities) | | | | | | |
| **J. Transportation** | | | | | | |
| Number of residents who use public transportation to get to work or services | | | | | | |

# Attachment 25: *Application Data Form: Self-Sufficiency, Page 2*

Development Name: _____

**K. Self-Sufficiency Projected Spending**

| Planned Spending | HOPE VI Funds | Other Funds | Total |
|---|---|---|---|
| Day Care | | | |
| Health Care | | | |
| Education | | | |
| Job Training | | | |
| Business Development Training | | | |
| Case Management | | | |
| Other (specify) | | | |
| Other (specify) | | | |
| Other (specify) | | | |
| Other (specify) | | | |
| Other (specify) | | | |
| Other (specify) | | | |
| **TOTAL** | | | |

**L. Self-Sufficiency: Programs and Partners**

| *List of Self-Sufficiency (CSS) Programs* | *List of Self-Sufficiency Partners* |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

## *Attachment 26: Application Data Form: Sources and Uses, Page 1*

*Development Name:* _____

| Uses ($)* | HOPE VI Uses ($) | + | Non-HOPE VI Uses ($) | = | Total |
|---|---|---|---|---|---|
| **Administration** | | | | | |
| Administration | | | | | |
| **Management Improvements** | | | | | |
| Management Improvements - Dev | | | | | |
| Management Improvements - CSS | | | | | |
| **Acquisition** | | | | | |
| Site Acquisition | | | | | |
| Building Acquisition, Turnkey | | | | | |
| Building Acquisition, Rehabilitation | | | | | |
| Building Acquisition, Non-Dwelling | | | | | |
| **Building Remediation/Demolition** | | | | | |
| Remediation, Dwelling Units | | | | | |
| Demolition, Dwelling Units | | | | | |
| Remediation, Non-Dwelling Units | | | | | |
| Demolition, Non-Dwelling Units | | | | | |
| Demolition, Other | | | | | |
| **Site Improvements** | | | | | |
| Site Remediation | | | | | |
| Site Infrastructure | | | | | |
| Off-site Improvements | | | | | |
| **Construction** | | | | | |
| Dwelling Structures - Hard Costs | | | | | |
| Non-Dwelling - Hard Costs | | | | | |
| General Requirements | | | | | |
| Builder's Profit | | | | | |
| Builder's Overhead | | | | | |
| Bond Premium | | | | | |
| Hard Cost Contingency | | | | | |
| **Equipment** | | | | | |
| Dwelling Equipment | | | | | |
| Non-Dwelling Equipment | | | | | |
| **Professional Fees/Consultant Services** | | | | | |
| Program Management Services | | | | | |
| Architectural | | | | | |
| Engineering | | | | | |
| Construction Management Services | | | | | |
| Appraisal | | | | | |
| Environmental | | | | | |
| Market Study | | | | | |
| Historic Preservation Documentation | | | | | |
| Other | | | | | |
| **Legal** | | | | | |
| Organizational | | | | | |
| Syndication | | | | | |
| PHA Outside Counsel | | | | | |
| Other | | | | | |
| **Tax Credit** | | | | | |
| Accounting | | | | | |
| Tax Credit Application | | | | | |
| Tax Credit Monitoring Fee | | | | | |
| Consultant | | | | | |
| Other | | | | | |
| **Page 1 Total** | $ | | $ | | $ |

## *Attachment 26: Application Data Form: Sources and Uses, Page 2*

*Development Name:* _____

| Uses ($)* | HOPE VI Uses ($) | + | Non-HOPE VI Uses ($) | = | Total |
|---|---|---|---|---|---|
| **Other Development Costs (Soft Costs)** | | | | | |
| Accounting Fees | | | | | |
| Financing Fees | | | | | |
| Permit Fees | | | | | |
| Title/Recording/Settlement Fees | | | | | |
| Real Estate Taxes During Construction | | | | | |
| Insurance During Construction | | | | | |
| Interest During Construction | | | | | |
| Bridge Loan Interest | | | | | |
| Marking/Rent-up Expenses | | | | | |
| Initial Operating Deficit | | | | | |
| Soft Cost Contingency | | | | | |
| Other | | | | | |
| **Relocation** | | | | | |
| Relocation Costs | | | | | |
| **Developer Fee** | | | | | |
| Developer Fee | | | | | |
| **Reserves** | | | | | |
| Operating Reserve | | | | | |
| Other Reserves | | | | | |
| **Non-Development Costs** | | | | | |
| Self-Sufficiency (CSS) | | | | | |
| Other Non-Development Costs | | | | | |
| **Planning** | | | | | |
| Planning Grant | | | | | |
| **Page 2 Total** | $ | | $ | | $ |
| **GRAND TOTAL USES:** | $ | | $ | | $ |
| | | | **Total Uses** | | $ |

| Sources ($) | |
|---|---|
| **HUD Funds** | |
| HOPE VI Revitalization | |
| PH Capital Fund | |
| Modernization | |
| PH Development | |
| MROP | |
| HOPE VI Planning Grant | |
| HOPE VI Demolition Grant | |
| **Other HUD Funds** | |
| HOME | |
| CDBG | |
| Other | |
| **Total HUD Funds** | $ |
| **Non-HUD Public Funds** | |
| State Funds | |
| Local Funds (Non PHA) | |
| PHA Funds | |
| Other Funds | |
| Describe Other | |
| **Total Non-HUD Public Funds** | $ |
| **Private Funds** | |
| Tax Exempt Bonds | |
| Taxable Bonds | |
| Private LIHTC | |
| Other Equity | |
| Homebuyer Down Payment | |
| Donations/Grants | |
| Private Lender | |
| Other | |
| Describe Other: | |
| **Total Private Funds** | $ |
| **Total Sources** | $ |

# HOPE VI Budget
## Part I: Summary

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

OMB Approval No. 2577-0208 (exp.

Public Reporting Burden for this collection of information is estimated to average 6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This information is necessary to provide details on the funds requested by Housing Authorities. The form displays the amount requested, broken down by budget line item, with each use explained on Part II. The requested information will be reviewed by HUD to determine if the amount requested is reasonable and whether the required percentages of capital and supportive services funds are met. Responses to the collection are required by the appropriation under which the HOPE VI grant was funded. The information collected does not lend itself to confidentiality.

HUD may not conduct or sponsor, and a person is not required to respond to collection of information unless it displays a currently valid OMB control number.

PHA Name

HOPE VI Grant Number

☐ Original HOPE VI Budget ☐ Revised HOPE VI Budget ☐ Predevelopment Budget

| Line No. | Summary by Budget Line Item | Capital Costs | Supportive Services Costs | Total Funds Requested | HUD Approved Funds |
|---|---|---|---|---|---|
| 1 | Total Non-HOPE VI Funds | | | | |
| 2 | 1408 Management Improvements | | | | |
| 3 | 1410 Administration | | | | |
| 4 | 1430 Fees and Costs | | | | |
| 5 | 1440 Site Acquisition | | | | |
| 6 | 1450 Site Improvement | | | | |
| 7 | 1460 Dwelling Structures | | | | |
| 8 | 1465 Dwelling Equipment—Nonexpendable | | | | |
| 9 | 1470 Nondwelling Structures | | | | |
| 10 | 1475 Nondwelling Equipment | | | | |
| 11 | 1485 Demolition | | | | |
| 12 | 1495 Relocation Cost | | | | |
| 13 | **Amount of HOPE VI Grant** (Sum of lines 2-12) | | | | |

Signature of PHA Executive Director

Date (mm/dd/yyyy)

**HUD Certification:** In approving this budget and providing assistance to a specific housing development(s), I hereby certify that the assistance will not be more than is necessary to make the assisted activity feasible after taking into account assistance from other government sources (24 CFR 12.50).

Signature of Authorized HUD Official

Date (mm/dd/yyyy)

Previous editions are obsolete

Page ___ of ___

form **HUD-52825-A** (12/96)
ref Handbook 7485.1

HA Name

HOPE VI Budget
**Part II: Supporting Pages**

| Work Item Number 1 | Budget Line Item Number 2 | Statement of Need 3 | Description of Proposed/Approved Action and Method of Accomplishment 4 | Individual Project Number 5 | Total Funds Requested 6 | HUD-Approved Funds 7 |
|---|---|---|---|---|---|---|
| | | | | | | |

Previous editions are obsolete

Page ___ of ___

form **HUD-52825-A** (12/96)
ref Handbook 7485.1

**Instructions for Preparation of Form HUD-52825-A,**

**HOPE VI Budget Submission:**

When requested by HUD, prepare a separate form HUD-52825-A (Parts I and II) for the HOPE VI program, describing the activities which are planned to be undertaken with the HOPE VI funds. Submit the original and two copies (or any lesser number of copies as specified by HUD) of this form to the HUD Field Office. On an as-needed basis, submit a revised form when the HUD-established threshold requires prior HUD approval to revise the HOPE VI Budget.

**Part I: Summary**

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

**HOPE VI Grant Number** - Enter the unique HOPE VI Grant number assigned by HUD upon grant approval.

**FFY of Grant Approval** - Enter the Federal Fiscal Year (FFY) in which the HOPE VI grant is being approved/was approved. (last 2 digits of HOPE VI Grant Number).

**Type of Submission** - Check the appropriate box and indicate whether the submission is the Original HOPE VI Budget or a Revised HOPE VI Budget (and revision number).

**Total Funds Approved:**

**Line 1** - Enter the amount rounded to the nearest ten dollars, for all work that will be undertaken from non-HOPE VI funds. Enter zero if no work will be undertaken from non-HOPE VI funds.

**Lines 2 through 12** - For each line, enter the appropriate amount rounded to the nearest ten dollars, or zero if no work will be undertaken in a particular HOPE VI budget line item.

**Line 13** - Amount of HOPE VI Grant - Enter the sum of lines 2 through 12.

**Part II: Supporting Pages**

1. **Work Item Number** - Number each work item sequentially.
2. **Budget Line Item Number** - Enter the appropriated HOPE VI budget line item which corresponds to the work item described.
3. **Statement of Need**
4. **Description of Proposed/Approved Action and Method of Accomplishment** - For each HOPE VI budget line item listed, provide a statement of need and a description of all work items (physical or management, as applicable) that will be funded with HOPE VI funds, including management improvements, supportive services, administrative costs, equipment, etc. Enter the quantity of the work as a percentage or whole number, Describe administrative costs in sufficient detail to clearly identify items.
5. **Individual Project Number** - Enter the abbreviated (e.g., VA-36-1) of the development where the work items will be undertaken.
6. **Total Funds Requested** - For each work item and HA-wide activity described, enter the total funds requested. Where appropriate, add a reasonable contingency amount to each work item and indicate the percentage.

## 5.5 The Financial Tab

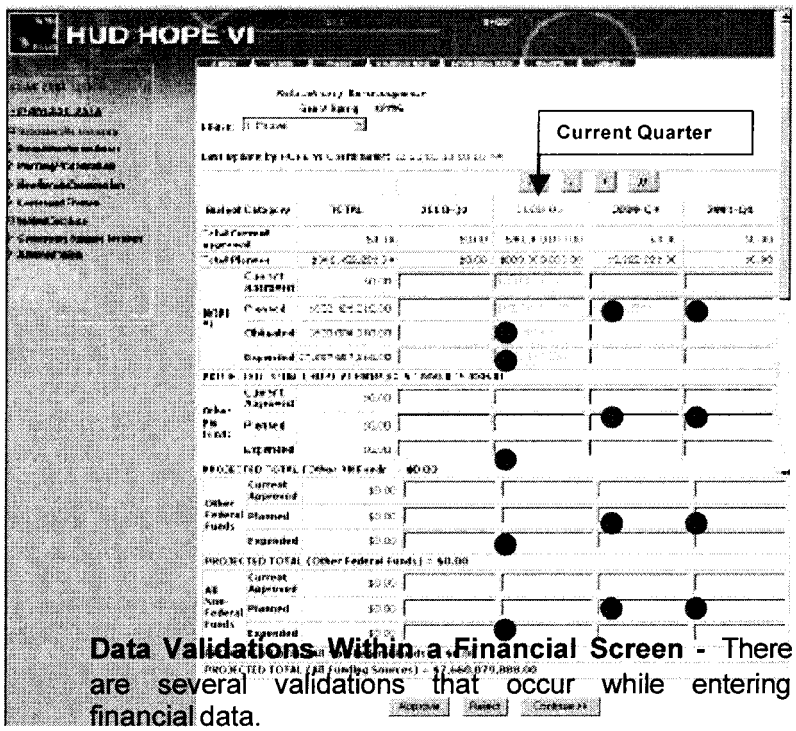
The financial and production sections of the HOPE VI Internet-Based Grant Management Prototype System constitute the majority of the screens within the website, and are where the majority of your data entry will take place. For the quarter ending 9/30/2000, HUD and KPMG Consulting asked each PHA to schedule out their financial activity over the life of the project by year and quarter as well as phase. The intensive effort undergone for that quarter allowed KPMG Consulting to pre-populate the financial screens with all of the information that was reported, thus reducing the reporting burden on the PHAs. Tracking your financial activities over time will allow you to more accurately manage your HOPE VI Grant and all of the funds allocated and expended for the project. You will see that in addition to scheduling out your financial activities, we are asking you to adjust the future budgeted values as your expenditures, future budgets and forecasts become more clearly defined. Doing so will allow KPMG Consulting to provide the PHAs as well as HUD with more detailed and accurate reports that are useful to the everyday user and improve the grant management process.

*Tracking your financial activities over time will allow you to more accurately manage your HOPE VI Grant and all of the funds allocated and expended for the project*

**Data Entry on the Financial Screens** - Each time you view a financial screen you have the capability to enter data. At any given time, the only data that can be entered/edited/altered is the following:

- Future Planned Values - you can alter your future scheduled expenditures or future planned values.
- Current Quarter Obligated - during a quarter you may alter this amount as you continue to obligate additional funds.
- Current Quarter Expended - as these are Actual values, you can only enter Expended amounts for the current quarter.

It is important to ensure that all data entered is accurate because you will not have the ability to enter data for periods that occurred in the past.




*Once your financial activity is scheduled out, the only data you can alter is marked with red dots. This includes:*

- *Current Quarter Obligated*
- *Current Quarter Expended*
- *Future Planned*

**Data Validations Within a Financial Screen** - There are several validations that occur while entering financial data.

## 5.6 The Production Tab

The financial and production sections of the HOPE VI Internet-Based Grant Management Prototype System constitute the majority of the screens within the website, and are where the majority of your data entry will take place. For the quarter ending 9/30/2000, HUD and KPMG Consulting asked each PHA to schedule out their production activity over the life of the project by year and quarter. Although this was consistent with the way it had been reported in the past, it was also required that all production activity be broken out by phase as well. The intensive effort undergone for that quarter allowed KPMG Consulting to pre-populate the production screens with all of the information that was reported, thus reducing the reporting burden on the PHAs. Tracking your production activities over time will allow you to more accurately manage your HOPE VI Grant and all of the production for the project. You will see that in addition to scheduling out your production activities, we are asking you to adjust the future planned production values as your project becomes more clearly defined. Doing so will allow KPMG Consulting to provide the PHAs as well as HUD with more detailed and accurate reports that are useful to the everyday user and improve the grant management process.

*Tracking your production activities over time will allow you to more accurately manage your HOPE VI Grant and all of the production for the project*

you to the first or last quarter where there is production activity scheduled.

In addition, at the top of the screen you will notice a ***Status Statement***, this identifies who was the last user to update or modify the information on the page as well as indicate if there were any action items taken. This to is a tool between the HOPE VI user and HUD to help improve communication during the quarterly process.

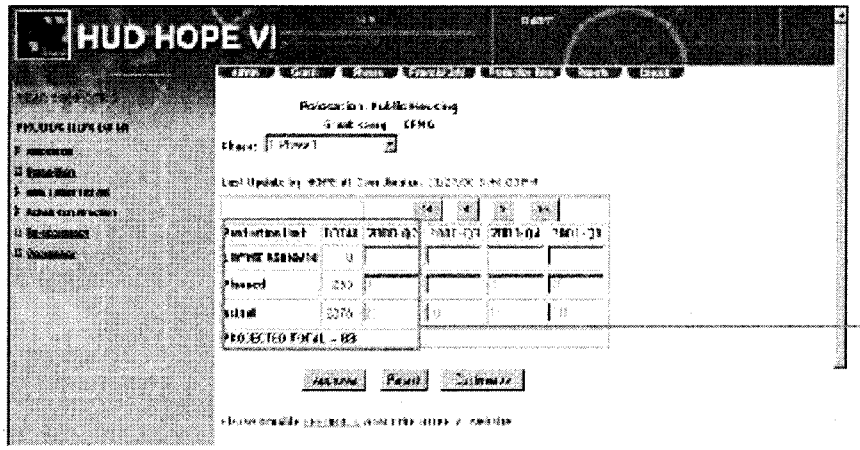
**Production Categories** - Down the left side of the page you will notice the Production Categories. The production categories reflect the various planned and actual activities associated with production for a HOPE VI Grant. They are broken out into the following:

- Current Approved - This field is another tool that was added to improve the communication between the PHA and HUD. Initially, this field will be populated by KPMG Consulting based on the information that you have entered as past Actual production values and future Planned production values. Moving forward, the Current Approved field will be the HUD GM's tool to regularly review production plans, changes and schedule slippage. Each quarter, the HUD GM will review your actual and future planned production values, if they are reasonable and any variances are explained the GM will approve the values. It will be these Current Approved Values which quarterly activity will be validated against.

- Planned - These are the production activity units that you plan to perform or accomplish in each quarter over the life of the project. In some cases these units are units of production, in other cases such as relocation they are families. You can only enter planned values in future quarters, and as your production levels vary, you should alter your future planned production as needed.

- Actual - This is the actual amount of production activity that was completed for the quarter.

Actual values can also only be entered for the current quarter.




*Production Categories and Totals include Current Approved, Planned and Actual Production as well as the Projected Total*

*NOTE: these totals are for the specific phase that you are in*

In addition to the Production Categories listed on the page, there are also several totals displayed. Among the totals listed are the following:

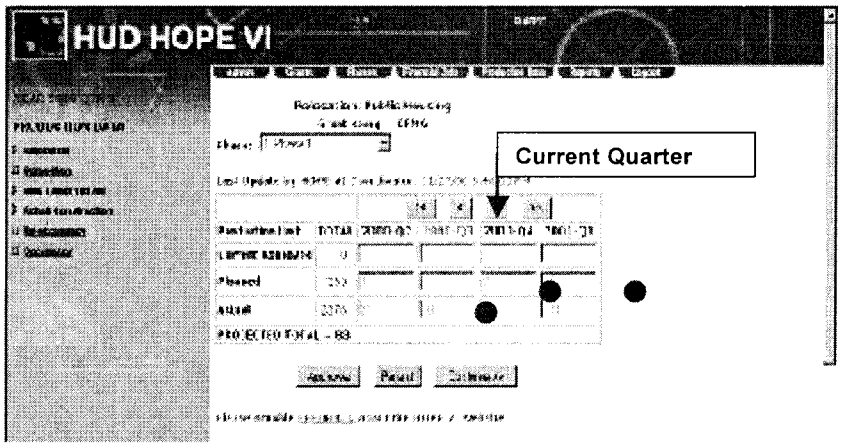
- Total Current Approved - The Total Current Approved aggregates the Current Approved.
- Total Planned - The Total Planned Amount aggregates the Planned values.
- Actual - The Total Actual aggregates all of the actual production to date for the phase.
- Projected Totals - The projected totals are a derived total which gives you the total projected production. The projected total is made up of past and current Actual amounts + future Planned values.

It is important to note that all totals are ONLY for the phase which you are in. If you would like to see totals across all phases it is necessary to go to the ***Reports Tab***.

**Data Entry on the Production Screens** - Each time you view a production screen you have the capability to enter data. At any given time, the only data that can be entered/edited/altered is the following:

- Future Planned Values - you can alter your future scheduled production or future planned values.
- Current Quarter Actual - You can only enter Actual production amounts for the current quarter.

It is important to ensure that all data entered is accurate because you will not have the ability to enter data for periods that occurred in the past.




*Once your production activity is scheduled out, the only data you can alter is marked with red dots. This includes:*

- *Current Quarter Actual*
- *Future Planned Values*

# Certification of Mixed-Finance Procurement

**U.S. Department of Housing and Urban Development**
Office of Public Housing Investments

## To be completed by Executive Director of Public Housing Authorities

| 1. Public Housing Authority Name | 2. Site Name | 3. Procurement of<br>❑ Program Manager<br>❑ Developer | 4. Date of RFP/RFQ Issuance<br>____/____/____<br>mm dd yy |
|---|---|---|---|
| 5. Name of PHA Staff Who Attended Mixed-Finance Procurement Training | | 6. Date of Training<br>____/____/____<br>mm dd yy | 7. Grant or Project Number |

Acting on behalf on the above named Housing Authority as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the named mixed-finance procurement:

I further certify by checking the following that:

❑ Yes ❑ N/A This Public Housing Authority is authorized to certify a mixed-finance procurement, as (a) the above listed staff member attended the HUD Mixed-Finance Procurement training; and (b) this Housing Authority is not troubled or mod troubled and is not otherwise required to submit procurement to HUD for review.

❑ Yes ❑ N/A That the Housing Authority has followed all applicable federal, state, and local laws, as well as its internal procurement procedures, in conducting this procurement.

❑ Yes ❑ N/A That the Housing Authority understands and follows the provision contained in 24 CFR 941.602(d)(1), which states that a PHA may select a partner using competitive proposal procedures for qualifications-based procurement (subject to negotiation of fair and reasonable compensation, including TDC and other applicable cost limitations).

❑ Yes ❑ N/A That the Housing Authority understands and has complied with each of the following provisions of 24 C.F.R. part 85.36:

**(b) Procurement standards.**

❑ Yes ❑ N/A (1) Grantees will use their own procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this section.

❑ Yes ❑ N/A (2) Grantees will maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

❑ Yes ❑ N/A (3) Grantees will maintain a written code of standards of conduct governing the performance of their employees engaged in the award and administration of contracts. No employee, officer or agent of the grantee shall participate in selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

(i) The employee, officer or agent,

(ii) Any member of his immediate family,

(iii) His or her partner, or

(iv) An organization which employs, or is about to employ, any of the above, has a financial or other interest in the firm selected for award. The grantee's officers, employees or agents will neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subagreements. Grantee and subgrantees may set minimum rules where the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value. To the extent permitted by State or local law or regulations, such standards or conduct will provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the grantee's officers, employees, or agents, or by contractors or their agents. The awarding agency may in regulation provide additional prohibitions relative to real, apparent, or potential conflicts of interest.

❑ Yes ❑ N/A (8) Grantees will make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.

❑ Yes ❑ N/A (9) Grantees will maintain records sufficient to detail the significant history of a procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.

❑ Yes ❑ N/A (11) Grantees alone will be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. These issues include, but are not limited to source evaluation, protests, disputes, and claims. These standards do not relieve the grantee of any contractual responsibilities under its contracts. Federal agencies will not substitute their judgment for that of the grantee unless the matter is primarily a Federal concern. Violations of law will be referred to the local, State, or Federal authority having proper jurisdiction.

❑ Yes ❑ N/A (12) Grantees will have protest procedures to handle and resolve disputes relating to their procurements and shall in all instances disclose information regarding the protest to the awarding agency. A protestor must exhaust all administrative remedies with the grantee and subgrantee before pursuing a protest with the Federal agency. Reviews of protests by the Federal agency will be limited to:

(i) Violations of Federal law or regulations and the standards of this section (violations of State or local law will be under the jurisdiction of State or local authorities) and

(ii) Violations of the grantee's protest procedures for failure to review a complaint or protest. Protests received by the Federal agency other than those specified above will be referred to the grantee.

**(c) Competition.**

❑ Yes ❑ N/A (1) All procurement will be conducted in a manner providing full and open competition consistent with the standards of Sec. 85.36. Some of the situations considered to be restrictive of competition include but are not limited to:

(i) Placing unreasonable requirements on firms in order for them to qualify to do business,

(ii) Requiring unnecessary experience and excessive bonding,

(iii) Noncompetitive pricing practices between firms or between affiliated companies,

(iv) Noncompetitive awards to consultants that are on retainer contracts,

(v) Organizational conflicts of interest,

(vi) Specifying only a brand name product instead of allowing an equal product to be offered and describing the performance of other relevant requirements of the procurement, and

(vii) Any arbitrary action in the procurement process.

❑ Yes ❑ N/A (2) Grantees will conduct procurements in a manner that prohibits the use of statutorily or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts State licensing laws. When contracting for architectural and engineering (A/E) services, geographic location may be a selection criteria provided its application leaves an appropriate

number of qualified firms, given the nature and size of the project, to compete for the contract

☐ Yes ☐ N/A (3) Grantees will have written selection procedures for procurement transactions. These procedures will ensure that all solicitations:
(i) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured, and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a brand name or equal description may be used as a means to define the performance or other salient requirements of a procurement. The specific features of the named brand which must be met by offerors shall be clearly stated; and
(ii) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

☐ Yes ☐ N/A (4) Grantees will ensure that all prequalified lists of persons, firms, or products which are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. Also, Grantees will not preclude potential bidders from qualifying during the solicitation period.

**(d) Methods of procurement to be followed.**

☐ Yes ☐ N/A (3) Procurement by competitive proposals. The technique of competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed-price or cost-reimbursement type contract is awarded. It is generally used when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:
(i) Requests for proposals will be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals shall be honored to the maximum extent practical;
(ii) Proposals will be solicited from an adequate number of qualified sources;
(iii) Grantees will have a method for conducting technical evaluations of the proposals received and for selecting awardees;
(iv) Awards will be made to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and
(v) Grantees may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. **Per 24 CFR parts 941 and 85, this method, where price is not used as a selection factor, may only be used for the procurement of A/E or development services.**

**(e) Contracting with small and minority firms, women's business enterprise and labor surplus area firms.**

☐ Yes ☐ N/A (1) The grantee and subgrantee will take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.

☐ Yes ☐ N/A (2) Affirmative steps shall include:
(i) Placing qualified small and minority businesses and women's business enterprises on solicitation lists; ii) Assuring that small and minority businesses, and women's business enterprises are solicited when-ever they are potential sources;
(iii) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;
(iv) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
(v) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and
(vi) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (e)(2) (i) through (v) of this section.

**(f) Contract cost and price.**

☐ Yes ☐ N/A (1) Grantees must perform a cost or price analysis in connection with every procurement action including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation but as a starting point, grantees must make independent estimates before receiving bids or proposals. A cost analysis must be performed when the offeror is required to submit the elements of his estimated cost, e.g., under professional, consulting, and architectural engineering services con-tracts. A cost analysis will be necessary when adequate price competition is lacking, and for sole source procurements, including contract modifications or change orders, unless price reasonable-ness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation. A price analysis will be used in all other instances to determine the reasonableness of the proposed contract price.

☐ Yes ☐ N/A (2) Grantees will negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

☐ Yes ☐ N/A (3) Costs or prices based on estimated costs for contracts under grants will be allowable only to the extent that costs incurred or cost estimates included in negotiated prices are consistent with Federal cost principles (see Sec. 85.22). Grantees may reference their own cost principles that comply with the applicable Federal cost principles.

☐ Yes ☐ N/A (4) The cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used.

**(g) Awarding agency review.**

☐ Yes ☐ N/A (1) Grantees must make available, upon request of the awarding agency, technical specifications on proposed procurements where the awarding agency believes such review is needed to ensure that the item and/or service specified is the one being proposed for purchase. This review generally will take place prior to the time the specification is incorporated into a solicitation document. However, if the grantee desires to have the review accomplished after a solicitation has been developed, the awarding agency may still review the specifications, with such review usually limited to the technical aspects of the proposed purchase.

☐ Yes ☐ N/A (2) Grantees must on request make available for awarding agency pre-award review procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc. when:
(i) A grantee's procurement procedures or operation fails to comply with the procurement standards in this section; or
(ii) The procurement is expected to exceed the simplified acquisition threshold and is to be awarded without competition or only one bid or offer is received in response to a solicitation; or
(iii) The procurement, which is expected to exceed the simplified acquisition threshold, specifies a ``brand name" product; or
(iv) The proposed award is more than the simplified acquisition threshold and is to be awarded to other than the apparent low bidder under a sealed bid procurement; or
(v) A proposed contract modification changes the scope of a contract or increases the contract amount by more than the simplified acquisition threshold.

☐ Yes ☐ N/A (3) A grantee will be exempt from the pre-award review in paragraph (g)(2) of this section if the awarding agency determines that its procurement systems comply with the standards of this section.
(i) A grantee may request that its procurement system be reviewed by the awarding agency to determine whether its system meets these standards in order for its system to be certified. Generally, these reviews shall occur where there is a continuous high-dollar funding, and third-party contracts are awarded on a regular basis.
(ii) A grantee may self-certify its procurement system. Such self-certification shall not limit the awarding agency's right to survey the system. Under a self-certification procedure, awarding agencies may wish to rely on written assurances from the grantee that it is complying with these standards. A grantee will cite specific procedures, regulations, standards, etc., as being in compliance with these requirements system available for review.

**(i) Contract provisions.**
A grantee's contracts must contain provisions in paragraph (i) of this section. Federal agencies are permitted to require and have its changes, remedies, changed conditions, access and records retention, suspension of work, and other clauses approved by the Office of Federal Procurement Policy.

❑ Yes ❑ N/A (1) Administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate. (Contracts more than the simplified acquisition threshold).

❑ Yes ❑ N/A (2) Termination for cause and for convenience by the grantee including the manner by which it will be effected and the basis for settlement. (All contracts in excess of $10,000).

❑ Yes ❑ N/A (3) Compliance with Executive Order 11246 of September 24, 1965, entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967, and as supplemented in Department of Labor regulations (41 CFR chapter 60). (All construction contracts awarded in excess of $10,000 by grantees and their contractors or subgrantees).

❑ Yes ❑ N/A (4) Compliance with the Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR part 3). (All contracts and subgrants for construction or repair).

❑ Yes ❑ N/A (5) Compliance with the Davis-Bacon Act (40 U.S.C. 276a to 276a-7) as supplemented by Department of Labor regulations (29 CFR part 5). (Construction contracts in excess of $2000 awarded by Grantees when required by Federal grant program legislation).

❑ Yes ❑ N/A (6) Compliance with Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR part 5). (Construction contracts awarded by Grantees in excess of $2000, and in excess of $2500 for other contracts which involve the employment of mechanics or laborers).

❑ Yes ❑ N/A (7) Notice of awarding agency requirements and regulations pertaining to reporting.

❑ Yes ❑ N/A (8) Notice of awarding agency requirements and regulations pertaining to patent rights with respect to any discovery or invention which arises or is developed in the course of or under such contract.

❑ Yes ❑ N/A (9) Awarding agency requirements and regulations pertaining to copyrights and rights in data.

❑ Yes ❑ N/A (10) Access by the grantee, the subgrantee, the Federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records of the contractor which are directly pertinent to that specific contract for the purpose of making an audit, examination, excerpts, and transcriptions.

❑ Yes ❑ N/A (11) Retention of all required records for three years after grantees or subgrantees make final payments and all other pending matters are closed.

❑ Yes ❑ N/A (12) Compliance with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 U.S.C. 1857(h)), section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15). (Contracts, subcontracts, and subgrants of amounts in excess of $100,000).

❑ Yes ❑ N/A (13) Mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871).

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

| Name of Authorized Official: | Title: |
|---|---|
| Signature: X | Date: ____/____/____ mm dd yy |



[FR Doc. 01–8528 Filed 4–5–01; 8:45 am]
BILLING CODE 4210–33–C