



United States Department of Agriculture

Rural Development  
State Office  
230 N. 1<sup>st</sup> Avenue  
#206  
Phoenix, AZ 85003

September 23, 2013

Voice: 602-280-8701  
Fax: 602-280-8770  
TDD 602-280-8705

Margaret Kish, Director  
Pima County Community Development and  
Neighborhood Conservation Department  
Kino Service Center  
2797 East Ajo Way  
Tucson, AZ 85713

Dear Ms. Kish:

The Housing Preservation Grant (HPG) in the respective amount of \$25,125.00 has been awarded to the Pima County Community Development and Neighborhood Conservation Department. The grant amount that could be awarded is only half of what is available to the state of Arizona. Please revise the number of dwellings to be rehabilitated when submitting your full application for the rural areas to be serviced in Pima County.

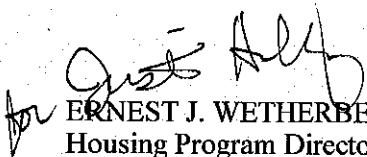
Conditions governing this grant are found in the "Housing Preservation Grant Agreement" (copy attached). Once the Grant Agreement is signed and dated, please return it to our office for signature as soon as possible.

You also have a copy of the RD Instruction 19944-N which outlines additional requirements for the households to be repaired, environmental requirements, and authorized use of funds. You will be expected to become familiar with this regulation and follow it.

Attached is RD Instruction 1944-N, Exhibit E-1, Quarterly Performance Report, which must be submitted to our office during the grant period. To assist you in preparation of the form, also attached is RD Instruction, 1944-E-2, example and explanation. After receipt of the quarterly reports, SF270, Request for Advance or Reimbursement, will be used to obtain monthly draws on the grant. This form will be provided by the Multi-Family Housing Staff as needed.

If you need further assistance, please contact our office at 602-280-8765.

Sincerely,

  
ERNEST J. WETHERBEE  
Housing Program Director

To file a complaint of discrimination, write to: USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410 Or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). "USDA is an equal opportunity provider and employer."

U.S. DEPARTMENT OF AGRICULTURE  
NOTICE OF PREAPPLICATION REVIEW ACTION

From: USDA RURAL DEVELOPMENT

(Department, bureau, or establishment)

To: Pima County Community Development and  
Neighborhood Conservation Department  
2797 E. Ajo Way  
Tucson, AZ 85713

Agency Number

07

Reference Your Preapplication

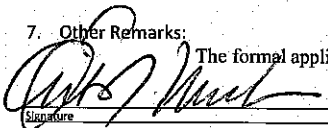
Number 10.433

Dated: 08/01/13

1. We have reviewed your preapplication for Federal assistance under Housing Preservation Grant and have determined that your proposal is:  
☒ eligible for funding by this agency and can compete with similar applications from other grantees.  
☐ eligible but does not have the priority necessary for further consideration at this time.  
☐ not eligible for funding by this agency.
2. Therefore, we suggest that you:  
☒ file a formal application with us by (date) 10/20/13  
☐ file an application with \_\_\_\_\_ (Suggested Federal agency).  
☐ find other means of funding this project.
3. Based upon the funds available for this program over the last two fiscal years and the number of applications reviewed or pending, we anticipate that funds for which you are competing will be available after (month, year) \_\_\_\_\_
4. You requested \$ 50,000.00 Federal funding in your preapplication form and we  
☒ are agreeable to consideration of approximately this amount in the formal application. \*\$25,125.00  
☐ will need to analyze the amount requested in more detail.
5. A preapplication conference will be \_\_\_\_\_ necessary ☒ not necessary. We are recommending that it be held at \_\_\_\_\_ on \_\_\_\_\_ at \_\_\_\_\_ a.m./p.m. Please contact the undersigned for confirmation.
6. Enclosures: \_\_\_\_\_ Forms \_\_\_\_\_ Instructions \_\_\_\_\_ Other (Specify) \_\_\_\_\_

7. Other Remarks:

The formal application will need to address the goals that will be able to met at the awarded amount of \$25,125.00



Housing Program Director

07/10/2013

9-20-13

USDA RD  
Organization Unit

State Office  
Administrative Office

(602) 280-8765  
Telephone Number

USDA RURAL DEVELOPMENT

State Office

Address 230 N. First Avenue, Suite 206, Phoenix, AZ 85003-1706

NOTE: This form will be used by Federal agencies to inform applicants of the results of a review of their preapplications request for Federal Assistance. When the review cannot be performed within 45 days, the applicant shall be informed by letter as to when the review will be completed. When Federal agencies determine that the proposal is not eligible for Federal assistance, specific reasons should be provided in Item 7, Other Remarks.

YOU ARE INSTRUCTED TO PREPARE A FULL APPLICATION AT THIS TIME. MAKE ANY REVISIONS OR AMENDMENTS THAT MUST BE INCORPORATED INTO THE STATEMENT OF ACTIVITIES OR BUDGET. YOU ARE ADVISED AGAINST TAKING ANY ACTIONS OR INCURRING ANY OBLIGATIONS WHICH WOULD EITHER LIMIT THE RANGE OF ALTERNATIVES TO BE CONSIDERED, OR WHICH WOULD HAVE AN ADVERSE EFFECT ON THE ENVIRONMENT. SATISFACTORY COMPLETION OF THE ENVIRONMENTAL REVIEW PROCESS **MUST** OCCUR **PRIOR** TO GRANT APPROVAL OR OBLIGATION OF FUNDS, WHICHEVER OCCURS FIRST. **PLEASE SIGN THE ATTACHED FORM FmHA-1940-1, "REQUEST FOR OBLIGATION OF FUNDS", AND SUBMIT WITH YOUR APPLICATION. (BLOCK 45)**

THANK YOU

ATTACHMENT

HOUSING PRESERVATION GRANT AGREEMENT

This agreement dated September 20, 2013, is between  
Pima County Development and Neighborhood Conservation Department (name),  
2797 East Ajo Way, Tucson, AZ 85713 (address), the  
grantee, organized and operating under Pima County  
(authorizing State statute), and  
the United States of America acting through the Rural Development. Rural  
Development agrees to grant a sum not to exceed \$ 25,125.00,  
subject to the terms and conditions of this agreement; provided, however, that  
the grant funds actually advanced and not needed for grant purposes shall be  
returned immediately to Rural Development. The Housing Preservation Grant  
(HPG) statement of activities approved by Rural Development, is attached, and  
shall commence within 10 days of the date of execution of this agreement by  
Rural Development and be completed by September 20, 2015 (date). Rural  
Development may terminate the grant in whole, or in part, at any time before  
the date of completion, whenever it is determined that the grantee has failed  
to comply with the conditions of this grant agreement or Rural Development  
regulations related hereto. The grantee may appeal adverse decisions in  
accordance with Rural Development's appeal procedures contained in Subpart B  
of Part 1900 of this chapter.

In consideration of said grant by Rural Development to the grantee, to be made  
pursuant to Section 533 of the Housing Act of 1949, HPG program, the grantee  
will provide such a program in accordance with the terms of this grant  
agreement and applicable Rural Development regulations.

PART A Definitions.

1. "Beginning date" means the date this agreement is executed by Rural Development and costs can be incurred.
2. "Ending date" means the date this agreement is scheduled to be completed. It is also the latest date grant funds will be provided under this agreement, without an approved extension.
3. "Disallowed costs" are those charges to a grant which Rural Development determines cannot be authorized in accordance with applicable Federal cost principles contained in 7 CFR Parts 3015 and 3016, as appropriate.
4. "Grant closeout" is the process by which the grant operation is concluded at the expiration of the grant period or following a decision to terminate the grant.

5. "Termination" of the grant means the cancellation of Federal assistance, in whole or in part, at any time before the date of completion.

PART B      Terms of agreement.

Rural Development and the grantee agree that:

1. All grant activities shall be limited to those authorized in this subpart.
2. This agreement shall be effective when executed by both parties.
3. The HPG activities approved by Rural Development shall commence and be completed by the date indicated above, unless earlier terminated under paragraph B, 18, of this grant agreement, or extended.
4. The grantee shall carry out the HPG activities and processes as described in the approved statement of activities which is made a part of this grant agreement. Grantee will be bound by the activities and processes set forth in the statement of activities and the further conditions set forth in this grant agreement. If the statement of activities is inconsistent with this grant agreement, then the latter will govern. A change of any activities and processes must be in writing and must be signed by the approval official.
5. The grantee shall use grant funds only for the purposes and activities approved by Rural Development in the HPG budget. Any uses not provided for in the approved budget must be approved in writing by Rural Development in advance.
6. If the grantee is a private nonprofit corporation, expenses charged for travel or per diem will not exceed the rates paid to Federal employees or (if lower) an amount authorized by the grantee for similar purposes. If the grantee is a public body, the rates will be those that are allowable under the customary practice in the government of which the grantee is a party; if none are customary, the Rural Development rates will be the maximum allowed.

7. Grant funds will not be used for any of the following:
  - (a) To pay obligations incurred before the beginning date or after the ending date of this agreement;
  - (b) For any entertainment purposes;
  - (c) To pay for any capital assets, the purchase of real estate or vehicles, the improvement or renovation of the grantee's office space, or for the repair or maintenance of privately owned vehicles;
  - (d) Any other purpose specified in \$1944.664 (g) or \$1944.666 (b) of this subpart; or
  - (e) For administrative expenses exceeding 20 percent of the HPG grant funds.
8. The grant funds shall not be used to substitute for any financial support previously provided and currently available or assured from any other source.
9. The dispersal of grants will be governed as follows:
  - (a) In accordance with Treasury Circular 1075 (fourth revision) Part 205, Chapter II of Title 31 of the Code of Federal Regulations, grant funds will be provided by Rural Development as cash advances on an as needed basis not to exceed one advance every 30 days. The advance will be made by direct Treasury check to the grantee. In addition, the grantee must submit Standard Form (SF) 272, "Federal Cash Transactions Report," each time an advance of funds is made. This report shall be used by Rural Development to monitor cash advances made to the grantee. The financial management system of the recipient organization shall provide for effective control over and accountability for all Federal funds as stated in 7 CFR Parts 3015 and 3016.

(b) Cash advances to the grantee shall be limited to the minimum amounts needed and shall be timed to be in accord only with the actual, immediate cash requirements of the grantee in carrying out the purpose of the planned project. The timing and amount of cash advances shall be as close as administratively feasible to the actual disbursements by the grantee for direct program costs (as identified in the grantee's statement of activities and budget and fund use plan) and proportionate share of any allowable indirect costs.

(c) Grant funds should be promptly refunded to the Rural Development and redrawn when needed if the funds are erroneously drawn in excess of immediate disbursement needs. The only exceptions to the requirement for prompt refunding are when the funds involved:

(i) Will be disbursed by the recipient organization within 7 calendar days from the date of the Treasury check; or

(ii) Are less than \$10,000 and will be disbursed within 30 calendar days from the date of the Treasury check.

(d) Grantee shall provide satisfactory evidence to Rural Development that all officers of the grantees' organization authorized to receive and/or disburse Federal funds are covered by fidelity bonds in an amount not to exceed the grant amount to protect Rural Development's interests.

10. The grantee will submit performance, financial, and annual reports as indicated in this subpart to the appropriate Rural Development office. These reports must be reconciled to the grantees' accounting records, especially on the final report.

(a) As needed, but not more frequently than once every 30 calendar days, submit an original and two copies of SF-270, "Request for Advance or Reimbursement." In addition, the grantee must submit an SF-272, each time an advance of funds is made. This report shall be used by Rural Development to monitor cash advances made to the grantee.

(b) Quarterly reports will be submitted within 15 days, but no later than 45 days after the end of each calendar quarter. An original and one copy of SF-269, "Financial Status Report," and a quarterly performance report in accordance with \$1944.683 of this subpart. Item 10, g (total program outlays) of SF-269, should be less any rebates, refunds, or other discounts.

(c) Within 90 days after the termination or expiration of the grant agreement, an original and two copies of SF-269, and a final performance report which will include a summary of the project's accomplishments, problems, and planned future activities of the grantee for HPG. Final reports may serve as the last quarterly report.

(d) Rural Development may require performance reports more frequently if deemed necessary.

11. In accordance with Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State and Local Governments" (available in any Rural Development office), compensation for employees will be considered reasonable to the extent that such compensation is consistent with that paid for similar work in other activities of the State or local government.

12. If the grant exceeds \$100,000, cumulative transfers among direct cost budget categories totaling more than 5 percent of the total budget must have prior written approval by Rural Development.

13. The results of the program assisted by grant funds may be published by the grantee without prior review by Rural Development, provided that such publications acknowledge the support provided by funds pursuant to the provisions of Title V of the Housing Act of 1949, as amended, and that five copies of each such publications are furnished to Rural Development.

14. The grantee certifies that no person or organization has been employed or retained to solicit or secure this grant for a commission, percentage, brokerage, or contingent fee.

15. No person in the United States shall, on the grounds of race, religion, color, sex, familial status, age, national origin, or handicap, be excluded from participating in, be denied the proceeds of, or be subject to discrimination in connection with the use of grant funds. Grantee will comply with the nondiscrimination regulations of Rural Development contained in Subpart E of Part 1901 of this chapter.

16. In all hiring or employment made possible by or resulting from this grant, the grantee:

(a) Will not discriminate against any employee or applicant for employment because of race, religion, color, sex, familial status, age, national origin, or handicap, and

(b) Will take affirmative action to insure that employees are treated during employment without regard to their race, religion, color, sex, familial status, age, national origin, or handicap. This requirement shall apply to, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation; and selection for training, including apprenticeship.

(c) In the event grantee signs a contract related to this grant which would be covered by any Executive Order, law, or regulation prohibiting discrimination, grantee shall include in the contract the "Equal Employment Clause" as specified by Form RD 400-1, "Equal Opportunity Agreement."

17. The grantee accepts responsibility for accomplishing the HPG program as submitted and included in its preapplication, application, including its statement of activities. The grantee shall also:

(a) Endeavor to coordinate and provide liaison with State and local housing organizations, where they exist.

(b) Provide continuing information to Rural Development on the status of grantee HPG programs, projects, related activities, and problems.



(c) Inform Rural Development as soon as the following types of conditions become known:

(i) Problems, delays, or adverse conditions which materially affect the ability to attain program objectives, prevent the meeting of time schedules or goals, or preclude the attainment of project work units by established time periods. This disclosure shall be accompanied by a statement of the action taken or contemplated, new time schedules required and any Rural Development assistance needed to resolve the situation.

(ii) Favorable developments or events which enable meeting time schedules and goals sooner than anticipated or producing more work units than originally projected.

18. The grant closeout and termination procedures will be as follows:

(a) Promptly after the date of completion or a decision to terminate a grant, grant closeout actions are to be taken to allow the orderly discontinuation of grantee activity.

(i) The grantee shall immediately refund to Rural Development any uncommitted balance of grant funds.

(ii) The grantee will furnish to Rural Development within 90 calendar days after the date of completion of the grant, SF-269 and all financial, performance, and other reports required as a condition of the grant, including a final audit report, as required by 7 CFR Parts 3015 and 3016.

(iii) The grantee shall account for any property acquired with HPG grant funds or otherwise received from Rural Development.

(iv) After the grant closeout, Rural Development retains the right to recover any disallowed costs which may be discovered as a result of an audit.

(b) When there is reasonable evidence that the grantee has failed to comply with the terms of this grant agreement, the State Director can, on reasonable notice, suspend the grant pending corrective action or terminate the grant in accordance with paragraph B, 18 (c) of this grant agreement. In such instances, Rural Development may reimburse the grantee for eligible costs incurred prior to the effective date of the suspension or termination and may allow all necessary and proper costs which the grantee could not reasonably avoid. Rural Development will withhold further advances and grantees are prohibited from further use of grant funds, pending corrective action.

(c) Grant termination will be based on the following:

(i) Termination for cause. This grant may be terminated in whole, or in part, at any time before the date of completion, whenever Rural Development determines that the grantee has failed to comply with the terms of this agreement. The reasons for termination may include, but are not limited to, such problems as:

(A) Failure to make reasonable and satisfactory progress in attaining grant objectives.

(B) Failure of grantee to use grant funds only for authorized purposes.

(C) Failure of grantee to submit adequate and timely reports of its operation.

(D) Violation of any of the provisions of any laws administered by Rural Development or any regulation issued thereunder.

(E) Violation of any nondiscrimination or equal opportunity requirement administered by Rural Development in connection with any Rural Development programs.

(F) Failure to maintain an accounting system acceptable to Rural Development.

(ii) Termination for convenience. Rural Development or the grantee may terminate the grant in whole, or in part, when both parties agree that the continuation of the project would not produce beneficial results commensurate with the further expenditure of funds. The two parties shall agree upon the termination conditions, including the effective date and, in case of partial termination, the portion to be terminated.

(d) Rural Development shall notify the grantee in writing of the determination and the reasons for and the effective date of the suspension or termination. Except for termination for convenience, grantees have the opportunity to appeal a suspension or termination under Rural Development's appeal procedure, Subpart B of Part 1900 of this chapter.

19. Upon any default under its representatives or agreements set forth in this instrument, the grantee, at the option and demand of Rural Development, will, to the extent legally permissible, repay to Rural Development forthwith the grant funds received with interest at the rate of 5 percent per annum from the date of the default. The provisions of this grant agreement may be enforced by Rural Development, at its options and without regard to prior waivers by it or previous defaults of the grantee, by judicial proceedings to require specific performance of the terms of this grant agreement or by such other proceedings in law or equity, in either Federal or State courts, as may be deemed necessary by Rural Development to assure compliance with the provisions of this grant agreement and the laws and regulations under which this grant is made.

20. Extension of this grant agreement, modifications of the statement of activities, or changes in the grantee's budget may be approved by Rural Development provided, in Rural Development's opinion, the extension or modification is justified and there is a likelihood that the grantee can accomplish the goals set out and approved in the statement of activities during the period of the extension and/or modifications as specified in §1944.684 of this subpart.

PART C      Grantee agrees:

1. To comply with property management standards for expendable and nonexpendable personal property established by 7 CFR Parts 3015 and 3016.
2. To provide a financial management system which will include:
  - (a) Accurate, current, and complete disclosure of the financial results of each grant. Financial reporting will be on a cash basis. The financial management system shall include a tracking system to insure that all program income, including loan repayments, are used properly.
  - (b) Records which identify adequately the source and application of funds for grant-supported activities. Those records shall contain information pertaining to grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.
  - (c) Effecting control over and accountability for all funds, property, and other assets. Grantee shall adequately safeguard all such assets and shall assure that they are solely for authorized purposes.
  - (d) Accounting records supported by source documentation.
3. To retain financial records, supporting documents, statistical records, and all other records pertinent to the grant for a period of at least 3 years after the submission of the final performance report, in accordance with paragraph B 10 (c) of this grant agreement, except in the following situations:
  - (a) If any litigation, claim, audit, or investigation is commenced before the expiration of the 3-year period, the records shall be retained until all litigations, claims, audit, or investigative findings involving the records have been resolved.
  - (b) Records for nonexpendable property acquired by Rural Development, the 3-year retention requirement is not applicable.

(c) When records are transferred to or maintained by Rural Development, the 3-year retention requirement is not applicable.

(d) Microfilm copies may be substituted in lieu of original records. Rural Development and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the grantee which are pertinent to the specific grant program for the purpose of making audits, examinations, excerpts, and transcripts.

4. To provide information as requested by Rural Development concerning the grantee's actions in soliciting citizen participation in the applications process, including published notices of public meetings, actual public meetings held, and content of written comments received.
5. Not to encumber, transfer, or dispose of the property or any part thereof, furnished by Rural Development or acquired wholly or in part with HPG funds without the written consent of Rural Development.
6. To provide Rural Development with such periodic reports of grantee operations as may be required by authorized representatives of Rural Development.
7. To execute Form RD 400-1, and to execute any other agreements required by Rural Development to implement the civil rights requirements.
8. To include in all contracts in excess of \$100,000, a provision for compliance with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, 42 U.S.C. §1875C-9, as amended. Violations shall be reported to Rural Development and the Regional Office of the Environmental Protection Agency.
9. That no member of Congress shall be admitted to any share or part of this grant or any benefit that may arise therefrom, but this provision shall not be construed to bar as a contractor under the grant a public-held corporation whose ownership might include a member of Congress.

10. That all nonconfidential information resulting from its activities shall be made available to the general public on an equal basis.

11. That the purpose for which this grant is made may complement, but shall not duplicate programs for which monies have been received, are committed, or are applied for from other sources, public and private.

12. That the grantee shall relinquish any and all copyrights and/or privileges to the materials developed under this grant, such material being the sole property of the Federal Government. In the event anything developed under this grant is published in whole or in part, the material shall contain a notice and be identified by language to the following effect: "The material is the result of tax-supported research and as such is not copyrightable. It may be freely reprinted with the customary crediting of the source."

13. That the grantee shall abide by the policies promulgated in 7 CFR Parts 3015 or 3016, as applicable, which provides standards for use by grantees in establishing procedures for the procurement of supplies, equipment, and other services with Federal grant funds.

14. That it is understood and agreed that any assistance granted under this grant agreement will be administered subject to the limitations of Title V of the Housing Act of 1949, as amended, 42 U.S.C 1471, et. seq., and related regulations, and that all rights granted to Rural Development herein or elsewhere may be exercised by it in its sole discretion to carry out the purposes of the assistance, and protect Rural Development's financial interest.

15. That the grantee will adopt a standard of conduct that provides that, if an employee, officer, or agency of the grantee, or such person's immediate family members conducts business with the grantee, the grantee must not:

- (a) Participate in the selection, award, or administration of a contract to such persons for which Federal funds are used;

(b) Knowingly permit the award or administration of the contract to be delivered to such persons or other immediate family members or to any entity (i.e., partnerships, corporations, etc.) in which such persons or their immediate family members have an ownership interest; or

(c) Permit such person to solicit or accept gratuities, favors, or anything of monetary value from landlords or developers of rental or ownership housing projects or any other person receiving HPG assistance.

16. That the grantee will be in compliance with and provide the necessary forms concerning the Debarment and Suspension and the Drug-free Workplace requirements found in §1944.654 of this subpart.

17. That the grantee will comply with the requirements in respect to rental properties and cooperatives (co-ops) and will execute an agreement with the owners or co-op as found in §§1944.662 and 1944.663 of this subpart, specifically:

(a) If the co-op or rental property owner(s) or their successors in interest fail to carry out the requirements of this grant agreement, the ownership agreement, or any requirements noted in this subpart during the applicable period, they shall make a payment to Rural Development in an amount that equals the total amount of the assistance provided by the grantee plus interest thereon (without compounding) for each year and any fraction thereof that the assistance was outstanding. The interest rate shall be that as determined by Rural Development at the time of infraction taking into account the average yield on outstanding marketable long-term obligations of the United States during the month preceding the date on which the assistance was initially made available.

(b) Notwithstanding any other provision of law, any assistance provided shall constitute a debt, which is payable in the case of any failure to carry out the agreement between the grantee and the rental property owner(s) or co-op and shall be secured by the security instruments provided by them to Rural Development.

18. That all requirements of this subpart concerning HPG's will be followed.

PART D      Rural Development agrees:

1. That it will assist the grantee, within available appropriations, with such technical and management assistance as needed in coordinating the statement of activities with local officials, comprehensive plans, and any State or area plans for improving housing for very low- and low-income households in the area in which the project or program is located.

2. That at its sole discretion, Rural Development may at any time give any consent, deferment, subordination, release, satisfaction, or termination of any or all of the grantee's grant obligations, with or without valuable consideration, upon such terms and conditions as the grantor may determine to be:

(a) Advisable to further the purposes of the grant or to protect Rural Development's financial interests therein; and

(b) Consistent with the statutory purposes of the grant and the limitations of the statutory authority under which it is made and Rural Development's regulations.

PART E      Attachments:

The statement of activities is attached to and made a part of this grant agreement.



This grant agreement is subject to current Rural Development regulations and any future regulations not inconsistent with the express terms hereof.

Grantee has caused this grant agreement to be executed by its duly authorized Community Dev. & Neighborhood Conservation Director, properly attested to and its corporate seal affixed by its duly authorized CDNC Director.

Attest:

Grantee:

**Pima County Board of Supervisors**

By: \_\_\_\_\_

CDNC Director

(Title)

Ramón Valadez,  
Chairman

Date of Execution of Grant Agreement by Grantee:

Date

United States Of America  
Rural Development

By: \_\_\_\_\_

Clerk, Board of Supervisors

(Title)

Date

Date of Execution of Grant Agreement by Rural  
Development:

**Approved as to form:**

oOo

Karen S. Friar  
Deputy County Attorney

QUARTERLY (and FINAL) PERFORMANCE REPORT

Grantee Name: \_\_\_\_\_

Grantee Address: \_\_\_\_\_

Assistance Program: ☐ Homeowner ☐ Rental Property ☐ Co-op

Grant Quarter: ☐ 1st ☐ 2nd ☐ 3rd ☐ 4th ☐ 5th

☐ 6th ☐ 7th ☐ 8th ☐ Final Report

Funding Year: \_\_\_\_\_ Report Period - From: \_\_\_\_\_ To: \_\_\_\_\_

I. GENERAL INFORMATION ON USE OF HOUSING PRESERVATION GRANT  
(HPG) FUNDS DURING CURRENT PERIOD

A. Use of Administrative Funds:

Budgeted Amount	\$ _____
Expended through Last Quarter	\$ _____
Direct Cost - Personnel	\$ _____
Supplies & Equipment	\$ _____
Travel	\$ _____
Other	\$ _____
Total	\$ _____
Indirect Costs - (_____ % Rate)	\$ _____
This Quarter Total	\$ _____
Previous Total	\$ _____
To-date Total	\$ _____

B. Use of Grantee's Program Funds:

Budgeted Amount	\$ _____
Expended through Last Quarter	\$ _____
Loans Number	\$ _____
Grants Number _____	\$ _____
Other Subsidies Number _____	\$ _____

(Describe briefly on an attachment)

This Quarter Total	\$ _____
Previous Total	\$ _____
To-date Total	\$ _____

II. DESCRIPTION OF RECIPIENTS PROVIDED ASSISTANCE DURING REPORT PERIOD  
(Attach breakdown for each HPG recipient on a separate page.

Include: name, address, income, size, race, housing preservation activities, and type of assistance received.)

	<u>This Period</u>	<u>Total To-date</u>
Number low-income persons assisted	_____	_____
Number very low-income persons assisted	_____	_____
Total number of persons assisted	_____	_____

Racial Composition and Outreach

	<u>Total % Pop. of Area Served</u>	<u>Total Number This Period</u>	<u>Total Percent This Period</u>	<u>Total Number To-date</u>	<u>Total Percent To-date</u>
Whites	_____ %	_____	_____ %	_____	_____ %
Blacks	_____ %	_____	_____ %	_____	_____ %
Asian/Pacific Islanders	_____ %	_____	_____ %	_____	_____ %
Amer. Indians/ Alas. Natives	_____ %	_____	_____ %	_____	_____ %
Hispanic	_____ %	_____	_____ %	_____	_____ %
Total		_____	Total	_____	

III. DESCRIPTION OF TYPES OF HOUSING PRESERVATION PROVIDED

<u>Name of Recipient</u>	<u>Cost of Materials &amp; Labor</u>	<u>HPG</u>	<u>Other</u>	<u>Total</u>
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____
	\$ _____	\$ _____	\$ _____	\$ _____

(Use an attachment if necessary)

IV. OBJECTIVES FOR NEXT PERIOD

Loans                      Number \_\_\_\_\_ \$ \_\_\_\_\_

Grants                    Number \_\_\_\_\_ \$ \_\_\_\_\_

Other Subsidies        Number \_\_\_\_\_ \$ \_\_\_\_\_

(Describe briefly on an attachment)

V. PROJECT SUMMARY

	<u>Number of Recipients</u>	<u>HPG Funds</u>	<u>Other Funds</u>
Objective of Project	_____	\$ _____	\$ _____
Assistance To-date	_____	\$ _____	\$ _____
Assistance Next Period	_____	\$ _____	\$ _____

Average Amount of HPG Assistance Provided To-date \$ \_\_\_\_\_

(Per Unit)

VI. NARRATIVE

A. Significant accomplishments:

B. Problem areas:

C. Proposed changes or assistance needed, etc.:

D. Status of implementing Environmental and Historic Preservation requirements. Include number and description of historic properties assisted:

I hereby certify that the information contained herein is true and accurate to the best of my knowledge and in accordance with the requirements of the Grant Agreement and Subpart N of Part 1944 of this chapter and that all final inspections have been made.

\_\_\_\_\_  
Date Prepared

\_\_\_\_\_  
Signature of Preparer

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Grantee's Signature

This report is in compliance with Subpart N of Part 1944 of this chapter.

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Rural Development

QUARTERLY (and FINAL) PERFORMANCE REPORT  
[example and explanation]

Grantee Name: \_\_\_\_\_  
(1)

Grantee Address: \_\_\_\_\_  
(2)

Assistance Program: [ ] Homeowner [ ] Rental Property [ ] Co-op  
(3)

Grant Quarter: [ ] 1st [ ] 2nd [ ] 3rd [ ] 4th [ ] 5th  
(4)

[ ] 6th [ ] 7th [ ] 8th [ ] Final Report

Funding Year: \_\_\_\_\_ Report Period - From: \_\_\_\_\_ To: \_\_\_\_\_  
(5) (6) (6)

I. GENERAL INFORMATION ON USE OF HOUSING PRESERVATION GRANT  
(HPG) FUNDS DURING CURRENT PERIOD

A. Use of Administrative Funds:

Budgeted Amount	\$	_____
		(7)
Expended through Last Quarter	\$	_____
		(8)
Direct Cost - Personnel	\$	_____
		(9a)
Supplies & Equipment	\$	_____
		(9b)
Travel	\$	_____
		(9c)
Other	\$	_____
		(9d)
Total	\$	_____
		(9e)
Indirect Costs - ( _____ % Rate)	\$	_____
(10a)		(10b)
This Quarter Total	\$	_____
		(11)
Previous Total	\$	_____
		(12)
To-date Total	\$	_____
		(13)

B. Use of Grantee's Program Funds:

	Budgeted Amount	\$	_____
			(14)
	Expended through Last Quarter	\$	_____
			(15)
Loans	Number _____	\$	_____
	(16a)		(16b)
Grants	Number _____	\$	_____
	(16c)		(16d)
Other Subsidies	Number _____	\$	_____
	(16e)		(16f)
(Describe briefly on an attachment)			
	This Quarter Total	\$	_____
			(17)
	Previous Total	\$	_____
			(18)
	To-date Total	\$	_____
			(19)

II. DESCRIPTION OF RECIPIENTS PROVIDED ASSISTANCE DURING REPORT PERIOD  
(Attach breakdown for each HPG recipient on a separate page.

Include: name, address, income, size, race, housing preservation activities, and type of assistance received.)

	<u>This</u> <u>Period</u>	<u>Total</u> <u>To-date</u>
Number low-income persons assisted	_____	_____
	(20a)	(20b)
Number very low-income persons assisted	_____	_____
	(20c)	(20d)
Total number of persons assisted	_____	_____
	(20e)	(20f)
Racial Composition and Outreach		

	Total % Pop. of Area <u>Served</u> (21a)	Total Number This Period (21b)	Total Percent This Period (21c)	Total Number To-date (21d)	Total Percent To-date (21e)
Whites	_____ %	_____	_____ %	_____	_____ %
Blacks	_____ %	_____	_____ %	_____	_____ %
Asian/Pacific Islanders	_____ %	_____	_____ %	_____	_____ %
Amer. Indians/ Alas. Natives	_____ %	_____	_____ %	_____	_____ %
Hispanic	_____ %	_____	_____ %	_____	_____ %
		(21f)		(21g)	
Total		_____	Total	_____	

### III. DESCRIPTION OF TYPES OF HOUSING PRESERVATION PROVIDED

[illegible]

(Use an attachment if necessary)

#### IV. OBJECTIVES FOR NEXT PERIOD

		(23a)	(23b)
Loans	Number	_____	\$ _____
Grants	Number	_____	\$ _____
Other Subsidies	Number	_____	\$ _____

(Describe briefly on an attachment)

## V. PROJECT SUMMARY

	<u>Number of</u> <u>Recipients</u>	<u>HPG</u> <u>Funds</u>	<u>Other</u> <u>Funds</u>
Objective of Project	_____	\$ _____	\$ _____
	(24a)	(24b)	(24c)
Assistance To-date	_____	\$ _____	\$ _____
	(25a)	(25b)	(25c)
Assistance Next Period	_____	\$ _____	\$ _____
	(26a)	(26b)	(26c)
			(25d)
Average Amount of HPG Assistance Provided To-date			\$ _____
			(Per Unit)



VI. NARRATIVE

A. Significant accomplishments:

(27)

B. Problem areas:

(28)

C. Proposed changes or assistance needed, etc.:

(29)

D. Status of implementing Environmental and Historic Preservation requirements. Include number and description of historic properties assisted:

(30)

I hereby certify that the information contained herein is true and accurate to the best of my knowledge and in accordance with the requirements of the Grant Agreement and Subpart N of Part 1944 of this chapter and that all final inspections have been made.

\_\_\_\_\_  
Date Prepared (31a)

\_\_\_\_\_  
Signature of Preparer (31b)

\_\_\_\_\_  
Date Signed (31c)

\_\_\_\_\_  
Grantee's Signature (31d)

This report is in compliance with Subpart N of Part 1944 of this chapter.

\_\_\_\_\_  
Date Signed (32a)

\_\_\_\_\_  
Rural Development (32b)

GUIDELINE FOR PREPARATION

- (1) Insert name of grantee.
- (2) Insert address of grantee.
- (3) Indicate type of assistance program.
- (4) Indicate grant quarter (1st thru 8th) or final report. It is recommended the grantee be on calendar quarters (ending 9/30, 12/31, 3/31, 6/30) as soon as possible after grant signing.
- (5) Insert Fiscal Year funded.
- (6) Insert report period. For example: "8/25 to 9/30" if 1st quarter, or "10/1 to 12/31", etc.

**I. GENERAL INFORMATION ON USE OF HOUSING PRESERVATION GRANT (HPG) FUNDS DURING CURRENT PERIOD**

**A. Use of Administrative Funds: (This section is used to detail how the HPG administrative funds were used during the current quarter.)**

- (7) Insert total amount of HPG administrative funds for the entire project approved in the grantee's budget. In no event should this amount exceed 20 percent of the HPG grant awarded to the grantee.
- (8) Insert amount of HPG administrative funds expended through last quarter. This will be the same amount as item 13 from the previous quarterly performance report.
- (9a- 9d) Insert HPG administrative expenses (Personnel, Supplies & Equipment, Travel, and Other) that are related to HPG activities and so assigned by the grantee.
- (9e) Insert the "Total" for items 9a through 9d.
- (10a) Insert approved or provisional indirect cost rate, if applicable.

(10b) Insert the indirect costs for the quarter, if applicable.

NOTE: Insert the rate and amount only if an indirect cost ratio has been approved or a provisional rate submitted, when used for a given period of time to permit funding and reporting of indirect costs pending establishment of a final rate for that period. When a permanent rate is established, the indirect costs claimed by using the provisional rate are adjusted to reflect the indirect costs based on the permanent rate. Indirect costs are the administrative expenses that are generally not assigned as "direct" costs, which reflect the HPG project's contribution to the overall cost of the organization's operation.

The "indirect cost rate" is established through an agreement between the government agency or nonprofit organization and the cognizant federal agency, which acts on behalf of all other federal agencies in approving the rate. The cognizant federal agency is the agency which provides the largest amount of federal funding for the government agency or nonprofit organization. The indirect costs are eventually grouped into a common pool and distributed to the benefiting projects and activities by a cost allocation process (indirect cost rate) which is applied in determining the amount of indirect cost for each project or activity.

- (11) Insert the total amount of direct cost and indirect cost (items 9e + 10b) for the this quarter total.
- (12) Insert the total amount from the previous quarter (this should be the same as item 8).
- (13) Insert the to-date total (items 11 + 12). This amount will be shown in item 8 for the next quarterly performance report.

**B. Use of Grantee's Program Funds (This section is used to detail how the HPG program funds were used during this quarter.)**

- (14) Insert the amount of HPG program funds budgeted. This amount does not include administrative funds. (Note: Items 7 and 14 should equal the grant amount.)
- (15) Insert amount of HPG program funds expended through last quarter. This will be the same amount as item 19 from the previous quarterly performance report.

- (16a) Insert number of units assisted with loans for this quarter.
- (16b) Insert the amount of HPG program funds for loan assistance, actually used this quarter.
- (16c) Insert number of units assisted with grants for this quarter.
- (16d) Insert the amount of HPG program funds for grant assistance, actually used this quarter.
- (16e) Insert number of units assisted with other subsidies for this quarter.
- (16f) Insert the amount of HPG program funds for other subsidy assistance, actually used this quarter.
- (17) Insert the total amount of HPG program funds used for loans, grants, and other subsidies (items 16b + 16d + 16f) for this quarter.

Compare this amount with last quarter's report (Section IV) to see if the targets are being met. Explain any differences in Section VI of this report.

- (18) Insert the total amount from the previous quarter (this should be the same as item 14).
- (19) Insert the to-date total (items 17 + 18). This amount will be shown in item 15 for the next quarterly performance report.

**II. DESCRIPTION OF RECIPIENTS PROVIDED ASSISTANCE DURING REPORT PERIOD**  
(This section is used to identify the number of low-income and very low-income persons and the racial composition of recipients provided assistance during the report period. Note requirement for attaching a report for each recipient.)

- (20a) Insert number of units occupied by low-income persons assisted for this quarter.
- (20b) Insert the number of units occupied by low-income persons assisted to-date.
- (20c) Insert number of units occupied by very low-income persons assisted for this quarter.

- (20d) Insert the number of units occupied by very low- income persons assisted to-date. This should be consistent with the statement of activities and objectives.
- (20e) Insert the total number of units occupied by very low- income and low- income persons assisted this quarter (items 20a + 20c).
- (20f) Insert the total number of units occupied by very low- and low-income persons assisted to-date (items 20b + 20d).
- (21a) Insert the total percentage of population for the area served for each of the racial categories indicated.
- (21b) Insert the total number of persons assisted this quarter for each racial category indicated.
- (21c) Insert, as a percentage, the total number of persons assisted this quarter for each racial category indicated. This figure is determined by dividing item 21b by 21a.
- (21d) Insert the total number to-date of persons assisted for each racial category indicated. This is an accumulative figure by adding item 21d from the previous quarterly performance report to item 21b from the current quarterly performance report for each racial category indicated.
- (21e) Insert, as a percentage, the total number of persons assisted this quarter for each racial category indicated. This figure is determined by dividing items 21d by 21a.
- (21f) Insert the total of items "21b" to obtain the total number of persons assisted this quarter for all racial categories indicated.
- (21g) Insert the total of items "21d" to obtain the total number to-date of persons assisted for each racial category indicated.

**III. DESCRIPTION OF TYPES OF HOUSING PRESERVATION PROVIDED**

(This section provides, by recipient, a cost of the general labor and materials. While the full breakdown of rehabilitation activities should be in the grantee's file and the attached report for each recipient, this provides an opportunity to summarize the types of activities the HPG program is financing and the costs. Provide attachment if additional space is needed.)

- (22a) Insert the name of recipient who received funds from the grantee.
- (22b) Insert the cost of all materials, labor, etc., (excluding HPG administrative funds) per recipient.
- (22c) Insert the amount of HPG program funds (including HPG administrative funds) per recipient.
- (22d) Insert the amount of other (leveraged funds) per recipient.
- (22e) Insert the total of all funds received by the recipient. This is the sum of items 22c and 22d.

**IV. OBJECTIVES FOR NEXT PERIOD (This section outlines the objectives for the next quarterly period.)**

- (23a) Insert the number of loans, grants, and other subsidies planned for the next quarterly period. Attach a brief statement to this quarterly performance report explaining all deviations (if any) from the statement of activities.
- (23b) Insert the amount of money planned to be used for the loans, grants, and other subsidies for the next quarterly period.

Note: Attach a brief statement to the quarterly report, if necessary, explaining any deviation from the statement of activities.

**V. PROJECT SUMMARY**

- (24a) Insert the total number of recipients that was proposed to be assisted. This information should be the same as in the statement of activities.
- (24b) Insert the total amount of HPG funds (including HPG administrative funds) awarded. This will be the sum of items 7 and 14.

- (24c) Insert the total amount of other funds (leveraged funds) that was originally proposed (or modified) in the statement of activities.
- (25a) Insert the total number of recipients that have received assistance to-date. This will be the same as item 20f.
- (25b) Insert the total amount of HPG funds (including HPG administrative funds) awarded to-date. This will be the sum of items 13 and 19.
- (25c) Insert the total amount of other funds (leveraged funds) that was awarded to-date.
- (25d) Insert the average amount of HPG assistance provided to-date. This is the sum of items 25b and 25c divided by item 25a.
- (26a) Insert the total number of recipients that is proposed to be assisted next quarter. This information should be the same as in the statement of activities.
- (26b) Insert the total amount of HPG funds (including HPG administrative funds) proposed to be used next quarter.
- (26c) Insert the total amount of other funds (leveraged funds) proposed to be used next quarter.

**VI. NARRATIVE**

- (27) Indicate any significant accomplishments such as early start, outreach, additional persons assisted than proposed, etc.
- (28) Indicate any problem areas noted or anticipated, such as under or over estimating rehabilitation/repair costs, delayed job, extensions needed, etc.
- (29) Indicate any proposed changes, assistance needed, etc., such as other subsidies used with HPG funds, targeted population, etc.
- (30) Indicate the status of all environmental reviews made and historic properties assisted.
- (31a) Insert the date signed by the Preparer.
- (31b) Insert the signature of the Preparer.
- (31c) Insert the date signed by the grantee.
- (31d) Insert the signature of the grantee.

(32a) Insert the date signed by the Rural Development reviewer.

(32b) Insert the signature of the Rural Development reviewer.

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