

**Assistance Award/  
Amendment**

**U.S. Department of Housing  
and Urban Development**



Office of Administration

1. Assistance Instrument <input checked="" type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Grant		2. Type of Action <input checked="" type="checkbox"/> Award <input type="checkbox"/> Amendment	
3. Instrument Number CTRIPO007-10		4. Amendment Number	
		5. Effective Date of this Action <b>February 15, 2011</b>	
6. Control Number			
7. Name and Address of Recipient Capitol Region Council of Governments 241 Main Street Hartford, CT: Connecticut 06106-1862  Phone: 860-522-2217 ext. 222 Fax: 860-724-1274		8. HUD Administering Office HUD, Office of Sustainable Housing and Communities 451 Seventh Street, SW Room 10180 Washington, DC 20410	
		8a. Name of Administrator J. Malcom Smith	8b. Telephone Number 202-402-6472
10. Recipient Project Manager Mary Kowalewski, Director of Policy and Planning		9. HUD Government Technical Representative Rachel Kirby, 202-402-6543, Rachel.T.Kirby@hud.gov	
11. Assistance Arrangement <input checked="" type="checkbox"/> Cost Reimbursement <input type="checkbox"/> Cost Sharing <input type="checkbox"/> Fixed Price	12. Payment Method <input type="checkbox"/> Treasury Check Reimbursement <input type="checkbox"/> Advance Check <input checked="" type="checkbox"/> Automated Clearing House	13. HUD Payment Office 801 Cherry Street Unit #45, Suite 2500 Fort Worth, TX 76102	
14. Assistance Amount		15. HUD Accounting and Appropriation Data	
Previous HUD Amount	\$ 0.00	15a. Appropriation Number	15b. Reservation Number
HUD Amount this action	\$ 4,200,000.00	860/20162	
Total HUD Amount	\$ 4,200,000.00	Amount Previously Obligated	\$ 0.00
Recipient Amount	\$ 16,430,999.00	Obligated by this action	\$ 4,200,000.00
Total Instrument Amount	\$ 20,630,999.00	Total Obligated	\$ 4,200,000.00

16. Description  
Employer Identification Number: 06-0845880      Program: SCRPG  
This instrument sets for the agreement between the parties as to all terms and conditions, amounts, tasks, and period of performance. By signing this award document, the Grantee certifies that it is in compliance with all administrative and financial provisions of this award. This grant instrument consists of the following, some of which are incorporated by reference:

1. HUD-1044 and HUD-1044 Continuation Sheets
2. Grant Agreement Terms and Conditions
3. HUD 424-CBW, Total Budget Summary
4. Grant Deliverables (See HUD 1044 Continuation Sheet)
5. Work Plan/Logic Model (Tasks within Work Plan are considered deliverables)
6. OMB Circular A-87, A-133 and A-102, which is incorporated at 24 CFR Part 85
7. Notice of Funding Availability (75 Federal Register 37458, Dock No. FR-5396-N-03, Doc No. 2010-15717)

Period of Performance is from February 15, 2011 to February 14, 2014 (36 months)

17. Recipient is required to sign and return three (3) copies of this document to the HUD Administering Office. <input checked="" type="checkbox"/>		18. Recipient is not required to sign this document. <input type="checkbox"/>	
19. Recipient (By Name): Mr. Lyle Wray		20. HUD (By Name): John Malcom Smith, Grant Officer	
Signature & Title 	Date: 2-8-2011	Signature & Title 	Date: 2/10/11
Previous editions are obsolete		form HUD 1044 (8/90) ref. Handbook 2210.17	

## HUD 1044 CONTINUATION SHEET

INSTRUMENT NO: CTRIP0007-10

BUDGET	HUD Amount	Match/Leverage Amount
Direct Labor	\$196,653.00	\$263,475.00
Fringe Benefits	\$75,180.00	\$36,502.00
Travel	\$5,742.00	\$0.00
Equipment	\$0.00	\$0.00
Supplies/Materials	\$28,240.00	\$0.00
Consultants	\$718,138.00	\$2,967,790.00
Contracts/Subcontracts	\$2,971,768.00	\$13,064,002.00
Construction	\$0.00	\$0.00
Other Direct Cost	\$0.00	\$0.00
Indirect Cost	\$204,280.00	\$99,230.00
<b>TOTALS</b>	<b>\$4,200,000.00</b>	<b>\$16,430,999.00</b>

If the grantee's match/leverage contribution is less than **\$16,430,999.00**, the Government reserves the right to negotiate new line items and/or amounts to satisfy the grantee's requirement, or to reduce the Government's share proportionally. The grantee shall notify HUD at any time it believes it will not meet its match requirement. In addition, the grantee shall obtain HUD approval regarding any changes concerning the intended use of matching funds. If the grantee exceeds the dollar amount shown above, there will be no impact on the Federal share.

1. AMOUNT OF COST SHARE

The estimated cost for the performance of this grant is \$20,630,999.00. HUD shall not be obligated to reimburse the Capitol Region Council of Governments in excess of \$4,200,000. The Grantee agrees to bear without reimbursement from HUD \$16,430,999.00 of the total costs. However, in the event that the Grantee incurs cost in excess of the total estimated project cost of \$20,630,999.00; all such excess costs shall be borne entirely by the Grantee.

1. DELIVERABLES IN ACCORDANCE WITH THE NOFA AND APPROVED WORK PLAN AND LOGIC MODEL

- A) **Final and approved workplan** (60 days after the effective date of the award)
- B) **Logic Model** (60 days after the effective date of the award)
- C) **Outreach to Public Housing Authorities** (60 days after the effective date of the award)
- D) **Signed and GTR-approved Consortium Agreement** (120 days after the effective date of the award) that at the minimum must include the following organizations:

**Partnership(s):**

- Connecticut Economic Resource Center
- Connecticut Fair Housing Center
- Connecticut Housing Coalition
- UConn CLEAR & LULA
- Partnership for Strong Communities

## HUD 1044 CONTINUATION SHEET

- City of Hartford, CT
- City of New Britain, CT
- Pioneer Valley Planning Commission
- Knowledge Corridor Consortium
- University of Massachusetts
- Pioneer Valley Sustainability Network
- City of Springfield, MA
- City of Chicopee, MA
- City of Holyoke, MA
- Leadership Pioneer Valley
- Greater Hartford Transit District
- Goodwin College
- Town of Enfield, CT
- Town of Manchester, CT
- Town of Windsor, CT
- State of CT Department of Economic and Community Development
- Central Connecticut Regional Planning Agency

- E) **Comprehensive Sustainable Communities Regional Plan** (24-36 months)
- F) Commitment to participate in performance measurement and evaluation conducted by third party.
- G) Activities pertaining to the Regional Analysis of Impediments

### 2. INDIRECT COST RATE

104%

**Note:** Grantee has agreed to process an indirect cost rate following HUD's policies and procedures. This process should begin no later than 90 days after the execution of this cooperative agreement.

### 3. KEY PERSONNEL

Name	Title	% of time on the grant
Mary Ellen Kowalewski	Director	36%
Emily Moos	Senior Planner	30%
Lynne Pike-DiSanto	Senior Planner	30%
Sandra Fry	Transportation Planner	33%

### 4. PERIOD OF PERFORMANCE

36 months

### 7. AUDIT INFORMATION

N/A

## HUD 1044 CONTINUATION SHEET

### 8. SPECIAL CONDITIONS

#### **Environmental Review**

Activities that involve site control or acquisition are subject to HUD environmental review under 24 CFR Part 50. For projects involving these activities, HUD's notification of award constituted only a preliminary approval by HUD subject to the completion of an environmental review of the proposed site(s). Selection for participation and the execution of this *Agreement* do not constitute approval of the proposed site(s). Each proposal involving site control or acquisition is subject to a HUD environmental review, and the Grantee's proposal may be modified or the proposed sites rejected as a result of that review.

The Grantee shall not acquire, rehabilitate, demolish, convert, lease, repair, or construct property, nor commit or expend HUD or local funds for these program activities with respect to any eligible property, until HUD approval of the property is received.