

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 type="checkbox"/> Award <input checked="" type="checkbox"/> Amendment | |
| 3. Instrument Number MIRIP0056-11 | 4. Amendment Number 1 | 5. Effective Date of this Action February 1, 2012 | 6. Control Number |
| 7. Name and Address of Recipient Tri-County Regional Planning Commission 3135 Pine Tree Rd. Suite 2C Lansing, MI 48911 Phone: 517-393-0342 Fax: 517-393-4424 | | 8. HUD Administering Office Office of Sustainable Housing and Communities 451 7 th Street, SW, Room 10180 Washington, DC 20410 | |
| 10. Recipient Project Manager Susan M. C. Pigg | | 8a. Name of Administrator J. Malcom Smith | 8b. Telephone Number |
| 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 type="checkbox"/> Automated Clearinghouse | |
| 13. HUD Payment Office 801 Cherry Street Unit #45, Suite 2500 Fort Worth, TX 76102 | | 9. HUD Government Technical Representative Stephen A. Cerny, 202-402-5097, Stephen.A.Cerny@hud.gov | |
| 14. Assistance Amount | | 15. HUD Accounting and Appropriation Data | |
| Previous HUD Amount | \$0.00 | 15a. Appropriation Number | 15b. Reservation number |
| HUD Amount this action | \$3,000,000.00 | Amount Previously Obligated | \$ 0.00 |
| Total HUD Amount | \$3,000,000.00 | Obligation by this action | \$3,000,000.00 |
| Recipient Amount | \$ 5,380,572.00 | Total Obligation | \$3,000,000.00 |
| Total Instrument Amount | \$ 8,380,572.00 | | |

16. Description

Employer Identification Number: 38-6034852

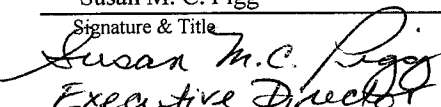
Program Code: RIP

This instrument (the HUD-1044, HUD-1044 Continuation Sheet) sets forth a legally binding agreement between the parties as to all amounts, deliverables, tasks, period of performance, terms and conditions, here within, whether implicitly stated or referenced. The Recipient certifies that all administrative and financial provisions of this instrument are in and will continue to be in compliance for the duration of the period of performance. All covenants, referenced or stated, are agreed to by the recipient upon signing this instrument.

The grantee has been set-up in LOCCS and approved; and

1. HUD-1044 and HUD-1044 Continuation Sheet(s)
2. Grant Agreement Terms and Conditions
3. HUD 424-CBW, Total Budget Summary
4. Grant Deliverables (See HUD 1044 Continuation Sheet)
5. Work Plan (Tasks within Work Plan are considered deliverables)
6. OMB Circulars A-122, A-133 and A-110, which is incorporated in 24 CFR Part 84 and 24 CFR Part 85
7. Office of Sustainable Housing and Communities (OSHC) Program Policy Guidance.
8. Notice of Funding Availability (Docket No. FR-5500-N-30FA)

Period of Performance is 36 months from February 1, 2012 to January 31, 2015.

| | | | |
|--|---------------------------------|---|-------------------|
| 17. <input checked="" type="checkbox"/> Recipient is required to sign and return three (3) copies of this document to the HUD Administering Office | | 18. <input type="checkbox"/> Recipient is not required to sign this document. | |
| 19. Recipient (By Name) Susan M. C. Pigg | | 20. HUD (By Name) J. Malcom Smith, Grant Officer | |
| Signature & Title  Executive Director | Date (mm/dd/yyyy) 01/31/2012 | Signature & Title | Date (mm/dd/yyyy) |

HUD CONTINUATION SHEET

1. BUDGET

| | HUD Amount | Match /Leverage Amount | Total |
|--------------------|-----------------------|------------------------|-----------------------|
| Direct Labor | \$195,448.00 | \$81,869.00 | \$277,317.00 |
| Fringe Benefits | \$111,405.00 | \$46,665.00 | \$158,070.00 |
| Travel | \$14,978.00 | \$626.00 | \$14,978.00 |
| Equipment | \$0.00 | \$0.00 | \$0.00 |
| Supplies/Materials | \$12,450.00 | \$0.00 | \$12,450.00 |
| Consultants | \$500,000.00 | \$0.00 | \$500,000.00 |
| Contracts | \$1,904,216.00 | \$4,305,878.00 | \$6,210,094.00 |
| Construction | \$0.00 | \$0.00 | \$0.00 |
| Other Direct Cost | \$54,901.00 | \$875,788.00 | \$930,689.00 |
| Indirect Cost | \$206,602.00 | \$69,746.00 | \$276,348.00 |
| Total | \$3,000,000.00 | \$5,380,572.00 | \$8,380,572.00 |

If the grantee's match/leverage contribution is less than **\$3,000,000.00** 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.

2. AMOUNT OF COST SHARE

The estimated cost for the performance of this grant is **\$8,380,572.00**. HUD shall not be obligated to reimburse the Tri-County Regional Planning Commission in excess of **\$3,000,000.00**. The Grantee agrees to bear without reimbursement from HUD **\$5,380,572.00** of the total costs. However, in the event that the Grantee incurs cost in excess of the total estimated project cost of **\$8,380,572.00**; all such excess costs shall be borne entirely by the Grantee.

3. KEY PERSONNEL

The personnel specified below are considered to be essential to the work being performed hereunder:

| Name | Title | % of time on the grant |
|--------------------|-------------------------|------------------------|
| Harmony Gmazel | Associate Planner | 85% |
| Paul Hamilton | Chief Planner | 40% |
| Christine Spitzley | Senior Planner | 6% |
| Erin Campbell | Assistant Planner StepV | 12% |

4. SUBSTANTIAL INVOLVEMENT

HUD's Office of Sustainable Housing and Communities will work in partnership with its grantees to advance the program objectives of the grant program. The Cooperative Agreement allows for substantial involvement of HUD staff to enhance the performance of the grantee in the completion of their deliverables.

Anticipated substantial involvement by HUD staff may include, but will not be limited to:
Studies and Reports

- Review potential amendment recommendations to the study design and/or Workplan.
- Review and provide recommendations in response to semi-annual progress reports (e.g., amendments to study design based on preliminary results).

HUD CONTINUATION SHEET

- Review and provide recommendations on the final report/study, including final interpretation of study results.

Approvals and Reviews

- Authority to halt activity if specifications or work statements are not met;
- Review and approval of one stage of work before another can begin;
- Review and approval of substantive provisions of proposed sub-grants or contracts beyond existing Federal policy;
- Approval of workplan adjustments based on changing conditions and needs documented in the cohort targeted for capacity building.
- Review and approval of key personnel

Participation and Monitoring

- Monitoring to permit specified kinds of direction or redirection of the work because of interrelationships with other projects;
- HUD and recipient collaboration or joint participation;
- Implementing HUD requirements which limit recipient discretion;
- Coordination of complementary activities from respective capacity building intermediaries, including determining if workplans require adjustments based on changing conditions;
- Where appropriate substantial, direct HUD operational involvement or participation during the assisted activity.

5. INDIRECT COSTS/PROVISIONAL RATE

60%

The U.S. Department of Transportation, Federal Highway Administration is the federal cognizant agency.

6. AUDIT INFORMATION

The Tri-County Regional Planning Commission submitted an audit report conducted by the Layton Richardson, P.C. for the year ending September 30, 2011. The audit report attests to the Tri-County Regional Planning Commission practice of generally accepted accounting principles and compliance with laws and regulations relating to government auditing standards. The internal control structure has been reviewed in accordance with OMB Circular A-133 and found to be in compliance with requirements that are applicable to certain of its major federal programs.

7. REPORTS AND DELIVERABLES

List of Deliverables:

1. Final Workplan: 60 calendar days from the effective date of the cooperative agreement.
2. Logic Model: 60 calendar days from the effective date of the cooperative agreement.
3. Verification of Outreach to Public Housing Authorities: 60 calendar days from the effective date of the cooperative agreement.
4. Consortium Agreement: 120 calendar days from the effective date of the cooperative agreement.
5. Comprehensive Regional Plan for Sustainable Development 34 months from the effective date of the cooperative agreement.
6. Commitment to participate in performance measurement and evaluation conducted by third party.
7. Activities pertaining to the Fair Housing Equity Assessment as referenced in the NOFA (FR-5500-N-30FA).

Reports:

1. Semi-annual Reporting (two reports per calendar year).
2. Additional Reporting Requirements: Additional reporting requirements as outlined in the NOFA (FR-5500-N-30FA), FY11 HUD General Section (FR-5500-N-01) and 24 CFR 85.40.

8. SPECIAL CONDITIONS

N/A