



**Fiscal Year (FY) 2020  
Indian Housing Block Grant (IHBG) Competitive  
Grant Application Review Training**

**Rating Factor 1 Review**



## 2

# Rating Factor Review

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- ▶ This module will introduce all Rating Factors for the IHBG Competitive grant program. This review will consist of five (5) Rating Factors plus two (2) areas to earn bonus points from either Opportunity or Promise Zones for the IHBG Competitive program.



## Rating Factors

- 1. Capacity of the Applicant**
- 2. Need/Extent of the Problem**
- 3. Soundness of Approach**
- 4. Leveraging Resources**
- 5. Comprehensiveness and Coordination**

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<u>RATING FACTOR</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
<b>1</b>	<b><u>(Minimum combined score of 35 points under Rating Factor 1 and Rating Factor 2 to meet threshold requirement)</u></b>	<b>20</b>
	<b><u>CAPACITY OF THE APPLICANT</u></b>	
	1.1 Managerial and Technical Staff	
	1.2 Procurement and Contract Management	
	1.3 IHBG Expenditures	
	1.4 Findings	
	1.5 Timely Reporting	
<b>2</b>	<b><u>NEED/EXTENT OF THE PROBLEM</u></b>	<b>25</b>
2.1	Identified Needs and Other Supporting Data	9
2.2	Project Beneficiaries	3
2.3	Past Efforts to Address Identified Need	3
2.4	Sustainability	5
2.5	New and Previously Unfunded Applicants	5

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<u>RATING FACTOR</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
<b>3</b>	<b><u>SOUNDNESS OF APPROACH</u> (Minimum of 20 points needed to meet threshold requirement)</b>	<b>40</b>
<b>3.1</b>	IHBG Competitive Priorities	10
<b>3.2</b>	Project Implementation Plan	10
<b>3.3</b>	Project Implementation Schedule and Project Readiness	10
<b>3.4</b>	Budget	10
<b>4</b>	<b><u>LEVERAGING RESOURCES</u></b>	<b>5</b>
<b>5</b>	<b><u>COMPREHENSIVENESS AND COORDINATION</u></b>	<b>10</b>
<b>5.1</b>	Coordination	7
<b>5.2</b>	Outputs and Outcomes	3
	<b>TOTAL (AFTER RATING FACTORS 1-5)</b>	<b>100</b>
	<b><u>PREFERENCE POINTS FOR EITHER OPPORTUNITY ZONES OR PREFERENCE POINTS FOR PROMISE ZONES</u></b>	<b>2</b>
	<b>TOTAL</b>	<b>102</b>

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Maximum total  
20 points:

**Rating Factor 1:**

**Capacity of the  
Applicant**

# Rating

## Factor 1: Subfactors

- 1.1 - Managerial and Technical Staff (Up to 8 points)**
- 1.2 - Procurement and Contract Management (Up to 3 points)**
- 1.3 - IHBG Expenditures (Up to 3 points)**
- 1.4 - Findings (Up to 3 points)**
- 1.5 - Timely Reports (Up to 3 points)**

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## Subfactor 1.1: Managerial and Technical Staff (Up to 8 points)

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- ▶ Applicants must provide a description of roles and responsibilities and knowledge and experience of **KEY** staff, who will **plan, manage, and implement the project that will funded** with the IHBG Competitive Grant.



## 9 Subfactor 1.1: Managerial and Technical Staff (Up to 8 points)

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- ▶ **Knowledge and Experience** will be judged in terms of ;
  - 1) **Recent** – experience within the last 5 years.
  - 2) **Relevant** – experience pertaining to **specific activities** proposed or **specific roles/responsibilities** described in the application to be relevant.
  - 3) **Successful Experience** – experience producing measurable **impacts** on the quality and/or quantity of housing in the tribal community. Indicators of success may include a description of key **outcomes**, overall **impact** of **accomplishments**, award recognition, etc.

**NOTE:** Each (KEY) staff listed will be evaluated on 1) Recent, 2) Relevant, 3) Successful Experience criteria.

## 10 Subfactor 1.1: Managerial and Technical Staff (Up to 8 points)

➔ Applicants must identify whether there are any potential **gaps** in capacity for managing and implementing the proposed project.

- Hire staff, consultants, contractors, etc.
- Detailed assessment
- Timeframe in addressing gap

➔ If there are no gaps, the applicant must **confirm** that there are no gaps in capacity.

- No gaps identified
- Please indicate that applicant is good

## Subfactor 1.2: Procurement and Contract Management (Up to 3 points)

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- Applicants must describe **how they are implementing** its procurement and contract management policies and procedures in accordance with each of the following applicable regulatory requirements.
- General procurement standards at 2 CFR part 200.318-326) (excluding 200.322 and 200.324).
- Please see procurement standards from 2 CFR 200.318-326 listed on the next slide.

## Subfactor 1.2: Procurement and Contract Management (Up to 3 points)

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- ▶ General procurement standards at 2 CFR part 200. 318-326) (excluding 200.322 and 200.324).
  - 200.318 – General Procurement Standards (terms and conditions of contracts).
  - 200.319 – Competition (full and open competition for bids).
  - 200.320- Procurement methods (how you handle micro purchases, small purchases, and proposals)
  - 200.321- Small, minority, women-owned businesses & labor surplus area firm (preferences given to these areas).
  - 200.323 – Contract cost & price (cost analysis for bids).
  - 200.325 – Bonding Requirements (bonding requirements and procedures)
  - 200.326 – Contract Provisions (overall process for contracts)

## Subfactor 1.2: Procurement and Contract Management (Up to 3 points)

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- Indian and tribal preference at 24 CFR part 1000.48-1000.54.
  - 1000.48 – IHBG activities.
  - 1000.50 – IHBG administrative activities
  - 1000.52 – IHBG procurement
  - 1000.54 – Complaints
  
- Conflict of interests at 24 CFR 1000.30.

## Subfactor 1.2: Procurement and Contract Management (Up to 3 points)

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- ▶ Reference to copies of procurement policies and/or citing that policies meet regulatory requirements will be **INSUFFICIENT**.
- ▶ Address **each** of regulatory requirements and provide examples!
- ▶ Applicants may submit copies of policies or extracts from policies, but only as **supporting documentation** to description of how policies meet regulatory requirements.

## Subfactor 1.3: IHBG Expenditures (Up to 3 points)

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- There are **two (2) categories** for evaluating applicants for this subfactor regarding undispersed funds or investment of funds.
- **Category 1** (Not approved for investing IHBG formula funds or approved but not investing)
- **Category 2** (Approved for investing IHBG formula funds)

## Subfactor 1.3: IHBG Expenditures (Up to 3 points)

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- Evaluate administrative capacity of how applicant **spent** or **invested** IHBG Formula funds.
- **Category 1:** Amount of unexpended IHBG formula funds which **remain** in LOCCS and plan for spending undisbursed IHBG funds.
- **Category 2:** Status of **invested** funds and plan to use funds for affordable housing activities.



## Subfactor 1.3: IHBG Expenditures (Up to 3 points)

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- **HUD will NOT consider**
  - IHBG Formula funds awarded in **FY 2020**.
  - IHBG funds awarded under the Coronavirus Aid Relief Economic Security (**CARES**).
- Eligible applicants allocated IHBG Formula funds but neither 1) **accepted funds** nor 2) **have** a current IHBG formula recipient will automatically receive two **(2) points**.

## Subfactor 1.3: IHBG Expenditures

### Category 1

Not approved for  
investing IHBG  
funds or approved  
for but not  
investing

(Up to 3 points)

Applicants, who are NOT approved for investing IHBG funds or approved for but not investing, will be evaluated on expenditure of IHBG formula funding received in the last three (3) Federal fiscal years (FYs).

FYs 2017, 2018, and 2019. (will neither consider FY 2020 IHBG formula funding nor IHBG CARES funding.)

In comparison with the amount of undisbursed IHBG funds remaining in LOCCS on the date this NOFA is published (August 11, 2020).

## Subfactor 1.3: IHBG Expenditures

### Category 1

Not approved for investing IHBG funds or approved for but not investing

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(Up to 3 points)

**NOTE:** Unless providing justification for undisbursed balances, no other information required. HUD will rely on LOCCS records to determine remaining balance amount.

Applicant with an undisbursed balance that is more than 25 percent of IHBG formula cumulative amounts may qualify for full points under this subfactor **only if it includes a justification.**

Justification must be satisfactory to HUD.

Must demonstrate a well-developed plans to accumulate IHBG funds to carry out specific activity in the future.

Must include how recipient intends to spend undisbursed IHBG funds.

Applicants can refer to past Indian Housing Plans (IHPs), Annual Performance Reports (APRs) or related documents.

## Subfactor 1.3 :

### **IHBG Expenditures ( Category 2) (Approved for investing IHBG formula funds) (Up to 3 points)**

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- Applicants, approved for investing formula IHBG funds in accordance with Section 204(b) of NAHASDA and 24 CFR 1000.58, must submit;
  - Information about its investment balances.
  - Plans to spend invested IHBG funds on affordable housing activities.
- Amount of IHBG grant funds that it currently invested.
- Investment securities and other obligations in which the funds are invested.
- Well-developed plan for spending the invested IHBG funds on affordable housing activities.

## Subfactor 1.4: Findings (Up to 3 points)

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- ▶ HUD will evaluate the performance of the applicant during the rating period of **October 1, 2016** up to and including the **NOFA publication date**, which is **August 11, 2020**.
- ▶ Applicant must **not have** had any;
  - ▶ Single Audit findings during the rating period.
    - **Key change** from FY 2018/2019 NOFA.
    - **Financial management, accounting, and internal controls** for HUD-ONAP programs.
    - If any single audit findings, applicant **will receive zero (0) points** for subfactor.

## Subfactor 1.4: Findings (Up to 3 points)

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- ▶ **HUD-ONAP monitoring findings** (IHBG, ICDBG, and other programs monitored by ONAP) during the rating period.
- ▶ Findings pertaining to ONAP programs from either HUD's Office of the Inspector General (**OIG**) and/or U.S. Government Accountability Office (**GAO**) at any time during the rating period.

**NOTE:** No information required from applicant. HUD ONAP will use own records to identify any findings.

## Subfactor 1.5: Timely Reports (Up to 3 points)

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- Applicants who **currently** receive **HUD-ONAP** grants under;
  - Indian Housing Block Grant (**IHBG**) formula program,
  - **FY 2018/2019 IHBG** Competitive Program,
  - Indian Community Development Block Grant (**ICDBG**) program,
  - COVID-19 Recovery Programs (**IHBG-CARES** and **ICDBG-CARES**), or
  - **Tribal HUD-VASH** program must ensure timely submission of required reports.

## Subfactor 1.5: Timely Reports (Up to 3 points)

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- Annual Performance Reports (**APR**), Annual Status and Evaluation Report (**ASER**), and Federal Financial Report (**SF-425**).
- HUD will award maximum points to those who have submitted **all required reports** by the **submission deadlines (which includes any grant extensions)** for **all HUD-ONAP grants** during the one-year period immediately preceding the date that this NOFA is published (**August 11, 2019 to August 11, 2020**).
- HUD will award **2 points** to applicants that **have not** received HUD-ONAP grants.

**NOTE:** No information required from applicant. HUD ONAP will use its own records to determine timely reports and how well applicants submitted reports on time.



# End of Rating Factor 1



Capacity of Applicant