

**Fiscal Year (FY) 2021
Tribal HUD-VASH Expansion
Grant Application Review Training**

Rating Factor 1 Review



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Rating Factor 1

Capacity of the Applicant

Rating Factor Review

- This module will introduce all Rating Factors for the Tribal HUD-VASH Expansion program. This review will consist of Three (3) Rating Factors.

Rating Factors

1. **Capacity of the Applicant**
2. **Need**
3. **Capacity to Administer the Program**

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<u>RATING FACTOR</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
1	<u>CAPACITY OF THE APPLICANT</u> <u>(Minimum of 20 points needed to meet threshold requirement)</u>	30
1.1	Managerial and Technical Staff	6
1.2	Technical Capacity	6
1.3	Findings	6
1.4	Timely Reporting	6
1.5	Expenditures	6
2	<u>NEED</u>	20
2.1	Identified Needs	10
2.2	Supporting Information	5
2.3	Severity of the Problem	5

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<u>RATING FACTOR</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
3	<u>CAPACITY TO ADMINISTER THE PROGRAM</u> (Minimum of 35 points needed to meet threshold requirement)	50
3.1	Implementation Plan and Schedule	10
3.2	Availability of Housing Stock	10
3.3	Budget	10
3.4	Coordination with Department of Veterans Affairs	10
3.5	Coordination with Partners	5
3.6	Outputs and Outcomes	5
	TOTAL (RATING FACTORS 1-3)	100
	(Minimum of 75 points needed to meet threshold requirement)	

6

Maximum total
30 points:

Rating Factor 1:

**Capacity of the
Applicant**

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Rating Factor 1: Subfactors

1.1 - Managerial and Technical Staff (Up to 6 points)

1.2 - Technical Capacity (Up to 6 points)

1.3 - Findings (Up to 6 points)

1.4 - Timely Reporting (Up to 6 points)

1.5 - Expenditures (Up to 6 points)

Subfactor 1.1 – Managerial and Technical Staff (up to 6 points)

Subfactor 1.1: Managerial and Technical Staff (Up to 6 points)

- ▶ Applicants must demonstrate that they possess or can obtain the managerial and technical staff and/or other assistance (e.g., contractors, consultants, subaward, etc.) necessary to implement a Tribal HUD-VASH grant.

Subfactor 1.1: Managerial and Technical Staff (Up to 6 points)

- **Workplan Narrative:** The applicant must address the following components in the workplan narrative.
 - 1) **Description of knowledge and experience** of key staff.
 - 2) **Discussion of relevant training or experience** working with homeless and/or at risk of homelessness population or Veterans.
 - 3) **Understanding** of supportive housing and other evidence-based practices used by Tribal HUD-VASH.
 - 4) **Recent** housing experience of key staff (within 5 yrs).

Subfactor 1.1: Managerial and Technical Staff (Up to 6 points)

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- 5) Any **successful accomplishments** related to working with the homeless, at risk of homelessness population, or Veterans.
 - * Successful accomplishments include **producing measurable impact** on the quality and/or quantity of housing affecting the tribal homeless community.
 - * Indicators of **success** may include a description of **key outcomes** (for example: reduction of homeless population rate, innovative homeless self-sufficiency programs, etc.), overall impact of the accomplishment, award recognition, etc.
- 6) The extent to which **the program manager's time commitments and other key program personnel are appropriate and adequate** to meet the program's objectives.

Subfactor 1.1: Managerial and Technical Staff (Up to 6 points)

Applicants proposing: Construction, Acquisition, or Rehabilitation of units to house Veterans must also include the following components in the workplan narrative:

- 7) **Qualifications and relevant** experience of staff, contractors, consultants, and subgrantees for the project; and
- 8) **Applicant's own experience in implementing** new housing construction, acquisition, or rehabilitation projects.

Scoring Criteria	Points
<ul style="list-style-type: none">• The applicant thoroughly addresses all components outlined in this Subfactor.• The applicant <u>already has its own managerial and technical staff to implement a Tribal HUD-VASH grant.</u>	6 points
<ul style="list-style-type: none">• The applicant <u>does not currently have its own managerial or technical staff to implement a Tribal HUD-VASH grant.</u>• <u>The applicant thoroughly addresses how it will obtain qualified staff and/or other assistance (e.g., contractors, consultants, subrecipient, etc.) needed to manage and implement the program based on the components outlined in this Subfactor.</u>	5 points
<ul style="list-style-type: none">• The applicant adequately addressed this Subfactor but was either <u>missing one of the components</u> outlined in this Subfactor OR <ul style="list-style-type: none">• The applicant <u>addressed all of the required components but lacked detail to warrant full points</u> under this Subfactor.	4 points
<ul style="list-style-type: none">• The applicant adequately addressed this Subfactor but was missing 2-3 of the components outlined in this Subfactor.	3 points
<ul style="list-style-type: none">• The application did not include any of the information described above to receive points under this Subfactor or the applicant addressed this Subfactor but was missing 4 or more components.	0 points

Subfactor 1.2– Technical Capacity (up to 6 points)

Subfactor 1.2: Technical Capacity (Up to 6 points)

Applicants must address measures that it has taken or will take to **implement policies** and **procedures** for managing the program.

► Explain how **policies** and **procedures** address:

1. How it will comply with program requirements and procedures to ensure that its **key personnel have the information** and **tools they need to manage** the program.
2. Steps for managing waiting list.
3. Coordination efforts with VA and HUD staff.
4. Implementing program obligations (participating in regular meetings, coordination and outreach efforts, etc.)
5. Implementation of how supportive housing and evidence-based practices will be integrated with Tribal HUD-VASH veterans.

Subfactor 1.2: Technical Capacity (Up to 6 points)

- ▶ Applicants proposing to **Construct, Rehabilitate, or Acquire** units for eligible Veterans must address:
 6. The steps it will take to oversee the proper implementation of the parties (contractors, consultants, subrecipients, etc.) for completing the project.

NOTE: Applicants with exiting Tribal HUD-VASH policies **may submit their existing policies** as supporting documentation under this Subfactor.

Resources about program requirements and procedures can be found online:
https://www.hud.gov/program_offices/public_indian_housing/ih/tribalhudvash.

Scoring Criteria

Points

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The applicant thoroughly addresses the measures that have been taken or that it will take to ensure that it will implement policies and procedures for managing the Tribal HUD-VASH program based on the Subfactor criteria described.

6 points

- The applicant adequately addressed this Subfactor but was either missing one of the components outlined in this Subfactor

OR

- The applicant addressed all of the required components but lacked detail to warrant full points under this Subfactor.

4 points

- The applicant adequately addressed this Subfactor but was missing 2-3 of the components outlined in this Subfactor.

3 points

- The application did not include any of the information described above to receive points under this Subfactor

OR

- the applicant addressed this Subfactor but was missing 4 or more components.

0 points

Subfactor 1.3– Findings (up to 6 points)

Subfactor 1.3: Findings (Up to 6 points)

For this Subfactor, HUD will evaluate the applicant's performance during the rating period of October 1, 2017, up to and including the application submission deadline.

- ▶ To receive maximum points, the applicant **must not have any** of the following findings during the rating period:
 - Any Single Audit Findings
 - HUD-ONAP Monitoring Findings (IHBG, ICDBG and other programs monitored by ONAP)
 - Findings pertaining to ONAP programs from (HUD's Office of the Inspector General (OIG) and/ or US Gov. Accountability Office (GAO))

Subfactor 1.3: Findings (Up to 6 points)

- Applicants **that have Single Audit findings** pertaining to financial management, accounting, and internal controls for HUD-ONAP programs during the rating period **will receive zero points** in this Subfactor.
- Applicants **should not submit** workplan narrative information or supporting attachments for this Subfactor; HUD will use their own records to verify this information.

Scoring Criteria	Points
<ul style="list-style-type: none">The applicant <u>did not have any</u> Single Audit, HUD-ONAP monitoring, HUD-OIG, or GAO findings at any time during the rating period.	6 points
<ul style="list-style-type: none">The <u>applicant had outstanding HUD-ONAP monitoring, HUD-OIG, or GAO findings during the rating period but resolved those findings</u> by the established target date(s) or revised target date.	4 points
<ul style="list-style-type: none">The <u>applicant had HUD-ONAP monitoring, HUD-OIG, or GAO findings during the rating period but were not yet due for resolution</u> based on the established target date(s) or revised target date.	2 points
<ul style="list-style-type: none">During the rating period, <u>the applicant did not resolve</u> all open HUD-ONAP monitoring, HUD-OIG, or GAO findings <u>by the established target date(s) or revised target date:</u> <p>OR</p> <ul style="list-style-type: none">The applicant <u>had Single Audit findings pertaining to financial management, accounting, and internal controls</u> for HUD-ONAP programs during the rating period.	0 points

Subfactor 1.4– Timely Reporting (up to 6 points)

Subfactor 1.4: Timely Reporting (Up to 6 points)

Applicants that **currently receive HUD-ONAP grants** under the following programs **must ensure** the timely submission of the required reports.

GRANT PROGRAMS:

- IHBG formula
- FY18/FY19 IHBG Competitive
- ICDBG
- COVID-19 Recovery Programs (IHBG-CARES and ICDBG-CARES)
- Tribal HUD-VASH

REQUIRED REPORTS:

- Annual Performance Report (APRA)
- Annual Status and Evaluation Report (ASER)
- Federal Financial Report (SF-425)

Subfactor 1.4: Timely Reporting (Up to 6 points)

- ▶ Applicants that have **never received** a HUD-ONAP grant will be awarded **2 points** under this Subfactor.
- ▶ Maximum Points will be awarded to those who have submitted all reports by the submission deadlines (includes any grant extensions) for all HUD-ONAP grants **during the one-year period immediately preceding the NOFO published date (January 15, 2020 – January 15, 2021).**
- ▶ Applicants **should not submit** workplan narrative information or supporting attachments for this Subfactor; HUD will use its own records to verify this information.

Scoring Criteria

Points

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- | | |
|---|----------|
| <ul style="list-style-type: none">• The applicant <u>submitted all required reports</u> by the submission deadlines for all HUD-ONAP grants during the one-year period immediately preceding the date that this NOFO is published. | 6 points |
| <ul style="list-style-type: none">• The applicant <u>submitted some, but not all</u>, required reports by the submission deadlines for HUD-ONAP grants during the one-year period immediately preceding the date that this NOFO is published. | 3 points |
| <ul style="list-style-type: none">• The applicant has <u>never</u> received a HUD-ONAP grant. | 2 points |
| <ul style="list-style-type: none">• The applicant <u>did not submit any required reports</u> by the submission deadlines for HUD-ONAP grants during the one-year period immediately preceding the date that the NOFO is published. | 0 points |

Subfactor 1.5– Expenditures (up to 6 points)

Subfactor 1.5: Expenditures (Up to 6 points)

There are **three (3) categories** for evaluating applicants for this subfactor regarding undispersed funds or investment of funds.

- **Category #1:** Existing Tribal HUD-VASH grantees
- **Category #2:** New applicants that are not approved for investing formula IHBG funds or approved for but are not investing IHBG formula funds
- **Category #3:** New applicants approved for and investing IHBG formula funds

Subfactor 1.5– Expenditures (up to 6 points)

Category 1:

Existing Tribal HUD-VASH grantees

**Subfactor 1.5
Expenditures**

Category 1

**Existing Tribal
HUD-VASH
grantees**

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(Up to 6 points)

HUD will review how existing grantee has utilized FY15 and FY17 funds.

Compare the total undisbursed balance awarded from these fiscal years with the cumulative award amount as of NOFO publication date (January 15, 2021).

Tribal HUD-VASH renewal funding awarded under Notice PIH-2019-18 and PIH-2020-10 is **NOT** included in evaluating this Subfactor.

Scoring Criteria	Points
<ul style="list-style-type: none">The applicant's combined undisbursed balance in LOCCS is <u>0-15%</u> of the Tribal HUD-VASH cumulative award amount it received in FY15 and FY17.	6 points
<ul style="list-style-type: none">The applicant's combined undisbursed balance in LOCCS is between <u>16% and 30%</u> of the Tribal HUD-VASH cumulative award amount it received in FY15 and FY17.	5 points
<ul style="list-style-type: none">The applicant's combined undisbursed balance in LOCCS is between <u>31% and 45%</u> of the Tribal HUD-VASH cumulative award amount it received in FY15 and FY17.	4 points
<ul style="list-style-type: none">The applicant's combined undisbursed balance in LOCCS is between <u>46% and 60%</u> of the of the Tribal HUD-VASH cumulative award amount it received in FY15 and FY17.	2 points
<ul style="list-style-type: none">The applicant's combined undisbursed balance in LOCCS is between <u>61% and 75%</u> of the Tribal HUD-VASH cumulative award amount it received in FY15 and FY17.	1 point
<ul style="list-style-type: none">The applicant's combined undisbursed balance in LOCCS is more than 75% of the Tribal HUD-VASH cumulative award amount it received in FY15 and FY17.	0 points

Subfactor 1.5– Expenditures (up to 6 points)

Category 2:

New applicants that are not approved for investing formula IHBG funds or approved for but are not investing IHBG formula funds

**Subfactor 1.5:
Expenditures**

Category 2

NEW applicants not approved for investing IHBG funds or approved for but not investing

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(Up to 6 points)

Applicants who are **not** investing formula IHBG funds will be evaluated on the expenditure of IHBG formula funding received in the last three (3) federal fiscal years (**FYs 2018, 2019 and 2020**) in comparison with the amount of undisbursed IHBG funds remaining in LOCCS **on the date** this NOFO is published (January 15, 2021).

Subfactor 1.5: Expenditures

Category 2

**NEW applicants
not approved
for investing
IHBG funds or
approved for
but not
investing**

(Up to 6 Points)

- Applicants whose undisbursed amount in LOCCS is 25% or less of their 2018-2020 IHBG formula amounts will receive full (6) points.
- Applicants with an undisbursed balance of **more than 25%** can receive full points **if**:
 - They provide a justification demonstrating well-developed plans to carry out IHBG activities in the future. The justification must include supporting information on **when and how** the recipient plans to spend its undisbursed IHBG funds.

Subfactor 1.5: Expenditures

Category 2

NEW applicants not approved for investing IHBG funds or approved for but not investing

(Up to 6 points)

Applicants that have been approved for investing but are not investing IHBG formula funds **must clearly state this in the workplan narrative** in order to qualify for points.

Applicants need not submit LOCCS or formula funding data for this subfactor; HUD will utilize its records to verify.

Applicants who have ever been allocated IHBG formula funds will automatically receive 3 points if they:

- did not accept those funds; and
- do not have a current IHBG formula recipient

Scoring Criteria

Points

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- The applicant's undisbursed amount in LOCCS is 0-25% of IHBG formula cumulative amount for the 2018-2020 Federal fiscal years;

OR

- The applicant's undisbursed amount is more than 25% of IHBG formula cumulative amounts and the applicant provided sufficient justification demonstrating well-developed plans to accumulate IHBG funds to carry out specific IHBG eligible activities in the future. The justification included supporting information on when and how the recipient intends to spend its undisbursed IHBG funds in the future.

6 points

- The applicant's undisbursed amount in LOCCS is between 26% and 50% of IHBG formula cumulative amount for the 2018-2020 Federal fiscal years. The applicant did not provide a justification and supporting information satisfactory to HUD demonstrating well-developed plans to spend its undisbursed IHBG amounts

OR

- The applicant does not currently administer the IHBG formula program and accordingly does not have balances of IHBG funds.

3 points

- The applicant's undisbursed amount in LOCCS is more than 75% of IHBG formula cumulative amount for the 2018-2020 Federal fiscal years. The applicant did not provide a justification and supporting information demonstrating a well-developed plan to spend its undisbursed IHBG amounts.

0 points

Subfactor 1.5– Expenditures (up to 6 points)

Category 3:

**New applicants approved for and investing
IHBG formula funds**

Subfactor 1.5: Expenditures

Category 3

NEW applicants
approved for and
investing IHBG funds

(Up to 6 points)

A new applicant approved for investing formula IHBG funds in accordance with Section 204(b) of NAHASDA and 24 CFR 1000.58.

must submit information about:

- Amount of IHBG grant funds invested
- The investment securities and other obligations in which funds are invested; and
- Well-developed plan to spend the invested IHBG funds on affordable housing activities

Scoring Criteria

Points

- The applicant submitted all of the following information addressing its invested IHBG funds: the amount of IHBG grant funds that it currently has invested, the investment securities and other obligations in which the funds are invested, and a well-developed plan for spending the invested IHBG funds on affordable housing activities. 6 points
- The applicant did not submit one of the following information addressing its invested IHBG grant funds: the amount of IHBG grant funds that it currently has invested, the investment securities and other obligations in which the funds are invested, and a well-developed plan for spending the invested IHBG funds on affordable housing activities. 3 points
- The applicant did not submit two of the following information addressing its invested IHBG grant funds: the amount of IHBG grant funds that it currently has invested, the investment securities and other obligations in which the funds are invested, and a well-developed plan for spending the invested IHBG funds on affordable housing activities. 1 point
- The application failed to include any of the following: information detailing the amount of IHBG grant funds that it currently has invested, the investment securities and other obligations in which the funds are invested, and a well-developed plan for spending the invested IHBG funds on affordable housing activities. 0 points

End of Rating Factor 1

Subfactors 1.1, 1.2, 1.3, 1.4 and 1.5
(Up to 30 points)